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# Application for Approval to the Representative Policy Board: Customer Information System Solution Project

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# Application to the Representative Policy Board for Approval of a Customer Information System Solution Project

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## **1. Statement of Application**

This application is presented by the South Central Connecticut Regional Water Authority (RWA) to the Representative Policy Board (RPB) of the South Central Connecticut Regional Water District for approval of a project to implement a new Customer Information System (CIS) solution. Section 19 of Special Act 77-98, as amended, requires the RPB's approval before the RWA expends more than \$2 million for any capital project. The proposed project will cost approximately \$14.808 million.

This proposed business software implementation project will eliminate the risks associated with the impending technology obsolescence of our current CIS solution while improving the quality and efficiency of the utility and other billing, service and delivery, and field service business functions.

The CIS is a mission-critical technology solution supporting customer account creation and management, billing, revenue collections, field service work management, as well as financial and regulatory reporting. As the "cash register" of the organization, more than \$130 million flows through the RWA CIS annually via the generation of invoices and processing of payments for water services and related charges, PipeSafe, laboratory services and other offerings. As the field service work management system, the CIS enables the planning, maintenance and dispatch functions for approximately 120,000 meters and related equipment installed on customer premises including taps, vaults, and service lines.

The RWA's current CIS solution and related components are an ecosystem of SAP technologies that have been in place since 2010. Despite strategic investments in SAP to ensure continued functionality, security, and enhancements, these efforts have not kept pace with improvements and technical upgrades currently available from SAP.

In 2013, the developers at SAP moved the entire SAP Business Suite onto a radically new technology platform, and has since been providing retroactive support for clients who continued to maintain older platforms like the one the RWA is currently using. SAP has established 2027 as the deadline for which it will no longer support the older platform. Recognizing the looming requirement to transition to a new platform, in 2017, the RWA began assessing its options in light of this fundamental technology shift.

The RWA retained AAC Utility Partners, an ESource Company, to undertake a due-diligence assessment of the costs and benefits associated with investments in the RWA's CIS. The focus of this CIS assessment was to determine the best long-term CIS strategy for the organization, including a full assessment of how the current SAP CIS solution was meeting the organization's business needs and develop an understanding of the options available in the modern CIS marketplace.

Based on the assessment findings, the RWA issued a CIS Solution Request for Proposal (RFP) in September 2021. Open to all CIS marketplace vendors, the RWA focused on finding the best CIS solution and encouraged submissions from all vendors regardless of base technology.

The CIS RFP outlined the RWA's requirements for a cloud-based CIS functionality including reporting and tools, a mobile fieldwork management solution, and an optional Customer Relationship Management (CRM) features. The project required implementation services for



these solution components, as well as provide on-going hosting and account managed services for the applications.

By the close of the RFP in November 2021, the RWA had received vendor responses from all spectrums of the CIS marketplace including SAP, Oracle, Microsoft Dynamics, and several independent solution providers. Through a rigorous evaluation process, four short-listed vendors were identified that best met the business, technical and implementation needs of the RWA. The four short-listed vendors have been included in the application Business Case Evaluation (BCE).

This application will provide a description of the proposed work, an explanation of the need for the proposed action, an analysis of the alternatives considered, estimated statement of the cost, and the statement of the facts on which the Board is expected to rely in granting approval. The accuracy and completeness of this document are critical to the RPB's ability to make an informed decision on behalf of the RWA's customers and member communities.

As the RWA is actively in the procurement process, the vendor(s) under consideration for this project are not referenced by name in this application and certain information has been redacted. Identifying information and other proprietary documents have been annexed.

## **2. Description of the Proposed Action**

This CIS solution project constitutes the full replacement of the RWA's SAP CIS and all its related components with a new comprehensive CIS solution providing out-of-the-box functionally rich solutions that meet the RWA's business and technical capability requirements. This project will include the configuration of a new CIS, including reporting and related tools, field mobile work management (FMWM), and optional CRM features. The project also includes complete implementation services and deployment methodologies, with the final selected vendor serving as the prime contractor responsible for the project's success.

### **2.1 CIS Solution Development of Alternatives**

The RWA solicited proposals for a comprehensive CIS solution from qualified vendors through an RFP in September 2021. The RWA utilized AAC Utility Partner's NavigateOne™ Methodology to provide thorough RFP development and a rigorous selection process outlined below. The RFP has been included as Appendix A. Appendix B contains an introduction to AAC Utility Partners and Appendix C provides information about their NavigateOne™ Selection Methodology.

Evaluation Phase 1	Proposal Evaluation	November 2021
<ul style="list-style-type: none"><li>• Proposal readings and team discussions to assess each vendor's RFP response</li><li>• Four vendors short-listed for Phase 2 based on scored proposal evaluations</li></ul>		
Evaluation Phase 2	Demonstration and Presentation	January 2022
<ul style="list-style-type: none"><li>• Hosted four virtual demonstrations with short-listed vendors</li><li>• 100+ hours of on-site, scripted solution demonstrations and reference checks</li><li>• Selection Team plus over 60 subject matter experts (SMEs) participated and scored the demonstrations</li></ul>		

- Vendor 4 selected to move to Phase 3 based on Phase 2 evaluation scores

Evaluation Phase 3                      Vendor Confirmation/Validation                      March 2022 (on-going)

- Comprehensive detailed working sessions and product review to:
  - Validate the Functional Matrix, features, and technology of the product
  - Identify any required product modifications
  - Determine interface requirements
- Define final project scope as a Statement of Work
- Contract documents negotiated

Throughout the on-going multi-phase selection process, the RWA remains focused on identifying a cloud-based solution that can deliver flexible billing and collection functionality, offers a holistic view of our customers with customer relationship management features, and provides streamlined processes and workflows that enable the delivery of a positive user and customer experience. The RWA continues to be actively engaged in Evaluation Phase 3 of the CIS RFP selection process with Vendor 4. A company overview of Vendor 4 can be found in Appendix D.

## **2.2 The CIS Solution Project Components**

The CIS Solution consists of the CIS core meter-to-cash functionality and supporting components for FMWM, Reporting Tools, and optional CRM features. The Project will implement the required components, configured to the RWA's specifications, and establish cloud-based hosting and managed services for the overall solution. Each of these CIS Solution components is described below. We plan to use an out of the box solution with minimal to no customization of the selected CIS solution.

### **2.2.1 CIS Core Functionality**

The CIS component serves as the hub of the CIS Solution set and delivers the core meter-to-cash functionality. The CIS hub provides flexible billing and collection functionality and a holistic view of our customers through CRM features. Whereas the RWA's current SAP CIS implementation required customizations and enhancements, the vendor alternatives being considered natively support the RWA's premise-centric account structures to aid in simplifying the RWA's lien process. The modern platforms being evaluated will deliver more functional capability without the need for costly modifications. The RWA will maintain critical core functionality and adopt best practices and automations without the need for customization. Future service offerings can be added to the application with a quicker time to market, enhancing the RWA's ability to take advantage of those services. The improvements to core functionality will provide a direct benefit to customers in the form of reduced call handling time, reduced call wait time, and more effective interactions with Customer Service Representatives

### **2.2.2 Field Mobile Work Management (FMWM)**

The FMWM solution provides for work order management, appointment setting, and work status monitoring as well as scheduling, dispatch and mobile solutions, which support work completion in the field. Together with the core CIS functionality, the FMWM solution provides the

necessary business capabilities to create, dispatch, and complete field work with seamless, real-time visibility and communication between office personnel and field technicians. This type of connectivity and collaboration will expedite the completion of work orders and provide just-in-time information to benefit dispatchers, the contact center, and customers.

### 2.2.3 Implementation Services

The CIS Solution Project includes comprehensive solution implementation services. This project will leverage the selected vendor's implementation framework and implementation expertise. The RWA Portfolio Management Office (PMO) will oversee the full solution deployment with its own experienced Project Manager. The RWA will staff the project with skilled internal resources and third-party consultant resources to augment and support the selected vendor's implementation team.

Regardless of the selected software solution, a CIS project implementation is a very large and complex undertaking with broad-based organizational, cross-functional, customer facing and back-office business operations impacts. Given the broad reaching implications of the project implementation, there is a planned emphasis on organizational change management, training and communications to prepare the RWA's workforce, as well as internal and external stakeholders, for this change. Therefore, appropriate allocation and engagement of both functional and technical resources is critical to project success. In order to develop a custom right-sized implementation approach and staffing plan for the RWA, a comprehensive organizational assessment was conducted by the RWA in collaboration with AAC to identify key business processes, subject matter experts (SMEs), skills and resource estimates. This was further validated by taking into account similar utility implementations from AAC's portfolio of over 80 utility projects. As a result, the implementation consists of the following areas to position the RWA for success:

- **Holistic implementation** integrating best practices from project management, organizational change management, training, technology development and end-to-end testing.
- **Focus on key functional and business process areas** including customer service, rates, billing, meters and field services, credit and collections, cashiering, financial balancing, contracts and new services, and financial, regulatory, and non-financial reporting.
- **Integration with other systems** that support and rely on the CIS solution. Over 35 independent integrations are required with software applications internally maintained and supported by the RWA, e.g. Geographic Information System (GIS), Great Plains software, as well those maintained by third party vendors e.g. banks.
- **Data migration** to ensure appropriate conversion and access to historic data using industry standard processes, data cleanup, staging and extraction, transformation, loading and tools for verifying the integrity of the migrated data.
- **Robust cutover, go-live prep and support activities** to ensure a smooth transition to the new solution including a three-month post go-live heightened stabilization period.

In addition, the RWA will continue to work with AAC as an independent CIS implementation expert for the duration of the Project. AAC will support the RWA in developing a detailed project Statement of Work (SOW), assist in negotiating and proactively mitigating potential implementation risks through appropriate provisions in that SOW. These provisions, part of AAC's NavigateOne™ Proven SOW Methodology, are agreed upon during the Phase 3 evaluation period and serve as controls to monitor vendor contract performance during the implementation. The SOW will hold both the vendor and the RWA accountable for respective project deliverables, tasks and timelines. The implementation plan and staffing will continue to be refined through the Phase 3 activities of the RFP selection process, including the SOW and contract negotiations. Appendix E details the AAC NavigateOne™ SOW methodology.

#### **2.2.4 Technology and Security**

The selected CIS Solution Vendor will deploy and host the solution for the RWA in a cloud environment. A modern, configurable solution developed and deployed on a powerful cloud platform by a premier cloud provider will ensure stable, secure, and reliable performance. By maximizing utilization of the CIS Solution delivered as a service (SaaS), the RWA will keep on-going support and maintenance costs manageable while ensuring the RWA can more easily accept upgrades, security patches, and new functionality as they are released.

The solution will provide strong security management and adopt robust Information Security Management System (ISMS) standards, which align and adhere to the RWA's cybersecurity policies and strategy. See Appendix F for more detailed information on the cloud implementation, technology and security of the preferred vendor. This leading CIS Solution ecosystem will allow the RWA to continually leverage state-of-the-art technology to gain process efficiencies and enhance the customer experience.

#### **2.2.5 Managed Services**

In addition to implementing and hosting the CIS solution, the selected vendor will also provide critical managed services to support the solution. Managed services are part of the ongoing operations and maintenance (O&M) costs that ensure the application is running optimally with the vendor responsible for the day-to-day technical operation of the application. Regular, periodic upgrades and patches are included as part of the managed service offerings, enabling the RWA to stay current while avoiding large costly investments for updates in technology. Centralized hosting and managed services creates efficiencies for the RWA with a singular provider for daily operations.

#### **2.2.6 Customer Relationship Management (CRM)**

CRM tools provide functionality to manage all utility interactions with the customer, and also support special marketing programs. A CRM provides visibility into the customer journey and enables targeted customer communications and outreach, all associated directly with the customer's utility account. While solicited by the RWA as optional in the RFP, the preferred Vendor 4 provides a fully integrated CRM solution. The CIS Solution Project will deliver the core meter-to-cash functionality of a traditional CIS as well as CRM functionality as a single

solution, eliminating the need for an additional integration point with another CRM solution vendor that the RWA would need to solicit separately.

### **2.2.7 Reporting Platform**

Each CIS Solution alternative will provide reporting capabilities as part of the project implementation. A dedicated track in the project plan will focus on ensuring the RWA's required financial and regulatory reporting requirements are met and that key operational and customer reports are accurate and easily accessible. If selected, Vendor 4 also provides an enhanced reporting suite to manage, report on, and analyze not only RWA CIS-related data, but support future enterprise-wide data analytics initiatives. The CIS solution is fully integrated with the analytics tool, incorporating reports and dashboards into the daily operations. The open platform provides the RWA with the future ability to leverage built-in reporting across the organization to make important business decisions based on facts, trends, and analyses from a variety of business areas. Role-specific employee dashboards and team workspaces make business critical information easily accessible and provide "one version of the truth" to the data analytics work stream.

## **3. Need for the Proposed Action**

The RWA's current CIS solution will not be supported beginning in 2027. The CIS Solution Project is necessary to ensure the RWA's critical CIS solution remains viable and effective given the 2027 end-of-life for our current solution. These shifts in the SAP CIS technology platform require the RWA to pursue timely action to best address this looming technology transition and ensure the RWA is able to effectively address and adapt to business capability needs and ever-changing customer expectations.

### **3.1 Technology Shifts and the Aging SAP CIS Platform**

The RWA's current CIS solution and related components are an ecosystem of SAP 2008 technologies in production since 2010. Over the years, incremental enhancements to the RWA's instance of SAP have ensured continued functionality and provided key business capabilities as funding has allowed. Despite these strategic investments in SAP, the efforts have not updated the core SAP technology and have left the RWA several iterations behind in the SAP ecosystem.

The incremental investment approach has sustained the RWA's CIS functionality for more than 12 years. Technology continues to move at breakneck pace and, in 2013, the developers at SAP moved the entire SAP Business Suite onto HANA, a radically new technology platform. As part of the transition, SAP began working with their clients to decommission older SAP platforms like the one the RWA operates, ultimately setting a deadline of 2027 to complete all transitions to HANA. The 2027 date reflects SAP's official plans to render earlier platforms obsolete and end current retroactive support for clients like the RWA who continue to maintain the older SAP platforms. The end-of-life scenario and lack of support means future product development is not being pursued by SAP, security patching for the older platforms will cease, and break-fix support will be eliminated. This fundamental shift in the base SAP ecosystem compelled the

RWA to reassess its approach to CIS investments in order to ensure the security, support, and functionality of this critical system.

The current SAP solution environment requires the RWA to maintain support from multiple vendors to host the application and assist with day-to-day functional and technical issues that arise. The RWA must coordinate a variety of vendor activities and manage their distinct testing, patching and other maintenance activities. The cadence of these activities and the level of effort required by the RWA to support them varies by vendor and ultimately creates complex challenges for RWA internal resources.

The age of the RWA's existing SAP solution places it several generations behind SAP's most recent non-HANA platform, which has created cost and complexity as the RWA has endeavored to provide the business and our customers with new features that are not readily supported in our current version. Additionally, the RWA is already encountering concerns from some vendors on their willingness to host and manage these aging systems given future security risks of our current platform.

### 3.2 Criticality of a CIS Solution

A CIS is a business critical platform covering the entirety of billing, rates, and invoice generation. A CIS assists employees in obtaining important customer information in a timely and efficient manner. Since 2010, the RWA has utilized SAP for these critical functions, creating the link between consumption recorded at the meter and the collection of payments. The CIS is the heart of the utility meter-to-cash process, directly impacting company revenue and utilized for critical financial and regulatory reporting.

"While quality and reliability will always remain the top priority, no water supplier can build a resilient operation without predictable cash flows. Known in the industry as 'meter-to-cash', it is critical that the utility reliably measure water consumption, generate an accurate bill, and consistently collect revenues from customers for water services rendered."

-Jeff Lipton, *Meter to Cash: Turning Water Into Dollars*

Key CIS functionality includes but is not limited to:

- **Customer Information Management:** establishing and managing customer billing account information, service locations and on premise equipment such as taps, meters and AMI reading devices;
- **Customer Relationship Management:** managing and documenting customer communications to support customer interactions and share relationship history internally;
- **Rates and Billing:** the engine to maintain current and historic rate structures and ensure accurate billing with approved rates and fees;
- **Products and Services:** managing the types of products and services available to customers;

- **Usage Management:** managing billing cycles, tracking and recording meter readings for use in billing calculations, providing validations for billing accuracy, and providing estimation routines;
- **Financial Management:** enabling payment posting, balancing and cashiering functionality;
- **Financial and Regulatory Reporting:** providing revenue and other key information to support these reporting requirements;
- **Credit and Collections:** tracking and managing open receivables and payments received as well as managing collections activity on customer accounts;
- **Work Order Management:** creating, dispatching, and documenting work performed on metering and other equipment beyond the tap;
- **Device (Asset) Management:** ensuring current and historic installation data and available inventory levels are accurately maintained for meters and related devices; and
- **Data Warehouse & Reporting:** providing for reporting and extraction of information contained in the CIS solution.

### 3.3 CIS and Technology Assessment

Recognizing the looming requirement of SAP's transition to the HANA platform, the RWA began assessing the effort and costs to make this fundamental technology shift. A formal CIS Assessment Project Team was formed in September 2017 to lead a due-diligence assessment of the costs and benefits associated with investments in the RWA's CIS. The Team's focus was to determine the best long-term CIS strategy for the organization, including a full assessment of how the current SAP CIS solution was meeting the organization's business needs.

As referenced earlier, the Team contracted with AAC Utility Partners to lead the organization through research, analysis, and assessment activities using their NavigateOne™ Methodology. The RWA tasked AAC, a vendor with extensive water utility experience in CIS assessment, selection and implementation, with providing clear, objective insights and recommendations to help ensure the RWA's responsible investment in appropriate CIS technologies. After reviewing the RWA's current SAP implementation and over 40 functional areas with RWA staff, the assessment shined a light on the criticality and risks of the technology changes in the SAP platform and highlighted key functionality that was either lacking or under-supported with the RWA's current CIS. Additionally, AAC educated the RWA on the state of the CIS marketplace, advances in vendor solutions, and a high-level economic comparison of the alternatives.

This AAC Utility Partners investigation found three areas of severe deficiency or risk:

1. the ability to quickly add or change functionality that would align with the RWA's strategic long-term vision of providing enhanced services and diverse service and product offerings;
2. limited sharing of data across related applications; and
3. the high cost of maintaining the current legacy application based on the need to have multiple vendors host the application and assist in functional and technical

issues that need to be addressed on a day-to-day basis in order to ensure the applications meet the RWA's needs.

In that assessment, AAC concluded, "RWA has leveraged the existing infrastructure and manual processes to the maximum extent possible. The current efforts are unsustainable as the demands placed on the RWA are increasing at a rapid pace, and RWA is struggling to stay ahead of both functional and technical demands." AAC provided further insights, stating "The business of water provision is increasingly complex and undergoing a transformation in combination with customer demands for enhanced service offerings such as PipeSafe and other services. This is also true of RWA's customer base, as their demands for increased customer satisfaction are at the highest levels. Maintaining the status quo does not provide RWA with the technology necessary to address future security and auditing requirements expected of utilities across North America. Given the state of the existing systems, RWA cannot afford to do nothing." AAC's recommendation was to issue an RFP for a CIS Solution. As a reference, a summary of the CIS Assessment findings can be found in Appendix G along with the full Assessment Report in Appendix H.

### **3.4 Business Capability Needs and Customer Expectations**

The current SAP solution provides only a minimal amount of automated workflow, few interfaces between customer and employee-centric programs, and very poor data sharing among applications.

The RWA requires a more nimble CIS solution that provides efficiencies and rules-based work flows to critical processes like billing exceptions processing, cancel/rebill, start/stop service, and leak adjustments. Currently, many SAP processes require multiple screens, drilling into various areas of the application to gather the necessary information and extending average call length. Additionally, employees are often required to use multiple solutions to gain the necessary insights to answer a customer's inquiry. The RWA's ability to deliver a "one-contact" resolution experience to a customer is diminished, thus inconveniencing the customer and increasing call handling time and volume. Opportunities to provide more robust sales and marketing capabilities utilizing CRM tools for revenue enhancement would be a positive addition to the RWA's strategic vision to become a 21<sup>st</sup>-century environmental services company to better serve our customers.

## **4. Analysis of the Alternatives to the Proposed Action**

In determining the best course of action to address the aging SAP solution and the variety of needs identified throughout this application, the CIS Selection Team evaluated alternatives including the four vendor proposals short-listed in Phase 2 of the RFP Selection Process. The alternatives include two SAP System Integrators (SI), two self-implemented CIS solutions, data platform improvements to the legacy solution, and taking no action.








**Alternative A – No Action:** This is continued operations with current infrastructure. No additional capital investments would be made under this scenario and SAP outside support would cease in 2027. A significant increase in third-party services and RWA support staff would be necessary, increasing costs from present day. Risk of system failure and future cyber



vulnerability remains high. The RWA has already leveraged the existing infrastructure and manual processes to the maximum extent possible. The current efforts are unsustainable as the demands placed on the RWA are increasing at a rapid pace, and the RWA is struggling to stay ahead of both functional and technical demands. Given the state of the existing systems, the RWA cannot afford to do nothing and must take action; the No Action alternative is not viable








**Alternative 1 – Vendor 1:** This is an SAP System Integrator that has taken the core SAP CIS solution and preconfigured it for use in the utility industry. They have packaged the preconfigured SAP HANA solution and positioned it as an accelerated implementation with limited utility IT involvement. The pre-configuration is designed to account for best practices allowing Vendor 1 to design by exception instead of from the ground up. This practice typically translates into reducing the timeframe and risk of the implementation. They sell the application as a SaaS offering of the SAP HANA platform. The reasoning behind the SaaS service offering is to eliminate the need for utilities to hire, retain, or outsource SAP skilled resources to manage the CIS application. Vendor 1 manages the entire application from configuration to system updates. This model provides for incremental software updates with a lower impact on the organization. This would allow the RWA to stay current with the latest SAP technologies and functional capabilities. The solution offering provides for some business process improvements but does not reduce the complexity of the end-user operation of the system.

**Overall Assessment: Vendor 1**

	User experience/Customer benefit
	Business process optimization
	Technology
	Hosting/managed services capabilities
	Implementation costs
	Implementation Risk
	Ongoing cost








**Alternative 2 – Vendor 2:** The Vendor 2 application is a non-SAP, self-implemented solution that focuses on utilities that serve 50,000 to 250,000 customers. The solution has been very successful in both water and electric utilities. The user interface is dated and reflects an older look and feel. The technology still relies on desktop deployments of software to run the application. This alternative is not current with the evolution of cloud computing. This application also requires major upgrades, requiring the utility to invest money and resources approximately every three years to stay current with the latest release. Vendor 2 does not use System Integrators to implement the application, which would keep costs lower than others that use SIs. Typical implementation timelines with this vendor have been 4 to 6 months longer than proposed, thus increasing the cost of the implementation for both internal and external resources.

**Overall Assessment: Vendor 2**

	User experience/Customer benefit
	Business process optimization
	Technology
	Hosting/managed services capabilities
	Implementation costs
	Implementation risk
	Ongoing cost








**Alternative 3 – Vendor 3:** This firm is an SI for the SAP application; they are an established SAP partner that has provided implementation and support to utilities across North America. They have recently created a preconfigured instance of the SAP application based on the HANA platform. This pre-configuration consists of software hosting and implementation services that would provide a system configured to account for the RWA's service needs and reduce the implementation timeframe. The configuration also includes application management services, which means the RWA will receive enhancements, new features, and technical improvements to a mutually agreed schedule. Due to the recent release of this preconfigured system, there have not been a large number of installations to prove the stability of the solution. The solution offering provides for some business process improvements but does not reduce the complexity of the end-user operation of the system. Additionally, Vendor 3 did not provide for a geographically disparate disaster recovery environment, which the RWA would need to procure separately adding implementation costs not accounted for in their proposal.

**Overall Assessment: Vendor 3**

	User experience/Customer benefit
	Business process optimization
	Technology
	Hosting/managed services capabilities
	Implementation costs
	Implementation Risk
	Ongoing cost







**Alternative 4 – Vendor 4:** Vendor 4 is a self-implemented non-SAP provider of software and services dedicated to the utility market. They focus on providing feature-rich CIS functionality that improves the customer engagement and streamlines front- and back-office business workflows. The application is a cloud-based solution built on a premier platform and delivered as a SaaS service. The technology behind the CIS application allows for enhanced integration with the RWA's existing financial application, thus providing better reporting and organizational financial visibility. Furthermore, the CIS application is fully integrated with a web customer self-service portal and CRM modules, all as part of their service offering. This application is implemented by Vendor 4 staff using a proven implementation methodology with a positive record of accomplishment. In addition, the company aligns very well with the RWA's current and long-term vision through configuration.

**Overall Assessment: Vendor 4**

	User experience/Customer benefit
	Business process optimization
	Technology
	Hosting/managed services capabilities
	Implementation costs
	Implementation Risk
	Ongoing cost

**Alternative 5 – Legacy SAP w/HANA Data Transformation:** This SAP alternative is to continue with the course of the last five years, keeping the current CIS (legacy SAP) afloat while investing in a data-only migration of SAP applications from the current database to SAP HANA. This alternative assumes continuation with our current SAP buildout, including existing customizations, thus delivering no net new functionality. In fact, functionality loss of certain modules is likely after the SAP ECC sunset date of 2027. This alternative would require the addition of support staff and specialty outside consultants to keep the program running, as well as additional license fees to support both the HANA and the ECC environments. Continual capital investment will be required to combat loss of functionality with as-yet-undetermined support systems. This alternative may be a viable alternative, but continues to leave the RWA open to considerable future risk and increasing costs over time, even with diminishing performance of the system.

**Overall Assessment: Legacy SAP w/HANA Data Transformation**

	User experience/Customer benefit
	Business process optimization
	Technology
NA	Hosting/managed services capabilities
	Implementation costs
	Implementation Risk
	Ongoing cost

## 4.1 Business Case Evaluation

RWA staff performed a Business Case Evaluation (BCE) on the alternatives to further compare and evaluate the alternatives outlined above. The BCE is included as Appendix I, along with the BCE introductory memo with a definition of terms in Appendix J. The BCE was conducted using the comprehensive Triple Bottom Line (TBL) approach, that evaluates life-cycle costs, cost-benefit ratio, risk and social factors (including environmental) to determine the best long-term solution to a given need. The following summarizes the results of the BCE.

1. **Life Cycle Cost Projection (LCCP):** the Life Cycle Costs Annuitized Cost Stream is the least for Alternative 4; indicating that this alternative represents the least cost choice. The life cycle costs over the analysis period (12 years) show a decrease in the present value of annual operating and maintenance costs for Alternatives 2, 3, and 4 (over the No Action).
2. **Risk Reduction:** The Risk Reduction Effectiveness Factor is the highest for Alternative 4 at 0.14; indicating that this alternative best addresses risk. The Risk Cost (annual basis) of the No Action is about \$3.9M. The overall Residual Risk Cost (annual basis) is \$78,916 for Alternative 4, \$157,832 for Alternative 1 and 3, \$236,747 for Alternative 2 and is \$3.1M for Alternative 5.
3. **Benefit/Cost:** The Benefit/Cost Ratio is a ratio of the benefit value over the cost value. A higher result demonstrates that the project is more cost effective than the other alternatives for the benefits it delivers. This calculation allows for the quantification of factors such as environmental and social impact of a project (both during implementation and long-term). The Benefit/Cost Ratio is highest for Alternative 4, with a result of 2.41; followed by Alternative 2, with a result of 1.99. Additionally, Alternative 4 delivers the highest value of benefits of all alternatives evaluated.

Based on the results of the BCE, Alternatives 1 through 4 all address the primary need for the proposed action; delivering reasonable LCCPs, reductions in risk, and considerable benefits to the RWA. Based on information available at the time of evaluation, **Alternative 4 CIS Solution** proposed by Vendor 4 was determined to best address all aspects of the need for proposed action while balancing the impact of the work as it relates to the TBL concerns. The RWA is actively engaged in Phase 3 of the CIS RFP Selection process with Vendor 4.

## 4.2 Highlights of Alternative Selected

Of the options available, the Vendor 4 CIS solution was deemed the most favorable in terms of the robust security and technology platform, strength of the Vendor 4 implementation methodology, and the modern and accessible interfaces with substantial automation and integration support. This alternative was selected for the following reasons:

- Provides a 98% functional fit to the RWA's business needs.
- Provides the highest benefit value to RWA customers and stakeholders compared to all other alternatives.
  - Reduces call interaction time, call wait time, and call abandonment rate;

- Improves business operations in the contact center, back office, finance, and field service areas;
- Supports future program expansion for new products and services;
- Accelerates revenue enhancements;
- Significant use of automation and workflows that provide efficiency and ease of use.
- Strong reporting solution including embedded analytics and informative operational metrics.
- Vendor 4's platform integrates with our current financial systems.
- Aligns with RWA's technology vision for cohesive solutions across the organization.

## 5. Statement of the Cost to Be Incurred and/or Saved

### 5.1 Capital Cost

This project will result in an approximate capital expenditure of up to \$14.808 million including a 10% contingency. The RWA has completed the CIS Solution requirements and functionality matrix, including integration identification. A breakdown of the capital cost for this project is presented in Table 1 below and a detailed breakdown of this cost estimate is contained in Appendix K of this application. The project costs presented are based on the RFP requirements, vendor solution capabilities and costs, additional confirmation sessions conducted in April 2022 as part of the Evaluation Phase 3, as well as estimates for RWA staffing requirements and third-party integration costs.

**Table 1 Capital Cost Summary**

<u>Cost Description</u>	<u>Total</u>
Total Implementation Costs - Capital without Contingency	\$13,462,043
Contingency (10%)	\$ 1,346,204
<b>Total Implementation Costs - Capital with Contingency</b>	<b>\$14,808,247</b>

A 10% contingency has been utilized and reflects the best practice recommendations from AAC Utility Partners for CIS implementation projects.

### 5.2 Operation and Maintenance (O&M) Costs

The project will result in a CIS software solution with licensing, hosting, and support costs. The product is delivered in a SaaS model, which means that the vendor will provide support services over the life of the product as well as the product itself, including periodic updates and upgrades. This is a change in methodology from the existing CIS, where multiple vendors provide the software and support, and updates and upgrades are additional services. The ongoing costs of the current SAP environment include both capital and operation and maintenance (O&M) costs.

The proposed project will result in annual O&M costs that will include all updates and upgrades. This average annual spend to support and maintain the CIS will **decrease** by an estimated \$200,000 a year, on average, while delivering the additional value of updates and upgrades that would normally require capital spend. Internal RWA IT resource O&M costs (indirect costs),

including staffing levels, are estimated to remain about the same. However, the time spent supporting the systems will shift from a focus on problem management and mitigation to a focus on optimization and utilization, in alignment with the new SaaS support model. The twelve-year Estimated Total Cost of Ownership can be found in Appendix L.

### **5.3 Bonds or Other Obligations the SCCRWA Intends to Issue**

As a result, the annual cost of this project to an average residential customer, assuming RWA bonds, would be approximately \$4.86. This is based on the project cost of \$14.808 million and existing rates. This also assumes that the CIS project is one of many capital projects, with varying useful lives, financed within the same bond issuance.

Additionally, we expect this project to be funded by a combination of RWA bond issuance and internally generated funds.

### **5.4 Value Engineering**

Value engineering was inherent in the design process and alternatives analysis for the proposed actions.

- Costs for this project predominantly reflect the solution itself and the RWA resources required to effectively execute this initiative.
- Staffing levels reflect the critical levels needed for each phase, with resource levels waxing and waning appropriately.
- Significant responsibility and resourcing requirements are being provided by Vendor 4 and are included in the implementation fees.
- Third-party resources have been utilized in only the most critical positions and will be sourced commensurate with the criticality.
- A cloud-based SaaS solution will enable the RWA to more easily accept upgrades, security patches, and new functionality to ensure the RWA's CIS solution remains up-to-date.
- A strong win-win SOW developed with the AAC NavigateOne Methodology™ will mitigate potential implementation risks, provide controls to monitor vendor contract performance, and create accountability for project deliverables, tasks and timelines.
- Centralized hosting and managed services create efficiencies for the RWA with a singular provider for daily operations

## **6. Preliminary Project Schedule and Permitting**

### **6.1 Schedule**

The project schedule presented below is estimated based on the current level of design development. It requires a 21-month implementation period, followed by a three-month post-implementation stabilization support, based on the RWA's defined needs and complexity.

Project to Implement a Comprehensive Customer Information System Solution

- |   |                        |
|---|------------------------|
| 1. RFP Issued:                                    | September 2021         |
| 2. RPB Application:                               | Submitted May 2022     |
| 3. Assuming RPB approval, Final Design, & Permit: | August/September 2022* |
| 4. Contract Award                                 | October 2022           |
| 5. Kick-off                                       | January 2023           |
| 6. Go-Live & Post-Go-Live Support:                | July to September 2024 |

\*The timing of the RPB approval, negotiations, contracting and final contract award will impact the above schedule.

### **6.2 Permitting**

There are no applicable Permitting/agency considerations for this project.

## **7. Statement of the Facts on Which the Board Is Expected to Rely in Granting the Authorization Sought**

- The RWA's current SAP CIS solution is nearing technology obsolescence and will no longer be supported after 2027, ending the availability of cybersecurity patching, operational support, and future enhancements.
- The RWA and its customers will be placed at significant risk if the RWA continues to operate the current SAP CIS solution beyond the 2027 end-of-life target date established by SAP.
  - continued operability of the SAP solution as the "cash register" for RWA revenues may be compromised;
  - RWA and Customer data become more vulnerable to cyberattacks;
  - integrations within RWA architecture and with vendor systems also become more vulnerable to cyberattacks; and
  - the RWA's overall insurability will be compromised, increasing the RWA's liability and cost responsibility
- This project will replace the current SAP CIS landscape with a comprehensive cloud-based CIS Solution set that includes: Reporting and Tools, Field Mobile Work Management (FMWM), and optional Customer Relationship Management (CRM).
- The RWA is currently in Evaluation Phase 3 of the CIS Solution RFP, actively engaged with Vendor 4 to develop the final Statement of Work, Fixed Price Project Pricing, and related contract documents.
- The RWA is employing the AAC Utility Partners NavigateOne™ Methodology to ensure a "win-win" SOW that holds both the selected vendor and the RWA accountable for deliverables while mitigating the risks of a CIS project with provisions and protections for the RWA.

- The project will bring best practice process and technology automations to reduce daily process pain points and manual work-arounds.
- The project will provide a direct benefit to customers in the form of reduced call handling time, reduced call wait time, improved service scheduling, and more effective interactions with Customer Service Representatives.
- The CIS Solution will be delivered as a SaaS solution on a cloud platform with hosting and managed services provided by the selected vendor.
- Utilizing the selected vendor for ongoing hosting, maintenance, updates, and patching, as well as day-to-day managed services will streamline the RWA's current multi-vendor environment.
- The new CIS Solution set will support revenue enhancement and future programs.

## **8. Explanation of Unusual Circumstances Involved with the Application**

The obsolescence of the RWA's current SAP CIS platform in 2027 is driving the need for urgent action. Remaining on an unsupported SAP platform beyond 2027 will lead to the need for increasingly higher spend to support the aging solution and introduce significant cybersecurity risks as patching, updates, and break-fix are no longer available.

Demand for CIS solution vendors will increase as the 2027 deadline approaches and both utility and non-utility SAP clients look to make the strategic CIS solution changes required to address the older non-HANA platforms being rendered obsolete. This market demand will drive prices higher as CIS solution vendors attempt to meet the technology transition needs of these companies. Given that a typical CIS implementation project takes about 18-24 months to complete, the CIS marketplace will quickly become flooded with RFPs from companies. The RWA needs to take action now to ensure implementation comfortably in advance of the 2027 deadline and avoid the challenges of this high demand market in the coming years as that deadline quickly approaches.

## **9. Conclusion**

The RWA's current Customer Information System (CIS) solution and related components are an ecosystem of SAP technologies that have been in production since 2010 and are being rendered obsolete by SAP in 2027. The CIS, a mission critical technology solution, is a complex environment of several technical software components working in unison to execute the full meter-to-cash process. As the "cash register" for the organization, more than \$130 million in revenue flows through the RWA CIS annually. The proposed project will ensure the RWA's critical CIS infrastructure remains viable and effective on a fully supported, modern CIS solution that will provide our customers with a best-in-class service experience.

At \$14.808 million, the CIS Solution selected for this project maximizes the cost and non-cost benefits for the RWA. The project addresses the looming technology obsolescence of the RWA's current CIS and provides a dynamic platform for future growth and innovation.

As such, the RWA has concluded that the proposed action is consistent with and advances the policies and goals of the South Central Connecticut Regional Water Authority.



# **Appendix A**

**RWA RFP for CIS and Related Services, September 2021, prepared  
by RWA**





# Request For Proposal

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Customer Information System, Field Mobile Work  
Management, Customer Relationship Management and  
Implementation Services

RFP#B09092100

RFP Response Due by 4:00 PM ET on  
November 4, 2021

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## 1.0 Introduction

This document constitutes a Request for Proposal (RFP). It is the intent of South Central Connecticut Regional Water Authority (RWA) to consider the purchase of the following: Customer Information System (CIS), Field Mobile Work Management (FMWM), optional Customer Relationship Management (CRM), Reporting and Tools, and related services as specified within this document.

RWA currently utilizes the SAP CIS solution, which went into full production in 2010. RWA continues to monitor and strategically maintain compliance with SAP approved platforms taking advantage of additional functionality when within available budgets.

This RFP will be a competitive solicitation process. Qualified individuals, firms, contractors, consultants or entities (Vendors) who meet the requirements set forth in this RFP and are capable of providing the services requested are encouraged to participate.

## 2.0 Project Scope

RWA is soliciting proposals from qualified Vendors for a comprehensive solution set which includes: Customer Information System (CIS), including Reporting and Tools, Field Mobile Work Management (FMWM), and optional Customer Relationship Management (CRM). The proposed solution(s) are required to meet multiple business needs, accommodate RWA departmental requirements, and provide a wide array of customer-facing opportunities to deliver RWA and its customers greatly enhanced capabilities and functionality. RWA is looking for a cloud-based solution with Managed Services. RWA defines this further in Section 5.4 Future State Considerations.

RWA desires a CIS solution that not only delivers flexible billing and collection functionality but that will also provide a holistic view of our customers with customer relationship management features and streamlined processes and workflows that enable the delivery of a positive user and customer experience.

This project must allow for the evolution and transformation of RWA's business practices to merge with industry standard practices. Further, it shall result in a flexible and user-centric set of systems that improves internal and external services through more efficient processes. The project will also include technical, organizational, and business process aspects that are fully integrated with RWA's support systems.

### 2.1 Mandatory modules

RWA's objective is to select the following modules as a result of this RFP and Selection Process:

- Customer Information System (CIS)
- Field Mobile Work Management (FMWM)
- Reporting, Queries, KPIs and Tools
- Batch Scheduling

RWA desires to receive a response that proposes a comprehensive solution and encourages partnerships where appropriate to achieve this goal.

### 2.2 Optional modules

RWA's objective is to evaluate the following modules as a result of this RFP and Selection Process:

- Customer Relationship Management (CRM)

RWA desires to receive a response that proposes a comprehensive solution and encourages partnerships where appropriate to achieve this goal.

## 2.3 Functional Components To Be Evaluated

The scope of this project may include but is not limited to the evaluation of the areas described below:

Customer and Account Management	Navigation and User Interface	Financial Management	Credit and Collections
<ul style="list-style-type: none"> <li>Account Generation Information</li> <li>Account Data</li> <li>Product and Services Generation</li> <li>Memos and Notes</li> <li>Master and Sub-Accounts</li> <li>Customer Interactions</li> <li>Account Operations/ Manipulation</li> <li>Account Display</li> <li>System Administration</li> <li>Auditing</li> <li>CIS-user KPI's</li> </ul>	<ul style="list-style-type: none"> <li>System Navigation</li> <li>Search Criteria</li> <li>Primary CSR Screen Criteria</li> <li>GUI and BUI Screen Presentation</li> </ul>	<ul style="list-style-type: none"> <li>A/R Processing</li> <li>A/R Adjustments</li> <li>General Ledger Accounting</li> <li>Generally Accepted Accounting Principles</li> <li>Deposits</li> <li>Payment Posting</li> <li>Payment Processing</li> <li>Credits and Refunds</li> <li>Reconciliation Reporting (Regulatory and GAAP based)</li> </ul>	<ul style="list-style-type: none"> <li>General</li> <li>Credit Rating</li> <li>Deposits</li> <li>Payment Processing</li> <li>Payment Arrangements</li> <li>Interest/Late Fee Processing</li> <li>Delinquency</li> <li>Receiverships/ Collection Agency Processing</li> <li>Write-Off's</li> <li>Liens Processing</li> <li>Archive and Purge Records</li> <li>Bankruptcy</li> </ul>

Service Order Management	Billing Management	Rates and Usage Management	Meter Management
<ul style="list-style-type: none"> <li>• General Criteria</li> <li>• Service Order Validation</li> <li>• Service Order Initiation</li> <li>• Service Order Distribution</li> <li>• Service Order Modification/Change</li> <li>• Service Order Completion</li> <li>• Service Order Display</li> <li>• Service Order Validation</li> </ul>	<ul style="list-style-type: none"> <li>• General Billing Criteria</li> <li>• Billing initiation</li> <li>• Billing Proration</li> <li>• Billing Process</li> <li>• Taxation</li> <li>• Billing Adjustments</li> <li>• Master and Sub-Account Billing</li> <li>• Budget Fixed/Levelized Billing</li> <li>• Discount billing/Low Income</li> <li>• Estimated Billing</li> <li>• Misc. Billing</li> <li>• Service Charges and Fee Billing</li> <li>• Payment Options</li> <li>• Invoice Billing</li> <li>• Advanced Billing</li> </ul>	<ul style="list-style-type: none"> <li>• Setup Criteria</li> <li>• Documentation Criteria</li> <li>• Rate Analysis</li> <li>• Rate Structure</li> <li>• Historical Rates</li> <li>• Rate Changes</li> <li>• Route and Cycle Criteria</li> <li>• Premise/Service Criteria</li> <li>• Meter Readings</li> <li>• Consumption</li> <li>• Consumption Validation</li> <li>• Consumption Display</li> <li>• Real-Time Functions</li> </ul>	<ul style="list-style-type: none"> <li>• Meter/Equipment Management</li> <li>• Meter/Equipment Documentation</li> <li>• Meter/Equipment Search</li> <li>• Meter Equipment Set and Change Out</li> <li>• Meter/Equipment History Testing</li> <li>• Meter/Equipment Editing</li> </ul>



Field Mobile Work Management	System-wide Reporting	Technical Components	Technical Components (Cont.)
<ul style="list-style-type: none"> <li>• Scheduling Appointments</li> <li>• Resource Optimization</li> <li>• Service Order Creation in Field</li> <li>• Service Order Management in Field</li> <li>• Intelligent Routing</li> <li>• Dispatch</li> <li>• Communication</li> </ul>	<ul style="list-style-type: none"> <li>• Dashboards and Reporting</li> <li>• Management and Monitoring</li> <li>• Standards and Security</li> <li>• Security and Privacy</li> <li>• Support for Internal Controls</li> <li>• Audit Trails</li> </ul>	<ul style="list-style-type: none"> <li>• Data Hierarchy</li> <li>• User Interface</li> <li>• Client Workstations</li> <li>• Servers</li> <li>• Application Servers</li> <li>• Business Intelligence</li> <li>• Development Platform</li> <li>• Portal/Browser Based</li> <li>• Web Services</li> <li>• Business Process Integration Management</li> </ul>	<ul style="list-style-type: none"> <li>• Operating Systems Client Server</li> <li>• Database Platforms</li> <li>• Programming Interface Capabilities</li> <li>• Version Control</li> <li>• Security Capabilities</li> <li>• General Operations</li> <li>• Reports</li> <li>• Batch Processing</li> <li>• Printing</li> <li>• Electronic Archiving</li> <li>• Disaster Recovery and Business Continuity</li> <li>• Software Development</li> </ul>

#### **Customer Relationship Management (Optional)**

- Contact Management
- Sales Force Automation
- Marketing and Campaign Management
- Lead Management
- System Navigation
- Workflow
- General
- Auditing and Approvals
- Communications
- Mobile
- Reporting and Queries

## 2.4 Minimum Requirements

Vendor must be able to meet the following minimum requirements for consideration:

- 2.4.1 Provide a single point of contact for the project and throughout post-implementation.
- 2.4.2 Document any implementation-related litigation (pending, active, or resolved) that have occurred within the last three years for the Vendor and all sub-consultants.
- 2.4.3 Demonstrate vendor has a proven track record of delivering and implementing Utility CIS systems. A proven track record consists of at least **one** (1) ongoing implementation and **two** (2) additional completed implementations over the last **five** (5) years for organizations of similar size and complexity (billing of multiple services) within North America. RWA *may* consider implementations of similar size and complexity completed outside of North America. Vendor will be required to justify their commitment and ability to support the North American market.
- 2.4.4 RWA is requiring a Prime Vendor to coordinate implementation and be solely responsible for the project. Each of these roles shall be clearly defined in the Prime Vendors' response to this RFP.
- 2.4.5 The Prime Vendor must have experienced key staff *who will be assigned to this project and* who have implemented the proposed product in at least **one** (1) production implementation. Two of those key staff members must have been the functional and technical leads for a previous implementation of the proposed solution.
- 2.4.6 The Prime Vendor must provide a dedicated (100%) Project Manager with authority for all Prime Vendor resources and subcontractors as applicable for the software provider, hosting/cloud provider, systems integrator, all subcontractors and third-party software.
- 2.4.7 The Prime Vendor must warrant the functionality of the software as both demonstrated and agreed to in **Attachment B Functional Matrix**.
- 2.4.8 RWA is requiring that all the Prime Vendors, Product Vendors and any allowed sub-consultants provide evidence of financial stability and strength that is acceptable to RWA. This can be demonstrated in a number of ways, including:
  - a. A strong rating on its outstanding equity or debt securities from independent rating agencies such as Standard & Poor's or Moody's and/or a strong credit rating from Dunn and Bradstreet.
  - b. Audited financial statements that are sufficient to test for financial strength using standard financial analysis and ratios.
  - c. RWA may consider factors outside of this RFP to meet the minimum requirements.
- 2.4.9 All solution costs must be provided for the preferred implementation timeline as presented in Section 7 (Implementation Information) of the RFP.
- 2.4.10 All solution costs, including travel and fees, must be fixed price.
- 2.4.11 All documents and attachments related to the RFP must be included as part of the submittal.
- 2.4.12 All Vendors and subcontractors shall meet any applicable Connecticut state or Federal laws at the time of submission.
- 2.4.13 All Vendors and subcontractors shall meet the minimum Insurance Requirements as outlined in Section 9.01 of **Attachment 1 – Master Professional Services Agreement**.
- 2.4.14 All Vendors and subcontractors must submit the signed **Attachment F – Intent to Respond or Decline and Confidentiality Agreement** if the vendor intends to respond.
- 2.4.15 All Vendors and subcontractors must submit the signed **Attachment N - Non-collusive Bidding Certification** and the signed **Attachment O - Nondiscrimination Certification**.

## 3.0 Proposal Instructions and Requirements

### 3.1 Glossary of terms

As used throughout this RFP and Response Template, the following definitions apply:

Term	Definition
Cloud Solutions	Solutions that are provided in the following ways: Software as a Service (SaaS), Platform as service (PaaS), or other hybrid Cloud delivery.
Contract	The contract, agreement, or purchase order executed by RWA and the Successful Vendor for the performance of the work requested in this RFP. The contract shall incorporate the provisions of the RFP.
Contract Price or Cost	The amount stated in the Contract to complete the work contemplated by this RFP, plus or minus any additions or deductions contained in any contract amendment or change order.
Core Team	The team established by RWA to review, evaluate, score the proposals, and to recommend award of the contract to RWA Management.
RWA	South Central Connecticut Regional Water Authority
May/Should	Indicates something that is not mandatory but is permissible for this RFP.
Must/Shall	Indicates a mandatory requirement for this RFP. A proposal that fails to meet a mandatory requirement will be deemed non-responsible and may not be considered for award.
Nomenclatures	The terms Successful Vendor, Successful Contractor, Contractor, Supplier and/or Consultant may be used interchangeably in these specifications and shall refer exclusively to the Vendor with whom RWA enters into a contract as a result of this solicitation
Proposal	Refers to the completed Response Template, including all requested attachments as defined in the Response Template.
Vendor	Any person, firm, corporation, entity, organization or agency, or a duly authorized representative thereof, that may submit a proposal for the work described in this RFP.
Request for Proposal ("RFP")	Refers to any and all directions, provisions, and requirements, etc., contained in this request for proposal. RWA may cancel this solicitation at any time for any reason, without obligation.
Responsible Vendor / Prime Vendor	The Vendor that RWA determines is a responsible Vendor based on RWA's sole determination that the Vendor has the capacity in all respects to satisfactorily perform and to furnish the work described in this RFP. In furtherance of the foregoing, RWA shall evaluate the Vendor's experience, integrity, reliability, capacity, facilities, equipment, any anticipated sub-consultants, suppliers and other persons and organizations proposed by the Vendor to

	perform and to furnish the work described. RWA reserves the right to make such investigation as it deems necessary to make this determination. Such information includes but is not limited to: current financial statements, verifications of availability of equipment and personnel, and past performance records, and references. The Vendor must submit a proposal which conforms in all material respects to the requirements set forth in this RFP, as determined solely by RWA. Furthermore, the Vendor shall adhere to all applicable federal, state, and local laws, codes and ordinances.
Product Vendor	Vendor who supplies software.
Sub-consultant / Subcontractor	Any person, Vendor or legal entity other than the Vendor that will supply services or materials for work to be performed under the Contract.
Successful Vendor	The Vendor to whom RWA awards the contract.

## 3.2 Invitation

RWA is accepting qualified proposals for a new Customer Information System (CIS), Field Mobile Work Management (FMWM), Implementation Services, and optional Customer Relationship Management (CRM). A copy of the RFP may be obtained at RWA's bid site. Vendors must first register as a vendor in order to download bid proposals by logging onto RWA's bid site (<https://rwa.procureware.com/home>).

**The electronic copy of the Proposal must be received at RWA before 4:00 p.m. Eastern Time, November 4, 2021**

Proposals must be submitted electronically through the RWA bid site <https://rwa.procureware.com/home>. The Response and all **Attachments must be submitted electronically in one (1) .zip file.** Proposal received after **4:00 p.m. Eastern Time, November 4, 2021 will not be considered.**

Please see Section 3.5 for form and content of final Proposal.

This RFP is exclusively an invitation to submit Proposals for a CIS, FMWM, CRM, and Implementation Services. This RFP shall not be construed as a request or authorization to perform any work. In addition, this RFP does not represent a commitment to purchase, lease, or license any product or software. Any work performed by a Vendor to respond to this RFP will be at the Vendor's own discretion and expense. RWA will not be obligated for any Vendor costs related to this RFP, nor does any Vendor's work in responding to this RFP bind RWA to any obligations. The costs of developing Proposals are entirely the responsibility of the Vendor.

### 3.2.1 DISCOVERY SESSIONS

Discovery Sessions are not mandatory to submit a bid; however, vendors are highly encouraged to attend the Discovery Session to meet with RWA in person for questions and answers. Each session may be 1.75 hours long at an RWA location or conducted virtually. Vendors are strongly encouraged to prepare questions for the meeting.

**THE DISCOVERY SESSIONS ARE NOT SIMPLY ANOTHER OPPORTUNITY FOR A SALES CALL. VENDORS ARE EXPECTED TO HAVE READ THIS RFP AND BE FAMILIAR WITH THE CONTENTS IN SUFFICIENT DETAIL TO ENABLE THE PROSPECTIVE VENDOR'S STAFF**

## **MEMBERS TO ASK PERTINENT QUESTIONS TO SUPPORT THEIR DEVELOPMENT OF AN RFP RESPONSE.**

The Vendor's representatives participating in the Discovery Session are responsible for asking questions. RWA will document and provide in an addendum to all vendors the questions and answers RWA deems to be material to the specifications of the RFP.

Vendors may also submit any additional questions in writing by the Final RFP Questions deadline. Answers to the material questions from Discovery Sessions and all written questions received by the deadline will be distributed to all participating Vendors within the timeline as specified in Section 3.15.

### **3.2.2 CONFIRMATION DATE FOR DISCOVERY SESSIONS**

**Discovery Sessions will be assigned on a first-come, first-served basis.** Upon receipt of the RFP, any interested Vendor wishing to participate in a Discovery Session **must** submit **Attachment F - Intent to Respond or Decline Form and Confidentiality Agreement**, via email to [pduncan@teamaac.com](mailto:pduncan@teamaac.com) **by Friday, October 1, 2021 at 2 pm Eastern Time.**

The Vendor should submit their 1<sup>st</sup>, 2<sup>nd</sup>, and 3<sup>rd</sup> choice sessions. RWA reserves the right to increase or decrease the number of available slots based upon demand. Currently, the Discovery Sessions will be conducted as indicated in **Attachment F**.

## **3.3 Public Viewing Copy**

RWA is subject to public information laws, which permit access to most records and documents. Proprietary information in your response must be clearly identified and will be protected to the extent legally permissible. Proposals may not be marked 'Proprietary' in their entirety. All provisions of any contract resulting from this request for proposal, including all pricing information, will be public information and subject to public information laws. Firms are allowed to submit one (1) additional complete proposal clearly marked "FOR PUBLIC VIEWING." In this version of the proposal, the firm will redact all text and/or data that it wishes to be considered confidential and denote the information as "proprietary" or "confidential". Information considered proprietary is limited to material treated as confidential in the normal conduct of business, trade secrets, discount information, and individual product or service pricing. Summary price information may not be designated as proprietary as such information may be carried forward into other public documents.

### 3.4 Single Point of Contact

The single point of contact (“RWA Point of Contact”) for this RFP will be:

Phil Duncan  
Senior Consultant  
AAC Utility Partners  
803-807-8715  
[pduncan@teamaac.com](mailto:pduncan@teamaac.com)

Note: Please format any e-mail correspondence to include “RWA CIS RFP” in the subject line.

From the date this RFP is issued until RWA announces the successful Vendor, Vendors may not communicate with any RWA internal committee member, RWA staff member, or any representative other than RWA Point of Contact unless directed to do so by the Director of Procurement. **Any unauthorized contact may disqualify the Vendor from further consideration.**

### 3.5 Proposal Form and Content

All Proposals must be prepared utilizing the **Response Template provided as Attachment A.0, A.1 A.2 and/or A.3** to this RFP, both in form, order, and substance. Each Proposal must describe in detail how Vendor will meet the requirements of this RFP and may provide additional related information with the Proposal. Responses to each section and subsection should be labeled to indicate which item is being addressed. Proposals should be straightforward and concise and provide “layman” explanations of technical terms that are used. Emphasis should be concentrated on conforming to the RFP instructions, responding to the RFP requirements, and on providing a complete and clear description of the offer. If a complete response cannot be provided without referencing supporting documentation, Vendor must provide such documentation with the Proposal indicating where the supplemental information can be found. Proposals must also include any exceptions taken to RWA’s terms and conditions as provided in **Attachment G**. In addition, Vendor shall include any written warranties, maintenance/service agreements, license agreements, lease purchase agreements (if applicable), and the Vendor’s standard contract language.

Proposals **MUST** be **uploaded in one (1) .zip file to the RWA bid site** containing the following:

- The completed Response Template (A.0, A.1, A.2). NOTE: PDF documents and other supporting documents will NOT be accepted.
- All Attachments listed in the Response Template (A-O), which include completed copies of the Functional Matrix (Attachment B), Cost Matrix (Attachment C), and Staffing Matrix (Attachment D).
- Public Viewing version of Proposal, if applicable.
- Vendors must submit an electronic copy of the proposal and all required attachments in MS Word, Excel and MS Project format uploaded to the RWA Bid site as referenced in section 3.2.

### 3.6 Right to Reject Proposals

RWA will review and evaluate each Proposal in accordance with this RFP and RWA’s procurement policies. RWA will select the Vendor who will provide the highest quality services consistent with RWA needs. All Proposals submitted from Vendors meeting the minimum requirements will be reviewed. RWA reserves the

right to reject any and all proposals, to waive any and all informalities or irregularities, to re-advertise for Proposals using the same or a different document if necessary and to make any awards it deems best suited to the interest of the Utility. Proposals may also be rejected or disregarded as non-responsive at RWA's sole discretion.

### **3.7 RFP Modification /Extension/ Cancellation**

RWA reserves the right to modify any portion of or to postpone or cancel this RFP at any time without indicating any reason. RWA will communicate any such action in a formal written notice to all Vendors.

Amendments to the RFP, if any, shall be accomplished via an addendum to the RFP, which will be distributed via the RWA bid system. If revisions and amendments require changes in quantity, price, or scope, the due date set may be extended by such number of days, at RWA's discretion, to enable Vendors to update their Proposals. Proposals that fail to acknowledge an addendum to the RFP, as determined by RWA Purchasing Office, on the supplied acknowledgement form may be deemed as non-responsive.

### **3.8 Investigation or Requests for Additional Information**

During the evaluation of the written proposals, RWA reserves the right to request clarifications from Vendors. Such information will be requested in writing to the specific Vendor. During the Demonstration Phase and Validation, RWA may request additional information from Vendors. This information will become part of the original Proposal submitted by the specific Vendor and will be used by RWA to evaluate the Proposal and will not be shared with other Vendors during the evaluation and negotiation process.

RWA may conduct such investigations as it deems necessary to aid in evaluating any Proposal and to establish the responsibility, qualifications, and/or financial ability of Vendors, proposed sub-consultants, suppliers, and other persons and organizations to perform and furnish work resulting from an award of services pursuant to this RFP.

### **3.9 Award of Services**

RWA Discretion. The award of services, if they are awarded, will be made to the most qualified and responsible Vendor as determined by RWA in accordance with its policies and procedures and based on the evaluation factors set forth in this RFP. The determination of products and services to be provided by the successful Vendor is at RWA's sole discretion.

Notice of Award. If the Contract is to be awarded, RWA will give Notice of Intent to Award to the successful Vendor. RWA will look solely to the successful Vendor for the performance of all contractual obligations that may result from an award based on this RFP. The successful Vendor shall not be relieved for the non-performance of any services, including those of any sub-consultants.

Rejecting Team Members, Vendors or Sub-consultants: RWA reserves the right to reject individual team members, Vendors, sub-consultants, or business partners and request substitution prior to contract award.

### **3.10 Contract Executed After Award**

After the confirmations and validation process and RWA's Representative Policy Board (RPB) approval of the project, in a form approved by Legal Counsel, the successful Vendor shall enter into a written contract with RWA on a mutually agreed upon contract date. If Vendor fails to execute and return the Contract and all required documents within the time allowed, RWA may, at its option, consider that the Vendor has abandoned the Contract. In the event no Contract is executed in the timeframe required, RWA, in its discretion, may award services to the next most qualified responsive and responsible Vendor.



Upon its execution, RWA will return one copy of the Contract to the successful Vendor. This RFP, any addendum and the awarded Vendor's Response Packet will be incorporated into the executed Contract. Responses to questions that occur during the Proposal evaluation, demonstration, and validation process may also be incorporated into the Contract.

After the Contract has been executed, including the insurance documents, a Notice to Proceed will be issued. Unless otherwise specified, Vendor agrees to commence work within ten (10) working days after the date of the Notice to Proceed and fully complete the project within the time specified in the Contract.

Additionally, RWA will assign a not-to-exceed amount to the Contract. The not-to-exceed amount establishes the maximum compensation that may be paid under the Contract but does not establish a guarantee of compensation to be paid to the vendor. RWA reserves the right to modify, at its discretion, the not-to-exceed amount via change order. In such event, the underlying basis of compensation to the Vendor, as set forth in Vendor's response, will not change. The amount to be paid to the successful Vendor under the Contract is determined solely by the Contract.

### **3.11 No Assignment or Modification**

The awarded Contract is to be binding on the successors and assignees of the parties hereto. The services contracted for are deemed unique, and except as provided within the Contract, Contractor shall not assign, transfer, subcontract, or otherwise substitute its interest in the Contract or any of its obligations without the written consent of RWA. The Contract may be modified only by a written amendment signed by all parties.

### **3.12 Terms & Conditions**

Please see **Attachment 1 – Master Professional Services Agreement**. Any exceptions must be noted and returned with the proposal.

### **3.13 Description of RFP Package**

RWA has assembled an RFP package containing two major parts, the RFP itself and the Response Template (s), referred to as the "Proposal." The RFP provides project specifications, detailed needs, and current procedures. The Proposal will contain the Vendor's response in a format that will assist RWA in obtaining and evaluating the necessary information to select a Vendor.

### **3.14 Proposals Property of RWA**

All documents or materials submitted with or in conjunction with any Proposal, including but not limited to electronic files, shall become RWA's property after the Proposal submission deadline. No submission documents will be returned. In addition, RWA has the right to use any and all ideas presented in or with a Proposal submitted in response to this RFP, regardless of whether that Proposal is selected. All material submitted with a Proposal shall be deemed part of the Proposal and any portion of the successful Vendor's Proposal may be incorporated into the Contract at RWA's discretion.

### 3.15 Selection Timeline And Process

The anticipated schedule for this project is as follows:

No	Description	Dates 2021
1.	RFP Issued	September 23 <sup>rd</sup>
2.	Intent to Bid or Decline and Signed Confidentiality Agreement due from Vendors	October 1 <sup>st</sup>
3.	Discovery Sessions On-site Only <b>OR</b> Discovery Sessions Virtual Only	October 11 <sup>th</sup> – 15 <sup>th</sup>
4.	Final Questions Due	October 22 <sup>nd</sup>
5.	Responses from Final Questions Posted on Bid Portal	October 28 <sup>th</sup>
6.	RFP Responses Due (Close Date)	November 4 <sup>th</sup>
7.	Select up to 4 Short Listed Vendors and provide staggered released Demonstration Scripts	December 10 <sup>th</sup>
		<b>2022</b>
8.	Conduct Demonstrations	January 10 <sup>th</sup> – 14 <sup>th</sup> January 24 <sup>th</sup> – 28 <sup>th</sup>
9.	Notification of Vendor Finalist	February 11 <sup>th</sup>
10.	Scope Confirmation/Validation Sessions Complete	March 11 <sup>th</sup>
11.	<b>Complete SOW and Sign Contract documents</b>	<b>May/June</b>

### 3.16 Informed Vendors

Vendors should carefully review the instructions, mandatory requirements, specifications, terms and conditions, and all other documents provided in or attached to this RFP, all of which may be incorporated into the Contract. Submission of a response to this RFP constitutes acknowledgment that the Vendor has thoroughly read, is familiar with, and agrees to be bound by the RFP terms. Failure or neglect of a Vendor to receive or examine any portion of the RFP or other Contract documents shall in no way relieve the Vendor of any obligation thereunder, nor will any claim for additional compensation be permitted where it is based upon lack of knowledge concerning any Contract document.

While this RFP is the product of an extensive information-gathering process and has been subject to a comprehensive review, RWA makes no representations or warranties as to the accuracy of the information contained in the RFP.

### 3.17 Authorization of Proposal

Each Vendor, in submitting a Proposal, represents and warrants to RWA that the execution and delivery of the Proposal, and all terms stated therein, are duly authorized by the individual or organization on whose behalf the Proposal was submitted. Every proposal must be signed by the person or persons legally authorized to bind the Vendor to a Contract for the execution of the work. Upon request of RWA, any agent submitting a proposal on behalf of a Vendor shall provide a current power of attorney certifying the agent's authority to bind the Vendor.

### 3.18 Notice of Intent-to-Respond or Decline

Vendors are asked to communicate via e-mail with RWA's Point of Contact regarding their intentions to respond, by utilizing the document provided as **Attachment F - Intent to Respond or Decline and Confidentiality Agreement**. All Responses must be directed to "RWA's Point of Contact":

Phil Duncan Senior Consultant AAC Utility Partners 803-807-8715 <a href="mailto:pduncan@teamaac.com">pduncan@teamaac.com</a>
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### 3.19 Vendor Requests for Clarification

Vendors shall promptly notify RWA Point of Contact via e-mail of any ambiguity, inconsistency, unduly restrictive specifications, or error that the Vendor discovers upon examining this RFP. This should include any RFP terms or requirements that either preclude the Vendor from responding to the RFP or add unnecessary cost. This notification must be accompanied by an explanation and suggested modification. It must be received by the deadline for inquiries as set forth above in Section 3.15.

Any requests for clarification related to this RFP must be submitted on or before the last day for questions and in accordance with the provisions outlined in this RFP. RWA will not interpret the meaning of any provisions, nor correct any apparent ambiguity, inconsistency, or error, or any other matter pertaining to this RFP unless the Vendor makes such a request in writing to RWA Point of Contact. Oral and other interpretations or clarifications shall be without legal or contractual effect.

RWA's Purchasing Department will make any final determination concerning changes to the RFP. It is the responsibility of each Vendor to ensure RWA has their correct business name, address, phone number, and email on file.

Interpretations or clarifications considered necessary in response to questions will be issued by addenda. All addenda will be issued on RWA's bid portal.

### 3.20 Vendor Proposal Modification / Postponement

Proposals may be modified at any time before the specified date and time for Proposal submission. Any Vendor modifying its Proposal shall provide, through an authorized representative of the Vendor, formal written notice of the modification to RWA's Point of Contact.

### 3.21 Offer Period and Proposal Withdrawal

All Proposals must remain valid for a period of 365 days and cannot be withdrawn without permission from the Regional Water Authority. Upon acceptance of the Final Project Scope, the Offer "Offer Period" must remain in effect not be less than 365 days from the date of acceptance of the Final Project Scope. If a contract is not entered into by the end of the "Offer Period" the Proposal can be cancelled or withdrawn.

### 3.22 Collusion

If there is reason to believe that collusion exists among the Vendors, RWA may refuse to consider Proposals from participants in such collusion. No person, Vendor, or corporation under the same or different name, shall make, file, or be interested in more than one Proposal for the same work unless alternate Proposals are called for. Reasonable grounds for believing that any Vendor is interested in more than one Proposal for the same work will cause the rejection of all Proposals for the work in which a Vendor is interested. A person, Vendor, or corporation who has submitted a sub-proposal to a Vendor, or who has quoted prices on materials to a Vendor, is not thereby disqualified from submitting a sub-proposal or quoting prices to other Vendors.

Any proposal deemed to be collusive or a fraudulent proposal will be rejected and reported to authorities as such. Vendor's authorized signature on proposal assures that such proposal is genuine and is not a collusive or sham proposal.

### 3.23 Costs To Prepare Vendor Proposals

The costs of developing proposals are entirely the responsibility of the Vendor and RWA shall not be responsible for the reimbursement of any of the cost or expense incurred by a Vendor for or relating to the preparation of its Proposal.

### 3.24 Taxes and Fees

RWA is exempt from all federal excise taxes and all Connecticut state and local government income taxes. Where applicable, Vendor will be responsible for payment of use taxes.

### 3.25 Pricing

**Attachment C - Cost Matrix** is provided to present the proposed pricing for the entire project. RWA will require the Vendor to spend an additional three (3) monthly financial closings providing post go-live support. Included in the pricing shall be: all services for a full implementation based on Vendors recommended timeline; the additional three (3) monthly financial closings post go-live; two (2) year warranty starting at go-live; and maintenance/service agreements and license agreements.

The Vendor shall provide a detailed breakdown of all costs required for the successful implementation and ongoing operation of the proposed solution utilizing the Cost Matrix distributed with the Response Template of this RFP. RWA reserves the right to determine what a valid cost is. Cost must be submitted in U.S. dollars.

If additional information or items need to be added within the Cost Matrix, space has been provided for the use of Vendors. It is imperative that the Cost Matrix reflect the **full cost of the solution** and be fully completed and returned with the Proposal in order for the Proposal to be considered responsive.

**FIXED PRICING IS REQUIRED IN ALL AREAS.**

Proposals shall include the estimated number of hours required for the identified work. Vendors shall provide an hourly rate where indicated on the Cost Matrix for any work quoted for the implementation of the established RFP requirements. The hourly rates shall be held firm for a minimum of two years.

### 3.25.1 TRAVEL COSTS

Vendors shall provide a fixed price for travel expenses based on the required number of trips to RWA offices in New Haven, Connecticut, for the solution's implementation, including the number of trips by resource type. RWA is open to a hybrid approach of both on-site and virtual.

### 3.25.2 PRICE DISCREPANCIES

In the event that there are unit price items in a proposal schedule and the "amount" indicated for the extended price of an item does not equal the product of the unit price and quantity listed, the unit price shall govern, and the extended price amount will be corrected accordingly. If there is more than one item in a proposal schedule, and the total indicated for the schedule does not agree with the sum of prices of the individual items, the prices given for the individual items shall govern, and the total for the schedule will be corrected accordingly. The Vendor will be bound by said corrections.

## 3.26 Evaluation Criteria

RWA anticipates using an evaluation process which may consider any one or more of the following criteria, in no particular order of importance to produce a short list of Proposals for further consideration.

### ***Evaluation Phase 1 (Proposal Evaluation)***

- Qualifications and Profile
- Business Solutions
- Implementation Plan/Strategy
- Functional Matrix
- Technology Summary
- Solution Costs

### **Evaluation Phase 2 (Demonstration and Presentation)**

In addition to the Proposal evaluation outlined in Phase 1 above, the following Proposal criteria will be evaluated and scored in Phase 2:

- Product Demonstrations
- Implementation and Technology Discussion
- Reference Checks
- Solution Costs

### **Evaluation Phase 3 (Vendor Confirmation/Validation)**

In addition to the Proposal evaluation outlined in Phase 1 and 2 above, the following Proposal criteria may be evaluated and scored in Phase 3:

- Confirmed functional fit

- Best and final offer
- Site visits and product design/validation session
- 10 Year Total Cost of Ownership

## 3.27 Selection Process

### **Phase 1**

Based on the criteria described in Section 3.26 above, Vendors considered most qualified will be selected for evaluation under Phase 2. RWA shall not be responsible for any costs or expenses a Vendor incurs in connection with Phase 1. The determination of “qualified” Vendors is at the sole discretion of RWA. RWA may consider factors outside of those discussed in this RFP to make this determination.

### **Phase 2**

Up to four (4) Vendors will be short-listed from Phase 1 to present on-site scripted demonstrations. Vendors shall be available to present the information in a time period designated by RWA and as identified in Selection Timeline and Process. Vendors shall be given an opportunity to submit questions in writing to help prepare for on-site implementation methodology demonstrations/discussions. The same scripts are given to each Vendor at staggered intervals so there is no competitive advantage going first through last.

RWA will host a scripted on-site or virtual demonstration for each vendor. The demonstrations will showcase product functionality, implementation methodology, and system technology.

In addition to contacting the Vendor’s references, RWA may conduct other investigations as necessary to further evaluate the proposal, which may consist of additional interviews, demonstrations, site visits, benchmarking studies, and other activities in order to make an informed decision. RWA shall not be responsible for any costs or expenses a Vendor incurs in connection with Phase 2.

The most qualified Vendor(s) will be selected for further consideration in Phase 3. The determination of the “most qualified” Vendor(s) is at the sole discretion of RWA. RWA may consider factors outside of this RFP to make this determination.

### **Phase 3**

A Notification of Intent to Award shall be sent to the Prime Vendor selected as a result of Phase 3. Award is contingent upon the successful negotiation of final Contract terms and the approval of RWA’s Board. Negotiations shall be confidential and not subject to disclosure to competing Vendors unless an agreement is reached. If contract negotiations cannot be concluded successfully, RWA may negotiate a Contract with another Prime Vendor and/or cease consideration of the non-responsive Prime Vendor’s proposal and/or withdraw the RFP.

Additionally, the finalist(s) shall conduct a comprehensive detailed working session that will address RWA’s requirements and supporting documentation. The product and functional review will promote the following activities:

- Validate the Functional Matrix, features, and technology of the product.
- Identify required product modifications.
- Determine interface requirements.
- Define a final project scope.

An Updated Cost Matrix may be requested if determined necessary by RWA.

The intent of the above steps is to validate the proposed solution taking into account as many of the different aspects of the Vendor and their solution all the while working to reduce any assumptions. RWA shall not be responsible for any costs or expenses a Vendor incurs in connection with Phase 3.

## 4.0 General Information

### 4.1 Regional Water Authority Overview

At the Regional Water Authority (RWA), our purpose is to make life better for people by delivering water for life. Our employees and board members take this responsibility to the region very seriously.

Water is a key element of a prosperous, healthy community. Our employees and board members take great pride in the delivery of this life-sustaining product and the services that safeguard public health, provide fire protection, support local economic growth and maintain the overall quality of life we enjoy

On average, we supply 42.5 million gallons of water a day to a population of approximately 430,000 people in 15 South Central Connecticut municipalities. It takes running four state-of-the-art surface water treatment plants, maintaining over 1,700 miles of underground pipes, managing more than 27,000 acres of watershed land, conducting 110,000 drinking water tests per year, safely operating a myriad of equipment and a team of dedicated, skilled employees working 24/7 to produce and deliver abundant, reliable, affordable high-quality water.

### 4.2 Key Statistics for Cost Calculations

#### 4.2.1 SYSTEM USERS

For licensing purposes, please consider the following:

Currently, RWA has 126 functional users of the current CIS system. The chart below provides a breakdown of employee use of the system:

Full-Time User 60% to 100% of the work day	Part-Time User 30% to 59% of the work day	Casual User Less than 30% of the work day
62	42	22

#### 4.2.2 CUSTOMER COUNT

Type	Count
Residential	115800
Non-residential	3900
<b>Total</b>	<b>119700</b>

## 4.3 Organization and Project Descriptions

### 4.3.1 FUNCTIONAL AREAS INVOLVED WITH THIS PROJECT

Functional Areas	
Customer Care	<u>Operations</u> <ul style="list-style-type: none"><li>• Contact Center (front and back office)</li><li>• Cashier and Walk-In</li><li>• Credit and Collections</li><li>• Billing</li></ul>
Field	New Contracts and Services <u>Meter and Field Services</u> <ul style="list-style-type: none"><li>• Meter Reading/AMI</li><li>• Meter Repairs &amp; Testing</li><li>• Field Service Orders (Installations, Exchanges, Investigations, etc.)</li><li>• Customer Field Services (Non-Payment Disconnects, On, Off)</li></ul>
Information Technology	<ul style="list-style-type: none"><li>• Infrastructure</li><li>• Applications</li><li>• Cyber Security</li></ul>
Marketing & Communications – Public Outreach	<ul style="list-style-type: none"><li>• Marketing</li><li>• Communications</li><li>• Public Outreach</li></ul>
Finance	<ul style="list-style-type: none"><li>• Finance/Accounting</li><li>• Rates and Revenue</li><li>• Regulatory and GAAP Reporting</li></ul>
Other Services	<ul style="list-style-type: none"><li>• PipeSafe Protection Program</li><li>• Water Laboratory Testing Services</li><li>• Fleet</li><li>• Recreation</li></ul>



#### 4.3.2 STEERING COMMITTEE AND PROJECT SPONSORS

The following represents the anticipated steering committee structure.

Title	Roles and Responsibilities
President and CEO	Overall Sponsor
Executive Project Sponsor	Project Oversight
IT Director	Key Stakeholder
Customer Care Director	Key Stakeholder
Finance	Key Stakeholder
PMO Director	Key Stakeholder
Project Manager	Reporting to Steering Committee

#### 4.3.3 PROJECT CORE TEAM MEMBERS

Please see Section 7.2 and 7.3 for information on the Project Team.

## 4.4 Existing Customer Information System Overview

The following chart outlines some key metrics for the current CIS system.

Metric	Avg. Monthly
Contact Center Call Volume (answered by Reps)	~ 10,000
Walk-In Payments	~ 900
Average Handle Time	~ 4:00
Bills Produced Monthly	~ 120,000

### 4.4.1 BILLABLE SERVICES

<HTTPS://WWW.RWATER.COM/MEDIA/5140/FY-2020-ANNUAL-REPORT-FINAL.PDF>

RWA bills customers for a variety of services and products on a monthly, quarterly, semi-annual or annual basis. These services include core water utility services and commercial enterprises services such as laboratory and PipeSafe. In addition, the CIS system is utilized for non-customer billing and other Miscellaneous A/R invoices. The proposed CIS must at a minimum be able to bill for these services.

#### 4.4.1.1 WATER BILLING

RWA provides billing for approximately 120,000 water customers of the greater New Haven and Ansonia Valley Area. RWA's water billing is done on a monthly, semi-annual, or annual basis. The frequency of billing is determined by projected consumption at the time of service establishment. Larger consumption volumes are billed monthly. All periodic water customers are expected to move to monthly water billing as a result of this project. RWA expects the Vendor to assist and recommend best practices to accomplish monthly billing.

RWA is converting to monthly water billing and this will be completed by January 2022.

#### 4.4.1.2 SEASONAL WATER BILLING

Seasonal water billing typically runs from April 1<sup>st</sup> to November 1<sup>st</sup>. Seasonal customers do not meet our requirements for installation design (e.g., protection from freezing), so RWA requires the meter to be removed during the winter months. Customers requesting a seasonal meter are charged a fixed service charge, based on meter size, at the time of meter set and are billed for consumption at the time of meter removal based on a single flat rate per CCF, regardless of meter size.

#### 4.4.1.3 WHOLESALE WATER RATES

RWA sells water wholesale to neighboring water utilities. Frequency of billing and charges are determined based on individual contractual agreements which may include fixed service charges based on meter size and usage (consumption) charges.

#### 4.4.1.4 BULK FILLING

RWA provides bulk-filling services. Annually each spring, approved and permitted bulk fill customers are charged a fixed annual fee for access to our bulk fill stations. Consumption is then invoiced monthly using the CIS system based on actual consumption for the period.

#### 4.4.1.5 PRIVATE USE OF PUBLIC HYDRANTS

Payments are received based on a fixed dollar amount. Water usage above the allowance is trued up when the meter is removed.

#### 4.4.1.6 PUBLIC FIRE SERVICE

RWA bills municipalities for fire service in arrears on a semi-annual basis. There is a "per inch-foot of main" charge and as applicable per hydrant charge. Billing is done manually in CIS.

#### 4.4.1.7 PRIVATE FIRE SERVICE

Private Fire services are billed monthly in arrears. This is a fixed charged based on the size of diameter connection.

#### 4.4.1.8 DETECTOR CHECK/FIRE SERVICE

Detector check meters are billed a fixed service charge based on meter size.

#### 4.4.1.9 PIPESAFE EMERGENCY PROTECTION PROGRAMS

RWA currently offers four programs: PipeSafe Emergency Protection Water Repair, PipeSafe Emergency Protection Sewer Repair, PipeSafe Emergency Protection Septic Repair and PipeSafe Complete. These programs provide low cost emergency protection for underground line leaks, breaks or blockages. Each protection program in which a customer is enrolled offers up to \$5,000 annually in protection.



PipeSafe is a fixed fee based on the selected program and may be subject to Connecticut sales tax. Each PipeSafe protection program is billed in advance. In most situations, invoicing with the water bill is required. The PipeSafe fee is prorated at the time of de-enrollment. The system is expected to calculate a credit to reflect the unused portion of the PipeSafe

program upon de-enrollment. Bill frequency is selected by the customer and includes monthly, quarterly, or annual billings.

Customers are notified in advance of any rate changes. Rate changes are applied by the system at the time of billing, based on the bill date's proximity to each customer's annual renewal date. The expectation is that this will be an automated process in the new system.

RWA will be expanding commercial enterprises offerings potentially beyond the PipeSafe brand

#### 4.4.1.10 LABORATORY SERVICE



RWA offers comprehensive water testing services to customers nationwide. Customers may have a contracted PO with RWA for these testing services, but testing can also be requested and performed on an ad hoc basis. Test results are not stored in the CIS system; however, customers are billed for testing services via the CIS. Individual test charges are manually entered into CIS, resulting in an invoice for those services. Per laboratory business requirements, there is no balance forward on the invoice. Each invoice is issued for the unique set of tests performed and payments are manually applied on a per invoice basis and do not follow RWA standard clearing rules.

RWA is evaluating the automation of laboratory billing with the potential of an interface. **Attachment 5 – Water Testing Types**, for a list of components to be used for billing purposes.

#### 4.4.1.11 MISCELLANEOUS PRODUCTS AND SERVICES

RWA utilizes the CIS system to invoice for products, services, or other charges. Examples of some of these charges include new service contracts, installation of large water services, hydrant repair, damage claims, fleet services, etc. Advance payment and settlement upon completion may be required. Charges are applied manually in CIS and invoices are individually rendered. This is an area that RWA is expecting to maximize potential growth and automation.

### 4.4.2 RATE INFORMATION

RWA's current water rate structure applies to all customer classifications and includes, for example, the following elements:

**Service Charge (SC)** – The SC is assessed to metered services and determined by meter size and billing frequency. The SC can be a fixed amount or prorated based on the # of days in the actual billing period.

**Consumption Charges** – Consumption charges are currently billed at a flat rate per hundred cubic feet (CCF) as determined by the meter size. RWA is always analyzing their rate structures and modifications to rate design may be needed in the future. Units of measure at the meter can vary depending on the meter manufacturer and model. Billed consumption is currently rounded to the closest hundred cubic feet of water. The expectation is that the system will have the capability to display usage in both CCF's and gallons.

**Surcharges** – The purpose of the surcharge is to allow RWA to recoup unexpected expenses or a shortfall in revenue that has not been built into the current rate structure. The surcharge may be used in between rate case filings and will be end-dated with the next rate case. When in effect, the surcharge is to be billed to every active water and fire service customer based on meter size or

connection size. Wholesale, PipeSafe, and Pipe Safe Plus contracts will be excluded from the surcharge. The surcharge will be a per day charge based on meter or connection size. Only 2 surcharges can be in effect concurrently.

**Miscellaneous Rates** – charges such as manual meter reading, backflow testing fees, meter repairs, etc.

**Taxes** – Service Charges and Consumption Charges are currently exempt from sales tax. Certain rates and charges are subject to Connecticut Sales Tax.

Detailed rate schedules can be found in **Attachment 3, RWA Rates**.

### 4.4.3 SPECIAL PROGRAMS

#### 4.4.3.1 ECONOMIC DEVELOPMENT RATE

RWA offers an “economic development rate” to new commercial or industrial customers in its service area, to existing customers if they significantly expand operations, and to distressed businesses contemplating closing. Customers that meet the requirements for each of these situations are billed at 80 percent of applicable water rates for the first five (5) years of occupancy. Rates are subject to periodic effects of a general rate increase and/or surcharges. If the customer’s period of occupancy is less than five (5) years, RWA will pro-rate the full rate back to the first date of occupancy. After the initial five (5) year period, RWA will assess the customer its full applicable water rates. To qualify for this economic development rate, they must consume at least 500,000 gallons of water per year. Exceptions are reviewed on a case-by-case basis.

The expectation is to process automatically with the new system.

#### 4.4.3.2 PAYMENT ARRANGEMENTS

RWA offers Payment Arrangement Plans to qualified individuals. The plans allow for flexible dollar amounts and due dates. Normally, interest charges continue to be applied. When a payment arrangement is defaulted, the account is placed back into the delinquency process with the balances at their original due date. Letters are generated for initiation, reminders and cancelations.

RWA currently does payment arrangements manually and expects a new CIS to automate this function.

#### 4.4.3.4 RESIDENTIAL WATER ASSISTANCE PROGRAM

RWA offers one-time annual grants administered by a 3<sup>rd</sup> party for eligible customers. This is applied directly to their water bill(s).

### 4.4.4 METER READING PROCESS

RWA primarily utilizes an AMI system to obtain readings; however, another meter reading system is maintained to support those customers that opt out of the AMI system.

#### 4.4.4.1 AMI METER READING

AMI meter reads are obtained through SFTP file transfer which is initiated as part of the billing process. Based on the billing calendar, a cycle is downloaded into the MeterSense MDMS system to obtain reads for billing. The cycle is then read utilizing an integration between the MDMS and the Sensus AMI head-end system. Once all of the reads are collected, they are pushed back to the CIS for billing.

The current read/bill window is 10 business days to support quarterly bill cycles. As a result of the on-going Monthly Billing Conversion project, the read/bill window will be 1-2 business days and the processing of the meter reading request files in Meter Sense MDMS will continue to be automated. Non-periodic meter reads (move-in/move-outs) are handled by Customer Care by getting meter readings manually from the MeterSense MDMS web application and entering the results in CIS. Meter readings for future move-ins and move-outs will be estimated similar to existing business processes.

The mass estimation process for estimating open meter reading orders will remain the same. The estimated reading is based on the scheduled bill date (on the day of billing).

#### 4.4.4.2 MANUAL METER READING

RWA continues to have a small number of manually read meters. In the event that a customer refuses to allow RWA to install AMI equipment, they will be charged a per-read fee. This fee is expected to be automatically assessed at billing.

RWA utilizes the Neptune ARB N Sight Mobile system for manual reading. Manual reading is done via CE5320 handheld units and Neptune Advantage II guns.

### 4.4.5 ACCOUNT MANAGEMENT, BILLING AND PRINTING

RWA bills approximately 16 bill cycles monthly.

#### 4.4.5.1 ACCOUNT MANAGEMENT

RWA creates a customer account to establish an agreement for the provision of a product or service by a customer. In the event that the customer account is associated with a tenant, RWA tracks the property owner for the premise. A customer account can include a single account, a master account, or a temporary account. It reflects the available and installed service offerings, product offerings, equipment offerings, and program offerings. It supports a wide array of account views into account transactions, consumption, payments, billings, adjustments and account specific notes.

Master data is comprised of a customer account and financial relationships for each active service provided at the premise. A customer account can have multiple services associated with a property. Each point of delivery (POD) is assigned to a premise for each metered location and customer accounts are moved in and out of a premise. A premise can have one meter or multiple meters associated to it.

Account balances associated with regulated water and fire services are directly associated to the premise per lien rights and do not follow the customer.

Master data can also be comprised of a customer account and financial relationships to bill for various non-metered products and services. An association with a premise is not

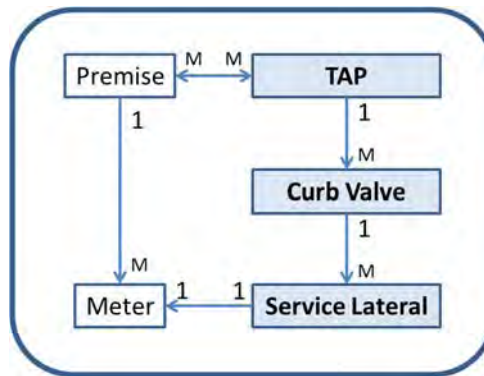
required for these accounts. Examples of these types of billings include: large service installation, hydrant repair, new hydrant installation, laboratory services, fleet billing, etc.

Service types (meter, fire, and non-water services) with different service periods may be billed together under one account or individual accounts. For example, water is billed monthly in arrears and PipeSafe is billed in advance.

A metered water account can only be assigned to one premise.

#### 4.4.5.2 TAP, CURB VALVE, AND SERVICE LATERAL MANAGEMENT

Information about Tap, Curb Valve and Service Lateral (line) objects is maintained and managed in the current CIS. The relationship between the Premise and Tap is Many-To-Many. The relationship between Tap and Curb Valve is One-To-Many. The relationship between Curb Valve and Service Lateral is One-To-Many. The relationship between Service Lateral to Meter is One-To-One.



Specific functional requirements for the tap, curb valve, and service lateral management programs can be found in **Attachment B - Functional Matrix**.

#### 4.4.5.3 BILLING MANAGEMENT

The CIS system supports cycle driven, date driven, and event driven billing processes. The billing process utilizes rate schedules and pricing plans, provides for flexible billing periods, and accommodates prorating, master billing relationships, billing in arrears and billing in advance. RWA expects the new CIS to provide for off-cycle account billing and billing adjustments in real-time. The new system must provide robust estimates for unbilled water usage at each month-end.

Cycle and date driven billing are typically done in batch processing. A request is generated for a meter-based meter reading. Timing of the request is determined by a meter reading route schedule. Once the meter read is obtained (via manual entry or upload), the system checks if the read is acceptable. If the read is acceptable, it is processed through the system. The system uses the readings to generate charges for each service (e.g., water, fire service, PipeSafe etc.) based on appropriate rate schedules. The CIS then generates an invoice for those charges which then proceeds to the printing and mailing process.

Event driven billing can be initiated for specific account-based activities such as final-billing, back-flow testing or new service installations. Purchases of materials, services, or products such as laboratory testing, meter vault covers, or fleet maintenance services are additional examples of event driven, on demand billing invoice creation. These bills are typically manually initiated and charges determined used pricing plans, external calculating tools, and/or picklists within the CIS. The CIS then generates an invoice for those charges which then proceeds to the printing and mailing process. In the future, RWA would like the new CIS system to automate billing for event driven charges.

#### 4.4.5.4 ERROR VALIDATION

Errors are captured at various points throughout the meter reading, billing, invoicing and printing processes and are resolved using system reports.

##### **Meter Reading Exceptions:**

All readings pass through automatic read validations process. Any meter read deemed to be unacceptable as a result of this validation process is marked as such. Exceptions are manually reviewed and worked before being released to the billing process. Exceptions are not used for earned but not billed revenue calculation. Mass release is also an option and is executed manually and infrequently. RWA is looking to automate this process with a new system. Validation types include:

- Permissible number of estimation exceeded
- Limits high / low
- Meter Overflow
- Previous reading still not billed

##### **Billing Errors and Out-Sorting:**

The system automatically detects a large variety of errors at the time of billing and prevents these accounts from being processed further until the error has been fixed. Typical billing errors include incorrect master data set-up on an account such as missing billing triggers or when billing relevant meter readings from the past have not been entered into the system.

These validations are defined for customer groups (e.g., residential, commercial) and per billing type (e.g., periodic billing, final billing).

Billing items that fail validation parameters display on the out-sorting reports and require the user to work through and release each failure manually. These will not be billed until they are reviewed and manually released.

The user can assign a manual printing out-sort so that the printed bill is separated from bills being sorted and sent to the US Post Office. These bills are then reviewed to determine next steps.

#### 4.4.5.5 BILL PRINTING AND PRESENTMENT

RWA utilizes Kubra for all bill printing and presentment. Accounts successfully billed are provided to Kubra for electronic presentment as well as print and mail through USPS. The generation and printing of miscellaneous invoices, notices and letters currently takes place on-site at RWA and takes advantage of postage discounts. RWA is looking for Kubra to handle this in the future. A copy of the customer's bill is available for viewing via the customer self-service portal.



#### 4.4.6 PAYMENT PROCESSING AND CASHIERING

RWA receives several remittance files via FTP on a daily basis, excluding holidays and weekends. RWA also posts payments via its walk-in front counter located at RWA headquarters.

Please note that the remittance files contain payment reference numbers, which are used to facilitate automated payment returns processing. The file should also include donations to the Claire C. Bennett Watershed Fund, the 501 (C) (3) affiliate of the RWA. All summary payment information flows from CIS into the GL via batch processing. RWA collects payments for account-based transactions through the following channels listed below:

Payment Channel	Description
Bank Remittance Processing	Payments are received from the following: Citizens Lockbox (3) Fiserv – ‘MyCheckfree’ Online bill payment
Online	Kubra processes ACH (e-check), credit and debit cards for one-time and recurring payments.
IVR (Interactive Voice Response)	Kubra processes credit and debit cards for one-time payment via Application Programming Interface (API).
Authorized Payment Centers	There are multiple Authorized Payment Centers located in retail locations throughout RWA's service territory which are managed by a third party (Fiserv). These payment centers accept cash, check, and money orders.

RWA also processes payments via the following:

Payment Channel	Description
Cashier (front counter)	<p>RWA utilizes a cashier where payments are posted manually. Cash, Check and Money Orders are accepted. In addition, the Cashier utilizes Kubra's online portal to make Credit Card, Debit Card and ACH (e-check) payments on the customer's behalf.</p> <p>A cashier has the ability to post to customer CIS accounts as well as to certain General Ledger accounts, e.g., recreation permits, lab services, Department of Transportation (DOT) payments, fleet garage repairs, etc.</p> <p>A cashier has the ability to post cash, check or money order to customer CIS accounts immediately or by batch.</p>

Payment Channel	Description
	Cashier prints receipt upon payment posting.
Wire Payments and ACH	Payments are posted manually for a limited number of customers. RWA would like to automate this process.
Residential Water Assistance Program (Affordability Credit)	Partner with Dollar Energy Fund to provide annual grants to qualified customers. Payments are currently manually posted. RWA would like to automate this process in the future.

Please see below for statistics\* on payment receipt channels.

Channel	% Payments Received	Details on Channel
IVR	3 %	Kubra
Electronic (VBS, CSR, Customer)	30 %	Kubra website, Online Banking
Mail-in channel (Citizens )	60 %	Checks, Money Orders
Authorized Payment Sites	2 %	Authorized Payment Centers
Front Counter ( mail & walk- in)	5 %	RWA Front Counter Cashiers

\*2019 pre-pandemic levels

#### 4.4.6.1 RETURNED PAYMENTS

Returned payments are received daily in files from various third-party payment agencies. A daily process reads the files, reverses the payments, generates a letter, and posts the deficient check fee. Returned payments can also be manually processed and fees are applied.

#### 4.4.6.2 PAYMENT APPLICATION PRIORITY

Payments other than payments for laboratory services are cleared using a priority process based on receivable type and age. Laboratory service payments are manually applied on a per invoice basis.

### 4.4.7 WEB SELF-SERVICE

RWA currently offers Web Self-Service portal through the RWA website, IVR, and Kubra's eBill platform.

#### 4.4.7.1 RWA WEBSITE

RWA's website offers customers the following self-service functionality:

- Customers are able to view their balance, request a duplicate bill, and change their personal identification number (PIN) via RWA's self-service web page and telephone interactive response system (IVR).
- Enrollment in Code Red, RWA's emergency notification system - customers are able to register their contact information to receive RWA emergency notification with a call, text, and/or email.

RWA expects that the new CIS system will integrate with the current website and portal and expand these capabilities as part of the base system.

#### 4.4.7.2 KUBRA

Utilizing a link on the main website, Customers can login to Kubra eBill to make payments, view their current and historical bills, and sign up for ACH or paperless billing services. Kubra also offers the capability to sign up for a variety of payment notifications. Currently, RWA has approximately 33,000 customers utilizing Kubra's online bill presentment and payment portal.

Kubra also provides IVR integration services to allow customers to access bill and payment history and pay their bill.

#### 4.4.7.3 ACTIVE WEB SELF SERVICE PROJECTS

- Vertex Customer Advantage Web Self-Service Portal - Q4 2021
  - Single Sign-On
  - View current balance, billing and payment history
  - Submit service requests

- Make, schedule, view electronic payments (Kubra interface)
- View bill and enroll in electronic billing (Kubra interface)
- Inbound/outbound communication
- Purchase/Enroll in Commercial products & services
- View consumption history (Harris HomeConnect interface)
- RWATER.COM Usability & Experience Improvements - Q4 2021
  - Layout & Content
  - Forms
  - Content Discovery

## 4.4.8 CREDIT AND COLLECTIONS

### 4.4.8.1 DEPOSIT PROCESS

Though allowed under CT State Statute, RWA does not currently assess security deposits for water customers. However, deposits are currently required for bulk water services and other situations.

RWA is looking to expand the use of deposit functionality for certain billing.

### 4.4.8.2 DELINQUENCY PROCESS

Many of RWA's delinquency activities are prescribed by CT State Statutes, which dictate specific activities available for collection, such as notification requirements and eligibility for service shutoff.

RWA's delinquency process consists of pre-defined collection activities that are performed based upon days overdue, days since the last delinquency level and delinquent amount. The CIS system is expected to automatically assign a delinquency path to an account based on delinquency assignment rules. Delinquency assignment rules currently utilize factors such as account type, billing frequency or type of the charges to determine the correct delinquency path. Delinquency paths also evaluate account type, premise type and number of meters associated with a service line to determine if an account is eligible for shutoff and/or meter removal. Other factors that are used to determine delinquency activities include billed party (owner or tenant), eligibility for shut off, medical extensions, minimum 20% payment extensions, premise type (no. of families), amount and type of delinquent charges. Delinquency activities need to be flexible and easy to modify by RWA. Following are some delinquency activities:

- Create various reminder notices
- Create other correspondence (i.e., offer service to tenant, lien form)
- Create shut off order
- Release for submission to collection agency
- Create notifications for receivership
- Deactivate installment plan

- Automated reminder call

See **Attachment 7 – Delinquency Process Paths** for examples.

Delinquency activities can be immediately retriggered as a result of an account correction. Payment arrangements will place a pause on delinquency activities; however, if the arrangement is defaulted, delinquency activity resumes using original receivables due dates. RWA normally assesses late payment charges as interest on past due balances and currently the rate is 1.5% per month. RWA wants the ability to suppress the assessment of interest charges. Delinquency activities can be suspended to prevent delinquency actions.

RWA expects that payment arrangements and expiration of suspension on delinquency activity and interest will be handled automatically through workflow and/or delinquency rules in a new CIS.

#### 4.4.8.3 WRITE OFF PROCESS

RWA performs financial write-offs and full write-offs.

##### Financial Write-Off

A financial write-off generates an allowance reserve in the General Ledger but keeps the receivable on the account. The contract account balance still reflects the written-off amount until full write-off occurs.

RWA performs financial write-offs per a pre-determined criteria.

##### Full Write-Off

A full write-off removes the receivables from the contract account. Full write-off is performed on debt that remained uncollected nine or fourteen years after financial write-off occurred.

RWA performs full write-offs per a pre-determined criteria and on a case by case basis subject to management approval.

In addition to the regular batch schedule, write-offs can also be performed manually on case-by-case basis, should the need arise.

#### 4.4.9 LIENS

RWA has a statutory lien on all outstanding water debt. If a customer does not make payment for water receivables, RWA may also file a formal lien on the land records to emphasize the claim.

The lien process at RWA extends from delinquency. RWA may file a lien on a property in the following situations:

- When there is delinquent debt on an active account – for both multi-family and non-multi-family premises
- When there is final bill that becomes delinquent
- When a bankruptcy petition has been discharged without payment plan

Prior to submitting a lien, an email notification is sent to a title company to obtain property information for property owner, mailing address, acquisition date, volume and page number. Liens are filed with the appropriate Town Clerk by submission of a Lien Form which consists of one page for each property, containing the above information, as per Town Hall records, lien amount and charge accrual date along with a covering voucher that summarizes the properties by each Town.

Notice to Lien goes out to the property owner, regardless whether the invoice is in the landlord or tenant's name. This letter is generated in CIS systematically once this delinquency level is reached or can be manually generated prior to lien filing.

The Lien Form is signed by an authorized representative of RWA. In some situations, RWA may file subsequent liens on a property if an additional debt has accrued and the debt is unpaid after the initial lien was filed.

Once the lien is filed, the lien form is returned from the Town Hall with the following information:

- Name of owner
- Property address
- Volume number and page number of where the lien was filed
- Filing date
- Town clerk stamp

RWA generates an interaction record with lien information when the lien is created.

#### **.4.9.1 RELEASE LIEN**

Liens are automatically released based on pre-determined criteria, e.g., if there is zero or credit balance on the contract account for at least 5 business days.

A lien release document is automatically generated to be forwarded to the appropriate Town Hall.

#### **4.4.9.2 LIEN PROCESSING CHARGES**

Miscellaneous Posting applies the lien filing fee, a lien release fee and a title search fee to the customer account.

### **4.4.10 RECEIVERSHIP**

Receivership denotes a situation in which a debt is being held by a legally assigned receiver for the amount owed by a debtor. RWA uses Receivership as the collections method for delinquent accounts that are residential multi-family, single metered and owner billed, as prescribed by CT State Statute 16-262t, as these accounts cannot be shut for nonpayment. Receivership is filed against the owner of the property as listed on municipal land records and must match the current owner being billed. Eligible accounts are referred to Legal Counsel to petition Housing Court for the appointment of a receiver to collect rents or payments for use and occupancy or common expenses to pay outstanding water charges. Separate petitions may be filed for multiple buildings under one owner or may be consolidated and treated as one as determined by RWA.

A list of eligible accounts is system generated, manually reviewed, and sent to the title searcher. The list contains account information such as billing name, account number, mailing address,

premise address, etc. The title searcher returns the list with the updated land records information which is required to initiate a receivership including property owner name, mailing address, premise address, property acquisition date and volume and page number.

After review of title search results and current account activity, RWA prepares a group of eligible accounts for court hearing. RWA initiates receivership hearings in the two different judicial districts. Each judicial district follows a different hearing procedure and a future CIS will need to accommodate both.

A file is generated for legal counsel and the designated receiver and consists of the following:

- Account Statement for Receivership - contains account detail
- Account grid - summary containing all accounts in the Account Statement
- Receivership amount – this amount would exclude protection plan charges and interest and other non-water related charges and fees
- Last meter read date
- Number of families in the property
- Receiver's name
- Billing name and mailing address

Following the court hearing and appointment of the receiver, the customer account is updated with receivership status, effective date of receivership and receiver name. This data is required for reporting and tracking. The account is locked for future collections activity, receivership related charges and fees are posted and the receivership clearing category is updated.

When the debt is satisfied, an affidavit of debt and final accounting are prepared and a motion to discharge is filed by legal counsel. Receivership may also be discharged for other reasons such as vacancy or foreclosure. RWA initiates receivership hearings in the two different districts. Each district follows a different hearing procedure and a future CIS will need to accommodate both.

RWA requires the ability to send shut off notices to accounts subject to receivership on an exception basis.

RWA expects a future CIS to provide automation capability for the receivership process.

#### 4.4.11 PROPERTY CLOSING

RWA maintains a statutory lien on all outstanding water and fire debt associated with a premise. To prevent a new owner from assuming responsibility for payment, the debt is settled at the property closing.

Prior to the property closing date, the attorney submits a property closing request for the account balances associated with the premise. The attorney provides premise, buyer and seller contact information and property closing date and this information is used by RWA to move out the seller and move in the buyer. Additionally, bill simulation is created in advance of the move out date based on a manually entered meter reading(s) or a system estimated reading(s). A property closing statement is then automatically generated to reflect the final bill simulation and all outstanding balances for the premise, including migrated and prior moved out balances. Total charges due include the following charges if applicable; non-water, interest, sales tax, miscellaneous charges, surcharges, etc.

The property closing statement is provided to the attorney. After the move out date, specific activities are automatically generated on the seller and buyer account, including balance transfers from seller to new buyer account, account locks to prevent posting, interest and delinquency, solicitation letter(s) for PipeSafe based on eligibility criteria, and a new owner welcome brochure.

#### 4.4.12 LETTER GENERATION

A centralized repository for printing exists for all individual forms and letters provided to customers. The methods in which forms and letters are printed from CIS are ad-hoc, workflow, and batch. Form letter triggers are based on account, premise or other characteristics. In some cases, a form letter includes a cover letter or has multiple addressees, i.e., owner, tenant, occupant. Letters for marketing and enrolment are generated from workflow.

Ad-hoc letters are user generated and require input parameters which are configurable including free form and predefined phrases. Correspondence is printed daily, the account is noted with form type description in CIS and correspondence is archived.

Daily letter print document Types / Volume (2019):

- Receivership – 6,627 letters
- Property Closings – 6,330 letters
- Landlord/Tenant - 4,946 letters
- Termination Notices – 3,094 letters
- Returns – 1,123
- Liens – 763
- Water/Sewer Plan – 6,664
- Customer Service – 2,954

The expectation is that letter generation will be streamlined in the new system. Examples of the letters can be viewed in **Attachment 4 – Sample Bill Prints and Letters**.

#### 4.4.13 SERVICE ORDER DISTRIBUTION AND MANAGEMENT

For RWA purposes, the terms “service orders” and “work orders” are synonymous. Work orders are created in CIS and scheduled for various work management groups; Field Service, Meter Reading, Meter Shop, PipeSafe, Operations, and Distribution. In all instances, work orders scheduled within the CIS system relate to a premise, Field Service and Meter Reading groups maintain work appointment calendars (i.e., separate calendars of resource availability) used for appointments scheduled with customers and for fill-in work not scheduled for customers.

Work can be based on various work order types which include: Disconnections, Emergencies, Meter Replacements, Pipe Safe work and others which relate back to Customer Service and to the Customer. Field Technicians enter their result data on an iPad which auto-syncs back to CIS in real-time. Field Service and Meter Reading both have the ability to generate follow-up work orders based on result codes. Work orders created, assigned and released during the day push out to the iPad in real-time allowing for in-day work scheduling or rescheduling.

Field technicians are responsible for completing work orders and entering Meter and AMI devices used including a very limited list of materials used based on result codes, into the SAP Work Manager module. Field technicians have real-time field meter detail lookup capability and the ability



to create an order in the field which is an expectation of the new system. They also have the capability to review historical work order notes/details from the field.

The following are examples of service order processes and fees that may be applied as a result of a service order:

- **Tampering of hydrant** - In accordance with the State of Connecticut Public Act No. 13-262, any person who opens, operates, or takes water from or tampers with any hydrant or takes water from or tampers with any public water supply reservoir without the legal authority or consent of the water utility will be fined; first offense, and subsequent offense with higher rate(s).
- **Inaccessible vault/pit** - An "inaccessible vault/pit" is a subsurface enclosure that protects water meters and other facilities installed outside of buildings that is in disrepair, blocked, flooded, or is in an unsafe condition and is therefore not accessible by Authority personnel. First offense rate and subsequent offense with a higher rate.
- **Unmetered Active Service Fee**- Any person determined by the Authority to have unmetered active service shall pay a fee, in addition to the value of the estimated quantity of service taken. "Unmetered active service fee" means obtaining service without payment by any means including without limitation bypassing, disconnecting or otherwise tampering with a meter, connecting to a fire service or other unmetered line or turning on a meter previously shut off by the Authority.
- **Obstructed curb valve** - This fee will be charged to customers who have prevented access to our curb valve by parking over the curb box or otherwise obstructing it. The customer will be notified of the obstruction and given seven (7) days to rectify the situation. The customer will be charged each time the company attempts access thereafter not to exceed one charge per day until the customer provides access to our curb valve. First offense rate and subsequent offense with a higher rate, including the cost of material, labor and equipment used, plus the cost of overhead at prevailing rates.
- **Service call - During working hours** – This charge is applied to a customer's account when Authority personnel respond to a service call and the problem is internal to the premise (frozen meter, frozen pipe, shut valve, knocking pipes, etc.). This fee is also applied if a customer is requesting a service during work hours includes but not limited to things such as locate their curb box, locate their meter pit, etc.
- **Service call - After working hours** – This charge is applied to a customer's account when Authority on-call personnel respond to a service call after 5pm.
- **Meter Repair/Replacement of company meters (due to customer negligence)** - A fee will be charged in accordance with the Authority's published rates to replace or repair a company meter that, due to the negligence of the customer that is damaged.
- **Repair or replacement of company meter reading device** - A fee will be charged in accordance with the Authority's published rates to replace or repair a company meter reading device due to the negligence of the customer is damaged.
- **Repair/cleaning curb box** - A fee will be charged in the event the Authority needs to repair or clean out a curb box in order to access the company's curb valve.
- **Waste inspection charge** - This charge is assessed to all customers requesting a waste inspection. The purpose of this charge is to allocate the cost of waste inspections to users of this service.

- **Meter resetting charge-** This charge is applied to the first bill after meter removal from an existing premise. The charge does not apply to meter changes initiated by the Authority, to seasonal customers, or to new service customers. The purpose of the charge is to recover the cost of turning on the service and resetting a meter on an existing service.
- **Operate curb valve charge** - This charge is applied to the water bill after a customer requests disconnection of the service at the curb valve to repair internal plumbing fixtures, etc. The charge does not apply to curb valve operation initiated by the Authority, to seasonal on/offers, normal meter removals or new service customers. The purpose of the charge is to defray the cost of operating a curb valve at the request of a customer.
- **Excavation for termination of service** - These charges are applied to the water bill after terminations of service for non-payment or failure to comply with the Authority's rules and regulations whenever it is necessary to: (1) hand excavate to operate the curb valve; or, (2) excavate in the street to operate the tap valve, including the cost of material, labor and equipment used, plus the cost of overhead at prevailing rates.
- **Backflow device(s) test charges** - The backflow testing charges are for testing the proper operation of backflow prevention device(s) installed on a customer's premises. Annual testing of these device(s) is required by the Connecticut State Public Health Code. The Authority also offers testing of these device(s) at the request of the customer. The charges are applied to the water bill whenever a customer requests the test. The cost of the test is reduced whenever it is scheduled with the normal annual cross-connection inspection performed by the Authority; otherwise, the cost of additional travel time is required.
- **Termination and reconnection charge** - This charge is applied to a customer's account when service is restored subsequent to termination for non-payment or failure to comply with the Authority's rules and regulations.
- **Termination and reconnections charge after-hours** - This charge is a premium rate including overtime cost for "same day" reconnection for customers who pay or provide access between the hours of 3:30 p.m. and 9:30 p.m.
- **Collection visit fee (non-shut)** - This charge is applied if a service or meter reading technician visits a customer's premises for collection purposes and is unable to shut off the water for delinquency and/or leaves a door hanger in lieu of shut-off. Field Service & some collection fees will be automatically applied to the customer's account based on result codes selected from the field.

#### 4.4.14 NEW SERVICE

The process of initiating, planning, permitting, and tracking new service (site) requests is done through the CIS system. Property addresses are created at the time of new service payment known as Connection Objects. The Connection Object stores information such as the physical property address, ID number, tax jurisdiction, sewer information, septic information, high/low pressure agreement information, and well conversion indicators.

Premise numbers are system generated in CIS. Premises are identified with type of property classes such as residential, single family, commercial, multi-family, etc. The premise can be created without a customer of record. There can be one property with multiple premises identified by the supplement, i.e., Unit-1, Unit-2.

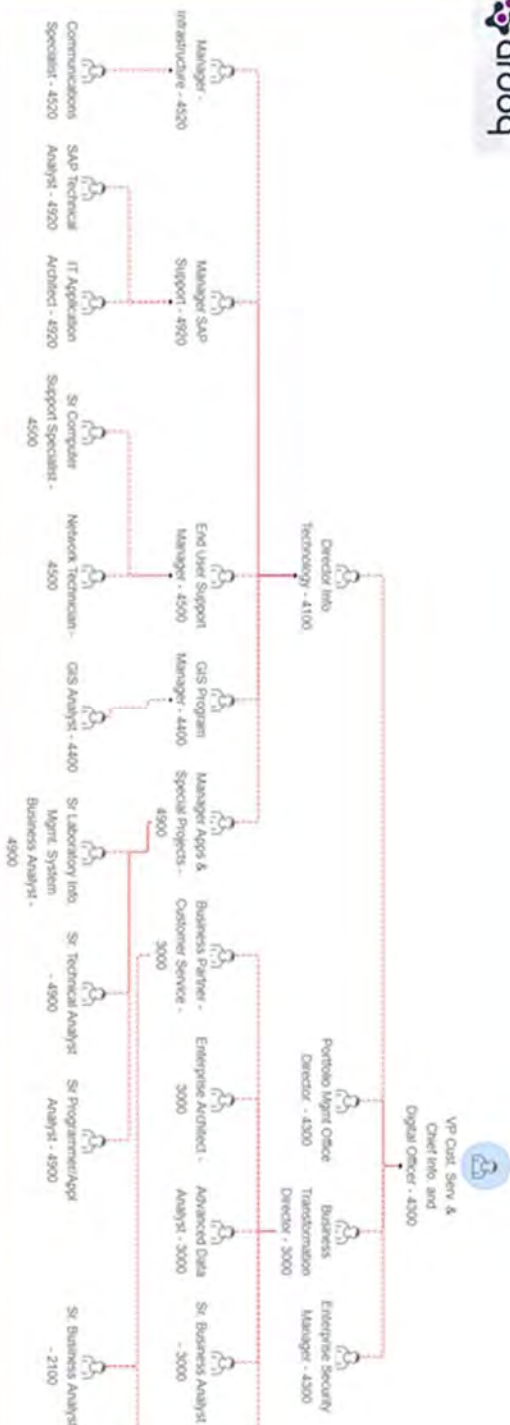
RWA may assess a variety of charges related to new service. See **Attachment 3 – Rates** for examples.

## 5.0 Technical Environment Overview

### 5.1 RWA IT Structure

The IT function consists of three departments: IT DevOps, Business Transformation and the Portfolio Management Office (PMO). Within IT DevOps, five teams provide focused support for CIS, non-CIS Applications, GIS, Infrastructure and End User Support. The majority of the applications are Commercial off the Shelf (COTS) products. The infrastructure team is responsible for communications, cybersecurity protection, security administration, disaster recovery and network/server support. The Network and Operations Team provides network, desktop, mobile, printer and Help Desk services. Batch processing is mechanized and does not require manual intervention.

The Business Transformation area consists of Enterprise Architecture, the Business Partner and Business Analyst functions, and an Analytic capability. This team is focused on the identification and articulation of business capability needs, gathering requirements for development of initiatives, solutions, and projects to realize those business needs. The PMO provides the project and portfolio management support to execute the projects.



## 5.2 Current State of CIS and Related Systems

The current CIS was implemented in 2010. Database and operating system upgrades are targeted to start in mid-2022.

The current CIS supports business functions such as meter reading, rates, billing, collections, customer service, service order management, regulatory reporting and GAAP reporting integration to Microsoft Great Plains. There is also a Business Warehouse and Portal used to access reports.

RWA is also using the VertexOne Customer Advantage portal.

Current CIS (SAP) Landscape has Production, Quality, Development and Disaster Recovery environments, each of the four have the following products:

- ECC 6.0 EHP4
- CRM 7.0
- Business Warehouse (BW)
- Process Integration (PI)
- Enterprise Portal (EP)
- SAP Mobile Platform – Work Manager 6.4
- StreamServe – Notices and customer correspondence
- Kubra – Formatting and printing of Bills
- Mailstream Plus – Sorting and packaging for postal discounts
- Accumail – Address validation (CASS and NCOA certification)

### 5.2.1 MOBILE SERVICE ORDER MANAGEMENT

RWA created custom enhancements in the current CIS which support, service order scheduling, crew availability, crew assignment and dispatching. Service orders created and processed within the system include the following:

- AMI Communication Module – Install, Replace, Remove, etc.
- Meter – Install (i.e., set new service), Replace, Remove, etc.
- Service – Turn-on, Turn-off, Check for leak, Check for water restriction violations, Inspections, Locate and Mark, etc.
- PipeSafe – Review, Check/Change cellar wall valve, etc.
- Meter Reading – Check Premise Status (vacant, residential, commercial, etc.), Examine for waste (this included automated waste inspection report), etc.
- Collections – Shut at Curb, Remove Meter, Drop Door Hanger.
- Distribution – Discolored water, pressure, flushing.

RWA expects the new solution for current Mobile Service Order Management to accommodate field service, distribution and meter reading service orders.

### 5.2.2 REPORTING

RWA has several reporting tools which are used by business users to access information. RWA's preference is to continue to have specific pre-determined reports to support GAAP compliant and

regulatory reporting as well as the availability of ad-hoc reporting and analysis through the CIS system. RWA would like to expand reporting to include Dashboards. The CIS reporting solution should focus on ease of use for the end user.

#### 5.2.2.1 CIS SYSTEM REPORTING

Reporting from the current CIS is supported in several ways: Business Intelligence, Application Transactions, Custom reports, and a Query facility. RWA has approximately fifty-eight (95) Business Intelligence reports, thirty-three (43) Custom reports, and several Query reports. The current CIS system has an extensive list of form letters that are automated and can also be requested through a manual request.

See **Attachment 8 – Sample Reports** for a list of reporting requirements.

#### 5.2.3 BATCH PROCESSES AND SCHEDULED JOBS

Batch jobs and processes are scheduled using Scheduling software. This scheduler allows for calendars to be established reflecting business and non-business days and allows automated scheduling to occur using these calendars. All daily, weekly, monthly and other periodic jobs are set up with a defined schedule and are automatically released and rescheduled with no manual involvement. Some on-request jobs are established by end users with no IT involvement; others may require IT CIS support staff to set up and monitor. The CIS Application team manages the CIS batch processing. The current CIS runs the following business processing jobs:

Cycle	# of Jobs
Daily	23
Weekly	9
Monthly	6

Evening and overnight batch processing is monitored by an offshore application managed services provider. Any problems are addressed; RWA resources are contacted as needed.

Automatic alerting is set up to notify staff if cash files from payment processors and other files are not received by specified times. All payment and NSF return files are posted to customer accounts between 7:00pm and 8:00pm.

Meter reading files are uploaded and posted between 3:00pm and 4:00pm daily.

Core batch processing (i.e., billing processing, collections, letter generation, bill printing, and G/L interface creation, etc.) is run between 8:00pm and 10:00pm daily. Other batch processing which supports an interface to other systems (i.e., GIS, Kubra, Birlasoft, Meter Reading Request Files, SmartWorks, Regional Network Interface and Business Intelligence ETL's, etc.) are processed in the overnight hours.

CIS month end processing consists of a special run to open the posting period in the CIS system and the business intelligence month-end (i.e., snapshot of data at period end) ETL's which create

month-end static data used for reporting including earned but not billed revenue. The CIS system needs to support GAAP reporting, including cut-off.

The CIS system does not produce hardcopy printed reports automatically. Reports are requested at the time the business wants them. Most reports provide data back to their desktop with options to print or export to Excel, PDF, XML, or text, etc.

RWA requires the equivalent or improved abilities for batch scheduling and report delivery to the business areas. The batch scheduler should be able to schedule both CIS and non-CIS batch processing.

## 5.2.4 FINANCIAL MANAGEMENT SYSTEM

RWA utilizes the Microsoft Dynamics Great Plains system and supports GAAP-compliant reporting. The CIS system interfaces to Microsoft Dynamics Great Plains.

The existing CIS system provides cash collections and other details that allow RWA to comply with unique regulatory reporting requirements.

Cut-off requirements must be met and reconciliation between CIS and Great Plains systems is required.

## 5.2.5 GIS

RWA uses the ESRI ArcGIS software suite for most spatial analysis and mapping functions. The CIS system provides a daily refresh to GIS, and it includes customer account data (Name, Address, Phone, etc.) and infrastructure data (tap details, service lateral, meter, AMI device, etc.). Information from completed service orders related to service line breaks is passed to GIS and used to support PipeSafe marketing campaigns. The GIS system uses the leak location to select customers geographically near the service line leak. That information is sent to the CIS system which produces the marketing letters which are mailed to selected customers.

RWA desires to provide a view (i.e., MAP) of GIS data from within CIS.

GIS is also integrated with Infor EAM.

## 5.3 Information Technology Environment

This section includes general information about the existing technical environment being used by RWA. Please see **Attachment E – Application Interface Details**.

### 5.3.1 WORKSTATIONS/DESKTOP ENVIRONMENT

The current standard specifications for employee's desktops and laptops are as follows:

- Laptops: Intel Core i7-6600CPU @ 2.60GHz – 8GB Memory, M.2 256GB SATA Class 20 Solid State Drive, Windows 10 Pro 64Bit
- Desktops: Intel Core i7-6700 CPU @ 3.40GHz – 8GB Memory, 256GB 2.5-inch SATA Class 20 Solid State Drive, Windows 10 Pro 64Bit
- RWA requires that the solution is certified on Windows 10 Enterprise.

### 5.3.2 APPLICATION ARCHITECTURE

Refer to **Attachment 6 – IT Architecture – CIS Systems** for detailed diagrams of the systems used at RWA.

### 5.3.3 DATA CENTER

#### 5.3.3.1 PRIMARY DATA CENTER

RWA operates and maintains a primary data center used for On-Premise solutions. RWA has established a relationship with a co-location vendor that provides enterprise-class data centers nationally for a local disaster recovery (site) for all On-Premise solutions. The co-location vendor through disciplined assessment and audit processes has implemented comprehensive practices for ISO/IEC 27001, SSAE 18 (SOC1 Type II), Type 2 AT 101/SOC 2 & 3, PCI DSS, FISMA-High, HIPAA/HITECH, Business Continuity and Disaster Recovery (BCDR) and TRUSTe.

RWA hosted solutions reside in multiple data centers depending on the vendor.

RWA's current SAP solution is hosted with the exception of the StreamServe (OpenText) and SAP Mobile Platform components which are On-Premise.

#### 5.3.3.2 STORAGE

For On-Premise applications and business data, RWA utilizes Storage Area Network (SAN) technologies.

### 5.3.4 DATABASE ENVIRONMENT

RWA has Microsoft SQL Server licenses included with the current CIS Software solution. The current Microsoft SQL Server version CIS is running (SQL 2012 R2).

RWA currently uses Microsoft SQL Server for most On-Premise applications. Microsoft SQL Server is RWA's preferred DBMS for On-Premise solutions.

### 5.3.5 BACKUP AND DISASTER RECOVERY

For On-Premise solutions, RWA currently performs backups to a disk-based appliance. Data is rolled off of the D2D (disk to disk) appliance to tape on a regular basis rotated to support retention period requirements. Off-site storage may be used as required

Cloud Solutions have a backup plan defined in the contract.

RWA has a comprehensive Corporate Disaster Recovery program. IT has a disaster recovery program for On-Premise systems. Systems are classified by tiers; with corresponding recovery time objectives. The details of the programs are confidential.

This solution should have a Recovery Point Objective (RPO) of fifteen (15) minutes and the Recovery Time Objective (RTO) of four (4) hours.



For Cloud solutions, the disaster recovery program will have the RPO, RTO, SLA's including the right for RWA to annually test the disaster recovery process defined in a vendor contract. A primary circuit is required between the RWA data center with automatic failover to the RWA disaster recovery data center. The solution should also take into account an interruption at the RWA data center which would require communications via the RWA disaster recovery site.

## 5.4 Future State Considerations

RWA has a strong preference for a Cloud solution with Managed Services. Questions related to this section are within Attachment A.1 – Cloud Solution Questionnaire.

### Cloud Solutions with Managed Services

Vendor will be responsible for providing and maintaining the physical infrastructure: data centers, servers, CPU, memory, storage, and backup and recovery. The Vendor will install, configure, manage and support the operating systems, database, and application software.

Vendor, at a minimum, will provide the following services:

#### TECHNICAL

- Monitor the physical and cyber security of the server and Application(s) 24x7 to ensure the system is highly secure in accordance with NIST Security Standards.
- Perform active intrusion prevention and detection of the data center network and firewalls, and monitor logs and alerts.
- Conduct periodic penetration testing of the network and data center facilities.
- Conduct monthly vulnerability scanning by both internal staff and external vendors.
- Perform Anti-Virus and Malware patch management on all systems.
- Install updates to virus protection software and related files (including Virus signature files and similar files) on all servers from the update being generally available from the anti-virus software provider
- Respond to any potential threat found on the system and work to eliminate Virus or Malware found
- Secondary data center for disaster recovery with annual testing with RWA.
- Maintain SSAE-16 certification for data centers providing services to RWA and shall provide a copy annually to RWA.

#### APPLICATION

- Conduct application configuration adds or changes as directed by RWA.
- Provide application training on new release functionality.
- Perform initial testing of new release/updates before releasing to RWA for testing prior to promotion to production.
- Support break-fix, complex enhancement work requests and projects.

RWA will provide first-level application support.

RWA will be responsible for managing user accounts, defining and setting application permissions and auditing application access.

## 6.0 Business Requirements

### 6.1 Overview

RWA's goal is to implement a cost-effective CIS solution that supports RWA in the delivery of an effective, efficient, and satisfying customer experience enhances RWA's ability to more easily support the diversification of its service offerings. RWA expects to adopt industry best standards that improve the efficiency of customer operations. RWA requires a CIS solution that delivers a holistic view of the customer, providing the appropriate information when and where it is needed to support a Customer First business philosophy. The CIS solution also needs to be compliant with Generally Accepted Accounting Principles (GAAP) and unique regulatory reporting requirements.

### 6.2 CIS Business Drivers

The CIS application requirements are detailed within **Attachment B - Functional Matrix**. In addition to these detailed requirements, RWA expects the new system to improve overall business performance through the following:

- Cost effective CIS solution
- Simplify implementation and management of diversified product and service offerings
- Improved flexibility of pricing structures for new products and services
- Improve flexibility to support potential future rate design
- Improve customer experience
- Utilize new market-based functionality
- Enhanced integration options to RWA's current systems
- Improve and/or consolidate interfaces between various systems
- Streamline CSR processes for increased efficiency
- Provide system-based workflows to support interdepartmental processes
- Enhance data input and billing validations
- Simplify security setup and functionality
- Simplify workflows for reversals and adjustments
- Improved batch scheduling capabilities
- Improve training timelines and knowledge transfer
- Improve CSR visibility into customer account status and flags, including alert notifications
- Obtain business process sensitive help functionality
- Reduce call volume
- Improve information sharing across platforms and between departments

- Simplify monthly reporting and improved analytics
- GAAP compliance and unique regulatory reporting
- Project templates and automation tools to ensure project success

With this in mind, the new solution is expected to account for RWA's key objectives, including but not limited to:

- Business process improvements mapped to best and leading practices through technology upgrades and process changes
- Efficient Field Service workforce mobilization and service order management with CIS integration
- Supporting a modernized Contact Center through:
  - IVR integration
  - Context-aware knowledge bases (business process flows)
  - Role-based, streamlined navigation to reduce screens and keystrokes
  - Visual cues to identify the nature of customer history
- Improved capabilities supporting end-user workflow and reporting needs
- Use of mobile applications and multi-channel technologies for field mobile work management
- Integrated role-based security and full activity auditing
- Improve Master billing

### 6.3 Commercial Enterprises Business Drivers

RWA offers a number of commercial enterprises services. These are typically non-consumption based offerings that align with our core competencies. RWA's current commercial programs include:

- PipeSafe Suite of Emergency Protection Plans
- RWA Lab Testing Services

RWA's commercial enterprises business has been instrumental in mitigating water rate increases, generating significant revenue with additional growth projected over the next 5 years. That growth reflects a strategy to grow participation in our current offerings, as well as the anticipated introduction of new products and services. Critical to the success of this strategy is the ability of the chosen solution to facilitate RWA's capabilities to create, market, bill, and manage these products and services from within the CIS solution.

To that end, RWA is looking for vendors to support these programs through the CIS, FMWM, and CRM solutions. Specific functional requirements for the non-core programs can be found in **Attachment B - Functional Matrix**, but RWA requires that proposed solutions integrate with our VertexOne CustomerAdvantage solution to enable:

- Allow for invoicing commercial products and services with the water services bill or individually as needed
- Allow for easy invoicing of non-water service customers

- Enable new products and services to be quickly and easily be structured within the CIS solution
- Provide pricing structure flexibility to accommodate things like bundling and discounting
- Provide user-friendly screens and tools for effectively promoting, monitoring and managing delivery of those products and services
- Accommodate service order functionality for RWA personnel and 3<sup>rd</sup> party contractors to respond to customer needs in the field

## 6.4 Field Mobile Work Management Service Business Drivers

The Field Mobile Work Management application requirements are detailed within **Attachment B - Functional Matrix**. In addition to these detailed requirements, RWA expects the new system to enhance field workforce efficiency and coordination with internal office personnel. Key aspects of a successful Field Mobile Work Management solution include:

- Provides real-time communication and updating capabilities
- Ability to create, assign, document, and close service orders using mobile devices including tablets, iPads, and smartphones
- Auto dispatching
- Auto resource leveling
- Appointment scheduling features for use by office and field personnel
- Allows field personnel to capture critical data about their findings and work completed in a way to minimizes reliance of open text fields and notes including photos and videos
- Provides validation of entries before a service order can be completed
- Integrates with ESRI/GIS and vehicle location system to assist with service order assignments
- Accommodates barcode scanning functionality to capture material numbers in the service order
- Integrates with handheld devices to capture AMI activation data such as geocoding, profile, etc.
- Device manuals and instructions
- RWA field processes and procedures

## 6.5 General Reporting Requirements

The Vendor will be required to provide RWA with a series of standardized reports as part of the base system. The Vendor's response should include a list of the reports available with the product(s), adding any descriptions or explanations that are required for understanding.

**Attachment 8 – Sample Reports List** provides examples of key reports vital to RWA's business. RWA expects that their reporting needs will change as they adopt new business processes and have access to more ad hoc reporting. RWA has unique regulatory reporting requirements and reporting requirements under GAAP that must be met. As such, RWA would like to explore its reporting needs as part of the initial workshops early in the project implementation.

RWA's preference is to increase the availability of ad hoc reporting of information in the CIS system and provide a user-friendly interface for accessing, viewing, and working with these reports. RWA anticipates that a minimum of 2,500 hours for CIS report development will be needed to properly support their business

needs and has reflected this in **Attachment C – Cost Matrix**. The Vendor shall provide a cost estimate for this minimum number of report hours. In the event that the Vendor identifies additional hours for report development based on the requirements identified within the Functional Matrix, the Vendor is required to account for those costs.

## 6.6 Integration and Interface Requirements

In addition to the designed integration of the proposed applications, several third-party applications must also be integrated to create a fully functioning system. Upon submission of **Attachment F - Intent-to-Respond or Decline and Confidentiality Agreement**, the Vendor will receive instructions for retrieving **Attachment E – Application Interface Details**. RWA desires the Vendor to fully review these interface requirements and provide a detailed response to accomplish the needed integration using **Attachment E-R – Application Interface Response Template**.

**The Vendor should ensure the interface effort is well documented within the Response Template, Implementation Plan, and the Cost Matrix.**

## 7.0 Implementation Information

### 7.1 General Expectations and Overview

RWA desires to implement the proposed applications under a controlled approach that will mitigate risk and allow RWA to take full advantage of the new functionality. Discuss your implementation plan and account for the work in the cost matrix. RWA will require an experienced implementation team to provide the services to install the proposed solution.

RWA will look to the Vendor to identify the specifics about how their implementation staff will account for training and implementing the solution across the organization.

RWA desires to implement the proposed applications under a controlled approach that will mitigate risk and allow RWA to take full advantage of the new functionality within schedule restraints.

Discuss your implementation plan and account for the work in the Cost Matrix. RWA will require an experienced implementation team to provide the services to install the proposed solutions. Vendors are asked to present a timeline between **14-20** months.

RWA will look to the Vendor to identify the specifics about how their implementation staff will account for implementation and training on the solutions across the organization.

### 7.2 Project Team Allocation

RWA has resource constraints similar to many other utilities. As such, RWA has carefully considered the resources and allocation availability likely to be available throughout the project. Please use this to assist in the development of **Attachment D - Staffing Matrix and Attachment – L Implementation Schedule and Gantt Chart**.

Role	% Allocation
PROJECT MANAGEMENT OFFICE	
Steering Committee	10%

Role	% Allocation
Project Director	15%
Project Manager	100%
<b>FUNCTIONAL CORE TEAM (MOVE TO TEST OR TRAIN POST ANALYSIS)</b>	
Functional Team Leads – Customer Service, FMWM, CRM, Rates, Billing, Estimations, Adjustments	100%
Functional/Testing – Rates, GL Integration & Financial Balancing	100%
Functional/Testing - Meter Shop / Field Services / Commercial Services	50%
Functional/Testing – Credit & Collections/Cashiering	100%
SMEs:	As Needed
<b>TESTING</b>	
Testing Lead	100%
<b>TRAINING</b>	
Training Coordinator	60%
OCM Lead	75%
Business Process Analyst	100%
<b>TECHNICAL</b>	
Technical Lead	100%
Conversion Lead	100%
Reporting Developers	50%
Interface Developers	As Needed
Network Administrator	10%
Technical SME's	As Needed

### 7.3 Project Team Description

RWA will provide the following staffing resources:

**Contractor Project Manager** – RWA will seek the expertise of an outside credentialed project manager with advanced CIS project implementation experience. The PM will oversee the day-to-day activities of this project. The Project Manager will have the capability of initiating appropriate changes to the hardware, software, personnel, plan, and processes, as required.

**Subject Matter Experts** – RWA will provide Subject Matter Experts (SMEs) that are familiar with RWA's current business processes and requirements to fully participate in the design of business rules and the configuration of the system.

RWA has identified a Core Team of FTEs to provide functional expertise across all principal business areas as outlined above. These Core Team members will participate across all phases of the project and are expected to remain on the team for the full implementation.

- General Customer Service
- Rates, Billing, Validation, Editing and regulatory reporting
- Financial Balancing/GL Integration/GAAP compliant reporting
- Meter Shop & Field Services
- Commercial Services (e.g., PipeSafe, Laboratory)
- Cashiering (Back Office)
- Credit and Collections

Other SMEs will be dedicated to the project to supplement the Core Team throughout the implementation of various modules. RWA will also bring in additional SMEs on an as-needed basis to participate in analysis, testing, and training.

**Organizational Change Management** - RWA will seek the expertise of an Organizational Change Management resource with in-depth experience executing OCM initiatives such as communications, training, change readiness assessment, impact analysis, stakeholder management, and leadership alignment.

**Testing Lead** – RWA will assign a Testing Lead to lead test strategy, planning, and overall testing activities.

**Training Coordinator** - RWA will assign a Training Coordinator to lead the overall training strategy, planning, and delivery. The coordinator will have an in-depth knowledge of learning management systems, software training methodologies, and training material tools.

**Technical Lead** - RWA will assign a Technical Lead to work in conjunction with the vendor's technical lead to oversee all technical activities on the project. This person will have a high-level knowledge of infrastructure management, development, and interface integrations.

## 7.4 Implementation Overview

RWA recognizes that each Vendor has a proprietary software implementation methodology. RWA will require the Vendor to assign an experienced project manager at a minimum of 100% for the duration of the project. The items below are general descriptions of the typical phases of an implementation.

The Vendor will be required to perform and/or participate in the following Project Activities:

### 7.4.1 PROJECT INITIATION

The Vendor will prepare for the project launch. Meetings will be conducted with RWA and the Vendor's project teams to establish the project structure and organization. This includes setting up appropriate project controls, identifying specific resources, refining the project plan that was submitted and ensuring that all relevant resources have been identified and are scheduled.

Web-based tools that will assist in managing the project will be installed during this phase.

RWA and the Vendor will formalize modifications and interface requirements.

The Vendor and RWA will jointly conduct an official project Kick-Off Meeting.

#### 7.4.2 HARDWARE (IF APPLICABLE) AND SOFTWARE INSTALLATION

The Vendor shall lead the installation of the software solution and any necessary third-party software. The Vendor shall assist in the development of required testing and staging environments. RWA will participate in this phase with the expectation of gaining knowledge.

#### 7.4.3 REQUIREMENTS ANALYSIS / GAP ANALYSIS

The Functional Matrix provided as an attachment to the RFP will be used to create a detailed document outlining all major capabilities required by RWA. This document will identify each of RWA's requirements in further detail for use in the project by clearly defining the project scope. The completed document will be the basis for further functional and technical design for any customizations required by RWA. Since requirements analysis/gap analysis is believed to be of critical importance to this project, the Vendor must respond, explaining this process in detail.

***Attachment B - Functional Matrix will be used as a traceability analysis/matrix to ensure that each requirement can be traced back to demonstrable system functionality. It is the Vendor's responsibility to ensure that the functional requirement scoring worksheet is completed as accurately as possible.***

The purpose of this phase is to determine the functional requirements, interface and reporting requirements for RWA's implementation and configure the system to meet these requirements.

During this phase of the project, a number of other requirement gathering sessions will be conducted including:

- Interface workshops
- Specific functional workshops
- Data conversion workshops
- Bill, letter, delinquency notice production and data extract workshops
- Report workshops

RWA is expecting to minimize customizations for the solution.

As a result of the Functional Gap Analysis, the Vendor shall prepare functional and technical specifications for any needed customizations and interfaces. Vendor and RWA will also work to create detailed Future/To-Be business processes. RWA expects Vendor to be an integral part in the development and delivery of these processes. Vendor and RWA will also work to create detailed Future/To-Be business processes with the intent to support test case design and training material development. Upon approval and acceptance of these specification documents, the Vendor shall develop the needed interfaces and customizations with considerable input and direction from RWA subject matter experts (SMEs). Vendor will also develop user and technical documentation for any customizations and interfaces. The customizations and interfaces shall be subject to unit and system-wide testing.

#### 7.4.4 SOFTWARE CONFIGURATION

The Vendor will be required to take the lead in software configuration sessions involving the RWA identified SMEs to determine and implement the optimum configuration setup of the solution based on the functional requirements analysis.



## 7.4.5 TRAINING

At a minimum, the Vendor will be required to provide both technical and functional training with regard to the proposed software application. Vendors must provide a detailed outline of all proposed training and associated costs, including detail on training delivery options.

### 7.4.5.1 TECHNICAL TRAINING

It is expected that RWA's technical team may be required to be re-educated regarding base technical platforms. Based on this fact, the Vendor shall offer a curriculum of technology courses that may be necessary to maintain the new platform. Vendor will be required to staff technical training with its senior technical resources.

Product courses that RWA staff will be required to take should be made available based on the project timeline that has been identified within this RFP.

Expected technical training points shall include, but are not limited to:

- New required software languages
- Technical architecture of the solution
- Database architecture and schema
- Database specifics to facilitate ad-hoc reporting
- Security configuration
- Application configuration
- High availability configuration
- Conversion process
- Support tools and procedures
- Report writing and querying
- System monitoring tools
- Data encryption
- Scheduler jobs

### 7.4.5.2 FUNCTIONAL TRAINING

Any baseline system must be free from significant defects before training begins. RWA is looking to implement a Train-the-Trainer approach. The Vendor will be required to train a core group of RWA staff. In turn, RWA will provide training to secondary and casual system users.

All end-user training will be conducted at an RWA facility. The Vendor must provide a training plan identifying the minimum number of training hours that will be provided as a part of the base package. The plan must:

- Identify the actual training staff hours and materials
- Describe the size and skill levels of each group
- Describe how training will be delivered
- Explain the functional responsibilities covered in each session

The Vendor will be required to staff training positions with senior functional and training resources. Resumes should be provided as outlined in the Response Template (Attachment M).

Expected functional training points include:

- Product functionality training
- Configuration training
- Data model training and walkthrough

Vendors are required to provide modifiable base system training materials. RWA will, with Vendor assistance, update these materials for specific business practices.

#### 7.4.6 DATA CONVERSION

RWA will work with the Vendor to populate conversion staging tables. The Vendor shall be responsible for converting all necessary CIS data from these tables for the criteria determined by RWA with the assistance of SMEs. Activities will include detailed planning, data cleanup, data mapping, development of conversion specifications, construction and testing of automated conversion programming, conversion testing, mock conversions, manual conversions, stress testing, performance testing, database sizing, production conversion, go-live activities, and post implementation cleanup activities.

RWA will be responsible for providing reasonably clean source data to the Vendor for conversion. Vendors will not have to become an expert in the legacy data structures.

RWA will provide knowledgeable resources to support the Vendor's staff as necessary to convert data from the legacy applications. To promote knowledge transfer, RWA will have an active role in the conversion process.

#### 7.4.7 DATA CONVERSION FUNCTIONAL AREAS

At a high level, the following table lists the expected areas of conversion. This is intended to provide guidance only, and the Vendor should also include any other areas they feel are necessary for a successful conversion. RWA's lien and bankruptcy processes require a full AR conversion for open receivables. RWA is looking to vendors to suggest the best solution to manage the volume of historic data in compliance with regulated retention requirements.

New Module	Data	Amount	Criteria
CIS	Customer History	120 months	Active Inactive w. Balance
CIS	Premise History	120 months	All
CIS	Bill History	120 months	All
CIS	Payment History	120 months	All
CIS	Meter Reading History	120 months	All
CIS	Service Orders	120 months	Closed/In History

New Module	Data	Amount	Criteria
CIS	Liens	120 months	
CIS	Notes	120 months	All

#### 7.4.8 TESTING

The baseline system must be free from significant defects before the testing phase begins. The Vendor must test all configurations, modifications, interfaces, data conversion, or other work efforts performed by the Vendor's staff that may cause errors to the software. It is the Vendor's responsibility to ensure that customizations to RWA's version do not affect baseline software capability.

The Vendor's implementation team is expected to utilize structured testing methodologies utilizing plans, scripts, scenarios, and any other tools deemed necessary to accurately and completely test the system before delivery to RWA. The Vendor's implementation team and RWA staff will review results together throughout this phase.

Testing is expected to include, but is not limited to, the following items:

- The Vendor will assume responsibility for conducting a product volume test to ensure batch and on-line performance meet agreed-upon levels.
- The Vendor must simulate a minimum of three monthly closeouts, one quarterly closeout, and one annual closeout to ensure that reporting is accurate across all modules.
- The Vendor will assume responsibility for conducting multiple mock production conversions in preparation for production cutover.
- RWA and the Vendor's staff will review all testing plans prior to User Acceptance Testing and review the results of the testing.

In addition to any of the Vendor's testing, RWA will perform tests to validate the system's readiness for go-live. The Vendor will provide RWA with all of their testing templates and scenarios to review and incorporate into the RWA User Acceptance Testing process. RWA, with assistance from the Vendor, will develop test scenarios with expected results to validate all aspects of the configuration of the software. RWA will also perform final tests on the converted data to ensure the conversion phase has been completed accurately. The Vendor will provide resources for product fixes resulting from errors identified during this phase.

#### 7.4.9 CONFIGURATION FINE TUNING & PREPARATION FOR GO-LIVE

The Vendor will be required to conduct the necessary activities to prepare the new system and RWA for go-live. An operational readiness test will be developed to plan and conduct prior to cutover and data conversion execution. The readiness test will include a true parallel of selected operations using converted data to allow the analysis of both the conversion process and system readiness. Test results generated will support the final decision for a "go" or "no go" decision. Defects related to the "no go" decision will be corrected to RWA's satisfaction. The sole decision-maker for the "go" or "no go" decision is RWA.

#### 7.4.10 SOLUTION GO-LIVE

The Vendor's project team must have extensive experience with CIS and associated systems implementations. They must also possess the necessary resources available to assist with any potential operational issues that may occur during go-live activities.

After all deliverables are in production, the Vendor shall ensure a fully functioning system. RWA will designate a sixty-day window to measure performance of the system in accordance with the predefined performance criteria. At the end of a successful sixty-day period, RWA will sign off on Final System Acceptance.

For the purpose of this RFP, fully functioning is defined as including, but not limited to, error-free bill processing, balanced financials, meeting GAAP compliance and regulatory reporting requirements, successful service order generation and processing, and functional and complete system development/customizations.

#### 7.4.11 POST-IMPLEMENTATION SUPPORT

The Vendor will be required to be available on-site or virtual for a period of three (3) months for the purpose of resolving issues where the system is not operating as designed and to transition knowledge of the system to RWA. The Vendor is expected to present how the post-implementation support will be executed based on the overall implementation approach.

RWA will provide an implementation team consisting of employees with expertise in managerial, functional, and technical areas. Other RWA employees, as needed, will be available throughout the project and post implementation.

The Vendor will perform the following tasks:

- Complete a post-production audit to identify performance issues
- Record and track all support issues
- Develop and implement plans to correct outstanding issues
- Provide on-call assistance and SLAs for any potential operational issues
- Identify all issues based on an agreed upon scale of severity

## 8.0 Support and Maintenance

The Vendor must include information and costs associated with all aspects of on-going product support and maintenance activities. After the initial post implementation support period, RWA will provide the first level of support. The successful Vendor will be required to provide on-going system support including, but not limited to:

- System architecture, programming and security
- Help desk support
- Product upgrades/updates including detailed release notes
- On-going training and support services, i.e., videos, manuals and online
- Regular product releases, based on a defined on-going maintenance fee
- Baseline functionality, setup and transactions inquiries
- Practices and procedures for debugging issues

- Service Level agreements (If applicable)

## 8.1 Base Warranty

RWA expects the Vendor to provide active, base product support, including all regulatory updates for at least two major releases prior to the current operating release.

The selected Vendor will be required to provide a warranty for the software and its support, for the major release RWA implements and subsequent minor upgrades, for a period of two years from the date RWA begins “Live” processing after Final Acceptance. As defects are found, RWA will require the Vendor to correct those defects in RWA’s version of the software and to provide those corrections to RWA.

Any costs related to warranty, including material costs, travel, staff resources, etc., shall be the responsibility of the Vendor and should be identified within the **Attachment C - Cost Matrix**.

## 8.2 Modification And Interface Warranty

RWA will require all software modifications and interfaces provided by the Vendor to be warranted free from defects for twenty-four (24) months after RWA begins “Live” processing.

## 8.3 Product Support

RWA requires an easy to understand support process. The process should be fully documented including tiers of service, hours of operation, escalation procedures, costs/rates (if applicable), and a **single or defined** point of contact.

# 9.0 Upgrade Information

## 9.1 Process

RWA will require that the Vendor provide a process for upgrading the solution after the initial software implementation. The process must be well defined with a well-scripted upgrade path. Please discuss your Upgrade Process in detail.

## 9.2 Upgrade Costs

Estimate upgrade costs during the seven (7) year period in the Cost Matrix, **Attachment C – Cost Matrix**, line 14, “System Upgrades”, of the “10-Year TCO tab”.

# 10.0 Attachments

Attachments are provided as additional information to assist Vendor in their understanding of RWA.

Attachment 1 – Master Professional Services Agreement

Attachment 2 - Cyber Security Disclaimer

Attachment 3 - Rates

Attachment 4 - Sample Bill Prints and Letters

Attachment 5 - Water Testing Types

Attachment 6 - IT Architecture – CIS (available to Vendor after submission of the Intent to Respond or Decline and Confidentiality Agreement)

Attachment 7 – Delinquency Processing Paths

Attachment 8 – Sample Reports List

## 11.0 Response Template

Vendors must respond to the RFP utilizing the provided Response Template. **A complete Response Proposal will include Response Template Attachments (A – O) as defined in the Response Template.** RWA has provided templates for some of the required attachments as indicated below.

A.0 Response Template

A.1 Cloud Solution Questionnaire

A.2 On Premise Solution Questionnaire

B. Functional Matrix

C. Cost Matrix

D. Staffing Matrix

E. Application Interface Details (available to Vendor after submission of the Intent to Respond or Decline and Confidentiality Agreement)

E-R. Application Interface Response Template

F. Intent to Respond or Decline and Confidentiality Agreement

N. Non-collusive Bidding Certification

O. Nondiscrimination Certification

\*\*\*\* END OF RFP \*\*\*\*



# A.0 Response Template

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Customer Information System, Field Mobile Work  
Management, Customer Relationship Management and  
Implementation Services

RFP#B09092100

RFP Response Due by 4:00 PM ET on  
November 4, 2021

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# Instructions: How to Complete the RFP Response

By completing this document, the Vendor acknowledges they have read the RFP and associated attachments, and the Vendor understands RWA's requirements. In addition, the Vendor acknowledges they have had an opportunity to ask the necessary questions needed to complete this response.

RWA's methodology is to identify, process, and select the Vendor finalist through an open and competitive solicitation process. This methodology establishes the framework for the selection while allowing the RWA Core Team to gather facts, make decisions, and ultimately select the Vendor finalist. The first step to becoming a short-listed Vendor is to accurately and factually complete the RFP documents.

The Vendor **MUST** use this Response Template for inserting answers. Vendors **MUST NOT** change the numbering schema. Vendors must include the original questions. **DO NOT** embed any attachments as part of this response. **Multiple Response Attachments (A-O) are required as indicated at the end of this document to provide a complete proposal. All attachments must be uploaded to the RWA bid site in one (1) .zip file.**

## General Guidelines

RFP Instructions and Requirements can be found in Section 3.0 of the RFP. The following items are provided as additional helpful information to assist with the planning effort required in completing the RFP response:

- Vendors are highly encouraged to include current screenshots of the proposed solutions. The captures should be of material size to assist with viewing.
- All areas of the responses should contain as little technical or corporate jargon as possible. Don't assume the Core Team understands your "System speak-ese." Concise and complete answers may be scored higher than verbose answers.
- Avoid "Yes or No" or canned answers. The general format of the RFP Response Template is essay-type answers.
- At any stage Vendors may be asked to demonstrate an answer on the Functional Matrix. The Functional Matrix is also subjected to traceability throughout the project.
- Run spell-/grammar-check, double check that no internal highlighting remains, track changes are off, ensure all functional matrix items are complete, all pricing is accurate and adds correctly on the Summary Sheet, etc.
- Questions concerning the project must be emailed to [pduncan@teamaac.com](mailto:pduncan@teamaac.com) by the deadline as indicated in Section 3.15 of the RFP.

\*\*\*\* End of Instructions \*\*\*\*

## 1.0 Executive Summary

The Vendor shall provide an Executive Summary that functions as a stand-alone document which should effectively and succinctly summarize the entire Proposal. This summary must list and describe each potential Third-party or other project partner the Vendor plans to utilize to deliver the product(s) and/or services outlined in the Proposal.

The Executive Summary should:

- Contain a brief description of the major contents of the Proposal, including an overview of the Vendor's response to RWA's current and anticipated needs.
- Communicate the proposed solution's primary benefits to RWA.
- Describe the product(s) and/or services proposed.
- Cover the main features and benefits in non-technical terms.
- Identify the primary point of contact and the individual who has the authority to negotiate all aspects of the scope of services.
- The Vendor shall certify all information in the Proposal is true, accurate, and complete.

## 2.0 Vendor Minimum Requirements

Please confirm that you meet or exceed RWA's Minimum Requirements as outlined in **Section 2.4 of the RFP** with an affirmative or negative answer. Information to support these requirements is requested in the document below.

- 2.4.1 Has a single point of contact for the project and throughout post-implementation?
- 2.4.2 Have all implementation-related litigation (pending, active, or resolved) that have occurred within the last three years for the Vendor and all sub-consultants, been provided as part of this proposal?
- 2.4.3 Does the vendor have a proven track record of delivering and implementing Utility CIS systems? A proven track record consists of at least one ongoing implementation and two additional completed implementations over the last five years for organizations of similar size and complexity (billing of multiple services) within North America. RWA *may* consider implementations of similar size and complexity completed outside of North America. Vendor will be required to justify their commitment and ability to support the North American market.
- 2.4.4 RWA is requiring a Prime Vendor to coordinate implementation and be solely responsible for the overall project. Confirm that the project has been structured in this manner and that each of these roles is clearly defined in the Prime Vendors response to this RFP.
- 2.4.5 The Prime Vendor must have experienced key staff *who will be assigned to this project and* who have implemented the proposed product in at least one production implementation. Two of those key staff members must have been the functional and technical leads for a previous implementation of the proposed solution. Please confirm this proposal meets this requirement.
- 2.4.6 The Prime Vendor must provide a dedicated (100%) Project Manager with authority for all Prime Vendor resources and subcontractors as applicable for the software provider, hosting/cloud provider, systems integrator, all subcontractors and third-party software. Please confirm this proposal meets this requirement.
- 2.4.7 Does the Prime Vendor warrant the functionality of the software as both demonstrated and agreed to in **Attachment B Functional Matrix**?
- 2.4.8 Confirm that all the Prime Vendors, Product Vendors and any allowed sub-consultants have provided evidence of financial stability and strength as part of this RFP. This can be demonstrated in a number of ways, including:
  - a. A strong rating on its outstanding equity or debt securities from independent rating agencies such as Standard & Poor's or Moody's and/or a strong credit rating from Dunn and Bradstreet.
  - b. Audited financial statements that are sufficient to test for financial strength using standard financial analysis and ratio.
  - c. RWA may consider factors outside of this RFP to meet the minimum requirements.
- 2.4.9 Confirm all solution costs have been provided for the preferred implementation timeline as presented in Section 7 (Implementation Information) of the RFP.
- 2.4.10 Confirm that all solution costs, including travel and fees, are fixed price.
- 2.4.11 Confirm all documents and attachments related to the RFP are included as part of this submittal.
- 2.4.12 Confirm that all Vendors and subcontractors meet any applicable Connecticut state or Federal laws at the time of submission.

- 2.4.13 Confirm that all Vendors and subcontractors meet the minimum Insurance Requirements as outlined in Section 9.01 of **Attachment 1 – Master Professional Services Agreement**.
- 2.4.14 Confirm that Vendors and subcontractors have submitted the signed **Confidentiality Agreement** when responding to **Attachment F – Intent to Respond or Decline and Confidentiality Agreement**.
- 2.4.15 Confirm that Vendors and subcontractors have submitted the signed **Attachment N - Non-collusive Bidding Certification** and the signed **Attachment O - Nondiscrimination Certification** as part of this submittal.

## 3.0 Qualifications and Profile

This section will highlight the Vendor's CIS, FMWM and CRM experience in work of a similar nature and magnitude to that being proposed to RWA. Experience should be associated with projects completed not more than five (5) years prior to the date of this RFP.

If the Prime Vendor responsible for implementing the project intends to use Third-parties to deliver the products or services to be performed, additional information about those entities shall also be provided in Section 3.2 below.

### 3.1 Prime Vendor Profile

Please provide the following information:

- 3.1.1 A brief corporate history.
- 3.1.2 Information regarding mergers or acquisitions that the organization has been involved in within the last five years. Explain the impacts to Vendor's organization.
- 3.1.3 Implementation-related litigation (pending, active, or resolved) that has been filed against the Vendor within the last three years. Describe the nature of each litigation event and any other pertinent information relating to the litigation event.
- 3.1.4 Describe the Vendor's office locations. Indicate where the proposed staff members are located.
- 3.1.5 Describe the Vendor's involvement, if any, in strategic relationships with other organizations in matters relevant to this proposal.
- 3.1.6 Describe the involvement of Vendor's senior management
- Throughout the implementation phase(s)
  - Post go-live
- 3.1.7 Describe the long-term commitment to the CIS, FMWM and CRM marketplace as it relates to the utility market. This should highlight Vendor's sustainability in these verticals.
- 3.1.8 Provide the following information for **all** CIS, FMWM and CRM implementation projects completed in the last five years as well as **all** active CIS, FMWM and CRM implementations and major upgrades:
- Utility Name
  - Scope of Project including whether an implementation or upgrade
  - Implementation Timeline

- Contract Date
  - Go-Live Date (anticipated or actual)
  - # of Change Orders
    - Provide details on change orders that affected contract cost or project schedule.
  - Initial Contract Cost
  - Total Cost
  - Primary team members
    - Highlight team members that are proposed as part of this response
- 3.1.9 List and describe other Utilities that have implemented and currently operate the proposed solutions.
- 3.1.10 Describe how you would provide your most experienced team in the event you win the RWA contract and ensure resource availability throughout all phases of the project given the proposed timelines. Please identify these resources as Attachment M - Résumés.

## 3.2 Third-party Profile

For any third-party (subcontractors, integrators, or software providers) participating in this response, please provide the following information:

- 3.2.1 Name of 3<sup>rd</sup> party and a brief corporate history.
- 3.2.2 Information regarding mergers or acquisitions that the Third-party has been involved in within the last five years. Explain the impacts to Third-party's organization.
- 3.2.3 Has any implementation related litigation (pending, active, or resolved) been filed against the Third-party within the last three years? If yes, describe the nature of each litigation event and any other pertinent information relating to the litigation event.
- 3.2.4 Describe the Third-party's office locations. Indicate where the proposed staff members are located.
- 3.2.5 Describe the Third-party's involvement, if any, in strategic relationships with other organizations in matters relevant to this proposal.
- 3.2.6 Describe the involvement of Third-party's senior management
- Through the implementation phase(s)
  - Post go-live
- 3.2.7 Describe the long-term commitment to the CIS, FMWM and CRM marketplace as it relates to the utility marketplace. This should highlight the Third-party's sustainability in these verticals.
- 3.2.8 Provide the following information for **all** CIS, FMWM and CRM implementation projects completed in the last five years as well as **all** active CIS, FMWM and CRM implementations and major upgrades:
- Utility Name
  - Scope of Project including whether an implementation or upgrade
  - Implementation Timeline

- Contract Date
  - Go-Live Date (anticipated or actual)
  - # of Change Orders
    - Provide details on change orders that affected contract cost or project schedule.
  - Initial Contract Cost
  - Total Cost
  - Primary team members
- 3.2.9 Highlight team members that are proposed as part of this response and attach resumes as Attachment M - Résumés.
- 3.2.10 List and describe other Utilities that have implemented and currently operate the proposed solution in the municipal marketplace.
- 3.2.11 Describe how you would provide your most experienced team in the event you win the RWA's contract and ensure resource availability throughout all phases of the project given the proposed timelines.
- 3.2.12 Describe the projects where you have worked with the Primary Vendor.

### 3.3 Software Account Management

RWA is interested in a long-term, successful contractual relationship with the selected software Vendor(s). To that end, provide information that will support the Vendor's desire to establish such a relationship(s). Please fill out this section for each software proposed if separate.

- 3.3.1 Describe the designated person(s) that will manage the long-term business relationship with RWA. Include the same individual's information in Attachment M - Résumés.
- 3.3.2 Where do the individual(s) reside within the organizational structure?
- 3.3.3 When, where, and how do account management personnel become involved with the project?
- 3.3.4 Do the individual(s) have a sales quota?
- 3.3.5 How many other customers do the individual(s) manage?
- 3.3.6 How often will the individual(s) travel to RWA?
- 3.3.7 Are travel and on-site visits client-funded? If so, describe the costs associated with on-site visits.
- 3.3.8 Describe your methodology for receiving, addressing and resolving deficiencies and errors identified by client and proactively communicating known system deficiencies and errors. How do you ensure these are addressed in a timely manner?

### 3.4 Other Participants Account Management [Optional]

RWA is interested in a long-term, successful contractual relationship if applicable with the system integrator and Third-party providers. To that end, provide information that will support the Vendor(s) desire to establish such a relationship.

- 3.4.1 Describe the designated person(s) that will manage the long-term business relationship with RWA's. Include the same individuals' information in Attachment M - Résumés.

- 3.4.2 Where do the individual(s) reside within the organizational structure?
- 3.4.3 When, where, and how do account management personnel become involved with the project?
- 3.4.4 Do the individual(s) have a sales quota?
- 3.4.5 How many other customers do the individual(s) manage?
- 3.4.6 How often will the individual(s) travel to RWA's?
- 3.4.7 Are travel and on-site visits client-funded? If so, describe the costs associated with on-site visits.
- 3.4.8 Describe your process for receiving, addressing and resolving deficiencies and errors identified by the client.
- 3.4.9 Describe your methodology for proactively communicating known system deficiencies and errors. How do you ensure these are addressed in a timely manner?

## 4.0 Software Summary

Please describe the proposed software solution(s) providing the following information:

- 4.0.1 Provide an overview of the **required solution(s)**: Customer Information System (CIS), Field Mobile Work Management (FMWM) and Customer Relationship Management (CRM). This should include the standard and Ad-Hoc Reporting/Query capabilities of each system.
- 4.0.2 Provide CIS utility market share information related to the proposed primary CIS products.
- 4.0.3 Provide FMWM utility market share information related to the proposed FMWM product.
- 4.0.4 Provide Optional CRM utility market share information related to the proposed CRM product.
- 4.0.5 For each application proposed, Describe the Vendor's unique business value based on the current software solution and how it relates to future plans.

### 4.1 Customer Information System (CIS)

#### 4.1.1 CIS SOLUTION LOOK AND FEEL

Please provide the following required screenshots / examples detailing the interaction between CIS and the related systems (please do not annotate the screenshots). Note: Screenshots must be current.

4.1.1.1 CSR typical views (multiple portal views are required) including but not limited to:

- Customer CSR Landing with collection activity
- Customer usage history
- Customer payment history
- One customer with multiple service locations
- One customer with multiple services

4.1.1.2 Account Maintenance screen

4.1.1.3 Premise/Service Maintenance screen



4.1.1.4 Meter/AMI Management screens

4.1.1.5 Cashiering screen

4.1.1.6 Billing screen

4.1.1.7 Rate Setup screen

4.1.1.8 Account Ledger screen

4.1.1.9 Service Order screens

- Creation screen
- Scheduling/assigning screen
- Service order status screen
- Field personnel completion screen

4.1.1.10 A view of the proposed dashboards/KPI Views

4.1.1.11 A view of help documentation and search capabilities

## 4.1.2 CIS PRODUCT RESEARCH AND DEVELOPMENT

4.1.2.1 Provide the functional and technical product roadmap and development plan for the proposed software solution(s) as Attachment K to the Proposal.

4.1.2.2 Provide a summary of future product plans that may be pertinent to the RWA's project.

4.1.2.3 Describe the process for customer requests becoming part of your base product and release strategy.

4.1.2.4 Describe your current backlog of customer requests.

4.1.2.5 What is the amount/percentage of client-funded and/or company-funded research and development for the CIS application?

4.1.2.6 What amount/percentage of licensing and maintenance is dedicated to research and development for the CIS application?

## 4.1.3 CIS USER CONFERENCES AND GROUPS

4.1.3.1 Does the Vendor sponsor a user conference and/or regional user groups?

4.1.3.2 What are the primary types of activities at the user conference?

4.1.3.3 Are there costs in addition to the annual maintenance fees for attendance at the user conference? If so, please define all costs.

4.1.3.4 How many and what type of utility companies were represented at the Vendor's last user conference?

4.1.3.5 Provide a copy of the program from the Vendor's most recent user conference.

4.1.3.6 What conference processes or activities guarantee RWA will have influence and feedback into future product functionality and releases?

4.1.3.7 Is there an online and/or regional user group community?

4.1.3.8 If so, please provide the organizations that participate in the regional group.

- 4.1.3.9 Please describe your user advisory board and the typical activities conducted on a monthly, quarterly, and yearly basis.
- 4.1.3.10 How many customers participate in your user advisory board and describe their role in their organization?

## 4.2 Field Mobile Work Management (FMWM)

### 4.2.1 FMWM SOLUTION LOOK AND FEEL

Please provide the following required screenshots (please do not annotate the screenshots). Note: Screenshots must be current.

- 4.2.1.1 A view of the user landing page
- 4.2.1.2 Service Order information displayed on tablets, handhelds etc.
- 4.2.1.3 Any other screens Vendor feels highlights the uniqueness of their product
- 4.2.1.4 A view of the proposed dashboards/KPI Views
- 4.2.1.5 Abilities to open, update, close Service Orders in field.
- 4.2.1.6 Abilities for intelligent scheduling and/or dispatching.

### 4.2.2 FMWM PRODUCT RESEARCH AND DEVELOPMENT

- 4.2.2.1 Provide the functional and technical product roadmap and development plan for the proposed software solution(s) as Attachment K to the Proposal.
- 4.2.2.2 Provide a summary of future product plans that may be pertinent to the RWA's project.
- 4.2.2.3 Describe the process for customer requests becoming part of your base product and release strategy.
- 4.2.2.4 Describe your current backlog of customer requests.
- 4.2.2.5 What is the amount/percentage of client-funded research and development for the FMWM application?
- 4.2.2.6 What amount/percentage of licensing and maintenance is dedicated to research and development for the FMWM application?

## 4.3 Optional Customer Relationship Management (CRM)

### 4.3.1 CRM SOLUTION LOOK AND FEEL

Please provide the following required screenshots (please do not annotate the screenshots). Note: Screenshots must be current.

- 4.3.1.1 Describe the history of your CRM. If you partner with a third-party CRM provider, indicate why you have selected the third party and where have you worked with the third party previously.
- 4.3.1.2 A view of the main landing page
- 4.3.1.3 Any other screens Vendor feels highlights the uniqueness of their product

- 4.3.1.4 Describe how your CRM would promote the marketing and sales process, specifically how could the CRM be used to expand commercial enterprises revenue opportunities like the PipeSafe.
- 4.3.1.5 Describe how the CRM would be integrated with CIS information.
- 4.3.1.6 Describe reporting capabilities of the CRM.
- 4.3.1.7 A view of help documentation and search capabilities

#### 4.3.2 CRM PRODUCT RESEARCH AND DEVELOPMENT

- 4.3.2.1 Provide the functional and technical product roadmap and development plan for the proposed software solution(s) as Attachment K to the Proposal.
- 4.3.2.2 Provide a summary of future product plans that may be pertinent to the RWA's project.
- 4.3.2.3 Describe the process for customer requests becoming part of your base product and release strategy.
- 4.3.2.4 Describe your current backlog of customer requests.
- 4.3.2.5 What is the amount/percentage of client-funded research and development for the CRM application?
- 4.3.2.6 What amount/percentage of licensing and maintenance is dedicated to research and development for the CRM application?

## 5.0 Business Outcomes

**Note:** The purpose of this section is to highlight how the proposed software solutions will be implemented to address RWA's business needs and certain outcomes. Responses must highlight the opinions, approaches, and experience of the implementation team/department.

5.0.1 Provide an overview of your experience implementing each of the following:

- The Proposed CIS Solution
- The Proposed FMWM Solution
- The Proposed CRM Solution

### 5.1 General CIS

- 5.1.1 Discuss how the proposed system will allow RWA to understand the "Customer Journey". RWA desires the ability to quickly identify a customer "persona" or profile based on their Journey. Describe how the proposed solution can help achieve this and discuss any implementations where you have achieved this.
- 5.1.2 Describe how you have used intelligent workflows to automate and improve customer service and billing processes for the following: start/stop service, cancel/rebill over multiple periods and rate changes, payment arrangements/installment plans, billing validations, billing editing, and correction of crossed meters. Please be specific and reference specific implementations.
- 5.1.3 Describe how your system handles multiple levels of approval (especially for adjustments) automatically through intelligent work queues.
- 5.1.4 Describe an implementation where the proposed solution enhanced customer satisfaction.

- 5.1.5 Describe how the proposed solution will help RWA reduce the cost and time needed for training new CSRs and functional staff.
- 5.1.6 Describe how the solution will improve access to information within the customer interaction screens and reports. Explain how your system is configured to provide pertinent role-based information.
- 5.1.7 Describe the system safeguards that are available to help prevent billing errors and how billing accuracy can be monitored within the proposed solution.
- 5.1.8 Explain how your system can recover from incorrect billing or data entry.
- 5.1.9 Describe how you have successfully integrated with ESRI GIS to exchange meter information, coordinates, and provide CSR support information.
- 5.1.10 Describe how consumption and billing data can be analyzed and used for financial comparisons and to provide customers with meaningful information.
- 5.1.11 Describe how you have successfully integrated with CTI systems and utilized the IVR functionality to increase customer service and CSR notification of a contact.
- 5.1.12 RWA currently performs all billing specific VEE activities in their CIS system and MeterSense MDMS sends register readings for billing. Discuss your CIS meter reading validation methodology.
- 5.1.13 Describe how the CIS would automate invoicing for Water Testing Services using the examples listed in the water testing types in Attachment 5 – Water Testing Types.
- 5.1.14 RWA is interested in promoting services to water customers and non-water customers related to the PipeSafe Protection Program and other Commercial Enterprises services in the future. Describe how your solution supported non-commodity billing at other utilities using the proposed solution.
- 5.1.15 Discuss the data migration capabilities of your solution. Do you provide tools and the ability to select a subset of customers, accounts, premises, services and meters and copy the corresponding data to populate a testing, training and/or pre-production database instance?

## **5.2 Field Mobile Work Management**

- 5.2.1 Discuss an implementation in which you integrated with a field mobile system to achieve real-time information for field workers and CSR's. Describe how the proposed solution will bring efficiencies to RWA's field services operations.
- 5.2.2 Describe additional benefits of the proposed FMWM system.
- 5.2.3 Discuss how the proposed FMWM and CIS system can take advantage of AVL information. Please provide real examples where you have implemented this functionality.
- 5.2.4 RWA has a need to create new service orders and close services orders out in the field when a technician works an issue (orders originate from the field vs. CIS). Discuss how your integration between CIS and FMWM would enable this functionality.
- 5.2.5 Discuss the steps necessary to resync transactional data in the event of a communication system outage (either CIS or FMWM).
- 5.2.6 RWA implements new service orders from time to time and desires the ability to configure these both in CIS and FMWM without programmatic intervention. Discuss how this can be accomplished with the proposed integration.

- 5.2.7 Discuss how you have implemented meter geocoding utilizing the mobile solution.
- 5.2.8 Discuss the appointment booking and scheduling capabilities of the proposed FMWM and how you envision this being implemented at RWA.
- 5.2.9 Discuss the workforce leveling and auto-dispatch capabilities of the proposed system. Please reference specific implementations where this functionality was rolled out.

### **5.3 Customer Communications**

- 5.3.1 Describe any capabilities for automatic letter and/or service order generation. Do the auto-generation capabilities depend upon (and can they take advantage of) any word processing applications, e.g., Microsoft Word?
- 5.3.2 Discuss systems capabilities to provide communications via multiple channels such as print, email, text, social media, etc.
- 5.3.3 Can letters & service order formats and content be easily modified by system users with appropriate security? Please provide information about the product proposed.
- 5.3.4 Describe the options for retention, archiving, viewing, and reprinting of bills, reports and/or letters.
- 5.3.5 Describe any shared pre-configured formats, integration capabilities, and business relationships with Kubra.
- 5.3.6 What data elements are available for inclusion in the billing data extract file? Is programming required to add new elements to the bill that are not contained on the extract file?
- 5.3.7 Describe the capability for targeted communications to select and/or specific customers.

### **5.4 Optional Customer Relationship Management**

- 5.4.1 Describe in detail the CRM capabilities of the proposed CRM solution.
- 5.4.2 Is the CRM capability part of the proposed system or a separate application?
- 5.4.3 Describe advantages of your CRM in promoting new sales initiatives.
- 5.4.4 Describe how the capabilities of your CRM solution have helped utilities promote new products and services
- 5.4.5 Describe the automation between the CRM and CIS.
- 5.4.6 Describe the dashboarding and reporting capabilities of the CRM.
- 5.4.7 RWA is interested in promoting services to water customers and non-water customers related to the PipeSafe Protection Program and other Commercial Enterprises services in the future. Describe the marketing automation, (e.g., emails, letters) and capabilities of the CRM based on criteria defined by the utility and how the CRM would assist in promoting these services.
- 5.4.8 Describe how the CRM solution can be integrated with email, social media, IVR, CTI and other tools.

### **5.5 Batch Processing/Scheduling**

- 5.5.1 Describe in detail the scheduling capabilities of the proposed Batch Scheduling solution.
- 5.5.2 Is the batch processing capability part of the proposed system or a separately bolted-on application?

- 5.5.3 Describe the restart process if a batch program failure occurs. Describe the roll-back and commit processing of a batch program. Do these vary by program?
- 5.5.4 Do you provide a tool for monitoring and managing batch jobs? If so, please describe. If not, how are batch failures monitored, and is there a notification process (email/text/etc.)?
- 5.5.5 Can RWA define run criteria; dependencies; pre-, co-, and post- requisites; incompatibilities; and prioritization rules? How are these defined, managed, changed/updated? Is programming or vendor involvement needed?
- 5.5.6 Describe the documentation that Vendor provides surrounding batch processing and job dependencies including inputs and outputs. Provide a sample.
- 5.5.7 Describe any special periodic jobs (monthly, quarterly, yearly, cleanup and fixes, special requests) that may be run or that must be run in the scheduler.
- 5.5.8 Can batch processes be run with a basis date other than the current date?
- 5.5.9 Can users access the System during the batch processing? Describe. Explain read-only and update capabilities of user access during the batch processing. What level of DB locking is utilized?
- 5.5.10 Can the batch schedule be updated to add new processes? Please describe.
- 5.5.11 Can scheduled batch or internal processes have linked dependencies to other processes and can they be easily determined, identified, and viewed?
- 5.5.12 Describe the batch schedule history data and interface and the future scheduling interface.

## 6.0 Project Implementation Information

This section of the Response Template should be a narrative description that supports the Vendor's implementation methodology and Project Plan. A Gantt chart representative of the implementation plan schedule along with the MS project plan must be provided as an attachment (Attachment L – Implementation Schedule – Project Plan).

An RWA-specific Project Plan shall be provided in an electronic version using Microsoft Project. This Project Plan should reflect the implementation methodology described in Vendor's Proposal to this RFP. The Project Plan should outline the activities, project schedule, vendor resources, RWA's resource requirements, interdependencies, and critical milestones for the project. The submitted Project Plan must contain a detailed System Acceptance Plan, including the phase entry and exit criteria that will lead to system final acceptance. Vendor shall provide the following in their Project Plan:

- A two-month System Acceptance Period included in the Post Go-Live timeframe (See RFP Section 7.4.10)
- Three months of Post Go-Live On-site Services (See RFP Section 7.4.11)

### 6.1 Implementation Overview

- 6.1.1 Clearly identify and lay out the software implementation and support strategy being proposed. (Software as a Service, Platform as a Service, Managed Services, etc.)
- 6.1.2 Explain why the Vendor believes they can provide the best service to RWA during implementation, post go-live through post-final acceptance and support services long term.

- 6.1.3 Provide a description of the process that will be utilized by the implementation team in developing custom ad-hoc reports/queries. Provide a summary of typical hours required to develop those while cross-training the RWA team.
- 6.1.4 Explain the training methodology that will be utilized and the advantages.
- 6.1.5 Describe your quality control methodology used throughout the project.
- 6.1.6 How does the Vendor assist the utility in preparing for and implementing organizational change based on the new software?

## **6.2 Project Management**

The Prime Vendor will be responsible for providing professional project management of the solution which includes managing the cost, schedule, quality, and scope and will report to the RWA project manager. The Prime Vendor's Project Manager (PM) should be 100% assigned to RWA. Based on this requirement, provide the following information:

- 6.2.1 Please describe the overall project management methodology. Describe how the project management function will be executed and what to expect from the Project Manager.
- 6.2.2 Describe what makes your Project Management Office unique, different, and competitive.
- 6.2.3 Describe how the Project Manager will manage the scope to ensure the project remains on time and on budget.
- 6.2.4 Discuss your proposed change control process. Describe how the Vendor identifies business requirements and manages the change of business requirements.
- 6.2.5 Describe the estimated amount of time the Project Manager and other staff resources will be on-site at RWA's location in support of the project.
- 6.2.6 Describe how the Vendor will communicate the project status to the Project Team and the various levels of RWA's management.
- 6.2.7 If the project begins falling behind schedule, how would the Vendor regain lost time and complete the project on time?
- 6.2.8 Describe the process for tracking deficiencies and managing the correction of those deficiencies.
- 6.2.9 RWA will contract for a full-time client-side project management service. Explain how you have successfully worked with such a structure.
- 6.2.10 Describe the process for conflict resolutions, both internally and externally.

## **6.3 Risk Management**

- 6.3.1 Explain how the Vendor tracks potential project risks.
- 6.3.2 Explain how the Vendor identifies, communicates and determines, with the client, an acceptable level of risk.
- 6.3.3 Describe risk-sharing strategies employed by the Vendor.
- 6.3.4 Describe the detailed risk management plan, tracking and mitigation process to be included as part of this implementation.

## **6.4 Project Tools**

- 6.4.1 Describe which tools the Project Manager and Project Team utilizes to assist with the management of the project.



- 6.4.2 Are these tools provided to the team as part of the implementation project?
- 6.4.3 Are the tools provided online? If so, please provide screenshots of some of the primary screens.
- 6.4.4 Can RWA retain the project information and the tools after the project has been completed? If yes, describe how the data will be accessed. Does Vendor license these tools as part of its normal licensing procedure?
- 6.4.5 Are there any additional costs, fees, and/or subscriptions to utilize these tools?
- 6.4.6 Please describe the maintenance effort required to support the toolset and identify who will perform the required support and maintenance.
- 6.4.7 Discuss and describe your use of the following tools:
  - Testing Management
  - Defect Management
  - Configuration Change Management

## 6.5 Staffing Plans

- 6.5.1 Provide the staffing requirements for the proposed implementation plan. Based on the proposed plan, identify the staffing requirements for RWA, the Vendor, and any Third-party by using RFP Attachment D – Staffing Matrix.
- 6.5.2 Describe where RWA's resources do not meet (if any) the necessary staffing levels to facilitate a successful project. Discuss Vendor's approach to solving the resource constraints as evidenced in the Project Plan and Project Staffing.
- 6.5.3 Describe how RWA's resources will be used during the implementation.
- 6.5.4 Describe what RWA resources will be needed to support the system long-term following the implementation.
- 6.5.5 Describe your best practices in managing the system post go-live.

## 6.6 Core Implementation Services & Methodology

The following section of the proposal should address the Vendor's implementation methodology as per the project plan provided in Attachment L. Please return an electronic copy of this information along with the hardcopy. As described in Section 7 of the RFP, we have identified typical project phases; **please modify these topics to correspond with the Vendor's specific methodology.**

**For each of the specific project phases** as recommended by Vendor, identify the Vendor's approach to implement the solution. Describe the methodology for the major activities of the implementation. For each phase, discuss the following and any other information necessary to communicate the process:

- |                                      |  |
|--------------------------------------|--|
| • Project Initiation                 | • Training   |
| • Hardware and Software Installation | • Data Conversion                                      |
| • Requirements Analysis/Gas Analysis | • Testing  |
| • Software Configuration             | • Configuration Fine Tuning & Perpetration for Go-live |
|                                      | • Solution Go-live                                     |



- Post Implementation Support

## 6.7 Implementation of Other Services

### 6.7.1 DATA CONVERSION

Provide a thorough description of the different options for Data Conversion that includes processes, responsibilities and time required to convert RWA's Data. Please be specific.

RWA is looking to vendors to suggest the best solution to manage the volume of historic data as referenced in RFP 7.4.7. Describe your recommended migration and archiving approaches.

### 6.7.2 CUSTOM DOCUMENTATION

The Vendor will be responsible for the complete delivery of all documentation related to any custom modifications or interfaces developed for RWA. Describe the process and costs for the development of custom documentation that describes the base system technology as configured for RWA. Please identify these costs in the Cost Matrix and return as Attachment C.

### 6.7.3 DATA MODEL AND DOCUMENTATION

Please provide a copy of your data model and related documentation.

## 6.8 Required Training Courses

- 6.8.1 Please outline the courses that RWA's technical staff will be required to take in order to provide the necessary support needed to maintain the system(s) and hardware through implementation, final acceptance, and the maintenance and support periods. Explain the functional responsibilities covered in each course and the expected audience member's roles and positions at RWA's.
- 6.8.2 Please outline the courses that RWA's non-technical staff will be required to take in order to provide the necessary support needed to maintain or operate the system(s). Explain the functional responsibilities covered in each course and the expected audience member's roles and positions at RWA's.
- 6.8.3 Provide a list of optional courses including duration, availability, locations, and costs. Place costs in Attachment C – Cost Matrix.
- 6.8.4 The Vendor will be required to train a core group of **50-60** technical and non-technical RWA staff. In turn, RWA will provide training to primary, secondary, and casual system users ("Train-the-Trainer" approach).
- 6.8.5 Vendor will be responsible for the overall training plan and materials. Discuss the timing of the courses. For example, what courses should be conducted before or during the implementation?
- 6.8.6 Should RWA request additional training, put your hourly rate in the Attachment C – Cost Matrix in the Hourly Rates tab.

## 6.9 Testing Cycles

- 6.9.1 Describe your testing methodology and processes for following test cycles:

- Functional testing
  - Integration testing
  - Daily operations testing
  - User acceptance testing
  - Performance and scale testing
- 6.9.2 Describe your mock go-live/dress rehearsal process. How many do you typically perform?
- 6.9.3 Describe the checkpoints or validations that you perform to ensure that data conversion is correct?
- 6.9.4 Describe your process around bill parallel or the types of processes you use to ensure that bills are accurate and will go out correctly during go-live.
- 6.9.5 Please provide 2-3 current sample test scripts that have been utilized on a recent project of similar complexity.

## 7.0 Offshoring Questionnaire

In the event a Vendor intends to use offshore resources for any component of the Implementation or support and maintenance, please complete the following.

- 7.0.1 What are the specific North American locations of Vendor's data centers including disaster recovery sites?
- 7.0.2 What work will be performed offshore?
- 7.0.3 Specifically, where would any offshore work occur (city and country)?
- 7.0.4 How will work be scheduled?
- 7.0.5 Is there regular communication between the offshore team and RWA's personnel?
- 7.0.6 If so, verify these conversations, video sessions, etc. will occur during normal RWA's business hours (8am – 5pm Eastern Time).
- 7.0.7 How will work be tested prior to release to RWA?
- 7.0.8 Describe the method that will be used to ensure that system configuration and tools will be used before custom coding?
- 7.0.9 What is the approval process if custom coding is needed?
- 7.0.10 What guarantees does RWA have that code is high-quality upon arrival?
- 7.0.11 How will knowledge transfer be managed?
- 7.0.12 Will there be a U.S.-based manager (single point of contact) that will manage the offshore resources on behalf of RWA?

- 7.0.13 Does the offshore resource(s) need network access into RWA? What type of access if required?
- 7.0.14 What type of security is in place to ensure no unauthorized code, viruses, malware, or other attacks will prevent access to sensitive data?
- 7.0.15 How do you protect customer information?
- 7.0.16 Will the offshore resources ever travel to RWA? If so, what guarantees does RWA have that all personnel will have proper Visas, travel documents and are able to legally travel to the U.S.? Account for any offshore travel expenses in Attachment C - Cost Matrix.

## 8.0 Required Proposal Attachments

Vendor shall include the following documents as attachments to its Response Proposal, referring to each by the alpha sequence below. Electronic Files should be submitted using the following naming convention: Attachment X\_RWA\_Document Name\_VendorName. Attachment F – Intent to Respond or Decline and Confidentiality Agreements as described in Section 3.18 of the RFP.

Attachment	Document Name	Template Provided?
A.0	Response Template	Y
A.1	Cloud Solution Questionnaire	Y
A.2	On Premise Solution Questionnaire	Y
B	Functional Matrix	Y
C	Cost Matrix	Y
D	Staffing Matrix	Y
E-R	Application Interface Worksheet	Y
F	Intent to Respond or Decline and Confidentiality Agreement Submit per Section 3.18 of the RFP	Y
G	RFP and Contract Exceptions	N
H	Standard Contract Package including any proposed SLA Agreements	N
I	References	N
J	Financial Information	N
K	Product Roadmap	N
L	Implementation Schedule and Gantt Chart	N
M	Résumés	N
N	Non-Collusive Bidding Certification	Y

Attachment	Document Name	Template Provided?
O	Nondiscrimination Certification	Y

## Attachment A.1 Cloud Solution Questionnaire

Vendor must complete the Cloud Solution Questionnaire A.1.

## Attachment A.2 On Premise Solution Questionnaire

Vendor must complete the On Premise Solution Questionnaire A.2 if proposing an on premise solution.

## Attachment B Functional Matrix

Complete and return the Functional Matrix Templates that are provided with the RFP package. Please complete all tabs. **Vendor MUST NOT change the format of the matrix. Return the document in electronic format using Microsoft Excel.**

A	B	C	D	E	F	G	H	I	J
Application	Requirement	Tab	Category	Sequence	Requirement Description	Vendor Weight	Is Functionality Included In Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version

**Column G – Vendor Response:** The following table outlines the possible values for Column G – based on Vendor functionality. Any requirement that is not answered will be given a weight of 0. In addition, any requirement that is not included in the cost will also be given a weight of 0.

Vendor Functional Matrix Responses		
25	Provided as part of base system.	No Modification is required. Desired functionality is achieved through configuration and is part of base Code. Cost of configuration is part of solution implementation.
20	Provided in base of next release.	No modification is required. Future release will include desired requirements at no cost in time for integration testing.
15	Base will require some enhancements	Enhancements are classified as minor coding utilizing system defined user exits with costing between \$1,000 - 15,000
10	Base will require minor software coding	Enhancements or modifications using established user exits or minor custom coding costing between \$15,001 - 35,000
5	Base Code will have to be modified	Modifications that require substantial development and coding costing between \$35,001 - \$75,000
1	Extensive modification to base code	Extensive development effort is required resulting in development and coding costs from \$75,001 - over \$100,000
0	Software can not be enhanced or modified	The development of this function is not possible with this application

**Column H – Is Functionality Included in Price (Yes or No):** By stating “Yes” in Column H, the functional item is included in the cost. Any development and configuration is the responsibility of the Vendor. The Vendor is responsible for delivering the functionality by Go-Live.

**Column I – Name of System or Module that provides this Functionality:** Due to the complex nature of the systems purchased and the associated modules for sharing of data and functionality, it is imperative that the Vendor identify which module will provide the **core functionality** for this requirement. *System or Module name must be specific.*

**Column J – Version:** Name the version of the software being proposed for this functionality.

## Attachment C Cost Matrix

Vendor **must** use the provided Cost Matrix. Please complete all tabs.

The easiest way to complete the Cost Matrix is to start with the Cover Tab then move to the different tabs within the Cost Worksheet – working the remainder from left to right. *Do not modify the Summary worksheet.* The Cost Matrix contains links and other pre-defined calculations. Once complete, the Vendor should validate the Summary worksheet for accuracy and understanding.

## **Attachment D   Staffing Matrix**

Complete and return Response Template Attachment D – Staffing Matrix provided with the RFP package. Please complete all tabs.

The Staffing Matrix is used to understand RWA's and Vendor's staffing levels throughout the duration of the system implementation. Vendor should clearly outline skill sets, FTE counts, and other resources required for both RWA's and all Vendor resources, including Third-parties, if appropriate. Information in the initial tab indicates the maximum staffing levels RWA is able to provide and must be used as a reference for Vendor.

## **Attachment E-R   Application Interface Worksheet**

Referring to Attachment E - Application Interface Details, describe how you will integrate these systems with the proposed systems using Application Interface Worksheet. For example, and not limited to, would you use SOA, XML, web services, or some type of hard-coded flat file programming tools Please explain the Vendor approach to the interface in Column G. RWA expects this functionality to be part of the new system.

## **Attachment F   Intent to Respond or Decline and Confidentiality Agreement**

Vendor must return the Intent-To-Respond or Decline document as indicated by Section 3.18 of the RFP. Requests received after this time may not be honored. This Attachment is also the method by which Vendors submit their preferences for the discovery session.

## **Attachment G   RFP and Contract Exceptions**

Vendors must clearly identify any exceptions to this RFP or to Attachment 1 - Master Professional Services Agreement (MPSA). RWA expects the vendor to redline the MPSA and associated appendices and schedules. In addition, please state any and all Additions, Deletions and Exceptions that you are taking to any portion of this proposal. If not addressed in Attachment G, then RWA assumes that the vendor will adhere to all terms and conditions listed.

## **Attachment H   Standard Contract Package & Proposed SLA's if applicable**

The Vendor shall submit their standard contract package and any proposed SLA's.

## Attachment I References

The Vendor shall submit a minimum of **four (4)** customer references for **each** proposed solution, with at least one water utility reference. References **must** relate to projects implemented within the last five years. Vendor's submission of these references constitutes Vendor's certification that customers named have agreed to be contacted. **RWA requires that at least one (1) reference be provided from an active implementation or from the most recently completed implementation for CIS.** Provide the following information for each:

- Utility Name
- Address
- Utility services and number of meters
- Contact name, current phone number and email address
- Date implementation started
- Integrator used (if any)
- Beginning price
- Ending price
- Change orders
- Go live date
- Original implementation version
- Current version
- Any third-party solutions that are similar to the ones being proposed to RWA
- Other pertinent information about the references can also be included

## Attachment J Financial Information

Vendors **must** submit the following information in a separate file for review.

- A detailed and audited copy of the Vendor's Profit and Loss Statement and Balance Sheet generated in the last three accounting years. These copies are to include assets (current, other, fixed and equipment), liabilities (current and other), as well as banking references.
- A breakdown of the Vendor's revenues and expenses dedicated to the research and development of the proposed solutions.

## Attachment K Product Roadmap

Describe how you have met your Product Roadmap objectives for the past 5 years. Provide any current and future product or service plans (including timelines) that may be pertinent to RWA. In addition, provide your formal product plans. If the Functional and Technical Roadmaps differ between the proposed solutions, please return CIS as K.1 CIS Roadmap, FMWM as K.2 FMWM Roadmap, and CRM as K.3 CRM Roadmap.



## **Attachment L Implementation Schedule – Project Plan**

Provide a Gantt chart summarizing the major phases of the project implementation based on Vendor's methodology. The chart must include phase description and duration (in days) and graphically represent the phase dependencies. Also, include a soft copy in Microsoft Project format (.MPP) and a copy in PDF format. The electronic copy should reflect activities, resources and hours to complete the project. The submitted Project Plan must contain a detailed Final System Acceptance Test Plan that includes both phase entry and exit criteria that will lead to final system acceptance.

## **Attachment M Implementation Team Résumés**

Provide Résumés for the implementation team the Vendor or Third-party expects to utilize for this project. Clearly identify:

- Resource type and description at the top of each Résumé.
- Clearly identify the years of expertise tied to their particular discipline that will be provided in this project.
- These descriptions of resource types should correspond to the methodology provided and described in this document.

## **Attachment N Non-Collusive Bidding Certification**

SIGN, NOTARIZE AND SUBMIT.

## **Attachment O Nondiscrimination Certification**

SIGN AND SUBMIT.

\*\*\*\*\* END OF A.0 RESPONSE TEMPLATE \*\*\*\*\*





# A.1 Cloud Solution Questionnaire

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Customer Information System, Field Mobile Work Management, Customer  
Relationship Management and Implementation Services

Issue Date: 09/23/2021

RFP#B09092100

RWA will consider Cloud solutions (e.g., hosted, SaaS, etc.) for its CIS and FMWM project. The following questions will help RWA understand your organization's proposal and the characteristics of the Cloud solution.

Additionally, the Vendor must provide a cost proposal that identifies software, project management, configurations, product modifications, and interfaces as they relate to the proposed solution. Please complete Attachment C - Cost Matrix.

## 1.0 Overview

### 1.1 Description of Services Provided

- 1.1.1 Please provide a high-level network diagram with the interconnectivity between the cloud providers and applications and on-premise applications. Include known RWA interfaces if possible.
- 1.1.2 Describe how the IT Infrastructure will be managed, including major functions performed under the contract and who is responsible.
- 1.1.3 Describe Business Continuity and Disaster Recovery functions that will be performed under the contract and who is responsible.
- 1.1.4 Detail the Performance and Capacity Management functions that will be performed under the contract and who is responsible.
  - Define the capacity included in the proposal.
  - Define additional costs for increasing capacity.
  - What activities are performed to ensure performance & capacity?
- 1.1.5 Describe Database Management functions that will be performed under the contract and who is responsible.
  - How are the RWA databases provisioned?
  - What activities are performed regarding database management?
- 1.1.6 Detail the Security functions that will be performed under the contract and who is responsible.
  - What are the security controls and practices that Vendor will maintain?
  - What responsibilities do Vendor/RWA have regarding security activities?
  - What is RWA's right to test security controls?
  - List the security compliances the proposed solution meets and /or exceeds.
- 1.1.7 Describe Network Management functions that will be performed under the contract and who is responsible.
  - What are the network access requirements to access the application (tunnels, recommended bandwidth, VPN requirements, etc.)?
  - What is your uptime metric and what is the SLA that defines service availability?
- 1.1.8 Describe the Technical Support Functions that will be performed under the contract and who is responsible.
  - Describe the on-going support that is included as part of the agreement. Include tier 1, 2, and 3 support levels. Explain the role of the organization in providing technical support for the solution at each tier.
- 1.1.9 Where will RWA environments be? What type of server? Will the server(s) be dedicated to RWA? How is the separation of RWA environments managed? (i.e., security access, etc.)
- 1.1.10 Provide any other pertinent information related to the Managed Services being proposed under this response.

## 1.2 General Information

- 1.2.1 Describe your current cloud offering experience with organizations of similar size and scope as RWA.
- 1.2.2 Describe the strategic direction of your cloud practice.
- 1.2.3 Provide a description of the staffing and management structure of the cloud team proposed for RWA.
- 1.2.4 List and describe the financials of your cloud operation in contrast to the overall corporate financials.
- 1.2.5 List and describe the instances (i.e., Production, Development, Testing, and Training) provided as part of the solution.
- 1.2.6 Do you offer the ability to transition away from a cloud based model into an on premise model? If so, discuss the process and specifically reference to the assistance you will provide to stabilize and bring up the system.
- 1.2.7 Describe the process for the return and destruction of RWA's data at RWA's request before and/or after contract termination. Define who owns the data and how RWA retains access to the data if the solution provider becomes insolvent. Define any related costs.
- 1.2.8 Has your organization had any known data security breaches, complaints, investigations, or lawsuits related to the proposed solution? If yes, please explain.
- 1.2.9 Has your organization been engaged in litigation with customers over data practice issues?

## 2.0 Service Level Agreements

### Primary Vendor

- 2.1 Please provide your general service level agreements as Attachment H – Standard Contract and Proposed SLAs and provide a summary below.
- 2.2 In the event that you do not meet an SLA expectation, what is the resolution path?
- 2.3 List and describe your SLA measurement tools.
- 2.4 Discuss the reporting provided as part of this proposal as it relates to system performance. Please include sample reports or screenshots.
- 2.5 Describe any SLAs or support guarantees you offer to ensure future releases do not negatively impact RWA's integrated systems (backward compatibility).
- 2.6 Describe the incident notification process for notifying RWA of system/application outages and/or SLA commitments missed. Provide example incident notification reports and describe:
  - What types of incidents will be reported?
  - The format of the report.
  - Frequency of status updates.
  - If business impact assessments are included and how these are measured.
  - If root cause analysis is included and the processes for addressing root-cause issues.

### 3<sup>rd</sup> Party Vendor

- 2.7 Please provide your general service level agreements as Attachment H – Standard Contract and Proposed SLAs and provide a summary below.
- 2.8 In the event that you do not meet an SLA expectation, what is the resolution path?
- 2.9 List and describe your SLA measurement tools.
- 2.10 Discuss the reporting provided as part of this proposal as it relates to system performance. Please include sample reports or screenshots.
- 2.11 Describe any SLAs or support guarantees you offer to ensure future releases do not negatively impact RWA's integrated systems (backward compatibility).
- 2.12 Describe the incident notification process for notifying RWA of system/application outages and/or SLA commitments missed. Provide example incident notification reports and describe:
- What types of incidents will be reported?
  - The format of the report.
  - Frequency of status updates.
  - If business impact assessments are included and how these are measured.
- If root cause analysis is included and the processes for addressing root-cause issues.

## 3.0 Cloud Infrastructure

- 3.1 Please describe the types of data center facilities in which your solution is located. Are your data center facilities rated using any industry standards? If so:
- Describe the standard and the ratings your solution has achieved.
  - Identify the party who conducted the rating assessment and provide a website or other contact information for that party in your response.
- 3.2 Are third parties involved in your provisioning of data center services? If yes, please identify those third parties and provide websites and/or other contact information.
- 3.3 Please indicate if data in your solution is ever stored or moved outside the U.S., and if so, what type of data is stored outside the U.S. (e.g., images, cached data, data in transit).
- 3.4 What RWA side Operating Systems does your solution support, and what is your policy for maintaining that support?
- 3.5 What web browsers does your solution support, and what is your policy for maintaining that support?"
- 3.6 What smartphone and tablet operating systems (iPhone, iPad, Droid, Android, etc.) does your solution support? Differentiate by smartphone and tablet OS version where appropriate. What is your policy for maintaining support on current platforms?

## 4.0 Security and Compliance

- 4.1 What is the Vendor's overall security strategy? Is there a cybersecurity framework that guides internal practices?
- 4.2 Does the Vendor have a Data Protection Officer? Or is there a role where what responsibility resides?
- 4.3 Provide an overview of the proposed solution security (confidentiality, integrity, and availability of information) including authentication and non-repudiation.
- 4.4 Have you been audited against any of the following standards/guidelines or are you currently certified against any of the following: NIST, HIPAA, FISMA, Gamm-Leach-Bliley (GLB), E.U. Safe Harbor, PCI DSS, ISO 27001, ISO 27002, ISAE3402, CSA Cloud Controls Matrix, or other equivalent standard or certifications? If so, please provide the most recent copy of the certification. Do you have third-party attestations performed such as SSAE 16, SOC 1, or SOC2? If so, please provide the most recent copy of the audit report. Are you willing to be contractually obligated to continue the audit/certification on a regular and ongoing basis? Would you agree to termination for cause in the event of your failure to produce a satisfactory certification or modified opinion?
- 4.5 Is your organization authorized with the Federal Risk Authorization Management Program (FedRAMP)?
- 4.6 Are you certified under any privacy seal or similar programs, such as TRUSTe, BBBonline, or another program?
- 4.7 How will RWA's data be segregated from other cloud users data?
- 4.8 How does your solution encrypt data in transit and at rest? Define how data can be securely transferred to and from your solution.
- 4.9 Can you restrict access to RWA's delivered solution by the origin of the request (e.g., IP Address)? Provide detail on your capability here.
- 4.10 For RWA-side implementations of your solution (including browser version, offline-access version if applicable, tablet and smartphone versions if applicable), what data is cached RWA-side? How is such data encrypted/secured within a session, and how is such data deleted or otherwise managed at session termination? If the answer differs for each solution, please provide all relevant responses.
- 4.11 If data is clustered, mirrored, duplicated, or otherwise distributed, can the physical location of data be changed without RWA's knowledge or consent? If so, in the event that RWA needs to recall, delete, or otherwise modify distributed data, can you furnish all the locations of all such distributed data to RWA for those purposes?
- 4.12 What mechanisms, policies, and procedures are used to safeguard stored data? (i.e. what are your security controls). Be sure to cite your use or non-use of solutions including, but not limited to: intrusion detection, anti-virus, firewalls, vulnerability scanning, penetration testing, encryption, authentication and authorization protections and policies, including those involving passwords, removal of unnecessary network services, limiting of administrative access, code review, logging, employee training and other relevant safeguards.
- 4.13 In your approach to storage and transport of data, do you rank any data in terms of sensitivity, and do you employ any special measures when handling more sensitive data? If so, in implementing such measures, can you respond and act upon RWA's own rankings for data sensitivity?
- 4.14 Are industry-standard firewalls deployed? Where are they deployed? Is the software and firmware

on the firewall at a supportable level? Is administrative access to firewalls and other perimeter devices allowed only through secure methods?

- 4.15 Please identify any subcontracted parties who are involved in your handling of stored data. Please provide a website address and/or other contact information for each.
- 4.16 Does your company use Security Information and Event Management (SIEM)? How long are logs kept?
- 4.17 Are audit logs implemented on all systems that store or process critical information? How often are these logs reviewed?
- 4.18 Are formal incident-response procedures in place? Are they tested regularly? If so, how?
- 4.19 Does your company engage third-party security service providers to perform on-going penetration testing/vulnerability assessments?
- 4.20 Please describe any controls you use to address the threat of information being mistakenly disclosed to unauthorized persons. Your response should refer, where applicable, to issues of awareness and training, removal of unnecessary data (electronic and paper), use of screen savers and lockouts, limiting storage of confidential data on remote devices, verification of the identity of individuals requesting access, and other relevant safeguards that enforce the principle of "need to know."
- 4.21 Please describe any controls you use to address the threat of information knowingly being misused by your workforce and contractors. Your responses should refer, where applicable, to issues of strong sanctions policy and practice, background checks, role-based access to information, oversight of data authorization by a supervisor, terminating access to data for terminated employees and employees changing job functions, prohibition on sharing passwords, and other relevant safeguards.
- 4.22 Please describe controls you use to address the threat of physical theft or loss of data. Your responses should refer, where applicable, to policies on the storage of confidential data on laptops, PDAs, USB drives and other portable devices, encryption of data on portable devices, two-factor authentication, removal of unnecessary information, physical protection of desktops and servers, and other relevant safeguards.
- 4.23 Please describe controls you use to address community concerns regarding privacy practices. Your responses should refer, where applicable, to privacy statements, opt-in or opt-out consents, compliance with applicable privacy rules, and other relevant safeguards.
- 4.24 Please describe controls you use to address the use, handling, protection, and sharing of confidential data shared with subcontractors. Your responses should state any relevant relationships that may induce additional risk to the safe storage of sensitive data (such as outsourcing of key services, use of sub-contractors or cloud services for hosting, etc.) and refer, where applicable, to contractual safeguards and reviews of security programs/practices.
- 4.25 For credit card-based and other e-commerce transactions executed through your solution, what measures are in place to assure transaction security? What third-party partners do you rely on for execution of such transactions? Please identify and give a website and/or other contact information for each.
- 4.26 How do you ensure identity? Include the use of two-factor authentication or similar solutions to provide authentication and non-repudiation.
- 4.27 Do you require the use of two-factor authentication for the administrative control of servers, routers, switches and firewalls?
- 4.28 Describe the encryption controls your Cloud Service solution supports such as Secure Sockets

Layer (or other industry-standard transport security).

- 4.29 Do your cloud environments provide redundancy and load balancing for firewalls, web application firewalls, intrusion prevention and other critical security elements?
- 4.30 Do you (or an experienced third-party partner) perform external penetration tests at least quarterly and internal network security audits at least annually? Are these audits structured per the International Organization for Standardization (ISO) 17799 (transitioning to ISO 27001) standard, and are audit procedures in compliance with Statement on Auditing Standards No. 70, Service Organizations (SAS 70 Type II)?
- 4.31 Do you provide protection (or receive protection from a third party) for denial-of-service attacks against your cloud solutions?
- 4.32 Can you provide documented requirements (and audit procedures) for network access standards to ensure that other customers will not compromise the security of your environments?
- 4.33 Can you provide documented policies for OS hardening for your web, application, database and other hosting-related servers?
- 4.34 Can you provide validated procedures for configuration management, patch installation, and malware prevention on all servers and PCs involved in Cloud Service delivery?
- 4.35 If you have a multi-tenant architecture that extends to the database level, can you provide a documented set of controls for ensuring the separation of data and the security of information between different customers' Cloud Service instances?
- 4.36 How do you review the security of applications (and any supporting code, such as Ajax, ActiveX controls and Java applets) that you develop and use?
- 4.37 Do you use content monitoring and filtering or data leak prevention processes and controls to detect inappropriate data flows?
- 4.38 Do you perform background checks on personnel with administrative access to servers, applications, and customer data? What is your background check practice?
- 4.39 Can you provide documented processes for evaluating security alerts from the operating system and application vendors, shielding systems from attack until patched, and installing security patches and service packs?
- 4.40 Do you use write-once technology to assure the validity of audit trails and security logs?
- 4.41 Can you provide documented procedures for vulnerability management, intrusion prevention, incident response, and incident escalation and investigation?
- 4.42 How many staff do you have dedicated to application and infrastructure security? How many average years' experience do these personnel have and what security certifications do they possess?
- 4.43 Can you provide documented identity management and help-desk procedures for authenticating callers and resetting access controls, as well as establishing and deleting accounts when help-desk service is provided?
- 4.44 How long are the access logs retained? Who reviews the logs?
- 4.45 Are all employees and subcontractors required to sign a confidentiality and/or non-disclosure agreement?
- 4.46 Are all employees and subcontractors required to participate in confidentiality and security training?



- 4.47 Describe your security breach response policies. Are you willing to provide contractual indemnification in the event of a data breach? Are you willing to contractually agree to data breach notification, even when not mandated by State or Federal law?

## 5.0 Application Security

- 5.1 Explain how granular permissions can be granted within the application (individual view, tables, fields/columns within a table, row-level, etc.).
- 5.2 Is there menu-driven security setup functionality that limits users access by menu?
- 5.3 Are the permission settings configurable and persistent across System upgrades?
- 5.4 Can application security be integrated with Active Directory User IDs and security groups?
- 5.5 Indicate which encryption schemes are used for remote user authentication and communication.
- 5.6 Can new security or access profiles be created by copying existing profiles? Are templates provided for generic roles?
- 5.7 Can permissions be granted to a group or role as well as to an individual?
- 5.8 What tools are used and/or provided to help administer application security?
- 5.9 Is a business user able to manage application security? For example, could a billing manager manage their own security by granting staff the appropriate rights based on privileges they themselves have been granted?
- 5.10 Describe any available security auditing tools or functions. Does the application integrate with operating system or database access auditing capabilities? Can the application detect when unauthorized activity occurs (i.e., employee makes an adjustment to a personal account, the employee makes too many of a certain adjustment type, etc.)?
- 5.11 Are graduated levels of audit tracing and history available?
- 5.12 If available, can security or application audit tracing be turned on and off without having to restart the application or database?
- 5.13 Are security and/or improper access attempts logged and can notification alerts be sent? If so, how does this affect performance?
- 5.14 Describe how all passwords and Personally Identifiable Information (PII), including Social Security numbers and Bank Information, are encrypted both at-rest and in-transit. Describe how field-level masking is tied to security levels within the application.
- 5.15 What measures do you use to secure un-encrypted data in your application?
- 5.16 How configurable is the selection of fields to be encrypted in the application and or database?
- 5.17 Does the application provide the ability to make a temporary password for password resets?
- 5.18 Are self-service password resets possible with your application?
- 5.19 How do you control user rights through external avenues such as SQL and ODBC to prevent users from writing to tables?
- 5.20 Does application support single sign-on (SAML or Kerberos/NTLM)?
- 5.21 Are there tools to obfuscate (scramble) PII data in non-production environments? Are they native to the application or third-party?



## 6.0 Business Continuity and Disaster Recovery

- 6.1 Define the proposed backup process.
- 6.2 Describe the process for maintaining the integrity and security of backups.
  - Are backups encrypted?
  - Are they stored off-site?
  - Describe the data purging process.
  - Does it comply with NIST standards? (NIST SP 800-88 Rev. 1)
- 6.3 Define the proposed Disaster Recovery (DR) services including periodic testing.
  - Please provide an overview of the process.
  - Is the DR site geographically disparate from the production site?
  - What are your Recovery Point Objective (RPO) and Recovery Time Objective (RTO) targets?
  - How is data backed up and/or replicated in support of DR?
  - Processes for the restoration of applications and data during a DR event?
- 6.4 Describe your approach for restoration of full capacity and services in the DR environment if the primary location cannot be restored.
- 6.5 Describe the process of restoration when/if the primary location is restored.
- 6.6 Describe the process for the declaration of a disaster event. How will RWA be engaged in this process?
- 6.7 Describe the process for notifying RWA of a service interruption and the on-going communications during recovery and restoration.
- 6.8 Describe your DR planning process:
  - Process for creation of a DR Plan
  - Provide example/sample of a DR Plan for your solution
  - Process (including frequency) for conducting DR Tests
  - Provide examples of DR testing results/reports
- 6.9 How do you keep the Primary Data Center and Secondary Data Center environments in sync with managed services/systems? Please describe the following:
  - Firewall rules
  - Routes
  - Critical Security Patches/Updates
  - IP segments/VLANS
  - Access Control Lists

- 6.10 Is the DR site geographically disparate from the production site?
- 6.11 Discuss your overall abilities and limitations when conducting customer data and configuration backups.
- 6.12 Describe any capacity and/or performance limitations or reduced SLAs when operating in the DR environment.
- 6.13 Provide examples of DR testing results/reports.
- 6.14 Describe redundancies in place for:
  - Internet connectivity
  - Electricity
  - Emergency Power Generation
  - Environmental
  - Battery Backups

## 7.0 Service Delivery and Management

- 7.1 How long are major versions supported and how often are new versions typically released? How many versions are supported (e.g., current minus one)? What is the expectation on version currency to maintain functionality and support?
- 7.2 Does your service have regular maintenance windows, and if so, what are they? What services are impacted or unavailable during these times?
- 7.3 Do you have a regular update and patching cycle? If so, please outline the general cycle and schedule and describe the types of changes typically released in major and minor revisions.
- 7.4 Can RWAs opt-in or opt-out of service pack upgrades? Are some upgrades mandatory and others optional?
- 7.5 What measures are in place to prevent updates from negatively impacting RWA interfaces and integrations? Do you issue release notes and recommendations in advance of each upgrade and how far in advance does the notice come out (for example, guidelines on where, when, and how to perform regression testing)?
- 7.6 Describe your response times and philosophy in validating and certifying new releases, patches, or updates to the System after updates to any operating systems on which the System depends. Specify the response times and provide examples from recent operating system updates.
- 7.7 Please describe any documentation that is provided to RWA's operational team that would support troubleshooting of the day-to-day problems. Is a knowledge base (both internal and user community) accessible and kept updated? Describe search capabilities and show an example.
- 7.8 Provide examples of your user and administrative documentation.
- 7.9 What reports do you provide around monthly and or weekly SLA adherence and system availability?

## 8.0 Integration, Data Import, Export, and Location

- 8.1 Does your solution support web services (SOAP, REST, XML) for exchanging structured information both into and out of your system? Explain the general mechanism and standards supported. What data elements can be manipulated via web services?
- 8.2 What approach do you recommend for sending inbound data to your service from RWA's systems and/or third-party providers?
- 8.3 What approach do you recommend for sending data from your service to RWA's systems and/or third-party providers?
- 8.4 Does your solution support one or more secure varieties of File Transfer Protocol (FTP)? Explain the general mechanism and standards supported.
- 8.5 Please list the Application Programming Interfaces (APIs) your solution supports and provide an example.
- 8.6 Can your solution expose data to RWA's cloud solutions, and if so, how (e.g., do you use a Docker-based approach or something else)?
- 8.7 Describe how you expose the solution's data to 3rd party reporting solutions (e.g., Cognos).
- 8.8 Please indicate if data in your solution is ever stored or moved outside the US, and if so, what type of data is stored outside the US (e.g. images, cached data, data in transit).

## 9.0 EAI / SOA

RWA is interested in understanding the Vendor's approach or future plans related to Enterprise Application Integration (EAI) and/or Service Oriented Architecture (SOA).

- 9.1 If you use these technologies, please describe your general approach.
- 9.2 Specifically, do your integration options utilize XML, JSON, or other?
- 9.3 Will this technology be utilized exclusively on the proposed implementation project?
- 9.4 Describe which of RWA-specified interfaces will utilize your EAI/SOA approach.
- 9.5 Describe and provide all web services documentation, including security model, encryption, and authentication.
- 9.6 Provide licensing model for each web service endpoint.

## 10.0 Software Technology

### 10.1 User Interface

- 10.1.1 Describe how the system will be configured to provide an average response time of less than 1.5 seconds for all application related screens during business hours.
- 10.1.2 Describe the RWA interfaces (e.g., browser, thin RWA, etc.) available for this application on each platform.

- 10.1.3 Can the user have multiple screens; sessions open at once, without performance degradation? Is there a maximum number of sessions that can open at one time per user?
- 10.1.4 Is your application based on responsive design principles or does it require an app for mobile devices?
- 10.1.5 If your product is browser-based describe how periods of disconnection are handled. Is there queuing of data?
- 10.1.6 If a browser user interface is available, describe the underlying technology utilized and versions supported (AJAX, Java, HTML, XML, etc.).
- 10.1.7 How quickly does the Vendor support newer versions of browsers? Is there any delay in deploying newer versions or patches on browsers due to system configuration dependencies?
- 10.1.8 How quickly do you support newer versions of operating systems? Do you continue to support the older operating systems? If yes, how long do you support older operating systems?
- 10.1.9 Describe Vendor response times and philosophy in validating and certifying new releases, patches, updates to the System after any browsers on which the System depends. What was the response time and provide examples from the last browser update.
- 10.1.10 Is there a proper way for users to exit or log off the System? If a user exits improperly, how does the System handle suspended activity?

## 10.2 Portal Technology

- 10.2.1 If applicable, please describe any portal technology included and/or supported as part of the proposed solution.
- 10.2.2 Describe how the proposed portal solution imports data from third-party applications and how it displays that data in a consistent manner.
- 10.2.3 Describe how the proposed solution's portal views can be customized. Include details and examples on the capabilities.
- 10.2.4 Explain if the proposed solution's portal can be utilized with other applications that are being proposed and with RWA's existing applications. Describe any technical or license fee limitations to this approach. (e.g., Relationships can be displayed as a widget in 3rd party portals)
- 10.2.5 How does the proposed solution keep all the portlets and views of data in sync?

\*\*\*\*\* END OF A.1 RESPONSE TEMPLATE \*\*\*\*\*

## A.2 On Premise Solution Questionnaire

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Customer Information System, Field Mobile Work  
Management, Customer Relationship Management and  
Implementation Services

Issue Date: 09/23/2021

RFP#B09092100

## 1.0 Preferred Technology

RWA has identified the following preferred technology considerations. Vendors that fully support these technologies will be given preference.

- 1.0.1 The proposed system must have been developed on and fully support either Microsoft SQL Server, Oracle, or other major commercial RBMS system. Please specify the database and versions certified with your proposed system.
- 1.0.2 If the proposed system utilizes a web browser user interface, please indicate which browsers and browser versions are certified with your proposed system.
- a) Internet Explorer 11+, Edge
  - b) Mozilla Firefox 55+
  - c) Google Chrome 55+
  - d) Safari 9+
- 1.0.3 Describe what skill set(s) would be needed to support, change or build integrations for this application. RWA prefers to support all integrations. Please identify whether Vendor support is required for on-going support and maintenance for the integration points. Provide links to architecture documentation, entity-relationship diagrams, interface specifications, and web service documentation.
- 1.0.4 Provide the number of installations currently in production, shown by the combination of operating systems, databases, browsers you support using matrix below.

	Largest Number of Agents	Number of Active Installs	Database	Operating System	Infrastructure
Number installations in production					
			MS SQL Server		Virtual (Oracle VM, VMWare or HyperV)
			MS SQL Server		Physical

	Largest Number of Agents	Number of Active Installs	Database	Operating System	Infrastructure
			Oracle		Virtual (Oracle VM, VMWare or HyperV)
			Oracle		Physical
			Other (specify)		Virtual (Oracle VM, VMWare or HyperV)
			Other (specify)		Physical
<b>Number installations in implementation phase</b>					
			MS SQL Server		Virtual (Oracle VM, VMWare or HyperV)
			MS SQL Server		Physical
			Oracle		Virtual (Oracle VM, VMWare or HyperV)
			Oracle		Physical

	Largest Number of Agents	Number of Active Installs	Database	Operating System	Infrastructure
			Other (specify)		Virtual (Oracle VM, VMWare or HyperV
			Other (specify)		Physical



## 2.0 Technology Stack

- 2.0.1 Please describe the technical architecture required to support the proposed solution. Provide a high-level network diagram including any known 3rd party applications/integrations.
- 2.0.2 What disaster recovery options are available and specify the licensing and hardware requirements for each available, certified option.
- 2.0.3 Provide recommended hardware specifications for the proposed solution. These specifications should list the hardware required for development, testing, training, production and disaster recovery environments recommended by the Vendor to support the application for RWA. The production configuration shall be such to successfully meet or exceed the service levels based on user, size, and usage loads described in the RWA RFP.
- 2.0.4 Fully explain licensing for all specified products, including server-based, named user-based, concurrent use-based, CPU, CPU core-based. Please account for all hardware specified in 2.0.3 above.
- 2.0.5 Many Vendors appear to utilize different technology components to support their applications. How do you manage the utilization of new versions or software updates of third-party technology components? Are the license agreements with third-party providers separate (not included in cost) or will licensing be bundled with the System (included in the cost)? List any open source software components used within the System.
- 2.0.6 Can the administrator force a user to exit the System, and does that process reclaim server, application, and database resources? Will the session be terminated gracefully, or is there potential for data corruption?

### 2.1 Servers

- 2.1.1 For the proposed configuration, how many physical servers are required per environment?
- 2.1.2 Which of the required servers can be run in a virtualized environment? Does the recommendation differ between production and non-production environments? If so, indicate differences and provide an explanation.
- 2.1.3 If virtualization is not supported, what is the timetable when virtualization will be supported by your organization?
- 2.1.4 Are there any special considerations for licensing in a virtualized environment?
- 2.1.5 Please describe other processes, applications or tasks that will reside on each server based on your system design.
- 2.1.6 How are time changes for Daylight Saving Time managed? Does the system self-correct, or does it require intervention from technical staff?
- 2.1.7 Does the Vendor recommend server restarts at any particular interval?
- 2.1.8 Describe what application servers, including Vendor and version, are utilized by the solutions being proposed.
- 2.1.9 Do all application server processes run as a service without requiring the server console to be logged in?
- 2.1.10 Explain how your solution leverages LDAP to authenticate users and enforce policies.

- 2.1.11 What clustering, redundancy, or other High-Availability (HA) capabilities are provided by or supported by this product? For each proposed platform, provide details about clustering options and supported models (e.g., active or passive), capabilities, and limitations of the application.

## 2.2 Database Platforms

- 2.2.1 How does RWA connect to the database (ODBC, JDBC, Named Pipes, RPC, etc.)?
- 2.2.2 Does the proposed application utilize Windows-integrated authentication or require a database login?
- 2.2.3 Will RWA have access to their data. If so, how is this access achieved?
- 2.2.4 Are database or application roles used by the proposed solution? If pre-defined database roles are used, which ones?
- 2.2.5 Are there any requirements/restrictions for sharing or not sharing a Database Server installation between the proposed solutions and other RWA application databases?
- 2.2.6 Is RWA allowed to modify application tables or views? Are modification guidelines well documented to avoid upgrade issues? Would making these changes have any licensing implications?
- 2.2.7 Is RWA allowed to change default passwords on all delivered service and management accounts? If not, provide an explanation as to why this is the case and identify if the default Users can be disabled.
- 2.2.8 Does the Vendor provide a built-in method for cloning the production database to a test database? Please provide complete documentation for the cloning process if applicable.
- 2.2.9 What tools or methods are provided for database performance tuning and optimization?
- 2.2.10 What level of direct database access is Vendor supported? Specify the tables/views/stored procedures.
- 2.2.11 Are direct database connections outside the application interface used for reporting, queries, or other non-administrative functions? If direct database connections are used for any non-administrative purposes, e.g., reporting, how is authentication security managed and are these connections logged?
- 2.2.12 Is all data encrypted at rest and in transit?

## 2.3 EAI / SOA

RWA is interested in understanding the Vendor's approach or future plans related to Enterprise Application Integration (EAI) and/or Service Oriented Architecture (SOA).

- 2.3.1 If you use these technologies, please describe your general approach.
- 2.3.2 Specifically, do your integration options utilize XML, JSON or other?
- 2.3.3 Will this technology be utilized exclusively on the proposed implementation project?
- 2.3.4 Describe which RWA specified interfaces will utilize your EAI/SOA approach.

- 2.3.5 Describe and provide all web services documentation, including security model, encryption and authentication.
- 2.3.6 Provide licensing model for each web service endpoint.
- 2.3.7 Provide the number of installations currently in production using web services.

## 3.0 Software

### 3.1 User Interface

- 3.1.1 Describe the RWA interfaces (e.g., native GUI, browser) available for this application on all device types.
- 3.1.2 Provide a description of advantages for each type of RWA interface.
- 3.1.3 Can the user have multiple screens; sessions open at once, without performance degradation? Is there a maximum number of sessions that can open at one time per user?
- 3.1.4 What mobile devices does the Vendor support?
- 3.1.5 Describe your app(s) for mobile devices.
- 3.1.6 Describe your product roadmap for mobile services and new technologies.
- 3.1.7 If your product is browser-based describe how periods of disconnection are handled, is there queuing of data?
- 3.1.8 If a browser user interface is available, describe the underlying technology utilized and versions supported (AJAX, Java, HTML, XML, etc.).
- 3.1.9 How quickly does the Vendor support newer versions of browsers? Is there any delay in deploying newer versions or patches on browsers due to system configuration dependencies?
- 3.1.10 How quickly do you support newer versions of operating systems? Do you continue to support the older operating systems? If yes, how long do you support older operating systems?
- 3.1.11 Describe Vendor response times and philosophy in validating and certifying new releases, patches, updates to the System after any browsers on which the System depends. Specify the response times and provide examples from last browser update.
- 3.1.12 Is there a proper way for users to exit or log off the System? If a user exits improperly, how does the System handle suspended activity?
- 3.1.13 Can the System self-heal so that application, server, and database resources are reclaimed for optimal System performance?

### 3.2 Portal Technology

Please provide the following “screen shots” / “examples” for the proposed solution.

- 3.2.1 Please provide the following “screen shots” / “examples” for the proposed solutions
  - Security set-up & configuration views
  - Systems Performance dashboards
  - System Monitoring views
  - System Logs
  - Technical Control Panels

- Native Querying Tools
- 3.2.2 If applicable, please describe any portal technology included and/or supported as part of the proposed solution.
  - 3.2.3 Describe how the proposed portal solution imports data from third-party applications and how it displays that data in a consistent manner.
  - 3.2.4 Describe how the proposed solution's portal views can be customized by user roles.
  - 3.2.5 Explain if the proposed solution's portal can be utilized with other applications that are being proposed and with RWA's existing applications. Describe any technical or license fee limitations to this approach (e.g., an Invoice).
  - 3.2.6 How does the proposed solution keep all the portlets and views of data in sync?

### 3.3 Application Security

- 3.3.1 Explain how granular permissions can be granted within the application (individual view, table, fields/columns within table, row-level etc.).
- 3.3.2 Is there menu-driven security setup functionality that limits users' access by menu?
- 3.3.3 Are the permission settings configurable and persistent across System upgrades?
- 3.3.4 Can application security be integrated with Active Directory User IDs and security groups?
- 3.3.5 Indicate which encryption schemes are used for remote user authentication and communication.
- 3.3.6 Can new security or access profiles be created by copying existing profiles? Are templates provided for generic roles?
- 3.3.7 Can permissions be granted to a group or role as well as to an individual?
- 3.3.8 What tools are used and/or provided to help administer application security?
- 3.3.9 What staff skill level is needed to administer application security? For example, could a billing manager manage their own security by granting staff the appropriate rights based on privileges they themselves have been granted?
- 3.3.10 Describe any available security auditing tools or functions. Does the application integrate with operating system or database access auditing capabilities? Can the application detect when unauthorized activity occurs (i.e., employee makes an adjustment to personal account, employee makes too many of a certain adjustment type, etc.)?
- 3.3.11 Are graduated levels of audit tracing and history available?
- 3.3.12 If available, can security or application audit tracing be turned on and off without having to restart the application or database?
- 3.3.13 Are security and/or improper access attempts logged and can notification alerts be sent? If so, how does this affect performance?
- 3.3.14 Describe how all passwords and Personally Identifiable Information (PII), including Social Security numbers and Bank Information, are encrypted both at rest and in transit. Describe how field-level masking is tied to security levels within the application.
- 3.3.15 What measures do you use to secure un-encrypted data in your application?

- 3.3.16 How configurable is the selection of fields to be encrypted in the application and or database?
- 3.3.17 Does the application provide the ability to make a temporary password for password resets?
- 3.3.18 Are self-service password resets possible with your application?
- 3.3.19 How do you control user rights through external avenues such as SQL and ODBC to prevent users from writing to tables?
- 3.3.20 Does the application support single sign-on (SAML or Kerberos/NTLM)?
- 3.3.21 Are there tools to obfuscate (scramble) PII data in non-production environments? Are they native to the application or third-party?

## 4.0 Operations

### 4.1 General

- 4.1.1 Document the number of technical Full-time Equivalents (FTE) or portions of FTEs required by RWA to support the proposed solutions post-Implementation based on your experience with customers of similar size and/or complexity. This is the staffing estimate you believe will be required to specifically support the applications in a production environment (use the matrix below). Please add any additional roles if missing.

	Programmer / Analyst	Functional Business Analyst	Support Analyst	DBA	SQL	Linux	Batch Operator	System Admins
FTE								
PTE								

- 4.1.2 Can administrative messages be sent to all users of the System from within the proposed solutions?
- 4.1.3 Is it possible to identify if users are currently logged in and what component of the proposed system they are using?
- 4.1.4 What operational tasks need to be run through batch processing?
- 4.1.5 Describe application settings and configuration capabilities, how they are documented and how they can be consistently migrated between environments.
- 4.1.6 How do you recommend monitoring the health of the System? Describe what tools are present or can be created to monitor the overall health of the software and systems. This includes real-time proactive performance monitoring and monitoring of background and batch processes.
- 4.1.7 Beyond the typical command line interface, describe GUI-based system tools the System provides for active system monitoring.
- 4.1.8 What types of performance logs are provided for the system to determine issues?
- 4.1.9 Does the application have a dashboard that provides information on the operational status of all its components and access to logs?
- 4.1.10 What workflow capabilities does the System have? How do you recommend workflows be set up and managed and by what skill level?
- 4.1.11 Is there a timeout parameter for releasing resources on inactive sessions?

### 4.2 Electronic Archiving

- 4.2.1 Are other applications or hardware required that are not part of your Proposal to create, access and display electronically archived data? If yes, please describe the necessary software and hardware. Additional costs should be added to Attachment B – Cost Matrix.
- 4.2.2 What third party document management systems are supported by your solution?

- 4.2.3 Does the solution provide for electronic archiving in PDF/A format?
- 4.2.4 Can images be retrieved from the electronic archive or other electronic means using a standard browser? Will the image reside on-site or off-site?
- 4.2.5 How do you configure a retention schedule in the product? How do you purge expired content?
- 4.2.6 Does your system support reporting from live data and archived data seamlessly between the two without the need to import archived data into the live dataset?
- 4.2.7 Explain how archiving and purging affects operations and/or performance.
- 4.2.8 Does your application have reporting capability to support users' research of what customer data is available on an archived set of data?
- 4.2.9 Provide the number of installations currently in production using data archiving.

### **4.3 Business Continuity**

- 4.3.1 RWA desires a failover solution. Explain how your application/system can support this type of failover. Include architecture and costs for a Disaster Recovery solution in Addendum C – Cost Matrix.
- 4.3.2 Describe the tests performed for System reliability and disaster recovery prior to Go-Live. Do you support “pull the plug” failover testing? Describe your failover testing process.
- 4.3.3 Does your system support hot backups? In other words, can we take a backup while users are connected to the system?
- 4.3.4 Explain what backup and recovery tools are provided by or recommended for the System. Are system administration tools provided?
- 4.3.5 Discuss your overall abilities and limitations when conducting backup and restore operations. i.e., point-in-time recovery, table-level restore or row-level.
- 4.3.6 What capabilities exist for maintaining parallel or mirrored processing systems at remote locations? What Disaster Recovery processes are included with your application/database?
- 4.3.7 If you provide a backup solution, what is the estimated time for full recovery from backup media onto new equipment? Do you support bare-metal restore capability?

### **4.4 Batch Processing/Scheduling**

- 4.4.1 Describe in detail the scheduling capabilities of the proposed System.
- 4.4.2 Can report generation and other System functions be controlled by operating system scheduling tools?
- 4.4.3 If the batch processing capability is part of the System, can it be used to manage and schedule processes outside the core system? Provide a brief description of this capability.
- 4.4.4 Describe the required and optional elements of routine daily batch processing.
- 4.4.5 Describe the re-start process if a batch program failure occurs. Describe the roll-back and commit processing of a batch program.



- 4.4.6 Do you provide a tool for monitoring and managing batch jobs? If so, please describe. If not, how are batch failures monitored, and is there a notification process (email/text/log)?
- 4.4.7 Can the customer define run criteria (i.e., pre-requisites, co-requisites, post-requisites, incompatibilities, and prioritization rules)?
- 4.4.8 Include the documentation that the Vendor provides surrounding batch processing and job dependencies including inputs and outputs.
- 4.4.9 Describe any special periodic jobs (i.e., monthly, quarterly, yearly, clean-up and fixes, special requests) that may be run or that must be run in the batch/scheduler.
- 4.4.10 Describe how user access is impacted during batch processing. Explain read-only and update capabilities of user access during batch processing.
- 4.4.11 Describe how the batch scheduler can be updated to add new processes?
- 4.4.12 Can scheduled batch or internal processes have linked dependencies to other processes, and can they be easily determined, identified, and viewed?
- 4.4.13 Describe the batch schedule history data and interface and the future scheduling interface.
- 4.4.14 Does job scheduler have the ability to schedule around non-business days?
- 4.4.15 Does the solution have the ability to integrate with third-party job scheduling tools? If so, which ones?

## 5.0 Support and Maintenance

### 5.1 Patching & Updates

- 5.1.1 What is the typical, step-by-step procedure to implement an upgrade or patch for a particular module?
- 5.1.2 How do you notify customers of patches, critical fixes, enhancements, needed security patches, etc.?
- 5.1.3 Describe how you manage the installation of patches, critical fixes, enhancements etc.
- 5.1.4 Do you provide an itemized list of what is updated in each patch, along with descriptions and change logs? Please provide examples of patch documentation.
- 5.1.5 How can both you and your customer tell if a patch has been applied?
- 5.1.6 Describe your response times and philosophy in validating and certifying new releases, patches, or updates to the System after updates to any operating systems on which the system depends. Specify the response times and provide examples from recent operating System updates.
- 5.1.7 What measures are in place to prevent updates from negatively impacting RWA interfaces and integrations? Do you issue release notes and recommendations in advance of each upgrade and how far in advance does the notice come out (for example, guidelines on where, when, and how to perform regression testing)?
- 5.1.8 Describe the support process for reporting deficiencies, from the time of reporting a defect through the correction being delivered and applied to RWA system. Are there any costs other than annual maintenance fees? If so, please add these to the Attachment B, Cost Matrix.
- 5.1.9 Describe the classification process for deficiencies and how the Vendor prioritizes these corrections. Provide the typical timeframes for deficiencies being corrected and delivered back to the customer.
- 5.1.10 Describe any contractual commitments the Vendor is willing to provide related to software corrections. What will RWA's role be in determining the priority and timeframe for the correction to be implemented? Can RWA escalate a work ticket, and if so, describe the process.

### 5.2 Application Enhancements

- 5.2.1 Describe the process of requesting enhancements from the Vendor.
- 5.2.2 Please provide a log of all enhancement requests categorized by priority and function for the last 2 years
- 5.2.3 How many client requested enhancements have been added to the most recent release?
- 5.2.4 How are new enhancements selected for new versions? Is there RWA involvement? If so, describe.

- 5.2.5 Describe the process for adding RWA modifications to the baseline system. Will the modifications and interfaces the Vendor has proposed to RWA be available in the next version of the product?
- 5.2.6 How often are product updates released?
- 5.2.7 Will RWA have the ability to opt-out or disable new enhancements to the System that might impact functionality or processes?

## 5.3 Product Support

- 5.3.1 RWA prefers any data centers and/or customer support centers used by vendors to be located in North America. Describe the support facilities available to users of this application given RWA's geographic location, including the number of staff and hours of operation. Include United States-based facilities locations and time zones. If support is in a different time zone, describe how it will accommodate RWA's support needs.
- 5.3.2 Are there different levels of product support? Describe the different levels of support, SLAs, and the costs of each level.
- 5.3.3 How is SLA performance reported to RWA and what is the frequency?
- 5.3.4 If multiple applications from 3<sup>rd</sup> parties are part of the solution, describe the single point of contact when RWA encounters an issue?
- 5.3.5 Describe the process for RWA to request service.
- 5.3.6 What online forums or searchable knowledge bases are available for this application?
- 5.3.7 Would RWA have an account manager responsible for its software issues or would RWA utilize a call center? Explain the process.
- 5.3.8 If there is an assigned account manager to RWA, are there monthly meetings to review SLA performance, defect status, etc.?
- 5.3.9 Describe the dedicated group that will be responsible for supporting RWA.
- 5.3.10 Describe the process for receiving support and how that process will be managed for all proposed components for your solution.
- 5.3.11 Describe what is included and not included in technical software support? Are "How To" questions included?
- 5.3.12 How does the Vendor provide technical support? Does the Vendor need remote log in capabilities? Screen sharing, impersonation?
- 5.3.13 Shared logins are prohibited by RWA policy. Does that impact your support model?
- 5.3.14 Does the Vendor require a live Internet connection into the System for the proposed support model to work? If so, how is the data protected?

## 5.4 System Documentation

- 5.4.1 List and describe the base software documentation provided. Provide any recommended supplemental documentation or publications that would assist RWA's operations team to support all component software.

- 5.4.2 Please describe documentation that will be provided (User Guides/Quick Start Guides, etc.)
- 5.4.3 Please describe any documentation that is provided to RWA's operational team that would support troubleshooting of the day-to-day problems. Is a knowledge base (both internal and user community) accessible and kept updated?
- 5.4.4 List and describe any documentation or online products that are provided as self-help or knowledge base type applications. Describe search capabilities and show an example.

## 5.5 Software Development

- 5.5.1 List all languages used to create the proposed solutions and approximate percentage of the system that is written in each language.
- 5.5.2 If more than one language is used, provide a description of the languages and how they are utilized (i.e., all batch programs use Perl, except for four C++ applications that perform 'x' functions).
- 5.5.3 How do you verify and assure that all required software utilized within the solution is on compatible versions?
- 5.5.4 Describe the tools and methods used to migrate code from development to production, including the code rollback process, and how code versioning is managed. Describe any associated licensing requirements related to these tools and any costs that should be added to Attachment B – Cost Matrix.
- 5.5.5 What standards process does your software development team utilize to reduce security risks (i.e., Microsoft Security Development Lifecycle, NIST, OWASP, or similar)?
- 5.5.6 Does Vendor's license provide the source code to the utility?
- 5.5.7 Do you put source code in Escrow for your customers? If so, what is the additional cost to subscribe? Please include cost in Attachment B – Cost Matrix.
- 5.5.8 How does the Vendor support code modified by RWA?
- 5.5.9 Describe how custom programming changes are documented. Is there any automation for this process? How are code reviews performed with the RWA IT Team?
- 5.5.10 What validation does the Vendor provide of underlying component patches, i.e., operating system, databases, network, browsers, etc.?
- 5.5.11 What documentation is provided that outlines the specifics of what is included in each patch, each release, and each upgrade? Does this documentation also outline implications to "users" of the system? Please provide a sample.
- 5.5.12 Please describe the available reporting services and tools.
- 5.5.13 Does the data offer bulk manipulation of data within the system?

## 5.6 Version Control

- 5.6.1 Provide 3-5 year product roadmap as Attachment K.
- 5.6.2 Describe any source code version control and testing tools provided with the System.
- 5.6.3 Do you provide test scripts along with new releases and/or patches?

- 5.6.4 How many versions have been released in the past two years?
- 5.6.5 How many defect patches have been released in the past two years?
- 5.6.6 From RWA's operational perspective, describe the process of sending product fixes to RWA workstations.
- 5.6.7 How does a customer manage the implementation of new versions in multiple environments (i.e., production, test, development, and training)?

## 5.7 Development Platform

- 5.7.1 Describe the development tools required/recommended to support the proposed solution (please note if the development tools will run on 64-bit and/or 32-bit systems).
- 5.7.2 Describe the programming languages and compilers required to support the application. Give the compiler vendors and licensing requirements as well as cost. Please make sure this is included in Attachment B – Cost Matrix.
- 5.7.3 Describe tools that can be used to research programming problems and analyze software performance using a Software Development Kit (SDK).
- 5.7.4 Describe any tools that can be utilized to analyze, debug, correct, or review code/data.
- 5.7.5 What tools are provided for change management (i.e., patch management, version control, approvals, and code rollback)? Are these tools available for use with custom-developed modifications?
- 5.7.6 Describe how test data is created. Are there capabilities to extract a subset of data from production and move it to a test system for testing?
- 5.7.7 How are in-house configurations merged with upgrades and System maintenance?
- 5.7.8 What tools are provided to create in-house algorithms in place of customizing source code?

## 5.8 Programming Interface Capabilities

- 5.8.1 Describe the application programming interfaces (APIs) available for the proposed systems. Provide all API documentation.
- 5.8.2 What scripting capabilities and technologies does this application offer/support?
- 5.8.3 What capability does the application offer for event notification to processes outside the application? Describe the technology used for your application's event messaging and on which events is the event messaging available.
- 5.8.4 What message queuing capability does the System have?
- 5.8.5 Does the System have the capability to send event notifications and does it have the capability to react when it receives a notification?
- 5.9 Please use the Interface Listing to describe how you will integrate these systems with the proposed systems. For example, and not limited to, would you use SOA, XML, web services, or some type of hard-coded flat file programming tools? In Column C, RWA has indicated if they expect to maintain this interface post go-live. Please see the notes in Column L for further definition on why interfaces are marked No or Maybe. *This should be returned as **Attachment E**.*

- 5.9.1 Describe your support for custom code developed for RWA.
- 5.9.2 Describe how application extensions are architected for custom enhancements. This should include user-interface enhancements, billing logic, or workflow.
- 5.9.3 What is the process of supporting and testing custom code for patches, fixes, enhancements or new releases?
- 5.9.4 Describe the process for documenting and communicating custom code revisions with RWA.
- 5.9.5 How do you manage updating base and custom code in Escrow?

## 6.0 Upgrade Information

### 6.1 Upgrade Process

- 6.1.1 Describe the process of upgrading the solution after the initial software implementation. Describe all resource requirements for the upgrade, assuming RWA will require support.
- 6.1.2 Describe the typical timeliness of version releases and the plans for the next versions of your software.
- 6.1.3 Describe typical training and costs related to new releases. Please add costs to Attachment B – Cost Matrix assuming that RWA is remaining current on releases.
- 6.1.4 How do major and minor product releases fit into the support plan?
- 6.1.5 Describe the scope and relevance of the proposed upgrades that have been identified within the Cost Matrix.
- 6.1.6 What auditing and cross-checking tools exist to ensure data integrity following upgrades and/or patching? Can upgrades/patches be performed by RWA, independent of the Vendor?
- 6.1.7 Describe the product upgrade methodology if performed by Vendor. Are upgrades typically in-place or net-new?
- 6.1.8 How many and what percentage of your customers manage their upgrades without Vendor or third-party technical support? Are there third-party vendors that perform certified upgrades for your System?
- 6.1.9 When a new version is released, how does your firm ensure that any deficiencies corrected in prior versions are carried forward?
- 6.1.10 Describe the standard timeframes to conduct a product upgrade. Also, provide a brief summary of the last three version upgrades (if available).
- 6.1.11 Describe the typical requirements for upgrades, i.e., how long are prior versions supported (support/release/lifecycle matrix)?
- 6.1.12 Will complete data conversion tools be provided for base product upgrades? Will Data Conversions be required normally for base product upgrades?

## 7.0 Miscellaneous

- 7.0.1 What testing tools will be utilized to provide simulated testing of users to show application performance and response times? Describe the proposed methodology. If possible, provide recent stress test results.
- 7.0.2 Please describe the technologies the Vendor will provide to enable RWA to enhance its business processes.
- 7.0.3 Does the solution provide a method to confirm interfaces are up and running and are working optimally?

## 7.1 Environments

- 7.1.1 How are non-production Systems licensed? Is additional software licensing required for the Disaster Recovery environment?
- 7.1.2 Describe the Development environment (primary) used by the Vendor and RWA to manage, modify, and test the proposed applications.
- 7.1.3 What other platform combinations do you port the application to and support? How many environments are suggested during Implementation? How many environments are recommended post go-live for on-going support and disaster recovery?
- 7.1.4 What is the typical time between version and feature development on the primary platform and various development platforms? Do you specify security/technical vs. functional updates and communicate those to customers?
- 7.1.5 Has your solution been audited against any of the following standards / guidelines or are you currently certified against any of the following: NIST, HIPAA, Gamm-Leach-Bliley (GLB), E.U. Safe Harbor, GDPR, PCI DSS, ISO 27001, ISO 27002, ISAE3402, CSA Cloud Controls Matrix, or other equivalent standard or certifications? If so, please provide the most recent copy of the certification. Do you have third-party attestations performed such as SSAE 16 SOC 1 or SOC2? If so, please provide the most recent copy of the audit report. Are you willing to be contractually obligated to continue the audit/certification on a regular and on-going basis? Would you agree to termination for cause in the event of your failure to produce a satisfactory certification or modified opinion?

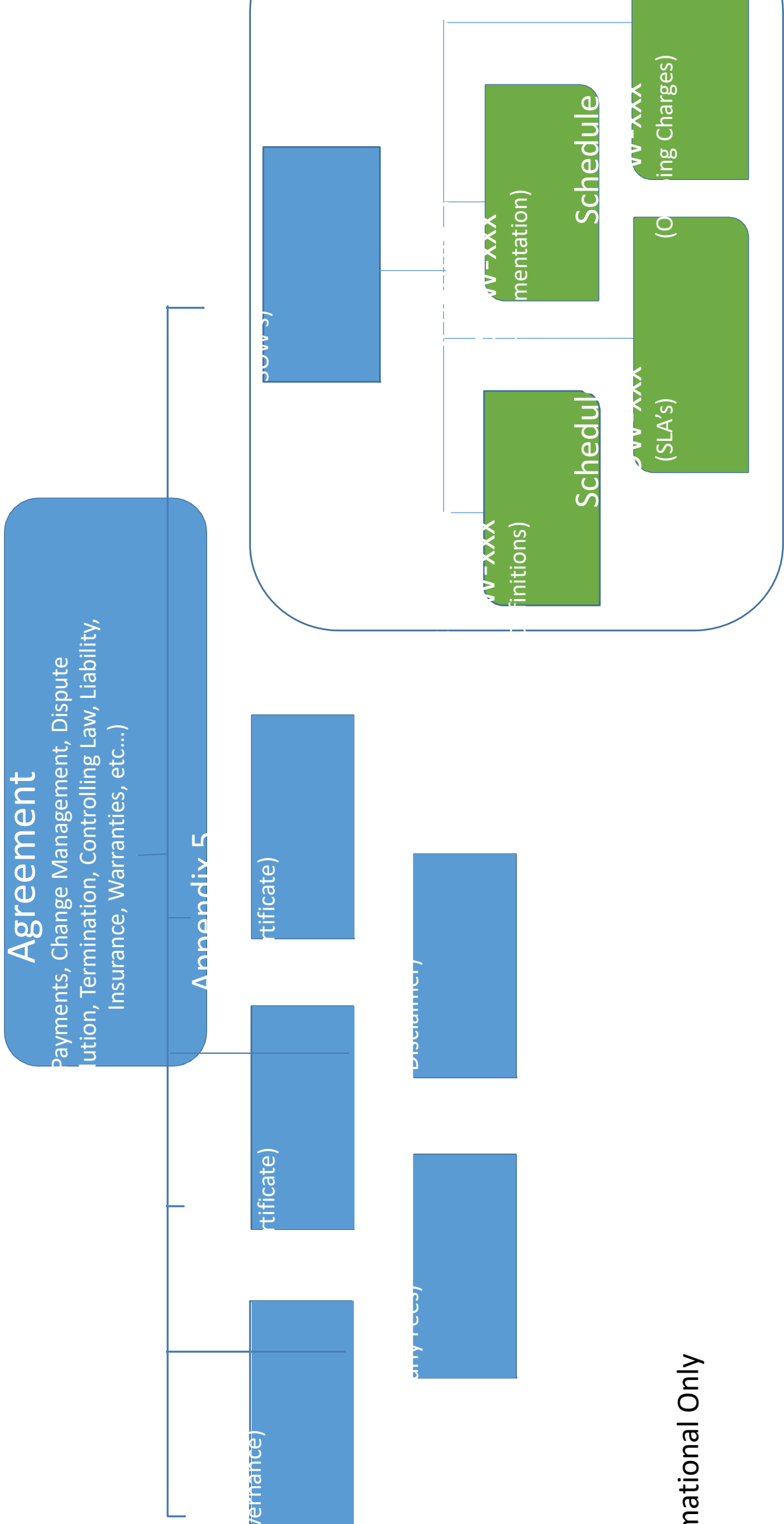
## 7.2 Data Hierarchy

- 7.2.1 Describe the application data model and its underlying database Implementation.
- 7.2.2 Please provide a copy of the Entity-Relationship Diagram (ERD). How often is the ERD updated?
- 7.2.3 Please describe the data integrity process and any tools or methods provided to verify data integrity. How is referential integrity enforced? Application and/or database?

\*\*\*\*\* END OF A.2 RESPONSE TEMPLATE \*\*\*\*\*



# Master Professional Services Agreement Structure (Technology)



Informational Only

**MASTER PROFESSIONAL SERVICES AGREEMENT**

**BETWEEN**

**SOUTH CENTRAL CONNECTICUT REGIONAL WATER AUTHORITY AND**

**ENTERCOMPANYNAME**

**FOR PROFESSIONAL**

**SERVICES**

THIS IS AN AGREEMENT effective as of \_\_\_\_\_ (“Effective Date”)

between the South Central Connecticut Regional Water Authority, a public corporation constituting a public instrumentality and political subdivision of the State of Connecticut (“the Authority”) and \_\_\_\_\_ (“Professional Service

Provider”) (each a “Party” and collectively the “Parties”). Professional Service Provider agrees to provide the services to the Authority for Information Technology Products and Services (“the Project”).

### **Definitions and Interpretation:**

The definitions and rules of interpretation set forth and apply throughout this Agreement.

<b>“Agreement”</b>	means the “Master Professional Services Agreement” and any Statement(s) of Work memorialized with an agreement;
<b>"Authorized Person"</b>	means Professional Service Provider’s employees, and any other agents, persons, or third parties that are agreed upon in writing by the Authority and Professional Service Provider;
<b>“Confidential Information”</b>	shall mean information expressly identified by that party as confidential, including information relating to its past, present or future research, development or business affairs; future project purchases; and any proprietary products, materials, or methodologies;
<b>“Deliverables”</b>	Means goods and services provided to the Authority by the Professional Service Provider;
<b>“Master PSA”</b>	means this “Master Professional Services Agreement” only, does not include and Statement(s) of Work;
<b>“Statement of Work” or “SOW”</b>	such items agreed to by both parties that sets forth the requirements, timelines, key performance indicators, and special terms and conditions with respect to a particular project as defined in Appendix 6;
<b>“Sub-Contractor”</b>	means Professional Service Provider’s sub-contractors who will assist Professional Service Provider in providing the Services;
<b>"Taxes"</b>	means all sales taxes, value added taxes, goods and services taxes, levied or imposed by any governmental authority by reason of or with respect to the provision of the Services to the Authority;

The Authority and Professional Service Provider further agree as follows:

## **1.01 Basic Agreement**

Professional Service Provider shall provide, or cause to be provided, the services set forth in the Description of Professional Service Provider's Scope of Services attached hereto as Appendix 6 (the "Services"), and the Authority shall pay Professional Service Provider for such Services as set forth in Section 2.01 hereof.

*Comment: Appendix 6 contains individual Statements of Work for each project or Service provided.*

## **2.01 Payment Procedures**

A. Preparation of Invoices. Professional Service Provider will prepare a monthly invoice and submit the invoice to the Authority.

B. Payment by Invoices. Invoices are due and payable within thirty (30) days of receipt. If the Authority fails to make any payment due Professional Service Provider for services and expenses within thirty (30) days after receipt of written notice of failure to pay from Professional Service Provider, the amounts due Professional Service Provider may be increased at the rate of one percent (1.0%) (or the maximum rate of interest permitted by law, if less) per month from said thirtieth (30<sup>th</sup>) day, unless otherwise agreed to by both Parties.

C. Payment Disputes. In the event the Authority disputes all or a portion of an invoice, the Authority shall pay the undisputed portion when due and provide Professional Service Provider with written notice of the dispute and the amount in dispute. In such event, the Parties shall first use good faith and reasonable, diligent efforts to resolve such dispute within a reasonable period of time not to exceed thirty (30) days from the date of such notice. If the Parties do not resolve such a dispute within such thirty (30) days, then the Parties may pursue their legal and equitable rights. The disputed amount may, at the discretion of the Authority, be held by the Authority until the dispute has been resolved; provided that the Authority shall be responsible to pay interest on any withheld amounts that are determined to have been properly billed, which shall be calculated in the same manner as interest on late payments under Section 2.01B.

D. Professional Service Provider's Standard Hourly Rates are attached hereto as Appendix 2.

E. Professional Service Provider will submit invoices to the Authority at the following email address: RWAAPinvoices@rwater.com.

## **3.01 Additional Services**

A. If authorized by the Authority and agreed by the Professional Service Provider in an amended Scope of Services, or if required because of changes in the Project, Professional Service Provider shall furnish services in addition to those set forth above. In order to be deemed accepted and valid, all changes to the Scope of Services must be set forth in a writing executed by both parties pursuant to Section 4.01B1.3 below.

B. Any amended Scope of Services or new Services memorialized with a Statement of Work will be incorporated and read together with this Master Professional Services Agreement and together shall constitute a single integrated Agreement between the Parties. If any specific provision of any Statement of Work conflicts with this Master Professional Services Agreement, then the Master Professional Services Agreement shall prevail unless specifically stated otherwise in any Statement of Work.

#### **4.01 Change Management**

##### **A. PURPOSE**

1.1 Where either party sees the need for a Change to any Statement of Work the Authority may at any time request, and Professional Service Provider may at any time recommend, such Change by an amendment to any Statement of Work in accordance with the Change Management Process as set out in Paragraph B (Change Management Process).

1.2 The Authority shall not withhold its approval of any Change recommended by Professional Service Provider, where:

1.2.1 an obligation for the Authority to agree the Change with Professional Service Provider via the Change Management Process is specifically stated in this Agreement; and/or

1.2.2 an obligation for the Authority to agree to the costs with Professional Service Provider via the Change Management Process is specifically stated in this Agreement; and/or

1.2.3 the Change is necessary to avoid material disruption or damage to the Services, the Authority's Assets, the Authority's business or Professional Service Provider's business that were not otherwise caused by the non-requesting party's willful misconduct or negligence; and/or

1.2.4 the Change is necessary to comply with statutory or other legal requirements relevant for the parties to be able to fulfil their obligations under this Agreement pursuant to Section 7.01 of this Master PSA.

The Authority can request further information or relevant and reasonable changes to the recommendation in accordance with Paragraph B.1.3 (General).

1.3 A party shall not unreasonably withhold its agreement or approval of any other Changes, other than the Changes listed in Paragraph 1.2 above. It will constitute a reasonable cause for the purpose of this Paragraph 1.3 to reject a request or recommendation for a Change if implementation of such Change will cause material technical problems, disruption, damage or inconvenience to the business of either party where such problems, disruption, damage or inconvenience cannot be easily remedied. Further, it will constitute a reasonable cause for the purpose of this Paragraph 1.3 for

Professional Service Provider to reject a request for a Change if the parties cannot agree to the cost impact of the Change in question.

## **B. CHANGE MANAGEMENT PROCESS**

### **1.1 The Authority Change Requests**

1.4 The Authority shall submit a request for Change in writing.

1.5 Where a request for a Change is received from the Authority, Professional Service Provider shall, unless otherwise agreed, submit a proposal to the Authority as soon as reasonably possible taking the nature and scope of the request into consideration. Professional Service Provider will use reasonable efforts to submit such proposal to the Authority no later than fifteen (15) Business Days after receipt of the Authority's request. Professional Service Provider will inform the Authority as soon as possible should this not be possible and provide an alternative time estimate for when a proposal will be submitted.

### **1.2 Professional Service Provider Recommendations to Change**

1.2.1 A recommendation for a Change by Professional Service Provider shall be submitted in writing.

1.2.2 Each proposal (as reply to the Authority's request) or recommendation for a Change from Professional Service Provider to the Authority shall as a minimum contain:

- (a) the title of the Change;
- (b) the originator and date of the request or recommendation for the Change;
- (c) the reason for the Change;
- (d) full details of the nature of the Change including any specifications;
- (e) a preliminary timetable for implementation of the Change;
- (f) the impact, if any, of the Change on other aspects of any Statement of Work including Schedules;
- (g) the date of expiry of validity of the proposal or recommendation for the Change in question;
- (h) provision for signature by Professional Service Provider and the Authority;

- (i) a schedule of the charges (including any changes to the existing Charges) in respect of such Change together with relevant supporting information and justification for the charges and a breakdown of how the charges are made up;

### **1.3 General**

1.3.1 For each proposal or recommendation submitted by Professional Service Provider, the Authority shall approve this in writing by signing the proposal or recommendation.

1.3.2 Professional Service Provider shall allocate a sequential number to the proposal or recommendation.

1.3.3 Without limiting the generality of Paragraph 1.2 (Purpose), the Authority shall evaluate a proposal or recommendation from Professional Service Provider and within five (5) Business Days after receipt of the proposal or recommendation, as appropriate, either:

- (a) request further information or relevant and reasonable changes to the proposal or recommendation;
- (b) approve the proposal or recommendation; or
- (c) notify Professional Service Provider of the rejection of the proposal or recommendation; and

1.3.4 If the proposal or recommendation is approved by the Authority and signed by Professional Service Provider, each party shall arrange for a copy of an approved proposal or recommendation to be signed by a duly authorised signatory for and on behalf of the Authority and Professional Service Provider, respectively.

## **C. COSTS**

1.1 Except as provided in Section 1.2 of Cost, the Authority shall not have any responsibility for any costs incurred by Professional Service Provider or any third parties on behalf of Professional Service Provider, in connection with performing the Change Management Process, including any costs incurred by Professional Service Provider in connection with the preparation of a proposal to a Change in response to a Change requested by the Authority.

1.2 Notwithstanding anything in Section 1.1 of Cost above to the contrary, the Authority shall reimburse Professional Service Provider for any costs incurred by Professional Service Provider or third parties on behalf of Professional Service Provider, related to the drafting of proposals and recommendations and discussions with the Authority about the Changes if, and to the extent that: (a) the Change that is the subject of such proposals, recommendations and discussions is requested by the Authority; (b) before initiating any work related to proposals for (or implementation of) Changes

requested by the Authority, Professional Service Provider has provided the Authority with estimated costs for the preparation of a proposal to a Change as reply to a the Authority request; (c) the Authority approves such estimated costs before Professional Service Provider proceeds with the preparation of a proposal to a Change as reply to a the Authority request; and (d) the Authority does not accept the resulting Change that is the subject of such proposals, recommendations or discussions.

## **5.01 Dispute Resolution**

Any dispute between the Parties arising under or pertaining to this Agreement shall be referred to senior representatives of the Parties for informal dispute resolution discussions to be held in good faith as soon as practicable.

In the event that the designated representatives do not reach a mutually acceptable resolution of the dispute within thirty (30) days of such referral, then the Parties may agree to submit such dispute to mediation or other dispute resolution process as may be agreed to by the Parties. If the dispute is not resolved within thirty (30) days from the date of such submission, or if the Parties do not agree to said submission, either Party may then bring an appropriate action at law or in equity with a court of competent jurisdiction located in the State of Connecticut. Nothing in this Section 5.01 shall prevent either party from instigating immediate legal proceedings: (a) in order either to avoid the expiration of any contractual, statutory or equitable limitation period or time limit; or (b) to avoid an unauthorized disclosure of Confidential Information, to preserve a superior position with respect to other creditors, or to seek a preliminary injunction or other provisional judicial relief, if in its sole judgment such action is necessary to avoid irreparable damage or to preserve the status quo; or (c) in which either party requires the enforcement of any agreement reached in accordance with this 5.01 or any binding order, award, determination or decision made pursuant to this Section 5.01.

## **6.01 Termination**

A. The Authority shall have the right to terminate this Agreement at any time for the Authority's convenience by giving five (5) days written notice of such to Professional Service Provider. Upon receiving notice of termination, Professional Service Provider shall discontinue the work on that date to the extent specified in the notice and place no further orders for sub services except as needed to continue any portion of the work that was not terminated. Professional Service Provider shall also make every reasonable effort to cancel, upon terms satisfactory to the Authority, all orders or subcontracts related to the terminated work.

B. If this Agreement is terminated for the Authority's convenience after Professional Service Provider has commenced any work, mobilization, or other off-site activities under this Agreement, Professional Service Provider will be paid its actual costs incurred prior to receiving the notice of termination, including administrative and general overhead costs, and mutually agreed upon reasonable demobilization costs, determined in accordance with generally accepted accounting principles consistently applied; provided that, if compensation under this Agreement is on a time and material basis, Professional Service Provider will be compensated at the rates



specified in the Agreement for work actually accomplished prior to the notice of termination. Fees for services actually performed shall not exceed the cost for such services specified in this Agreement.

C. Notwithstanding the foregoing, the Authority may terminate this Agreement without prior notice for reasonable cause. Reasonable cause shall include bankruptcy, insolvency, or a breach that is not cured within 10 business days of receiving written notice of such breach. Upon termination of this Agreement by the Authority for reasonable cause, the Authority shall pay for authorized work that has been acceptably performed prior to the date of such termination and reimburse Professional Service Provider for costs incurred by Professional Service Provider in connection with all outstanding third party contracts entered into by Professional Service Provider in connection with providing the Services hereunder, up to a maximum of the amount to be paid by Professional Service Provider to such third parties for work performed through the effective date of termination of this Agreement.

D. Notwithstanding anything set forth herein to the contrary, the termination of any SOW for any reason shall not result in the termination of this Master PSA or any other SOW. This Master PSA may not be terminated except as expressly set forth herein until all SOWs have been completed or terminated.

## **7.01 Controlling Law**

This Agreement shall be governed by, construed and enforced in accordance with, the laws of the State of Connecticut.

A. Professional Service Provider shall perform the Services in compliance with applicable law. If there are any changes in applicable law following the Effective Date that:

- i. require modifications to be made to the Services;
- ii. require modifications to be made to the manner in which the Services are provided;
- iii. require modifications to be made to the terms of this Agreement;
- iv. impact on the costs to Professional Service Provider or the Authority in providing or receiving the Services; and/or
- v. affect a party's ability to comply with its obligations under this Agreement;

then such matters shall be promptly discussed and resolved in good faith by agreement of the parties upon request from either party.

B. Each party is responsible for its own compliance with applicable laws, neither party is responsible for the other party's compliance, or non-compliance, with applicable laws.

C. Professional Service Provider shall direct all inquiries from a competent authority relating to this Agreement to the Authority unless the inquiry is specifically addressed to Professional Service Provider.

D. Professional Service Provider shall not communicate with a competent authority regarding this Agreement without the Authority's prior consent, except to the extent that Professional Service Provider is required to make such communication: (i) in accordance with applicable laws; or (ii) where such communication is specifically addressed to Professional Service Provider from the competent authority in question.

E. In cases of disputes relating to the Services with any competent authority, the Authority shall be responsible for all dealings with the competent authority, except where: (i) the dispute is between the competent authority and Professional Service Provider; or (ii) the competent authority involves Professional Service Provider in the investigations.

F. Subject to the specific provisions applicable to audit and regulatory investigation, Professional Service Provider shall provide to the Authority (at the Authority's cost and upon the Authority's request), all reasonable assistance in connection with any investigation by or communication with any competent authority related to this Agreement where the investigation involves and/or the communication is limited to the Authority.

G. Subject to the specific provisions applicable to audit and regulatory investigation, the Authority shall provide to Professional Service Provider (at Professional Service Provider's cost and upon Professional Service Provider's request), all reasonable assistance in connection with any investigation by or communication with any competent authority related to this Agreement where the investigation involves and/or the communication is limited to Professional Service Provider.

H. Subject to the specific provisions applicable to audit and regulatory investigation, either Party shall provide to the other (at Party's own cost and upon request from other Party), all reasonable assistance in connection with any investigation by or communication with any competent authority related to this Agreement where the investigation involves both Parties.

## **8.01 Indemnification and Limitation of Liability**

A. Professional Service Provider shall defend, indemnify, and hold harmless the Authority, its officers, directors, agents and employees from and against all claims, damages, losses, and expenses, including attorneys' fees, arising out of Professional Service Provider's negligent acts, errors or omissions or willful misconduct in the performance of professional services under this Agreement and those of its agents or employees. Professional Service Provider is not obligated to indemnify the Authority in any manner whatsoever for the Authority's own negligence.

B. The obligations hereunder shall survive the termination or expiration of this Agreement.

## **9.01 Confidentiality**

A. The Parties acknowledge that in the course of this Agreement they will have access to, and/or will be in possession of confidential information of the other. “Confidential Information” shall mean information expressly identified by that party as confidential, including information relating to its past, present or future research, development or business affairs; future project purchases; and any proprietary products, materials, or methodologies.

B. To the extent permitted by law each Party shall hold in confidence, in the same manner it holds its own Confidential Information of like and kind, all Confidential Information of the other to which it may have access hereunder. To the extent permitted by law, access to Confidential Information shall be restricted to those of the Party’s personnel with a need to know and engaged in a permitted use. To the extent permitted by law, each Party’s reports and work papers marked confidential shall neither be exhibited nor distributed in any way to parties external to the other Party.

The foregoing shall not prohibit or limit either Party’s use of information (including, but not limited to, ideas, concepts, know-how, techniques, and methodologies) (i) previously known to it, (ii) independently developed by it, (iii) acquired by it from a third party without continuing restriction on use, (iv) which is, or becomes, publicly available through no breach of this Agreement, or (v) as may be required by law under the Connecticut Freedom of Information Act, similar state law requirements, or otherwise.

C. In the event that either Party is (i) requested to provide or disclose any Confidential Information claiming the applicability of the Connecticut Freedom of Information Act or similar state law requirements, or (ii) requested or required, by oral questions, interrogatories, requests for information or documents, subpoena, civil investigative demand or similar process, to disclose any Confidential Information, it is agreed that the receiving Party shall give prompt notice of the service of process or other documentation that underlies such requirements and use its best efforts to assist the disclosing Party if the disclosing Party wishes to obtain a protective order or otherwise protect the confidentiality of such Confidential Information. The disclosing Party reserves the right to obtain a protective order or otherwise protect the confidentiality of its Confidential Information.

D. neither party shall make any external announcement, public circular, press statement, publicity, advertising or promotional or other marketing activity information or materials concerning or relating to this Agreement, the existence of this Agreement, the other party or any ancillary matter (but excluding any disclosure required by Applicable Law) without the prior consent of the other.

E. This section shall survive the termination of the Agreement.

## **10.01 Insurance Requirements**

A. MINIMUM INSURANCE REQUIREMENTS

Professional Service Provider shall provide and maintain the insurance coverage described below with the indicated minimum limits. Professional Service Provider agrees to furnish certificates of insurance to the Authority certifying coverage to be in effect for the term of this Agreement and will give, or cause to be given, to the Authority sixty (60) days written notice of cancellation or non-renewal of any coverage or policy.

*NOTE – Coverage amounts should be reviewed by the Risk Manager before entering into each professional services agreement.*

#### I. WORKERS' COMPENSATION

Connecticut	Statutory Limits
Applicable Federal	Statutory Limits
Employer's Liability	\$100,000 per Accident
	\$500,000 Disease
	\$100,000 Disease, Per Employee

#### II. COMMERCIAL GENERAL LIABILITY

Bodily Injury and Property Damage	\$1,000,000 each occurrence
General Aggregate	\$2,000,000
Products & Completed Operations Aggregate	\$2,000,000
Personal Injury/Advertising	\$1,000,000
Each Occurrence	\$1,000,000
Fire Damage	\$100,000
Medical Expense	\$5,000

Coverage to include Premise-Operations, Products & Completed Operations, Contractual Liability, & Broad Form Property Damage.

#### III. BUSINESS AUTOMOBILE LIABILITY (Including owned, hired & non-owned vehicles).

(a) Liability (Combined Single Limit)	\$1,000,000
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#### IV. UMBRELLA/EXCESS LIABILITY

(a) Liability Limit - each occurrence over primary	\$10,000,000
(b) Self-insured retention.	\$10,000

- V. PROFESSIONAL LIABILITY \$10,000,000 per claim
- VI. NETWORK AND PRIVACY LIABILITY \$10,000,000 Each Occurrence
- VII. To the extent of the liabilities and indemnities assumed by Professional Service Provider herein, South Central Connecticut Regional Water Authority is to be named as an additional insured on all policies, except Workers' Compensation and Professional Liability, on a primary basis such that said additional insurance shall provide primary coverage to South Central Connecticut Regional Water Authority and any other insurance available to the Authority shall be secondary or excess.

Professional Service Provider shall provide certificates of insurance evidencing the Authority's status as additional insured under each applicable policy, each of which is attached hereto as Appendix 3.

THE FOLLOWING MUST APPEAR ON THE FACE OF THE INSURANCE CERTIFICATE IN THE SECTION ENTITLED "DESCRIPTION OF OPERATIONS".

"South Central Connecticut Regional Water Authority is named as an additional insured on all policies, except Workers' Compensation, and Professional Liability on a primary basis".

Said additional insurance shall provide primary coverage to South Central Connecticut Regional Water Authority and any other insurance available to the Authority shall be secondary or excess.

The requirements set forth in Section 10.01A above shall also apply to any Sub-Contractor or common carrier used by Professional Service Provider.

#### **11.01 State Taxes**

A. Professional Service Provider is advised that, in accordance with the provisions of Special Act No. 77 98, as amended, and Section 12 412(a) of the Connecticut General Statutes, sales of tangible personal property and services to the Authority are not subject to the Connecticut Sales and Use Tax. Accordingly, such tax shall not be included in the fee.

B. Professional Service Provider is advised that, provisions of House Bill No. 5021, Public Act No. 78 322, mandate an exemption from tax in the purchases of motor fuel for the purpose of performing contractual services for a political subdivision of the state. Accordingly, such tax shall not be included in the fee.

C. Professional Service Provider is advised that Public Act 03-147, as amended, puts certain responsibilities on parties that enter into agreements with non-resident contractors. Any Professional Service Provider which is a "non-resident contractor" as that term is defined in Public Act 147, shall be required to file a bond, or make other appropriate deposit arrangements, with the Connecticut Department of Revenue Services to ensure compliance with such Act.

D. Each Professional Service Provider shall thoroughly familiarize himself with all laws, ordinances, regulations and rules requiring the payment of Taxes and each Professional

Service Provider is responsible for checking with the State of Connecticut on items that may or may not be exempt, and the steps which should be taken to obtain such exemption. Each Professional Service Provider shall consult with his own counsel with respect to the applicability of all taxes.

E. The charges described in 1.01 and 2.01 are stated exclusive of applicable taxes, which shall be added at the prevailing rate, unless the Authority provides an appropriate tax exemption certificate. Once the Authority provides an applicable tax exemption certificate, the Authority shall not be required to deliver another such certificate with respect to any such tax except upon the reasonable request of Service Provider. The parties acknowledge that the Authority is a political subdivision and is generally not subject to taxation. If Service Provider deems that a new tax is applicable to the Authority and charges the Authority such tax, Service Provider shall (i) upon the Authority's reasonable request, provide reasonable assistance to the Authority in seeking exemption from such tax, and (ii) reimburse the Authority for all such tax collected by Service Provider if the Authority delivers an appropriate tax exemption certificate before such tax is paid to the taxing authority.

## **12.01 Safety**

A. Professional Service Provider shall comply with all applicable laws and regulations relating to the safety of persons working at Authority sites, including the Authority's safety requirements, while providing Services pursuant to this Agreement. Professional Service Provider shall be solely responsible for initiating, maintaining and supervising all safety precautions and programs for its employees working at the Authority facilities or sites. Professional Service Provider shall take all necessary precautions for the safety of its employees on the Authority sites and persons who may be affected by the work under this Agreement.

## **13.01 General Considerations**

A. The standard of care for all professional services and related services performed or furnished by Professional Service Provider under this Agreement will be the care and skill ordinarily used by members of the subject profession practicing under similar circumstances at the same time and in the same locality. Professional Service Provider and its consultants may use or rely upon the design services of others, including, but not limited to, contractors, manufacturers, and suppliers.

B. The Authority shall be the owner of all work papers created or delivered in connection with this Agreement. Professional Service Provider shall deliver such work papers created in connection with this Agreement. Professional Service Provider shall be entitled to retain a duplicate set of such work papers for its files for informational purposes for the duration of the Project and not for duplication or distribution. Upon completion of the Services, or upon termination of this Agreement, Professional Service Provider shall return to the Authority all Confidential Information provided to Professional Service Provider by the Authority's employees, affiliates, or agents, unless otherwise instructed by the Authority. This section shall survive the termination of the Agreement for any reason.

C. The parties acknowledge that Professional Service Provider's scope of services does not include any services related to the presence of asbestos, PCBs, petroleum, hazardous substances or waste, and radioactive material ("Hazardous Environmental Condition"). If Professional Service Provider or any other party encounters a Hazardous Environmental Condition, Professional Service Provider may, at its option and without liability for consequential or any other damages, suspend performance of services on the portion of the Project affected thereby until the Authority: (i) retains appropriate specialist consultants or contractors to identify and, as appropriate, abate, remediate, or remove the Hazardous Environmental Condition; and (ii) warrants that the Project site is in full compliance with applicable laws and regulations.

D. Professional Service Provider agrees and warrants that (1) in the performance of the Agreement such Professional Service Provider will not discriminate or permit discrimination against any person or group of persons on any of the grounds set forth below, and (2) agrees to take affirmative action to insure that applicants with job-related qualifications are employed and that employees are treated when employed without regard to the following: race, color, religious creed, age, marital status (including civil union status), national origin, ancestry, sex, sexual orientation, mental retardation or physical disability, including, but not limited to, blindness, unless it is shown by such contractor that such disability prevents performance of the work involved, in any manner prohibited by the laws of the United States or of the State of Connecticut. The Authority may require said Professional Service Provider to provide documentation of a corporate policy to this effect in a form satisfactory to the Authority, including but not limited to, a resolution adopted by said Professional Service Provider's board of directors, shareholder, managers, members or other governing body as the case may be, in accordance with Sections 4a-60(a) and 4a-60a(a) of the Connecticut General Statutes. Professional Service Provider shall provide such documentation to the Authority within [sixty (60) days] of the Authority's request.

E. Warranties.

(a) Professional Service Provider warrants to the Authority that for a period of **xxxxx months** from the date of delivery and acceptance, all Deliverables will:

1. be free from any defects in workmanship, material and design;
2. conform to applicable specification, drawings, designs, samples, and other requirements;
3. operate as intended; and
4. not infringe or misappropriate any third party's patent or other intellectual property rights.

These warranties survive any delivery, inspection, acceptance or payment of or for the Deliverables by the Authority;

(b) Professional Service Provider warrants to the Authority that it shall perform the services using personnel of required skill, experience and qualifications and in a professional and workmanlike manner in accordance with generally recognized industry



standards for similar services and shall devote adequate resources to meet its obligations under this Agreement; and

(c) If the Authority gives Professional Service Provider notice of noncompliance pursuant to this Section, Professional Service Provider shall, at its own cost and expense, promptly (i) replace or repair the defective or nonconforming Deliverables, and, if applicable, (ii) repair or re-perform the applicable services.

EXCEPT AS OTHERWISE SET FORTH HEREIN OR AN APPLICABLE SOW, PROFESSIONAL SERVICE PROVIDER EXCLUDES AND DISCLAIMS ALL OTHER WARRANTIES, WHETHER EXPRESS, IMPLIED, OR STATUTORY, INCLUDING, WITHOUT LIMITATION, THE IMPLIED WARRANTIES OF MERCHANTABILITY.

#### **14.01 Successors and Assigns**

A. The Authority and Professional Service Provider each is hereby bound and the partners, successors, executors, administrators, and legal representatives of the Authority and Professional Service Provider (and to the extent permitted by Section 13.01B below, the assigns of the Authority and Professional Service Provider) are hereby bound to the other Party to this Agreement and to the partners, successors, executors, administrators, and legal representatives (and said assigns) of such other party, in respect of all covenants, agreements, and obligations of this Agreement.

B. Neither the Authority nor Professional Service Provider may assign, sublet, or transfer any rights under or interest in this Agreement (including, but not limited to moneys that are due or may become due) without the prior written consent of the other, except to the extent that any assignment, subletting, or transfer is mandated or restricted by law. Unless specifically stated to the contrary in any written consent to an assignment, no assignment will release or discharge the assignor from any duty or responsibility under this Agreement.

#### **15.01 Sub-Contractors and Other Personnel**

A. Professional Service Provider shall provide the Authority with at least seven (7) business days prior written notice of its intent to obtain approval for a Sub-Contractor to become an Authorized Person. Professional Service Provider shall send such prior written notice to the attention of the Authority as defined in section 18.01. The Authority shall have seven (7) business days to approve or deny the Professional Service Provider's request in the Authority's sole discretion, such consent not to be unreasonably withheld or delayed.

(a) Authority will perform a background check for all Professional Service Provider's Authorized Person(s) before working on-site.

(b) Professional Service Provider will perform background check for all Professional Service Provider's staff working off-site, before requesting Authorized Person status from the Authority. The Professional Service Provider will provided to the Authority upon written request, background check documentation.



## **16.01 Third Party Rights**

A. Nothing herein shall be construed as giving any third party any rights and no action based on a contractual theory of recovery may be brought against the Authority, its officers, directors, agents, employees or Sub-Contractor(s) by any third party claiming to be a third-party beneficiary of this Agreement.

## **17.01 Waiver and Accumulation of Remedies**

A. The rights and remedies provided by this Agreement may be waived only in writing by the duly authorized officer of the Party in a manner that expressly states that such waiver is intended for, and such waiver shall only be operative with regard to, the specific circumstances referenced.

B. Unless a right or remedy is expressed to be an exclusive right or remedy, the exercise of it by a Party is without prejudice to the Party's other rights and remedies. Any failure to exercise, or any delay in exercising, a right or remedy by either party shall not constitute a waiver of that right or remedy, or of any other rights or remedies.

C. The rights and remedies provided by this Agreement are cumulative and, unless otherwise provided in this Agreement, are not exclusive of any right or remedies provided at law, in equity, or otherwise under this Agreement.

## **18.01 Notices**

All notices required to be given under any of the terms of this Agreement shall be in writing and be delivered personally or sent by fax or other electronic means or overnight courier or by registered or certified mail, postage and charges prepaid (and deemed given upon receipt) and addressed as follows:

If to the Authority:  
South Central Connecticut Regional Water Authority  
90 Sargent Drive  
New Haven, Connecticut 06511

If to Professional Service Provider:  
Company Name  
Address line 1  
Address line 2

Attention: Director of Procurement and Risk  
Management

Attention: Title

## **19.01 Contract Documents**

The following documents shall constitute the "Contract Documents" hereunder:

1. Governance (attached hereto as Appendix 1);

2. Professional Service Provider's [Standard Hourly Rates or Fee Schedule] (attached hereto as Appendix 2);
3. Certificates of Insurance (attached hereto as Appendix 3);
4. Cyber Security Disclaimer (attached hereto as Appendix 4);
5. Nondiscrimination Certificate (attached hereto as Appendix 5);
6. Description of Professional Service Provider's Scope of Services (attached hereto as Appendix 6 and any attached schedules)

#### **20.01 Relationship of the Parties.**

The parties are independent contractors to one another and nothing set forth herein is intended to impose liability on one party for the act or failure to act of the other party, or to authorize either party to act as agent for the other party.

#### **21.01 Severability.**

If any provision of this Agreement is determined to be invalid or unenforceable, the remaining provisions of this Agreement shall not be affected thereby and shall be binding upon the Authority and the Professional Service Provider and shall be enforceable, and such provision shall be reformed to the extent necessary to render such provision valid and enforceable and to reflect the intent of the parties to the maximum extent possible under applicable law.

#### **22.01 Non-Solicitation**

Neither Party shall solicit or enter into consulting relationships with any person employed or engaged by the other Party involved in the provision or the receipt of the Services at any time during the Term or for a further period of six (6) months after the termination or expiration of this Agreement for any reason.

#### **23.01 Force Majeure**

A. If either Party's ability to perform any of its obligations under this Agreement is adversely affected because of circumstances beyond the reasonable control of the Party, such as an act of God, fire, casualty, flood, war, terrorist act, failure of public utilities, injunction or any act, cyber-attacks, exercise, labor or civic unrest, assertion or requirement of any governmental authority, epidemic, or destruction of production facilities (a "Force Majeure Event"), the Party who has been so affected shall immediately give notice to the other Party and shall do everything reasonably practicable to resume performance, except that the Authority shall not be excused in any event from timely meeting its payment obligation. Upon receipt of such notice, all affected obligations under this Agreement shall be immediately suspended for the period of such Force Majeure Event. If the period of non-performance exceeds thirty (30) days from the receipt of

notice of the Force Majeure Event, the Party whose ability to perform has not been so affected may give written notice to terminate without penalty any affected SOW. The parties acknowledge and agree that COVID-19 is a known and reasonably foreseeable risk and any impacts resulting therefrom shall not be deemed a Force Majeure Event hereunder.

#### **24.01 Integration and Total Agreement**

This Agreement and the documents attached hereto, and which are incorporated by reference herein, constitute the entire agreement between the Authority and Professional Service Provider and supersedes all prior written or oral understandings. This Agreement may only be amended, supplemented, modified, or canceled by a duly executed written instrument.

#### **25.01 Counterparts**

This Agreement may be executed in two or more counterparts, each of which shall be deemed an original, but all of which together shall constitute one and the same instrument.

#### **26.01 Representations**

A. Each party warrants, represents, and covenants that:

1. it has full capacity and authority to enter into and to perform this Agreement;
2. this Agreement is executed by a duly authorized officer of that party;
3. there are no actions, suits, or proceedings or regulatory investigations pending or, to that party's knowledge, threatened against or affecting that party before any competent authority that might affect the ability of that party to meet and carry out its obligations under this Agreement;
4. once duly executed, this Agreement will constitute its legal, valid and binding obligations;

its Representatives shall be authorized to carry out the matters for which they are expressed to be responsible in this Agreement;

**IN WITNESS WHEREOF**, the parties hereto have executed this Master PSA, the Effective Date of which is indicated on page 1.

South Central Connecticut  
Regional Water Authority:

Professional Service Provider:

By: \_\_\_\_\_

By: \_\_\_\_\_

Title: \_\_\_\_\_

Title: \_\_\_\_\_

Date Signed: \_\_\_\_\_

Date Signed: \_\_\_\_\_

## **Appendix 1**

### **GOVERNANCE**

#### **1. Purpose**

The purpose of this Appendix is to clearly articulate the governance structure as it applies to the Services provided. It is intended as a framework that describes the Governance-related principles, processes and procedures that shall be consistently applied under this Agreement, and describes:

- how authority over any Statement of Work shall be exercised
- how decision rights shall be assigned
- the assignment of roles and accountabilities to the Authority and Professional Service Provider and/or the individuals and committees that represent the two parties
- how the Authority and Professional Service Provider representatives shall interact and communicate at various levels of their respective organizations

#### **2. Objectives of Governance**

The objectives of the governance procedures set forth in this Appendix 1 are:

- to provide a set of principles, guidelines and processes for the management of the relationship between the parties and the performance of their respective obligations under the Agreement;
- to provide a mechanism to verify that the Services are provided in accordance with the terms and conditions of the Agreement, including all Service Levels defined in any SOW(s) and all applicable Laws;
- to ensure that the Authority executives and senior management continually understand the purpose and scope of the relationship, key contractual terms and Professional Service Provider's performance expectations;
- to facilitate change management with the stakeholders;
- to ensure clarity of decision rights, obligations, accountabilities, roles and responsibilities between the Parties;
- to ensure that all issues or exceptions arising in connection with the performance of the Services are effectively and efficiently resolved; and
- to provide for centralized governance of the Agreement so that all governance issues between the parties are dealt with in accordance with the procedures described herein.

### 3. Governance Bodies and Individuals

The following Governance Bodies and Individuals shall play key roles in the Governance of the relationship that exists between the Authority and Professional Service Provider.

Governance Body/ Individual	Role
<b>Joint Steering Committee</b>	<p>The Joint Steering Committee (JSC) is a six (6) member entity that is comprised of three (3) senior leaders representing each of the Authority and Professional Service Provider. The Professional Service Provider project manager will distribute weekly status reports during any Implementation period to the JSC. The JSC will meet every two months during the term of this Agreement. The JSC is responsible for setting the strategic direction of the relationship between the Authority and Professional Service Provider at the highest level and for reviewing the performance of the Services. The first such meeting will be held on an agreed date.</p> <p>The responsibilities of the JSC will be to:</p> <ul style="list-style-type: none"> <li>• determine whether the relationship levels between the Authority and Professional Service Provider are progressing as desired under the Agreement;</li> <li>• determine whether the relationship between the parties under the Agreement is aligned with the expectations of each of the parties' executive management;</li> <li>• advise the parties with respect to the Authority's strategic and tactical decisions regarding the establishment, budgeting and implementation of the Authority's priorities and plans for the Services;</li> <li>• discuss the strategic relationship and direction of the parties' relationship under the Agreement and otherwise;</li> <li>• address any dispute(s) escalated to it from the other committees or teams; and</li> <li>• address any other issue related to the Agreement or Services being provided which either party wishes to add to the agenda of any JSC meeting or any other obligation assigned to it pursuant to the Agreement.</li> </ul>
<b>The Authority Executive Sponsor</b>	<p>The Authority shall designate a person to meet or confer with Professional Service Provider's Identified Executive on a regular basis to ensure that Professional Service Provider is receiving adequate guidance in providing the Services. The Authority's Executive Sponsor (along with Professional Service Provider's Identified Executive) will serve as the second point of escalation in the dispute resolution process.</p>

#### **4. Governance Model Overview**

The Governance Model shall be guided by key Operating Principles (see Section 5 Governance — Operating Principles and a set of clearly-defined practices (see Section 6 Governance Practices).

#### **5. Governance -- Operating Principles**

- A. Advocate Clear Accountability* — The Governance Model shall promote clear accountability as it relates to the on-time delivery of the Services.
- B. Demonstrate Proactive Support* — The Governance Model shall encourage Account Management that demonstrates proactive and innovative approach to improving the value of the Services and which is characterized by beneficial behaviors that strengthen the quality of the business relationship between the parties.
- C. Align Operations with Business Strategy* -- The Governance Model shall promote operational outcomes that are consistent with strategic business intent. It will seek to encourage communications at all organizational levels and across organizational boundaries.
- D. Promote Flexible Response to Change* — The Governance Model shall promote a flexible response to the changes that will take place during the life of any Statement of Work, including, but not limited to, finding ways for both parties to benefit from the application of technologies that improve the efficiency and quality of, and customer satisfaction with, the Services.
- E. Measure and Analyze Business Results* — The Governance Model shall promote the collection and interpretation of meaningful business metrics that extend beyond the operationally-focused metrics defined in any Statement of Work, and which can be used to better interpret business results.
- F. Resolve Disputes Quickly and Reasonably* — The Governance Model shall encourage the rapid and reasonable resolution of disputes and will, when necessary, promote the long-term health of the relationship over any particular shorter-term outcome.
- G. Reward Innovation* — The Governance Model will recognize and reward the parties' extraordinary efforts to add value to the Services provided under this Agreement. For instance, the introduction of value-producing new technologies or programs might qualify for gainsharing.

#### **6. Governance Practices**

Governance practices consist of well-defined activities, events and procedures that, when consistently applied, can be expected to strengthen the relationship between the Authority and Professional Service Provider. These include the following:

- A. Regularly Scheduled Meetings* - Regularly scheduled meetings between stakeholders of any Statement of Work, and which include Weekly Operational Meetings, and Joint Steering Committee Meetings. Additional meetings will be scheduled as required.
- B. Stakeholder Communications* - Appropriate stakeholder communications (the Authority and Professional Service Provider) that may consist of written permissions and approvals, change-related communications (Change Requests, Change Proposals and Formal Business Cases), and other communications, either as specified any Statement of Work or as deemed necessary by the parties to ensure proper Governance.
- C. Performance Management* - Performance Management will be achieved through a variety of mechanisms. The Service Levels defined in any Statement of Work, as described in Schedule 2

of any specific Statement of Work, offer a precise manner in which to compare Professional Service Provider's performance against the requirements of the specific Statement of Work.

*D. Change Management* - Change Management practices that prepare all stakeholders for planned changes and which lessen the negative aspects of change. Change will be managed in accordance with the provisions of paragraph 4.01 Change Manage of the Master PSA and will be formally communicated so that all parties are equipped to respond appropriately to Change.

*E. Contract Management* - Contract Management practices that ensure that any Statement of Work scope is properly understood, communicated and managed. Professional Service Provider's Identified Executive and the Authority's designated staff will be primarily responsible for managing any Statement of Work and applying it to ensure that the Services are properly delivered.



## Appendix 2 - Hourly Fee Schedule

Resource Category	Title	Hourly Rates					
		On-Site		On-Shore		Off-Shore	
		Min. Exp. Level		Min. Exp. Level		Min. Exp. Level	
		2-4 Years	5+ Years	2-4 Years	5+ Years	2-4 Years	5+ Years
Software & Applications Development	Manager	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	Project Manager	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	Scrum Master	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	Mobile Applications Development	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	Applications Architect	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	Lead Applications Developer	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	Software Engineer	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	Software Developer	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	DevOps Engineer	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	CRM Business Analyst	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	SAP/ERP Technical Developer	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	SAP/ERP Technical/Functional Analyst	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	SAP/ERP Business Analyst	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	Developer/Programmer Analyst	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	Business Systems Analyst	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	Business Functional Analyst	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	Systems Analyst	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	Technical Writer	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Web Development		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	Senior Web Developer	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	Web Developer	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	Front End Web Developer	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	Web Administrator	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	E-Commerce Analyst	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Consulting & Systems Integration		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	Senior Technical Consultant	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	Senior Business Consultant	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	Strategic Consultant	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	Enterprise Project Manager	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Data/Database Administration		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	AI Architect	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	Data Architect	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	Data Scientist	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	Data Modeler	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	Database Manager	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	Database Administrator	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	Business Intelligence Analyst	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	Data Analyst/Report Writer	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	Data Warehouse Analyst	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	Data Reporting Analyst	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Quality Assurance (QA) Testing		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	QA Testing Manager	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	QA Engineer - Automated	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	QA Engineer - Manual	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -

Quality Assurance (QA) Testing	QA Analyst	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	Business Testing Analyst	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Networking/Telecom munications	Network/Cloud Analyst	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	Network Cloud Manager	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	Wireless Network/Cloud Engineer	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	Network/Cloud Engineer	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	Network/Cloud Administrator	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	Telecommunications Manager	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	Telecommunications Specialist	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Security	Information Security Manager	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	Security Architect	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	Data Security Analyst	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	Network Security Engineer	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	Network Security Administrator	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Technical Services & Operations	Business Continuity Analyst	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	Hardware Analyst	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	Mobile Device Support Analyst	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	Desktop Support Analyst	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	Help Desk Tier 1	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	Help Desk Tier 2	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	Help Desk Tier 3	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	PC Technician	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
BackOffice/Business Services and Operations	Business Systems Analyst	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	EAM Analyst	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	Finance Analyst	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	Business Support Analyst	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	Payroll Analyst	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	Customer Service Analyst	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	Work Management Analyst	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	Budgeting & Planning Analyst	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	SCM Analyst	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	AP Analyst	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
	AR Analyst	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -

### **Appendix 3**

## **Certificate of Insurance**

Add copy of COI below

**Appendix 4**  
**CYBER SECURITY DISCLAIMER**

**Cyber Security**

**1. Definitions.**

- a. **“Applicable Privacy Laws”** means all applicable laws that govern the collection, use, processing, retention, or deletion of Personal Information or data relating to consumers or individuals.
- b. **“Authority”** shall have the meaning set forth in the underlying Master Professional Services Agreement.
- c. **“Authorized Person”** means Professional Service Provider’s employees, and any other agents, persons, or third parties that are agreed upon in writing by the Authority and Professional Service Provider.
- d. **“Confidential Information”** shall have the same meaning as set forth in the Master Professional Services Agreement.
- e. **“Government Regulator”** means any entity that has jurisdiction to enforce the Authority and Professional Service Provider’s compliance with the Applicable Privacy Laws.
- f. **“Personal Information”** means any of the Authority’s information that meets the definition of Personal Information, as defined in the Applicable Privacy Laws, which is collected, stored, accessed, or otherwise processed by Professional Service Provider.
- g. **“Professional Service Provider”** shall have the meaning in the underlying Master Professional Services Agreement.

**2. ProfessionalServiceProviderResponsibilities.**

- a. Professional Service Provider acknowledges and agrees that, in the course of its engagement by the Authority, Professional Service Provider may receive or have access to Personal Information and/or Confidential Information. Professional Service Provider shall comply with the terms and conditions set forth in the Agreement, this Appendix, and in the Applicable Privacy Laws in its collection, receipt, transmission, storage, disposal, use and disclosure of such Personal Information and Confidential Information. Further, Professional Service Provider shall be responsible for the unauthorized collection, receipt, transmission, access, storage, disposal, use and disclosure of Personal Information and Confidential Information under its control or in its possession by all Authorized Person(s). Professional Service Provider shall be responsible for, and remain liable to, the Authority for the actions and omissions of all Authorized Person(s) concerning the treatment of Personal Information and Confidential Information as if they were Professional Service Provider’s own actions and omissions.
- b. In recognition of the foregoing, Professional Service Provider covenants that it shall:
  - (i) keep and maintain all Personal Information and Confidential Information in

strict confidence, and shall prevent the unauthorized access, use or disclosure of Personal Information and Confidential Information; (ii) use and disclose Personal Information and Confidential Information solely and exclusively for the purposes for which the Personal Information/Confidential information, or access to it, is provided pursuant to the terms and conditions of the underlying Agreement, and not use, sell, rent, transfer, distribute, or otherwise disclose or make available Personal Information or the Confidential Information for Professional Service Provider's own purposes or for the benefit of anyone other than the Authority, in each case, without the Authority's prior written consent; and (iii) not, directly or indirectly, disclose Personal Information to any person other than its Authorized Person(s), including but not limited to any of Professional Service Provider's subcontractors, agents, outsourcers or auditors (an "Unauthorized Third Party"), without express prior written consent from the Authority, unless and to the extent required by Government Regulators or as otherwise, to the extent expressly required by Applicable Privacy Laws or any other applicable laws. Prior to disclosing any Personal Information and/or Confidential Information to any Government Regulator, Professional Service Provider shall notify the Authority before such disclosure or as soon thereafter as reasonably possible.

c. In the event of a disclosure of Personal Information and/or Confidential Information to any Unauthorized Third Party, Professional Service Provider shall: (i) notify Professional Service Provider of such unauthorized disclosure (ii) be responsible for and remain liable to the Authority for the actions and omissions of any such Unauthorized Third Party concerning the treatment of such Personal Information and/or Confidential Information as if they were Professional Service Provider's own actions and omissions; and (iii) require the Unauthorized Third Party that has access to Personal Information and/or Confidential Information to execute a written agreement containing those obligations that are at least as restrictive as those contained herein.

d. In the event of a disclosure of Personal Information and/or Confidential Information to any other party with the Authority's consent, Professional Service Provider shall ensure that such party is fully bound, in a written agreement, to those obligations that are at least as restrictive as those contained herein. Upon the Authority's request, Professional Service Provider shall promptly provide a list of all current subcontractors and the associated contracts.

e. Professional Service Provider represents and warrants that its collection, access, use, storage, disposal and disclosure of Personal Information and/or Confidential Information does and will comply with all Applicable Privacy Laws, as well as all other applicable regulations and directives.

f. At a minimum, Professional Service Provider's safeguards for the protection of Personal Information and Confidential Information shall include: (i) limiting access of Personal Information and Confidential Information to Authorized Employees/Authorized Person(s); and (ii) preventing unauthorized access to Professional Service Provider's business facilities, data centers, paper files, servers, back-up systems and computing equipment, including, but not limited to off-site locations, "smart phones," copiers, tablets, laptops, and any portable memory or storage devices. Professional Service Provider shall be liable for the acts or omissions of its employees, agents, and subcontractors who gain access to the Authority's Personal Information and/or Confidential Information directly or indirectly through Service Provides acts or omissions.

g. Professional Service Provider shall maintain written security policies and procedures, which include, but are not limited to, its disaster recovery and avoidance procedures and an incident response plan. Upon the Authority's request, Professional Service Provider shall provide the Authority with access to such policies and procedures.

**3. SecurityBreach.**

a. Professional Service Provider shall immediately notify the Authority of any actual or suspected unauthorized access, unauthorized use or unauthorized disclosure of Personal Information and/or Confidential Information of the Authority (collectively and individually, a “Security Breach”). Immediately following Professional Service Provider’s notification to the Authority of a Security Breach, the parties shall coordinate with each other to investigate the Security Breach. Professional Service Provider agrees to fully cooperate with the Authority in the Authority’s handling of the matter, including, without limitation: (i) assisting with any investigation; (ii) providing the Authority with physical access to the facilities and operations affected; (iii) facilitating interviews with Professional Service Provider’s employees and others involved in the matter; and (iv) making available all relevant records, logs, files, data reporting and other materials required to comply with this Agreement, applicable law, regulation, industry standards or as otherwise required by the Authority.

b. Professional Service Provider shall take reasonably necessary steps, including but not limited to bringing a law suit against any relevant third parties, to immediately remedy any Security Breach and prevent any further Security Breach. These actions shall be at Professional Service Provider’s sole expense and shall be in accordance with this Agreement, any applicable privacy rights, laws, regulations and standards. In addition, Professional Service Provider shall reimburse the Authority for reasonable actual costs incurred by the Authority in responding to, and mitigating damages caused by, any Security Breach, including all reasonable costs of notice and/or remediation. Further, but without limiting any of the Professional Service Provider’s obligations set forth in this Section, Professional Service Provider shall hold harmless and indemnify the Authority from and against all damages (including but not limited to direct and consequential damages), punitive damages, and any fines, sanctions and the like incurred by the Authority and arising directly or indirectly from the unauthorized access, use and/or disclosure of any Personal Information and/or Confidential Information.

c. Professional Service Provider shall cooperate with and assist the Authority, at the Authority’s request, in: (a) fulfilling the Authority’s legal obligations under the Applicable Privacy Laws; and (b) responding to any Government Regulator request or legal action.

d. Notwithstanding the above, any amounts identified in this section shall be subject to the general limitation on liability in Section 8.01 of the Master PSA.

#### 4. **Vulnerability Scans.**

a. If Professional Service Provider electronically maintains, stores or processes any Personal Information and/or Confidential Information belonging to the Authority, Professional Service Provider shall permit the Authority, or in the Authority’s sole discretion, a third party paid for by the Authority (“Third Party”), to perform a vulnerability scan at least twice a year on Professional Service Provider’s electronic systems where any of the Personal Information and/or Confidential Information is maintained, stored or processed including any connected electronic systems that provide access to the electronic system where the Personal Information and/or Confidential Information is maintained, stored or processed.

b. Upon written request, Professional Service Provider shall permit the initial scan within ten (10) business days of the execution of the underlying Statement(s) of Work unless the parties mutually agree otherwise. The Authority, or the Third Party, will perform subsequent scans 180 days from the previous scan unless the parties mutually agree otherwise.

c. If the Authority, in its sole discretion, determines that there is a need to perform a vulnerability scan at more frequent intervals, Professional Service Provider shall permit such scans

within forty-eight (48) hours after receiving written notice from the Authority.

d. Professional Service Provider shall permit the Authority to use any vulnerability scanning tools and resources the Authority deems appropriate. The Authority shall make reasonable efforts to minimize disruption to Professional Service Provider's operations and shall bear the full cost of any vulnerability scan.

e. If any vulnerability scan reveals vulnerability in Professional Service Provider's systems that could impact Personal Information and/or Confidential Information, the Authority shall notify Professional Service Provider of such vulnerability. Unless the parties agree otherwise, Professional Service Provider, at Professional Service Provider's expense, shall remedy the identified vulnerability to the Authority's satisfaction and within the timeframe provided by the Authority.

f. If Professional Service Provider or any third party employed by Professional Service Provider performs any vulnerability scanning or auditing of its electronic systems, it shall provide the results to the Authority on an annual basis or as requested by the Authority.

## 5. **Insurance.**

a. During the term of the Agreement, if Professional Service Provider has access to, maintains, stores or processes any Personal Information, Professional Service Provider shall maintain privacy and network security insurance ("Cyber Liability Policy") in a minimum amount of \$5,000,000 per loss.

b. The Cyber Liability Policy shall provide coverage for:

i. liability incurred from alleged or actual theft, dissemination, unauthorized access and/or use of the Personal Information and any related forensic costs, crisis management costs, investigation costs;

ii. network security liability arising from the unauthorized access to, use of, or tampering with computer systems, including hacker attacks or inability of an authorized third party to gain access to services, including denial of service, unless caused by a mechanical or electrical failure;

iii. liability arising from the introduction of a computer virus into, or otherwise causing damage to a computer, computer system, network, or similar computer related property and the data, software, and programs thereon;

iv. any government investigations resulting from the alleged or actual disclosure of or unauthorized access to Personal Information or confidential business information or network security liability event; and

v. nonphysical business interruption.

c. Professional Service Provider will also name the Authority and its directors, officers, employees, and agents as an additional insured under the Cyber Liability Policy. Upon the Authority's request, Professional Service Provider shall provide the Authority with a copy of the certificate of insurance and policy endorsements for the insurance coverage required in this section and shall not do anything to invalidate such insurance during the term of the Agreement or so long as

Professional Service Provider has access to or is in possession of Personal Information.

6. **Termination.** In the event of a Security Breach involving Personal Information, such incident shall be considered a breach of the Agreement and the Authority shall have the ability to, in its sole discretion, terminate the Agreement immediately without penalty, without providing Professional Service Provider with the opportunity to cure and regardless of any termination provisions in the Agreement. At the termination of the underlying Agreement, or upon the Authority's written request, Professional Service Provider will either securely destroy or return the Personal Information and other information of the Authority to the Authority within a reasonable time. Upon deletion or return, Professional Service Provider shall send the Authority a certification that all Personal Information and other information of the Authority have been removed from its systems within thirty (30) business days.

7. **Survival.** Each provision of this Appendix that by its terms would survive expiration or termination of the Agreement shall so survive.



## NONDISCRIMINATION CERTIFICATION

(By corporate or other business entity regarding support of nondiscrimination against persons on account of their race, color, religious creed, age, marital or civil union status, national origin, ancestry, sex, mental retardation, physical disability or sexual orientation.)

I, \_\_\_\_\_, \_\_\_\_\_ of  
signer's name signer's title  
 \_\_\_\_\_, an entity lawfully organized and existing  
name of entity  
 under the laws of \_\_\_\_\_, do hereby certify that the following  
name of State or commonwealth  
 is a true and correct copy of a resolution adopted on the \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_ by  
 the governing body of \_\_\_\_\_, in accordance with all  
name of entity  
 of its' documents of governance and management and laws of \_\_\_\_\_,  
name of State or commonwealth  
 and further certify that such resolution has not been modified, rescinded or revoked, and  
 is, at present, in full force and effect.

RESOLVED: That \_\_\_\_\_ hereby adopts as  
name of entity  
its' policy to support the nondiscrimination agreements and warranties required  
under Connecticut General Statutes § 4a-60(a)(1) and § 4a-60a(a)(1), as amended  
in State of Connecticut Public Act 07-245 and sections 9(a)(1) and 10(a)(1) of  
Public Act 07-142.

WHEREFORE, the undersigned has executed this certificate this \_\_\_\_ day of \_\_\_\_\_  
20\_\_\_\_.

Signature



**EnterCompanyName**

# **South Central Connecticut Regional Water Authority**

---

**Services for – [EntershortDescription]**

## **Appendix 6**

**Statement of Work (SOW) No. xxx**

**ENTER EFFECTIVE DATE MONTH DD, YYYY**

## **INDEX OF SCHEDULES**

Schedule 1	Definitions
Schedule 2	Services & Service Levels
Schedule 3	Implementation and Go-Live
Schedule 4	Charges

This Statement of Work (“SOW”) incorporates the terms and conditions of the Master PSA between **EnterCompanyName**, (“Professional Service Provider”), a **xxxxxxx** company and South Central Connecticut Regional Water Authority (“the Authority”), a public instrumentality political subdivision of the State of Connecticut with offices at 90 Sargent Drive, New Haven, CT 06511 dated as of **EnterEffectiveDateoftheMasterPSAMonth,dd,yyyy** (the “Master PSA”).

## **CERTAIN TERMS and CONDITIONS**

The term of this Statement of Work will commence on **Enter Effective Date Month, dd, yyyy** and, except as may be otherwise agreed by the parties, expire on **Enter Expiration Date Month, dd, yyyy**, subject to earlier termination pursuant to the terms of this Statement of Work and the Master PSA (the “Term”).

*Add language regarding renewals and the advanced notice required for a renewal.*

## **OUR UNDERSTANDING**

**EnterashortstatementorparagraphexplainingwhattheServicesand/orproductsarebeing delivered.**

*Example: South Central Connecticut Regional Water Authority is replacing the Authority’s current xxxx with [Vendors Systems and description]. Vendor is responsible for implamentation and all changes to RWA current xxx. This includes ongoing [Software as a Service for xxx, or Hosting Services for xxx, or Managed Services for xxx].*

### **1. Definitions and Interpretation**

1.1 The definitions interpretation are set forth on Schedule 1 **SOW-xxx** and apply throughout this SOW.

1.2 For the avoidance of doubt, the definitions in Schedule 1 **SOW-xxx** shall prevail when in conflict with the Master PSA.

### **2. Term and Duration**

2.1 This SOW will be effective from the Effective Date and shall continue for the Initial Term or as extended in accordance with this SOW.

*Add language regarding renewals and the advanced notice required for a renewal.*  
**Automatic renewals are discouraged.**

### **3. Services**

3.1 The Authority appoints Professional Service Provider to, and Professional Service Provider shall, pursuant to the terms and conditions of this SOW and the Master PSA, provide to the Authority and its Authorized Users the following services (“**Services**”):

Define the services to be provided. Use Schedule 2 Services and Service Levels.

3.2 Notwithstanding anything to the contrary in this SOW, all Services, including all Processing of the Authority Data by or on behalf of Provider shall be provided solely from within, and on computers, systems, networks, and other infrastructure (including data centers) located in, the United States. .

3.3 Once the Authority or Professional Service Provider has issued a valid notice of termination, the Authority and Professional Service Provider shall enter into a mutual transition period for not more than one (xx) months prior to the date of final termination (the “**Mutual Transition Period**”). During the Mutual Transition Period, the Authority and Professional Service Provider agree to mutually work together in good faith and within the standards set forth throughout this SOW and the Master PSA to get the Services transitioned. If the Authority requests Professional Service Provider to perform any transition services during the Mutual Transition Period that are outside of the scope of Services provided hereunder, then the Authority shall pay Professional Service Provider for such additional transition services at the then current Professional Service Provider standard rate card.

#### **4. Redundancy, Data Backup and Disaster Recovery.**

4.1 Professional Service Provider shall, in accordance with the provisions of this Section 4, maintain or cause to be maintained disaster avoidance procedures designed to safeguard the Authority Data and the Authority’s other Confidential Information, Professional Service Provider’s Processing capability and the availability of the Services, in each case throughout the Term and at all times in connection with its actual or required performance of the Services hereunder.

4.2 Professional Service Provider shall operate a secondary system(s) at a data center facility that is geographically remote from the primary system on which the Software and Services are hosted. Except for its location and housing facility, the secondary system shall: (a) be identical in all respects to the primary system; (b) have hardware and software, network connectivity, power supplies, backup generators and other similar equipment and services that operate independently of the primary system; (c) have backups of all the Authority Data capable of a xhour recovery point objective stored on the primary system; and (d) have the ability to provide the Services in accordance with this SOW and the Master PSA during any outage or failure of the primary system. Professional Service Provider shall operate, monitor and maintain such secondary system so that it may be activated within a recovery time objective of xhours of any failure of the Services for which a disaster is declared; provided, however, Professional Service Provider shall use commercially reasonable efforts to accomplish a recovery time objective of xhours and recovery point objective of xhour.

4.3 Professional Service Provider shall conduct or have conducted regular backups of the Authority Data and perform or cause to be performed periodic backups of the Authority Data as follows:

Define the backup approach include frequency of full backup, incrementail, logs, etc... Also, any off-site storage requirements.

4.4 Throughout the Term and at all times in connection with its actual or required performance of the Services hereunder, Professional Service Provider shall:

4.4.1 maintain a Business Continuity and Disaster Recovery Plan for the Services (the “**Plan**”) and implement such Plan in the event of any unplanned interruption of the Services. Professional Service Provider shall test, review and update the Plan on at least an annual basis using Good Industry Practice as guidance; and

4.4.2 provide the Authority with copies of all reports resulting from any testing of or pursuant to the Plan within (xx) Business Days after Professional Service Provider’s completion of the annual Disaster Recovery test.

## **5. Implementation and Go-live.**

5.1 To the extent required by the provisions of Schedule 3, Professional Service Provider shall prepare and maintain an Implementation Plan jointly with the Authority and effect the Implementation Activities during the Implementation Period.

5.2 During any Implementation Period, the Authority and the Authority Personnel shall fulfill their obligations under this SOW and the Master PSA as a precondition for Professional Service Provider having to achieve any Milestones in the Implementation Plan and having to provide the Services as of the Service Commencement Date. In particular, and without limiting the generality of the foregoing, Professional Service Provider shall not be responsible for performing data cleansing of the Authority’s Data that will be migrated on to the Software during the Implementation Period. It is a precondition for a successful Implementation that the Authority or its designated third party performs these activities completely and accurately in accordance with the timeline included in the Implementation Plan. Professional Service Provider, however, shall immediately inform the Authority of any patently obvious problems with the Authority Data that Professional Service Provider discovers.

5.3 Professional Service Provider shall not be liable for any delay in achieving Milestones or the Service Commencement Date resulting from conditions caused primarily by the Authority’s acts or omissions or data. Any changes to the Milestones or the Service Commencement Date must be agreed to in writing by both Parties.

## **6. Implementation Testing and Acceptance.**

6.1 When Professional Service Provider notifies the Authority in writing that the Services are ready for use in a production environment, the Authority shall have (xx) Business Days (or such other period as may be expressly set forth in the applicable Service Order) from receipt of the notice to test the Services in accordance with the acceptance testing provisions of Schedule 3 to determine whether they comply in all material respects with the requirements of this SOW and the relevant specifications.

6.2 Upon completion of the Authority's testing, the Authority shall, within (xx) Business Days, notify Professional Service Provider of its acceptance (“**Accept**”, “**Accepted**” or “**Acceptance**”) or, if it has identified any material noncompliance with the specifications, rejection (“**Reject**” or “**Rejection**”) of the Services. If the Authority fails to timely deliver such notice to Professional Service Provider, then the Services shall be deemed to be Accepted. If the Authority Rejects the Services, the Authority shall provide a written list of items that materially do not comply with the specifications. On receipt of the Authority's notice, Professional Service Provider shall use reasonable efforts to complete, as quickly as possible and in any event within (xx) Business Days (or such other period as may be agreed upon by the Parties in writing) from receipt of the Authority's notice, such necessary corrections, repairs and modifications to the Services to bring them into material compliance with the specifications.

6.3 If any corrective measures are required under Section 7.2, upon its completion of all such measures, Professional Service Provider shall notify the Authority in writing and the process set forth in Section 7.1 and 7.2 shall be repeated; provided that if the Authority determines that the Services, as revised, still do not comply in all material respects with the Specifications, the Authority may, in its sole discretion:

6.3.1 require Professional Service Provider within a reasonable time frame to repeat the correction, repair and modification process set forth in Section 7.2 at no additional cost or charge to the Authority;

6.3.2 terminate this SOW any and all of the relevant Statement(s) if Professional Service Provider is unable to correct, repair or modify the Services after three attempts to do so; or

6.3.3 If the Authority elects to terminate the relevant Statement of Work as permitted under Section 7.3.2, Professional Service Provider shall refund to the Authority all sums previously paid to Professional Service Provider under such Statement of Work within thirty (30) Business Days of the Authority's written notice of termination, and Professional Service Provider and the Authority will be relieved of all obligations thereunder.

## 7. Service Availability.

7.1 Subject to the Exceptions listed below, Professional Service Provider shall make the Services Available, as measured over the course of each calendar month during the Term and any additional periods during which Professional Service Provider does or is required to perform any Services (each such calendar month, a “**Service Period**”).



7.2 No period of Services inoperability will be included in calculating Availability to the extent that such downtime is due to any of the following (“**Exceptions**”):

*Determine if any charges are required to exceptions, (i.e. different communications method).*

7.2.1 failures of the Authority's or its Authorized Users' internet connectivity; or

7.2.2 internet or other network traffic problems other than problems arising in or from networks actually or required to be provided or controlled by Professional Service Provider or its Sub-Contractor(s); or

7.2.3 The Authority's or any of its Authorized Users' failure to meet any minimum hardware or software requirements set forth in the specifications; or

7.2.4 Scheduled Downtime as set forth in Section 8.3.

7.2.5 System latency in the Authority systems unrelated to the work referenced in this Statement of Work.

7.3 Scheduled downtime (“Scheduled Downtime”) consists of maintenance during the normal scheduled maintenance periods set forth in this Section 7.3.

*Define a maintenance schedule that supports RWA and the Services requirements. Also, update specific start and stop times for the maintenance windows as required.*

The normal maintenance schedule is to have maintenance of the Development Environment done the xxDayofmonth/weekxx, the Quality Environment done the xx Day of month/week xx, and the Production Environment done the xx Day of month/week xx. This schedule will vary depending upon holidays and other known events. The maintenance window for the Development Environment begins at midnight and is completed by 8:00 am ET. The maintenance window for the Quality Environment begins at 10:00 pm and is completed by 6:00 am ET the following day. The maintenance window for the Production Environment begins at 10:00 pm ET Saturday and completes by 6:00 am ET Sunday. Professional Service Provider agrees to cooperate with the Authority to coordinate the schedule of Production Environment maintenance (or any other maintenance that reasonably would be anticipated to affect the Authority’s access to or use of the Services) if there are conflicts. Within ten (10) Business Days after the end of each Service Period, Professional Service Provider shall provide to the Authority a report describing the Availability and other performance of the Services during that calendar month and the calendar year-to-date as compared to the Availability Requirement and specifications. The report shall be in electronic form and shall include, at a minimum: (a) the actual performance of the Services relative to the Availability Requirement and specifications; and (b) if Hosted Service performance has failed in any respect to meet or exceed the Availability Requirement or Specifications during the reporting period, a description in sufficient detail to inform the Authority of the cause of such failure and

the corrective actions Professional Service Provider has taken and will take to ensure that the Availability Requirement and specifications are met.

## **8. Support and Maintenance Services.**

8.1 Professional Service Provider shall provide maintenance and support services (collectively, “**Support Services**”) in accordance with the provisions of this Section 9. The Support Services are included in the Services, and Professional Service Provider shall not assess any additional Charges for such Support Services.

8.2 Professional Service Provider shall:

8.2.1 correct Service Errors in accordance with the Support Service Level Requirements set forth in Schedule 2;

8.2.2 provide unlimited telephone support during the hours of 07:00 – 18:00 ET on Business Days;

8.2.3 provide cellular telephone support on Saturday, Sunday and other non-business day for major incidents; and

8.2.4 provide online access to technical support bulletins and other user support information and forums, to the full extent Professional Service Provider makes such resources available to its other customers; and

8.2.5 respond to Support Requests as set forth in Schedule 2.

8.3 Professional Service Provider shall continuously monitor and manage the Services to optimize Availability so that it meets the Availability Requirement.

8.4 Professional Service Provider shall continuously maintain the Services to optimize Availability so that it meets the Availability Requirement. Such maintenance services shall include providing to the Authority and its Authorized Users:

8.4.1 all updates, bug fixes, new releases, new versions and other improvements to the Services, including the Software, that Professional Service Provider provides at no additional charge; and

8.4.2 all such services and repairs as are required to maintain the Services or are ancillary, necessary or otherwise related to the Authority's or its Authorized Users' access to or use of the Services, so that the Services operate properly in accordance with this SOW, Master PSA and the Specifications.

8.5 Professional Service Provider shall correct all Service Errors and respond to all Support Requests in accordance with the required times and other terms and conditions (“**Support Service Level Requirements**”) set forth in Schedule 2, this SOW.

8.6 The Authority shall classify its requests for Service Error corrections in accordance with the descriptions set forth in Schedule 3.1 (each a “**Support Request**”). The Authority Contract Manager shall notify Professional Service Provider of Priority 1 and Priority 2 Support Requests by telephone. Lesser priority Support requests can be made via email, telephone or such other means as the parties may hereafter agree to in writing.

## **9. Governance**

9.1 The parties agree to manage this SOW through the governance structure more specifically detailed in Appendix 1 of the Master PSA.

## **10. Charging and Invoicing**

10.1 Except as otherwise provided, the parties shall each bear their own costs and expenses incurred in respect of compliance with their obligations under this SOW.

10.2 All sums payable by either party under this SOW shall be invoiced in and paid in U.S. dollars.

10.3 Professional Service Provider hereby agrees that the pricing set forth herein shall be equal to the lowest prices Professional Service Provider grants to other similarly situated customers who receive services similar to those provided under this SOW. For purposes of this subsection, “similarly situated customers” shall include any Professional Service Provider customer who maintains similar end user customer volumes as the Authority, technical requirements, geographical and regulatory similarities and other terms and conditions similar to the terms and conditions of this SOW.

## **11. Service Levels**

11.1 Professional Service Provider shall perform the Services to meet the Service Levels from the Service Commencement Date, except as set out in Section 11.4.

11.2 Should any Force Majeure Event occur, Professional Service Provider shall promptly notify the Authority of the Force Majeure Event and unless expressly prohibited by the Authority, Professional Service Provider shall use commercially reasonable efforts to perform the Services to the Service Levels, but shall not be liable for any Service Failure to the extent caused or contributed to by the Force Majeure Event.

11.3 In the event of a Service Failure the parties shall review the causes and consequences of the performance and consider what, if any, remedial action shall be taken. Remedial action taken in accordance with this Section 11 shall be at Professional Service Provider’s cost where Professional Service Provider has primarily responsibility, but otherwise shall be as agreed through the Change Management Process.

*Define Gace period in paragraph below.*

11.4 Professional Service Provider is not required to perform the Services in accordance with the Service Levels during the applicable **GracePeriod**; however, during such period Professional Service Provider shall use commercially reasonable efforts to achieve the applicable Service Levels.

## **12. The Authority's Responsibilities**

12.1 The Authority will perform the Authority Responsibilities and shall fulfill them with the necessary due care and skill within the timescales specified, or if no timescales are specified, within a reasonable period of time as instructed by Professional Service Provider consistent with the mutually developed project plan.

12.2 Without limiting the generality of Section 12.1, during the Term, the Authority shall provide (i) all timely and reasonable assistance to Professional Service Provider as reasonably requested or required by Professional Service Provider in order for Professional Service Provider to be able to provide (and for the Authority to be able to receive) the Services, and (ii) all Internet and technology requirements required to access, connect to and receive the Professional Service Provider Services.

## **13. The Authority Defaults**

13.1 If a the Authority Default prevents Professional Service Provider from performing, then Professional Service Provider shall:

13.1.1 not be liable for its failure to provide the affected Services (whether at all or in accordance with the Service Levels); and

13.1.2 subject to Section 13.1.1, use commercially reasonable efforts to continue to provide the affected Services in accordance with this SOW.

## **14. Data Protection**

14.1 The Authority and Professional Service Provider represent and warrant to the other Party that it has complied and will continue to comply, with all Applicable Laws, including all applicable Data Protection Laws, in respect of Personal Data, this SOW and the Master PSA, the Services and the appointment of Professional Service Provider hereunder.

14.2 Professional Service Provider shall, during the Term, comply with any data retention policies of the Authority in which the Authority has specified and supplied such data retention policies to Professional Service Provider before the Effective Date. The implementation of any subsequent changes to such data retention policies may be requested by the Authority and will be subject to agreement through the Change Management Process, provided that Professional Service Provider shall use its commercially reasonable efforts to comply with any reasonable data retention policies of the Authority that the Authority may provide to Professional Service Provider from time to time during the Term at the Authority's sole cost and expense. Where the Authority fails to specify data retention policies, Professional Service Provider shall retain all Personal Data for a period of 24 months from receipt of such Personal Data unless Professional Service Provider is required to delete or destroy Personal Data in order to comply with its own obligations under

Applicable Law or the Authority, at any time, sends Professional Service Provider a written instruction to delete or destroy such Personal Data, in which case Professional Service Provider shall provide notice of such deletion or destruction promptly, but in any case within five (5) Business Days following such request.

14.3 At least once per year, Provider shall conduct site audits of the information technology and information security controls for all facilities used in complying with its obligations under this SOW and the Master PSA, including, but not limited to, obtaining a network-level vulnerability assessment performed by a recognized third-party audit firm based on recognized industry best practices. Upon the Authority's written request, Provider shall make available to the Authority for review all of the following, as applicable: Provider's latest Payment Card Industry (PCI) Report on Compliance (RoC), International Standards on Attestation Engagements (ISAE) ISAE 3402 SOC 1 Type 2 audit reports for Reporting on Controls at a Service Organization, ISAE 3402 SOC audit regarding its internal controls, Service Organization Controls (SOC) Type 1, 2, or 3 audit reports, any reports relating to its ISO/IEC 27001 certification, and any other reports that the Authority may reasonably request and which are available from Provider or its applicable vendors. The Authority shall treat such audit reports as Provider's Confidential Information under this SOW. Provider will promptly address any exceptions noted on the SOC reports, or other audit reports, with the development and implementation of a corrective action plan by Provider's management.

## **15. Intellectual Property Rights**

15.1 Subject to the terms of the Master PSA:

*Define any required exception here for this specific SOW.*

## **16. Grant of Licenses**

16.1 Professional Service Provider hereby grants to the Authority, exercisable by and through its Authorized Users, a nonexclusive, royalty-free, irrevocable (except as provided herein) and, solely as set forth in this SOW and the Master PSA, non-transferable and non-sublicensable, right and license throughout the United States during the Term and such additional periods, if any, as Professional Service Provider is required to perform Services under this SOW for such Services, to:

16.1.1 access and use the Services, including in operation with other software, hardware, systems, networks and services, for the Permitted Uses, including for Processing the Authority Data;

16.1.2 generate, print, copy, upload, download, store and otherwise Process all GUI, audio, visual, digital and other output, displays and other content as may result from any access to or use of the Services;

16.1.3 prepare, reproduce, print, download and use the specifications and documentation as may be necessary for any Permitted Uses of the Services under this SOW; and

16.1.4 perform, display, execute, reproduce and modify (including to create improvements and derivative works of), and distribute and otherwise make available to Authorized Users, any Professional Service Provider Materials solely to the extent necessary to access or use the Services in accordance with the terms and conditions of this SOW and the Master PSA.

16.2 The Authority shall not: (a) rent, lease, lend, sell, sublicense, assign, distribute, publish, transfer or otherwise make the Services available to any third party, except as expressly permitted by this SOW; or (b) use or authorize the use of the Services or documentation in any manner or for any purpose that is unlawful under Applicable Law.

16.3 Any license granted in accordance with Section 16.1 to Use any Intellectual Property Rights owned or controlled by third parties may be subject to further restrictions in use as imposed by the owner or licensor of such Intellectual Property Rights.

16.4 The Authority hereby grants to Professional Service Provider a royalty free, non exclusive license to use, copy, modify, and distribute the Authority Intellectual Property Rights to the extent necessary for the provision of the Services during the Term and after the Term until the Services have been transferred back to the Authority or to a Replacement Supplier. Such license shall include the right to grant sublicenses to any Professional Service Provider Personnel.

16.5 In the event of the termination or expiration of this SOW, the licenses referred to in Sections 16.1 and 16.4 shall terminate automatically after the Services have been transferred to the Authority or a Replacement Supplier following such termination or expiration, and each party shall deliver to the other party all material licensed to it pursuant to this Section 16 in its possession or control.

## **17. Exclusions and Limitations; Indemnification Procedure.**

17.1 As between Professional Service Provider and the Authority, the Authority shall be solely responsible for the content of any messages or communications to end customers which the Authority initiates or authorizes in connection with any Service, as well as the Authority's selection of any vehicle (ie., conventional phone, mobile phone, text, email) for such messages or communications. Professional Service Provider shall have no responsibility or liability of any kind with respect to the content of messages or communications to the extent such content is initiated or authorized by the Authority or its Representatives.

17.2 Subject to Section 8.01 of the Master PSA, any indemnitor shall promptly notify the indemnitee in writing of any claim, action, cause of action, demand, lawsuit, arbitration, inquiry, audit, notice of violation, proceeding, litigation, citation, summons, subpoena, or investigation of any nature, civil, criminal, administrative, regulatory, or other, whether at law, in equity, or otherwise (an "**Action**") for which it seeks indemnification pursuant to Section 8.01 of the Master PSA or 17.3 of this SOW and cooperate with indemnitor at indemnitor's sole cost and expense. indemnitor shall immediately take control of the defense and investigation of such Action and shall employ counsel reasonably acceptable to indemnitee, or counsel selected or approved by indemnitor's insurer that is covering such Action, to handle and defend the same, at indemnitor's sole cost and expense. Indemnitor shall not settle any Action on any terms or in any manner that



adversely affects the rights of indemnitee or any other party entitled to indemnification under Section 8.01 of the Master PSA or this SOW without indemnitee's prior written consent, which shall not be unreasonably withheld or delayed. Indemnitee may participate in and observe the proceedings at its own cost and expense with counsel of its own choice. Indemnitee's failure to perform any obligations under this Section 17.2 will not relieve indemnitor of its obligations under Section 8.01 of the Master PSA, this SOW, or this Section 17.2 except to the extent that indemnitor can demonstrate that it has been materially prejudiced as a result of such failure.

17.3 With regard to any liability arising under this Section 17.1, the Authority shall hold harmless, defend and indemnify Professional Service Provider from and against any Losses, arising out of or relating to the content of end customer messaging to the extent such content is initiated or authorized by the Authority, except in the event of Professional Service Provider gross negligence or more culpable standard.

## **18. Termination**

18.1 **Termination for Cause.** Either party may without prejudice to any other rights or remedies terminate this SOW with immediate effect by giving written notice to the other in any of the following events:

18.1.1 if the other party is in material breach of its obligations under this SOW or the Master PSA and such breach is capable of remedy and is not either: (i) remedied within (xx) days of the breaching party's receipt of notice thereof; or (ii) in the process of being remedied pursuant to good faith efforts to implement a remedial plan within (xx) days of the breaching party's receipt of notice thereof; then this SOW shall terminate upon the expiration of (xx) days following the breaching party's receipt of notice thereof,

18.1.2 a failure by the other party to pay any sum payable under this SOW if such payment is (xx) days overdue (provided a final demand for payment has been made at the end of such (xx) day period of time allowing not less than (xx) days for payment and that the notice terminating this SOW refers specifically to this Section); or

18.1.3 if the other party is subject to an Insolvency Event.

## **18.2 Termination for Convenience**

18.2.1 The Authority may terminate this, either in whole or in part, and for any or no reason, with (xx) days prior written notice. Such written notice from the Authority shall specify the extent to which the Contract is terminated and the effective date of such termination (taking into account the terms of this SOW and/or any Mutual Termination Period elected under Section 18.2.3, whichever is later)

*If a termination fee is appropriate define calculation and add to paragraph 18.2.2 below.*

18.2.2 In the event the Authority terminates this SOW pursuant to Section 18.2.1, the Authority shall pay Professional Service Provider an early termination fee calculated by xxxxxxxx. For the avoidance of doubt, this Section 18.2.2 shall control over Section

6.01(B) and Section 6.01(C) of the Master PSA, and any other terms or conditions of the Master PSA governing the payment of any termination fee or reimbursement of costs in connection with the termination, either in whole or in part, of this SOW by the Authority pursuant to Section 18.2.1.

18.2.3 In the event the Authority terminates for convenience and wishes to transition to an alternative Service Provider (s), the Authority shall inform Professional Service Provider by written notice of its election enter into the Mutual Transition Period, and the Mutual Transition Period shall apply. Notwithstanding anything in Section 18.2.1 to the contrary, any termination for convenience by the Authority pursuant to Section 18.2.1 that is subject to a Mutual Transition Period shall become effective on the last day of the Mutual Transition Period.

### **18.3 Consequences of Termination**

18.3.1 In the event of expiration or termination of this SOW for any reason, each party shall return to the other party (as applicable) any the Authority Assets, Professional Service Provider Equipment, Professional Service Provider Software, data (including Personal Data Processed on behalf of the other), documentation, information and other material of whatever kind (in complete, correct and up to date form) and in whatever form belonging to the other party (or to third parties where such material is provided by the other party) which it has no legal right to retain.

18.3.2 Where the Authority requires any termination or transition assistance from Professional Service Provider outside the scope of Services during the Mutual Transition Period, the parties shall agree such assistance through the Change Management Process. Professional Service Provider shall not unreasonably refuse to provide the assistance subject to the parties agreeing to the scope and charges payable in accordance with the Change Management Process.

18.3.3 The Authority Data shall be transferred to the Authority after termination or expiration of this SOW. The Authority shall be entitled to specify a commercially reasonable format in which it requires the Authority Data to be provided under this Section. If the Authority requests such data in a different format, the parties shall use the Change Management Process.

18.3.4 Any Sections or Schedules to this SOW which are expressly stated or impliedly intended to apply and/or to continue in force after termination of this SOW shall continue in full force and effect in accordance with their terms.

18.3.5 The parties agree that as of the expiration or termination of this SOW for any reason:

18.3.5.1 The Authority Assets and/or any moveable assets (other than software) used and owned by Professional Service Provider exclusively for the provisions of the Services and which the Authority has paid for in full directly other than as part of the Charges, shall be transferred to the Authority. For the avoidance of doubt, the Authority Assets under this Section 18.3.5.1 shall not include any



network, cabling, fixture or equipment which are integral to any buildings or infrastructure of Professional Service Provider; and

18.3.5.2 each party shall, at the other’s option, return to the other party or destroy all Confidential Information of the other party and shall, upon the other party’s request, promptly certify that it does not retain the other party’s Confidential Information.

18.3.6 18.3.6 This Section 18 will in no way impact the payment obligation identified in 6.01(C) of the Master PSA upon termination of this SOW by the Authority for reasonable cause.

**19. Change Management and Variations**

19.1 This SOW, including the Services, may not be varied except:

19.1.1 as expressly permitted in this SOW and the Master PSA, or

19.1.2 by an agreement in writing expressed to vary this SOW, expressly referring to this SOW and the provision(s) being varied, signed by duly authorized officer of the parties.

**IN WITNESS WHEREOF**, the parties have executed this Stament of Work as of the Effective Date.

<b>South Central Connecticut Regional Water Authority</b>		<b>Enter Name of Company</b>	
Signature:		Signature:	
Name:		Name:	
Title:		Title:	
Date:		Date:	

## Schedule 1 SOW-xxx

### DEFINITIONS

#### DEFINITIONS:

<b>“Affiliate”</b>	means, with respect to an entity, any entity that Controls, is Controlled by, or is under common Control with, that entity, and shall include any such entity that meets such test whether before or after the Execution Date;
<b>“Applicable Law”</b>	means any applicable law, statute, regulation, rule, notice, judgment, order, instruction or award of any court or other Competent Authority and any applicable official request or requirement with which either or both of the parties is or are legally required to comply, in each case as amended from time to time;
<b>“Authorized Users”</b>	means all the Authority Personnel authorized by the Authority to access and use the Services through the Authority's account under any Statement of Work, each of which shall be identified by the Authority's written notice to Professional Service Provider upon Professional Service Provider request as the same may be amended by the Authority in writing from time to time;
<b>“Background Intellectual Property Rights”</b>	means any and all Intellectual Property Rights that are owned or controlled by or licensed to a party as of the Effective Date, or which are or have been developed independently of any Statement of Work, whether prior to the Effective Date or otherwise, and which are developed other than with respect to, or for incorporation into, the Services;
<b>“Business Continuity”</b>	means plans and activities intended to enable continued business operation in the event of any unforeseen interruption;
<b>“Business Day”</b>	means Monday to Friday (inclusive) 8:00AM – 5:00PM ET, excluding the Authority's Holidays;
<b>“the Authority Assets”</b>	means the Authority Data, the Authority Software, the Authority Operating Environment and the Authority Equipment together with any other data, software, assets, equipment or other property which are owned by the Authority and which are, or may be, used in connection with the provision or receipt of the Services;
<b>“the Authority Data”</b>	means any data (including any the Authority Personal Data), contained in documents, text, drawings, diagrams, images (together with any database made up of any of those), embodied in any medium, that are supplied to Professional Service Provider by or on behalf of the Authority, or which Professional Service Provider is required to generate, process, store or transmit pursuant to any Statement of Work;
<b>“the Authority Default”</b>	means: (i) a Default by the Authority; or (ii) a Relief Event;
<b>“the Authority Group”</b>	means the Authority and its Affiliates;

<b>“the Authority Personal Data”</b>	means any Personal Data or Personal Information relating to the staff, customers or suppliers of the Authority, contained in documents, text, drawings, diagrams, images or sounds (together with any database made up of any of those), embodied in any medium, that are supplied to Professional Service Provider by or on behalf of the Authority, or which Professional Service Provider is required to generate, process, store or transmit pursuant to any Statement of Work;
<b>“the Authority Operating Environment”</b>	means the Authority’s computing environment (consisting of hardware, software, and telecommunications networks), excluding the Authority Equipment, that is to be used by the Authority in connection with its use of the Services and which interfaces with the Professional Service Provider System in order for the Authority to receive the Services;
<b>“the Authority Personnel”</b>	means all employees, staff, agents, consultants (internal or external), sub-contractors, or other suppliers of the Authority or any member of the Authority Group from time to time;
<b>“the Authority Representative”</b>	means the person responsible for managing the Authority’s relationship with Professional Service Provider ;
<b>“Competent Authority”</b>	means a competent person which has been designated by a Party which receives a request for action;
<b>“CSR”</b>	means customer service representative
<b>“Customer Care Representative”</b>	means a person that provides customer service;
<b>“Data Protection Laws”</b>	means all laws, rules, regulations, decrees, or other enactments, orders, mandates, or resolutions relating to privacy, data security, and/or data protection;
<b>“De-identified Data”</b>	means information that has all Personally Identifiable Information, including direct and indirect identifiers removed or obscured;
<b>“Deliverables”</b>	means one or more items, if specified in the Contract Documents, that the Professional Service Provider shall complete and deliver or submit to the Authority for acceptance;
<b>“Development Environment”</b>	means, collectively, environment in or under which the software is intended to be installed and configured;
<b>“Disaster”</b>	sudden emergency occurrence beyond control, whether natural, technological, or man-made that renders services unable to operate;
<b>“Disaster Event”</b>	means point in time of the creation of the initial P1 incident that led to formal decision to declare a disaster event;
<b>“Disaster Recovery Declaration”</b>	means point in time of formal decision to declare a disaster as defined in the Disaster Recovery Plan;
<b>“Disaster Recovery Plan”</b>	A documented set of processes and procedures that provides the ability to recover a data center at an alternative site if a disaster event occurs at the primary site or leaves a data center in a non-operable state. The

	Disaster Recovery Plan is executed when a Disaster Recovery Declaration formal decision is made;
<b>“Documentation”</b>	means all technical specifications, user manuals, operating manuals, process definitions and procedures, and all such other documentation as is provided or required to be provided by Professional Service Provider to the Authority to enable it to use the Services;
<b>“Extended Outage”</b>	means an outage that cause an interruption of service to customers, depending on system configuration for extended period of time;
<b>“FOIA”</b>	means the U.S. federal Freedom of Information Act, 5 U.S.C. § 552, and any state equivalent, any state Sunshine Act, Public Records Act, or Freedom of Information Act;
<b>“Good Industry Practice”</b>	means those standards which are currently and generally accepted in the relevant industry for the provision of comparable services ( <i>i.e.</i> , services substantially similar to the Services or the relevant part of them), having regard to factors such as the location of the parties, the nature and size of the parties, any Statement of Work, the service levels and service credits, the term, the pricing structure and any other relevant factors;
<b>“Insolvency Event”</b>	means in respect of either party a party (i) files voluntarily for liquidation in bankruptcy; (ii) becomes or is declared insolvent; (iii) is the subject of any proceedings related to its liquidation, insolvency or the appointment of a receiver or similar officer for it, which proceedings are not dismissed within sixty (60) days after their commencement; or (iv) makes an assignment for the benefit of all or substantially all of its creditors; or (v) enters into an agreement for the composition, extension, or readjustment of substantially all of its obligations;
<b>“Intellectual Property Rights”</b>	means all copyrights and other intellectual property rights, however arising and in any media whether or not registered, including copyright, patents, trademarks, service marks, trade names, registered and unregistered designs, trade secrets, any applications for the protection or registration of those rights, and renewals and extensions of those rights, throughout the world;
<b>“Losses”</b>	means losses, damages, costs or expenses and other liabilities (including reasonable legal fees);
<b>“Permitted Uses”</b>	means any use of the Services by the Authority or any Authorized User for the benefit of the Authority’s internal business operations;
<b>“Process”</b>	means to perform any operation or set of operations on any data, information, material, work, expression or other content, including to (a) collect, receive, input, upload, download, record, reproduce, store, organize, combine, log, catalog, cross-reference, manage, maintain, copy, adapt, alter, translate or make other improvements or derivative works, (b) process, retrieve, output, consult, use, disseminate, transmit, submit, post, transfer, disclose or otherwise provide or make available, or (c) block, erase or destroy. <b>“Processing”</b> and <b>“Processed”</b> have correlative meanings;

<b>“Production Environment”</b>	means, collectively, environment in or under which the software is intended to be installed and run on, following go-live;
<b>“Quality Environment”</b>	means, collectively, environment in or under which the software is intended to be installed and tested upon;
<b>“SAP Software”</b>	means SAP ERP Foundation Starter, SAP ERP Foundation Extension, SAP Meter Administration and Operations for Energy Utilities, SAP Bill-To-Cash Management for Energy Utilities, SAP Sales Management and Customer Service for Energy Utilities, SAP Intercompany Data Exchange Foundation for Energy Utilities, SAP Advanced Metering Infrastructure for Energy Utilities, SAP HANA (in memory database), SAP Business Objects for Business Intelligence, SAP Data Services, Oracle Database License (required to run SAP Software), or any other software the Authority has licensed from SAP;
<b>“Service Commencement Date”</b>	means the go-live date defined during the workshops or any alternative date agreed between the parties;
<b>“Service Error”</b>	means when the application does not function as originally designed or modified pursuant to the change order process;
<b>“Service Failure”</b>	means a failure by Professional Service Provider to perform in accordance with the Service Levels;
<b>“Service Managers”</b>	means the Authority Contract Manager and Professional Service Provider Operations Manager;
<b>“Specifications”</b>	means the Specifications of the Works included in the Contract and any modification or addition made or approved by the sponsors;
<b>“Territory”</b>	means the United States;
<b>“Third Party Software”</b>	means software which is proprietary to any third party and that is either licensed to the Authority or Professional Service Provider and is used by Professional Service Provider in the provision of the Services;
<b>“Use”</b>	<p>means in connection with the Services:</p> <ul style="list-style-type: none"> <li>(a) the right to load, execute, store, transmit and display the relevant Intellectual Property Rights; and</li> <li>(b) the right to copy, distribute, and otherwise use the Documentation;</li> </ul> <p>within the Authority’s business for the purpose of, and only to the extent necessary for, the Authority’s receipt of the Hosted Services and in no event for the purpose of providing services to third parties;</p>
<b>“Professional Service Provider Equipment”</b>	means the hardware, computer and telecommunications devices and equipment supplied by Professional Service Provider or the Sub-Contractors (but not leased or loaned from, or provided by, the Authority) for the provision of the Services;

<b>“Professional Service Provider Personnel”</b>	means all employees, staff, agents, and consultants (internal or external) of Professional Service Provider and of any Sub-Contractors who are engaged in the provision of the Services from time to time;
<b>“Work Product”</b>	means all writings, technology, inventions, discoveries, processes, techniques, methods, ideas, concepts, research, proposals, and materials, and all other work product of any nature whatsoever, that are created, prepared, produced, authored, edited, modified, conceived, or reduced to practice in the course of performing the Services or other work performed in connection with the Services or this Statement of Work, including any Deliverables.

## INTERPRETATIONS

- 1.1 Words in the singular include the plural and in the plural include the singular.
- 1.2 Section and Schedule headings shall not affect the interpretation of any Statement of Work.
- 1.3 A reference to a statute or statutory provision is a reference to it as it is in force for the time being, taking account of any amendment, extension or re-enactment and includes any subordinate legislation for the time being in force under it.
- 1.4 Solely as between the Sections of any Statement of Work and the Schedules specific to the Statement of Work, unless a clause in the Schedules specifically states otherwise, If there is any conflict or ambiguity between the Sections of this any Statement of Work and the specific Schedules, the conflict shall be resolved in accordance with the following order of precedence:
  - 1.4.1 the Sections; and
  - 1.4.2 the Schedules.

For the avoidance of doubt, if any specific provision of the PSA, on the one hand, conflicts with the Sections and the Schedules, on the other hand, then the PSA shall prevail unless specifically stated otherwise.
- 1.5 A reference to any Statement of Work includes a reference to the specific Schedules, and any annexes to specific Schedules, to the Statement of Work.
- 1.6 A reference to one gender shall include reference to the other genders.
- 1.7 A **“person”** includes both corporate and unincorporated entities, and individuals.
- 1.8 Any phrase introduced by the words **“including”**, **“includes”**, **“in particular”** or **“for example”** or similar shall be construed as illustrative and shall not limit the generality of the related general words.

- 1.9 Unless otherwise stated, the word “**day**” refers to calendar days, “**calendar month**” to a calendar month commencing on the 1st day of that month and “**month**” refers to a period commencing on a date in a given month and ending on the previous day in the following month. For clarity, where a reference is made to “twelve (12) months after the Service Commencement Date”, where the Service Commencement Date is [ ], this shall mean that the period of time in question will expire on [ ].
- 1.10 “**Writing**” or “**written**” includes letters and e-mails, however, in respect of e-mails provided in all cases any e-mail to Professional Service Provider is sent to or copied to the Professional Service Provider Operations Manager (and Professional Service Provider the Authority Executive if an out of office or a delivery failure message is received) unless it is a formal notice in which case Section 18.01 (Notices) of the Master PSA applies.
- 1.11 All obligations to use “**commercially reasonable efforts**” shall not imply an obligation to incur cost or to enter into any commitment which may result in the incurring of costs.
- 1.12 Any reference in a specific Statement of Work to any discretion granted to any parties shall be deemed to mean a sole and absolute discretion unless otherwise specified in the Statement.

## Schedule 2 SOW-xxx

### SERVICES AND SERVICE LEVELS

#### 1. Solution Overview

- 1.1 The definitions set out in the Master PSA and Statement of Work SOW-xxx shall apply in this Schedule 2 unless the context requires otherwise.
- 1.2 The xxxxxxxxxxxxxx Services provided by Professional Service Provider to the Authority will consist of the following xxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxx, as more particularly described in this Schedule and the Statement of Work SOW-xxx:
- xxxxx
  - xxxxx
- 1.3 Delivery Management is the function of sourcing, managing and integrating support for the delivery of Professional Service Provider post go live support services set forth in the Statement of Work SOW-xxx.

#### Delivery Management Responsibility Matrix

#	Function	the Authority	Professional Service Provider
1	Serving as the central point of contact for all Service delivery related issues		
2	Serving as the principal point of communications between all parties involved for the Services		
3	Coordinating individual support activities		
4	Incorporating Change Management Process and communications management process to effectively manage the Service delivery		
5	Performing high-level project management functions for key change requests		

#### 2. Services Description

*Note: Add a description of the service provided.*

The Services provided xxxxxxxxxxxxxxxxxxxxxxxxxxxxxxxx.

For Professional Service Provider to provide the Services in compliance with the Service Levels, Professional Service Provider will perform the following functions:



#	Function	the Authority	Professional Service Provider
	<b>Example: IT Infrastructure Management</b>		
1	Maintain and administer hardware/server infrastructure, troubleshoot and support hardware/server infrastructure, manage utilization and capacity of hardware/servers according to reasonable standards following the Change Management Process.		
2	Maintain and administer server operating system (OS) configuration, maintain level of operating system components (e.g. patches, service packs, upgrades) according to reasonable standards following the Change Management Process, troubleshoot and support server OS.		
3	Monitor, manage, and report on the performance of the xxxxxxxxxxxx environment.		
	<b>Backup Recovery and Management</b>		
4	Schedule, perform and monitor incremental backups and full back-ups.		
5	Perform data restore / data recovery, and application recovery as required.		
6	Manage and support the backup hardware library platforms		
7	Maintain and support backup subsystem software components on servers (e.g. patches and software upgrades)		
8	Coordinate off-site storage functions (authorization lists, audits, etc.)		
9	Collect metrics, produce reports on backup timeliness, success rate, missed files, restore requests, and restore timing, etc.		
10	Maintain and manage a disaster recovery plan		
	<b>Performance and Capacity Management</b>		
11	Maintain capacity plan based on requirements (e.g. users, new apps. etc.)		

12	Perform trend analysis as input to capacity forecasting.		
13	Monitor online performance of all in-scope environments and take appropriate action to address performance issues.		
14	Perform performance tuning.		
	<b>Database Management</b>		
15	Manage and administer the database environment.		
16	Maintain and administer the database and object configuration, manage utilization and capacity of the database according to reasonable standards following the Change Management Process, troubleshoot and support the database.		
17	Receive and evaluate manufacturer provided DBMS patches, updates, upgrades, and prioritize as appropriate for implementation within documented severity time frames following the Change Management Process.		
18	Perform database object and software tuning		
	<b>Security Services</b>		
19	Implement security administration requests in accordance with approved processes.		
20	Perform user moves, adds, changes, and deletions per approved processes and procedures.		
21	Administer application security (i.e., end user authorization files, profile moves/adds/changes/deletes, database security ids, forms).		
22	Report security incidents.		
23	Maintain and support firewall subsystem software components (e.g. patches and software upgrades).		
24	Monitor virus/security alerts and vulnerabilities from manufacturers and determine appropriate action per procedure.		

<b>25</b>	Ensure compliance with generally accepted PCI standards in order to help protect sensitive customer information, including masking of credit/bank account numbers and social insurance numbers.		
	<b>Network Management</b>		
<b>26</b>	Perform 24x7x365 monitoring of the local area network (LAN) for the Software as a Service environment for satisfactory operation.		
<b>27</b>	Notification to designated client representative(s) of service interruption		

**Hosted Services Responsibility Matrix**

### 3. Application Management Services

*Note: This section should describe the services provided under application management if required.*

#### 3.1 Incident Management

When a Service Error occurs within the solution, a user is required to record an incident. Resolution of Service Errors (i.e. when the solution does not function as originally designed or modified pursuant to the Change Order process) is included within the Services. Incident resolution priorities will be allocated in accordance with the Incident Priority Table set forth in Section 6 of this Schedule.

The descriptions of three levels of support are defined below.

##### **Level 1 Support**

*Note: add definition of Level 1 support and who is responsible (i.e. Professional Service Provider or the Authority)*

##### **Level 2 Support**

*Note: add definition of Level 2 support and who is responsible (i.e. Professional Service Provider or the Authority)*

##### **Level 3 Support**

*Note: add definition of Level 2 support and who is responsible (i.e. Professional Service Provider or the Authority)*

The table below details specific tasks and responsibilities associated with incident management.

#	Incident Management	Responsibility	
		the Authority	Professional Service Provider
1	Identify application incident (performance, bug, system generated error message)		
2	Log application incident		
3	Assign severity to incident		
4	Categorize incident as repair		
5	Follow Professional Service Provider change control process		
6	Resolve application defects (code and configuration fixes)		
7	Test and/or validate defect correction and approve for production		
8	Resolve technical interface issues		
9	Resolve system performance issue		
10	Resolve data errors <sup>1</sup>	P	
11	Address end user errors		

<sup>1</sup> the Authority owns the data and is responsible for any data correction.

#### 4. Change Requests

The Authority requested enhancements to the Professional Service Provider solution results in Professional Service Provider creating a Change Request Specification and both parties following the Change Management process as defined in section 4.01 "Change Management" of the Master PSA. Enhancements can include modification to existing functionality or new functionality.

The table below details of change requests and the associated responsibilities.

#	Change Request Management	Responsibility	
		the Authority	Professional Service Provider
1	Log a Service Request to request change		
2	Provide business requirements		

3	Follow Professional Service Provider change control process		
4	Develop and document change request design proposal		
5	Provide cost for the change request proposal		
6	Provide signed approval of the change request	P	
7	Develop and document test procedures		
8	Develop code		
9	Perform configuration changes		
10	Perform unit testing and system testing of the solution components and document test results		
11	Perform user acceptance testing of the change request		
12	Provide approval before changes are moved to production		
13	Allocate Change Request to a release		
14	Deploy changes to production		
15	Validate changes in production prior to closing	P	

## 5. Business Support Functions

Professional Service Provider will maintain and support functionality of the Solution to facilitate effective daily business operations. This includes performing basic configuration, providing general business analyst support, running and monitoring system operations, and delivering exception reporting.

The Authority or the Authority's designated application management service provider is responsible for production data analysis and data changes in the solution. This includes confirming changes before changes are moved into production.

Professional Service Provider maintains technical currency of the solution. The Authority acceptance testing is required as part of the Change Management process. Professional Service Provider will coordinate the deployment of the release to production with the Authority.

The table below further defines business support functions responsibilities that are included.

#	Function	the Authority	Professional Service Provider
1	Manage, monitor and support Professional Service Provider Solution		

2	Manage, monitor, support and coordinate interfaces to/from the Solution.		
3	Oversight and management of the Authority internal systems and 3rd Party systems which interface to the Solution	P	
4	Manage, monitor and support operations of the solution.		
5	Log user support questions as Service Requests		
6	Respond to user support questions		
7	Follow the Professional Service Provider or the Authority's change control process		
8	Log Service Requests requesting configuration changes and support tasks		
9	Complete requested configuration changes and support tasks		
10	Test and/or validate on configuration changes and approve for production	P	

## 6. Incident Priority Definition

Professional Service Provider shall provide the Solution in accordance with the following guidelines:

Severity	Impact Definition	Response Objectives	Update Frequency
<b>Severity 1</b>	<b>Emergency</b> <ul style="list-style-type: none"> <li>Business is not operational with significant performance issues. financial impact. and/or number of customers impacted.</li> <li>Specifically, critical business function cannot be performed, a key component is unavailable or is materially nonfunctional. There is no immediate work-around.</li> <li>Goes to top of work queue and is top priority until resolved.</li> </ul>	Response Time $\leq$ x Hour or Minutes	x Hour or Minutes
<b>Severity 2</b>	<b>Critical</b> <ul style="list-style-type: none"> <li>Business is operational but with degraded performance. major financial impact. and/or customer impact.</li> <li>Specifically, a critical business function is partially functional, or is functional via a work-around at a limited capacity or has a defect that creates errors or anomalous results to customers and/or financials.</li> </ul>	Response Time $\leq$ x Hour or Minutes	x Hour or Minutes
<b>Severity 3</b>	<b>Restricted</b> <ul style="list-style-type: none"> <li>Business is operational but with either reduced performance. minor financial impact. and/or customer impact.</li> <li>Specifically, a business function has a slight restriction of function of a non-critical nature, or a work around is</li> </ul>	Response Time $<$ x Hour or Minutes	When work starts and upon completion or as agreed

	required to maintain normal operations, or a function has a defect which creates errors or anomalous results.		
<b>Severity 4</b>	<b>Not Urgent</b> <ul style="list-style-type: none"> <li>The component is fully functional and may only contain a cosmetic flaw, a misspelled or cryptic message, or a documented misinterpretation of functionality.</li> </ul>	Target Response Time < x Hour or Minutes	When work starts and upon completion or as agreed
<b>Severity 5</b>	<b>Request</b> <ul style="list-style-type: none"> <li>Task or Change order request</li> <li>Request for change of a new service feature or hardware</li> </ul>	As per Change Order Process	When work starts and upon completion or as agreed

**Response Objectives:** Measured as the time from which an incident was submitted by the Authority to Professional Service Provider in the ticketing system until the incident was assigned and work on incident has commenced, as indicated by status on the incident.

**Update Frequency:** Frequency with which Professional Service Provider communicates updates to the Authority contact person.

## 7. Disaster Recovery Services

Professional Service Provider will create a specific Disaster Recovery Plan and manage an annual Disaster Recovery test to validate the procedures for the Authority.

Where a Party becomes aware that an Extended Outage has occurred or that its occurrence can reasonably be expected to take place imminently, that Party shall immediately inform (via the most rapid method of communication reasonably practicable) the other Party's service desk.

If the Solution has not been restored to its pre-Extended Outage status within xx hours of an outage that begins during normal business hours or within xx hours for an outage that begins outside of normal business hours, either Party may declare a Disaster and Professional Service Provider shall implement its Disaster Recovery Plan in order to meet the recovery periods set forth in Section 4 of the Statement of Work SOW-xxx.

Professional Service Provider is providing the following key performance indicator (KPI) targets related to Disaster Recovery. These KPIs are intended as the operational targets for Disaster Recovery and are distinct from the recovery obligations defined in section 4 of the Statement of Work SOW-xxx

KPI	KPI Definition	KPI Target
<b>Recovery Time Objective (RTO)</b>	Target time for full capacity system recovery of Professional Service Provider hosted solutions from the point of Disaster Declaration	< xhoursorminutes
<b>Recovery Point Objective (RPO)</b>	Target age of restoration data backup measured from the Disaster Event	< xhoursorminutes

## 8. Service Level Agreement

This section describes the Service Levels that Professional Service Provider shall meet during the Term of this MSA and the Service Credits to be provided to the Authority by Professional Service Provider based on the efficiency and quality with which Professional Service Provider performs the Operational Services and related tasks, and the mechanisms with which such performance will be measured.

Professional Service Provider shall provide the Services in accordance with the following Service Levels:

Service Level #	Service Level	Service Level	Metric	Calculation
1	Professional Service Provider Solution Availability	xxx%	This metric measures the availability of the Service. This measurement is calculated as the total uptime of the Service excluding scheduled down time and Disaster scenarios, divided by the total number of minutes in the reporting period, expressed as a percentage.	Percentage = (A / B) x 100 (%) WHERE: A = the total amount of actual Service uptime excluding scheduled downtime within the reporting period. B = the total scheduled Service uptime during the reporting period
2	Incident Response Time Severity 1 (S1)	95% of S1s <= x hours or minutes	This metric measures the response time to a S1 incident. This measurement is calculated as the percentage of S1 incidents during the reporting period in which they were responded to within the defined response time.	Percentage = (A / B) x 100 (%) WHERE: A = the number of S1 incidents in the reporting period that met the target response time B = the total number of S1 incidents in the reporting period
3	Incident Response Time Severity 2 (S2)	95% of S2s <= x hours or minutes	This metric measures the response time to a S2 incident. This measurement is calculated as the percentage of S2 incidents during the reporting period in which they were responded to within the defined response time.	Percentage = (A / B) x 100 (%) WHERE: A = the number of S2 incidents in the reporting period that met the target response time B = the total number of S2 incidents in the reporting period
4	Incident Response Time Severity 3 (S3)	95% of S3s <= x hours	This metric measures the response time to a S3 incident. This	Percentage = (A / B) x 100 (%) WHERE:



		or minutes	measurement is calculated as the percentage of S3 incidents during the reporting period in which they were responded to within the defined response time.	A = the number of S3 incidents in the reporting period that met the target response time B = the total number of S3 incidents in the reporting period
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## 9. Communications Services (*if applicable*)

Professional Service Provider and the Authority have agreed to use [i.e., VPN, SDN, MPLS, etc...] Services connections from two of the Authority data centers (New Haven and Stamford) to the Professional Service Provider xxxxxxxxxxxx solution.

*Note: Add information defining what each party is responsible for regarding the communication solution implemented. Also define how issues will be handled [i.e., If communication issues arise both Parties will jointly work together to resolve issue(s)]*

## Schedule 3 SOW-xxx

### IMPLEMENTATION

Table of Contents is for reference only:

#### Contents

1. Implementation Scope.....	2
1.1 Topic xx from list .....	2
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2. System Implementation and Transition to On-going Service.....	2
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2.2 Implementation Project Artifacts ( <i>Note: Update information below as required</i> ).....	3
3. Assumptions.....	4
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5. Governance .....	4
6. Project Schedule .....	5
7. Infrastructure Communications Diagram.....	5
8. Pricing .....	6
9. Milestone Payments (if applicable) .....	6
10. Out of Scope Overview ( <i>If required for clarification</i> ).....	6

## Schedule 3 SOW-xxx

### IMPLEMENTATION

#### 1. Implementation Scope

Professional Service Provider will provide the Authority Implementation Services related to deploying....

*[Note: Add a description of what the Professional Service Provider will be implementing]*

The implementation project scope for the Authority includes the following functionality:

*[Note: Add a list of items/components/etc. being delivered]*

1. xxxx.
2. xxxx.
3. xxxx.

*[Note: For each item in the list above, add the detail necessary so the Authority and the Professional Services Provider both have a clear understanding of what is being provided, what needs to be done and which company is responsible.]*

##### 1.1 Topic xx from list

1. xxxx.
2. xxxx.
3. xxxx.

##### 1.2 Changes to the Authority applications requiring integrations

*[Note: Include detail necessary so the Authority and Professional Service Provider both have a clear understanding of what is being provided, what needs to be done and which company is responsible.]*

1. xxxx.
2. xxxx.
3. xxxx.

#### 2. System Implementation and Transition to On-going Service

##### 2.1 Professional Service Provider Implementation Timeline

Professional Service Provider will work collaboratively with the Authority to provide a timeline. Specifics around the project timeline/Gantt chart are provided in Section 6. Project Schedule.

## 2.2 Implementation Project Artifacts (*Note: Update information below as required*)

Professional Service Provider will produce and maintain multiple project deliverables/artifacts throughout the implementation project. These artifacts include:

1. High-level timeline/project plan as defined in Section 6.
2. Professional Service Provider shall identify key decisions needed by the Authority in advance and collaborate on planning and workshop design to identify right participants from both sides.
3. Professional Service Provider shall identify work related other integrations and interfaces needed within and outside of the Authority for the solution to work seamlessly
4. Professional Service Provider shall provide weekly implementation status reports
5. Business requirements documents (BRD) and signoff
6. Technical requirements documents (TRD) and signoff
7. Unit/Integration/System Testing
  - All solution changes are thoroughly tested by Professional Service Provider prior to initiating User Acceptance Testing
  - Professional Service Provider shall assist with identifying external upstream and downstream testing as identified during planning
8. User acceptance testing (UAT) signoff
  - The user acceptance testing signoff documents the end of UAT, and is verification that all functionality testing is complete and approved by the Authority.
  - Professional Service Provider shall provide training support documentation.
9. Operational readiness document (ORD)
  - The ORD will document the information and activities necessary to operate the Solution, activities necessary to perform the infrastructure and help desk Operational Services, and the following topics:
    - URLs
    - Conversion and migrations
    - Network
    - Service and escalation
    - Reporting incident/requesting service
    - IT areas of responsibility
    - Priority/resolution table
    - Escalation
    - Incident notification distribution

- Professional Service Provider to conduct Go-Live Readiness Review(s) to ensure preparedness from both client (Responsible) and Professional Service Provider (Supporting).

#### 10. Go-live approval signoff

- The go-live approval signoff will act as the formal approval that the Professional Service Provider's solution is approved and ready for production.

For documents requiring signoff, the Authority shall review within (x) working days of receipt of documents and provide either (i) approval or (ii) provide detailed written explanation why such approval cannot be provided.

For testing and functional validation signoff, the Authority complete within agreed time frames and provide either (i) approval or (ii) provide detailed written explanation of defects or why such approval cannot be provided.

### 3. Assumptions

The Professional Service Provider scope, timeline and pricing are based on assumptions. Any changes to these assumptions will be addressed through the Change Management Process.

*[Note: Include detail necessary so the Authority and the Professional Services Provider both have a clear understanding of the assumptions.]*

1. xxxx.
2. xxxx.
3. xxxx.

### 4. Risks

*[Note: Include detail necessary so the Authority and the Professional Services Provider both have a clear understanding of the risks identified.]*

4. xxxx.
5. xxxx.
6. xxxx.

### 5. Governance

The responsibility matrix outlines key functions necessary for a successful implementation project.

*[Note: Update the table below with governance functions required to support a successful delivery.]*

#### Responsibility Matrix

#	Function	Professional Service Provider	the Authority	Notes
1	<i>Example: Serving as the central point of contact for all</i>	<i>R</i>	<i>R</i>	<i>Example: Each company will provide a</i>

#	Function	Professional Service Provider	the Authority	Notes
	<i>Service delivery related issues</i>			<i>point of contact responsible for communication of their service delivery issues</i>
	Risk Management	Professional Service Provider	the Authority	Notes
1	Identifying, analyzing, and responding to risk			
2	Determining which risks are likely to affect delivery of the Services and documenting the characteristics of each			
3	Performing a qualitative analysis of risks and conditions to prioritize their effects on Service delivery objectives			
4	Tracking identified risks, monitoring residual risks, identifying new risks, executing risk plans and evaluate their effectiveness in reducing risk			

## 6. Project Schedule

The below Gantt Chart/Timeline overview's the Professional Service Provider schedule for delivery of the solutions defined in this Schedule 6. Services in this schedule are delivered via a [*remote, on-site, or combination remote & on-site*] delivery model.

Professional Service Provider will work with the Authority to conduct project scoping and planning workshops during the initial phase of the implementation project. During these sessions, we will jointly agree upon the project timelines and will update the timeline/plan accordingly.

*Note: Include or attach a project plan with dates and resource required. Highlight milestones.*

## 7. Infrastructure Communications Diagram

The Professional Service Provider solution is hosted from **xxxxxxx** datacenters with Production located in **xxxxxxx** and a redundant site in **xxxxxxx**.

Professional Service Provider will integrate to the Authority's backend system of record via [*https web service calls, SFTP file transfers (where necessary), over the internet with no VPN or dedicated circuit required*].

Professional Service Provider can, optionally support VPN or dedicated circuit connectivity via a connection into **xxxxxxx** (i.e. SDWAN, MPLS).

The below diagram illustrates the connectivity between the Professional Service Provider Primary and Disaster Recovery datacenters through to the Authority Primary and Disaster Recovery centers.

*Note: Include Communications Network Diagram below*

Professional Service Provider will maintain the following:

*Note: Select environments that apply to solution*

- Development Environment,
- Quality Environment,
- Production Environment,
- Disaster Recovery environment which mirrors production at geographically disparate site.

For the life of this **SOW-xxx**. Additional environments will be spun up, by Professional Service Provider, as needed. Additional environments are managed via the Change Management Process.

## 8. Pricing

Professional Service Provider will provide all the proposed and described services in this Schedule 3 for a price of **xxxxx** US Dollars.

## 9. Milestone Payments (if applicable)

Milestone payments will be released upon completion of all Deliverables and Project Phases Accepted by the Authority in accordance with the following schedule.

Milestone #	Deliverable Name	Description	Month	Date	Amount
1					
2					
3					
<b>Total</b>					<b>\$0.00</b>

## 10. Out of Scope Overview (If required for clarification)

Add list of out of scope services and/or products for clarification and understanding of the solution being delivered to the Authority.

## Schedule 4 SOW-xxx

### CHARGES – Product & Operating

The Authority shall pay Professional Service Provider the fees for the ongoing operational Services in accordance with the prices contained in this Schedule and the payment procedures contained in Section 2.01 Payment Procedures in the Master PSA.

Capitalized terms not defined in this Schedule 4 shall have the meaning given them elsewhere in the Master PSA and Schedule 1 SOW-xxx.

#### 1. Subscription Fees

With effect from the go-live date of Schedule 6, the Authority shall pay Professional Service Provider in respect of:

*Note: Add Subscription fee schedule information here.*

#### 2. Software License Fees

The Authority shall pay applicable license fees in respect of the Solution. For clarity, during the Term of SOW-xxx, the Authority shall be responsible to pay applicable annual maintenance fees required in respect of the Software.

*Note: Add information showing any one-time solution fees and separately show any on-going annual maintenance fees.*

#### 3. Expenses & Pass-Through Fees (If applicable)

It is acknowledged by the parties that Professional Service Provider will incur certain expenses while performing the Services which will be paid and administered by Professional Service Provider and which will be passed through to the Authority at actual cost. The Authority must preapprove all Expenses & Pass-Through Fees including travel. All Professional Service Provider personnel will use RWA's preferred hotel list, as these hotels will bill the Authority directly.

- (a) The Change Management Process is used for additions or deletions of Expenses & Pass-Through Fees.

Travel and living expenses billed at cost and invoiced on a monthly basis. Expenses will include accommodations/lodging, meals, car rental, car fuel, and miscellaneous. Meals and miscellaneous expenses will not exceed \$61 per day. All airfare will use economy-based booking. All Professional Service Provider resources will adhere to Professional Service Provider's travel policy.

The payment of travel expenses and all other disbursements will be invoiced based on actual expense incurred on a monthly basis.

#### 4. Transactional Fees

For this SOW-xxx (including any Schedules, Amendments, or Change Order), Transactional Charges shall be subject to the following conditions:

*Note: Add Transaction fee schedule information here, use table below if suitable*



Price Component	Price	Note	Billing Start Date

APPENDIX 4

Cyber Security

1. **Definitions.**
- a. **“Applicable Privacy Laws”** means all applicable laws that govern the collection, use, processing, retention, or deletion of Personal Information or data relating to consumers or individuals.

b. **“Government Regulator”** means any entity that has jurisdiction to enforce the Authority and Service Provider’s compliance with the Applicable Privacy Laws.

c. **“Personal Information”** means any personal Information, as defined in the Applicable Privacy Laws, which is collected, stored, accessed or otherwise processed by Service Provider.

d. **“Confidential Information”** shall have the same meaning as set forth in the Professional Services Agreement.
2. **Service Provider Responsibilities.**
- a. Service Provider acknowledges and agrees that, in the course of its engagement by the Authority, Service Provider may receive or have access to Personal Information and/or Confidential Information. Service Provider shall comply with the terms and conditions set forth in the Professional Services Agreement, this Appendix, and in the Applicable Privacy Laws in its collection, receipt, transmission, storage, disposal, use and disclosure of such Personal Information and Confidential Information. Further, Service Provider shall be responsible for the unauthorized collection, receipt, transmission, access, storage, disposal, use and disclosure of Personal Information and Confidential Information under its control or in its possession by all Authorized Employees/Authorized Persons. Service Provider shall be responsible for, and remain liable to, the Authority for the actions and omissions of all Authorized Persons that are not Authorized Employees concerning the treatment of Personal Information and Confidential Information as if they were Service Provider’s own actions and omissions.

b. In recognition of the foregoing, Service Provider covenants that it shall:

(i) keep and maintain all Personal Information and Confidential Information in strict confidence, and shall prevent the unauthorized access, use or disclosure of Personal Information and Confidential Information; (ii) use and disclose Personal Information and Confidential Information solely and exclusively for the purposes for which the Personal Information/Confidential information, or access to it, is provided pursuant to the terms and conditions of the underlying Professional Services Agreement, and not use, sell, rent, transfer, distribute, or otherwise disclose or make available Personal Information or the Confidential Information for Service Provider’s own purposes or for the benefit of anyone other than the Authority, in each case, without the Authority’s prior written consent; and (iii) not, directly or indirectly, disclose Personal Information to any person other than its Authorized Employees/Authorized Persons, including but not limited to any, subcontractors, agents, outsourcers or auditors (an “Unauthorized Third Party”), without express prior written consent from the Authority, unless and to the extent required by Government Regulators or as otherwise, to the extent expressly required by Applicable Privacy Laws or any other applicable laws.

c. Prior to disclosing any Personal Information and/or Confidential Information to any Government Regulator, Service Provider shall notify the Authority before such disclosure or as soon thereafter as reasonably possible.

d. In the event of a disclosure of Personal Information and/or Confidential Information to any Unauthorized Third Party, Service Provider shall: (i) be responsible for and remain liable to the Authority for the actions and omissions of any such Unauthorized Third Party concerning the treatment of such Personal Information and/or Confidential Information as if they were Service Provider's own actions and omissions; and (ii) require the Unauthorized Third Party that has access to Personal Information and/or Confidential Information to execute a written agreement containing those obligations that are at least as restrictive as those contained herein.

e. In the event of a disclosure of Personal Information and/or Confidential Information to any other party with the Authority's consent, Service Provider shall ensure that such party is fully bound, in a written agreement, to those obligations that are at least as restrictive as those contained herein. Upon the Authority's request, Service Provider shall promptly provide a list of all current subcontractors and the associated contracts. If the Authority reasonably objects to any of the Service Provider's subcontractors, and the parties cannot agree on a suitable alternative, then the Authority shall have the option to terminate the underlying Professional Services Agreement without incurring any further liability to Service Provider.

d. Service Provider represents and warrants that its collection, access, use, storage, disposal and disclosure of Personal Information and/or Confidential Information does and will comply with all Applicable Privacy Laws, as well as all other applicable regulations and directives.

e. At a minimum, Service Provider's safeguards for the protection of Personal Information and Confidential Information shall include: (i) limiting access of Personal Information and Confidential Information to Authorized Employees/Authorized Persons; and (ii) preventing unauthorized access to Service Provider's business facilities, data centers, paper files, servers, back-up systems and computing equipment, including, but not limited to off-site locations, "smart phones," copiers, tablets, laptops, and any portable memory or storage devices. Service Provider shall be liable for the acts or omissions of its employees, agents, subcontractors and any others who gain access to the Authority's Personal Information and/or Confidential Information directly or indirectly through Service Provides acts or omissions.

f. Service Provider shall maintain written security policies and procedures, which include, but are not limited to, its disaster recovery and avoidance procedures and an incident response plan. Upon the Authority's request, Service Provider shall provide the Authority with access to such policies and procedures.

3. **Security Breach.**

a. Service Provider shall immediately notify the Authority of any actual or suspected unauthorized access, unauthorized use or unauthorized disclosure of Personal Information and/or Confidential Information (collectively and individually, a "Security Breach"). Immediately following Service Provider's notification to the Authority of a Security Breach, the parties shall coordinate with each other to investigate the Security Breach. Service Provider agrees to fully cooperate with the Authority in the Authority's handling of the matter, including, without limitation: (i) assisting with any investigation; (ii) providing the Authority with physical access to the facilities and operations affected; (iii) facilitating interviews with Service Provider's employees and others involved in the matter; and (iv) making available all relevant records, logs, files, data reporting and other materials required to comply with this Agreement, applicable law, regulation, industry standards or as otherwise required by the Authority.

b. Service Provider shall take all necessary steps, including but not limited to bringing a law suit against any relevant third parties, to immediately remedy any Security Breach and prevent any further Security Breach. These actions shall be at Service Provider's sole expense and shall be in accordance with this Agreement, any applicable privacy rights, laws, regulations and standards. In addition, Service Provider shall reimburse the Authority's for actual costs incurred by the Authority in responding to, and mitigating damages caused by, any Security Breach, including all costs of notice and/or remediation. Further, but without limiting any of the Service Provider's obligations set forth in this Section, Service Provider shall hold harmless and indemnify the Authority from and against all damages (including but not limited to direct and consequential damages), punitive damages, and any fines, sanctions and the like incurred by the Authority and arising directly or indirectly from the unauthorized access, use and/or disclosure of any Personal Information and/or Confidential Information.

c. Service Provider shall cooperate with and assist the Authority, at the Authority's request, in: (a) fulfilling the Authority's legal obligations under the Applicable Privacy Laws; and (b) responding to any Government Regulator request or legal action.

4. **Vulnerability Scans.**

a. If Service Provider electronically maintains, stores or processes any Personal Information and/or Confidential Information belonging to the Authority, Service Provider shall permit the Authority, or in the Authority's sole discretion, a third party paid for by the Authority ("Third Party"), to perform a vulnerability scan at least twice a year on Service Provider's electronic systems where any the Personal Information and/or Confidential Information is maintained, stored or processed including any connected electronic systems that provide access to the electronic system where the Personal Information and/or Confidential Information is maintained, stored or processed.

b. Service Provider shall permit the initial scan within ten (10) business days of the execution of the underlying Professional Services Agreement unless the parties mutually agree otherwise. The Authority, or the Third Party, will perform subsequent scans 180 days from the previous scan unless the parties mutually agree otherwise.

c. If the Authority, in its sole discretion, determines that there is a need to perform a vulnerability scan at more frequent intervals, Service Provider shall permit such scans within 48 hours after receiving written notice from the Authority.

d. Service Provider shall permit the Authority to use any vulnerability scanning tools and resources the Authority deems appropriate. The Authority shall make reasonable efforts to minimize disruption to Service Provider's operations and shall bear the full cost of any vulnerability scan.

e. If any vulnerability scan reveals vulnerability in Service Provider's systems that could impact Personal Information and/or Confidential Information, the Authority shall notify Service Provider of such vulnerability. Unless the parties agree otherwise, Service Provider, at Service Provider's expense, shall remedy the identified vulnerability to the Authority's satisfaction and within the timeframe provided by the Authority.

f. If Service Provider or any third party employed by Service Provider performs any vulnerability scanning or auditing of its electronic systems, it shall provide the results to the Authority on an annual basis or as requested by the Authority.

5. **Insurance.**

a. During the term of the Professional Services Agreement, if Service Provider has access to, maintains, stores or processes any Personal Information, Service Provider shall maintain privacy and network security insurance (“Cyber Liability Policy”) in a minimum amount of \$5,000,000 per loss.

**Commented [A1]:** Depending on the volume of Personal Information you may want different limits here.

- b. The Cyber Liability Policy shall provide coverage for:
- i. liability incurred from alleged or actual theft, dissemination, unauthorized access and/or use of the Personal Information and any related forensic costs, crisis management costs, investigation costs;
  - ii. network security liability arising from the unauthorized access to, use of, or tampering with computer systems, including hacker attacks or inability of an authorized third party to gain access to services, including denial of service, unless caused by a mechanical or electrical failure;
  - iii. liability arising from the introduction of a computer virus into, or otherwise causing damage to a computer, computer system, network, or similar computer related property and the data, software, and programs thereon;
  - iv. any government investigations resulting from the alleged or actual disclosure of or unauthorized access to Personal Information or confidential business information or network security liability event; and
  - v. nonphysical business interruption.

c. Service Provider will also name the Authority and its directors, officers, employees, and agents as an additional insured under the Cyber Liability Policy. Upon the Authority’s request, Service Provider shall provide the Authority with a copy of the certificate of insurance and policy endorsements for the insurance coverage required in this section and shall not do anything to invalidate such insurance during the term of the Professional Services Agreement or so long as Service Provider has access to or is in possession of Personal Information.

6. **Termination.** In the event of a Security Breach involving Personal Information, such incident shall be considered a breach of the Professional Services Agreement and the Authority shall have the ability to, in its sole discretion, terminate the Professional Services Agreement immediately without penalty, without providing Service Provider with the opportunity to cure and regardless of any termination provisions in the Professional Services Agreement. At the termination of the underlying Professional Services Agreement, or upon the Authority’s written request, Service Provider will either securely destroy or return the Personal Information and other information of the Authority to the Authority within a reasonable time. Upon deletion or return, Service Provider shall send the Authority a certification that all Personal Information and other information of the Authority have been removed from its systems within thirty (30) business days.

7. **Survival.** Each provision of this Appendix that by its terms would survive expiration or termination of the Professional Services Agreement shall so survive.

**RATE SCHEDULE**  
**EFFECTIVE July 2, 2019**  
**ALL SERVICE AREAS**

<b>Quarterly Rates</b>		
<u>Meter Size</u>	<u>Service Charge</u>	<u>Cost of Consumption Per 100 Cubic Feet</u>
5/8"	\$61.14	\$4.406
3/4"	71.37	4.406
1"	94.29	4.019
1-1/2"	142.80	4.019
2"	216.78	4.019
3"	633.99	3.758
4"	951.60	3.758
6"	1,780.65	3.758
8"	2,902.98	3.468
10"	4,127.40	3.468
12"	5,352.33	3.468
Privately Owned	20.34	

<b>Monthly Rates</b>		
<u>Meter Size</u>	<u>Service Charge</u>	<u>Cost of Consumption Per 100 Cubic Feet</u>
5/8"	\$20.38	\$4.406
3/4"	23.79	4.406
1"	31.43	4.019
1-1/2"	47.60	4.019
2"	72.26	4.019
3"	211.33	3.758
4"	317.20	3.758
6"	593.55	3.758
8"	967.66	3.468
10"	1,375.80	3.468
12"	1,784.11	3.468
Privately Owned	20.34	

<b>Seasonal Rates</b>		
(Summer Season is from April 1 - November 1)		
<u>Meter Size</u>	<u>Service Charge</u>	<u>Cost of Consumption Per 100 Cubic Feet</u>
5/8"	\$305.87	
3/4"	356.90	For All Meter Sizes
1"	471.70	
1-1/2"	714.03	All consumption
2"	1,084.01	\$7.002
3"	3,170.52	
4"	4,758.73	

<b>Annual Fire Service Charges</b>		
<u>Private Fire Service</u>	<u>Quarterly Charge</u>	<u>Annual Charge</u>
1" Diameter Connection	\$47.50	\$190.00
2" Diameter Connection	47.50	190.00
3" Diameter Connection	47.50	190.00
4" Diameter Connection	76.72	306.88
6" Diameter Connection	176.91	707.62
8" Diameter Connection	474.92	1,899.68
10" Diameter Connection	1,012.04	4,048.14
12" Diameter Connection	1,819.99	7,279.94
14" Diameter Connection	4,409.39	17,637.54
16" Diameter Connection	6,264.65	25,058.58
<u>Public Fire Service</u>	<u>Monthly Charge</u>	<u>Annual Charge</u>
Per inch-foot of main	\$0.00692	\$0.08306
Per hydrant	14.25	171.00

(A) The charge will be the Authority's cost of material, labor and equipment used, plus overhead at prevailing rates. In circumstances where this procedure for charging a customer would significantly delay the final billing, the Authority will use an appropriate estimate of its cost.

<b>Miscellaneous Rates (May be subject to CT Sales Tax)</b>	
Termination & Reconnection Charge	\$151.00
Prior to 3:30 p.m. (after termination of service)	
After Hours Reconnection	215.00
Charge between 3:30 p.m. and 5:00 p.m. (after termination of service)	
Collection Visit Charge	41.00
(for service call due to delinquency)	
Other Collection Activity	(A)
Tampering of Hydrant:	
First Offense	500.00
Subsequent Offense	1,000.00
Inaccessible Vault/Pit:	
First Offense	500.00
Subsequent Offense	1,000.00
Obstructed Curb Valve:	
First Offense	58.00
Subsequent Offense	(A)
Manual Meter Reading Charge	47.00
Missed Appointment Charge	55.00
Waste Inspection Charge	87.00
Meter Resetting Charge	153.00
Meter Reading Device Repair/Replace	205.00
Repair/Cleaning of Curb Box	157.00
Lien Processing Charge	27.00
Mandatory Water Restriction Charge	
(per occurrence, up to one per day)	
During a RWA Drought Stage Watch	25.00
During a RWA Drought Stage Warning	50.00
During a RWA Drought Stage Emergency	100.00
Special Customer Request	(A)
Private Use of Public Hydrant:	
(water usage above the allowance will be charged at seasonal rates)	
Meter Service Charge	276.00
Minimum Charge (12,000 gallon allowance)	171.00
Seasonal Minimum Charge (80,000 gallon allowance)	811.00
Tank Truck Water (plus the cost of water at 4.406 per ccf)	59.00
Deficient Check	29.00
Wholesale (per million gallons)	2,621.00
Wholesale (per ccf)	1.961
Raw Water (per ccf)	0.6348
Operate Curb Valve	200.00
Unmetered Active Service Charge	500.00
Excavation for Termination:	
(1) at curb valve	457.00
(2) in street at tap	(A)
Backflow Device Testing Charges:	
1 to 5 devices	55.00
6 to 9 devices	50.00
10 to 50 devices	45.00
50+ devices	40.00
Unscheduled Testing	110.00
Confined Space, Pit/Vault	110.00
Pit/Vault Requiring Pumping	(A)
Meter Repair/Replacement Charges:	
5/8" & 3/4"	220.00
1"	275.00
1-1/2"	450.00
2"	555.00
Over 2"	(A)
Service Call Charges:	
During work hours	102.00
After hours call-in	289.00
Private Hydrant Inspections – Annual Test	(A)
Private Hydrant Inspections – Seasonal (two) Tests	(A)
Per foot costs to install a hydrant on new main	(B)

(B) The actual cost of material, labor (including outside services), and/or equipment used, plus overheads, in accordance with the rules and regulations.

**RATE SCHEDULE**  
**EFFECTIVE July 2, 2019**  
**ALL SERVICE AREAS**

**Economic Development Rate\*\***

The Authority offers an "economic development rate" as an incentive to encourage new\* commercial or industrial customers in its service area, for significantly expanding operations, or distressed businesses contemplating closing by assessing the customer at 80% of applicable water rates for the first five (5) years of occupancy. Rates will be subject to periodic effects of a general rate increase and/or surcharges. If the customer's period of occupancy is less than five (5) years, the Authority will pro-rate the full rate back to the first date of occupancy. After the initial five (5) year period, the Authority will assess the customer its full applicable water rates.

To qualify for this economic development rate, the customer must consume at least 500,000 gallons of water per year.

\* A new customer is defined as relocating to the Authority's service area from out-of-state or from another service area within Connecticut.

\*\* Exceptions reviewed on a case by case basis.

**Service Connection Charges**

Prior to the approval of an application, a Service Connection Charge shall be paid by each applicant for each new service connection and meter installation as follows:

**Corporation Stop or Branch Connection**

<u>Size</u>	<u>Charges</u>
1"	\$315.00 <sup>1</sup>
1-1/2"	330.00 <sup>1</sup>
2"	665.00 <sup>1</sup>
Over 2"	(A)

**Meter Installation**

<u>Size</u>	<u>Charges</u>
5/8" & 3/4"	\$200.00
1"	245.00
1-1/2"	450.00
2"	555.00
Over 2"	(A)

<sup>1</sup> Plus cost of saddle based on the main size.

(A) The charge will be the Authority's cost of material, labor and equipment used, plus overhead at prevailing rates. In circumstances where this procedure for charging a customer would significantly delay the final billing, the Authority will use an appropriate estimate of its cost.

**Note:** See Rules of Authority, Re: Necessary inspection by Authority personnel of installation prior to backfilling and paving. The purpose of these charges is to defray the cost of installing the corporation stop or branch connection for a service connection, installing the meter (does not include the cost of the meter) and inspecting the service connection installation.

**Local Facilities Charges**

A Local Facilities Charge for each separate connection to a water main shall be paid by each applicant who desires to secure water service therefrom, which charge shall be paid prior to the approval of the application for a service connection.

<u>Meter Size</u>	<u>Facilities Charge</u>
5/8" & 3/4"	\$550.00
1"	830.00
1-1/2"	970.00
2"	1,525.00
3"	6,105.00
4"	7,625.00
6"	11,510.00
8"	15,935.00

The purpose of these charges is to collect a fair contribution from the applicant-for-service toward the cost of the utility system, heretofore paid by existing customers.

**Charges for Pipe Installation**  
**(Subject to proportionate sharing)**

Charges for pipe installation under Extension of Main Rules and Regulations will be the actual cost of the material, labor and equipment used, plus overhead at prevailing rates. In those circumstances where this procedure could cause a significant delay in the final billing, the Authority will use an appropriate substitute for actual cost. If pavement, excavation and repairs are required for the extension, these additional charges will be added to the final invoice. The cost of pipe will normally be based on 8-inch main, but if for any reason it is necessary to install pipe larger or smaller than 8-inch to satisfy the requirements of the applicant, cost shall be based on the pipe size actually required.

**Miscellaneous Charges**

Charges for all services or material sales are based on the actual, direct cost of the material, labor and equipment used, plus overhead at prevailing rates. In those circumstances where the procedure could cause a significant delay in the final billing, the Authority will use an appropriate substitute for actual cost. These charges are assessed on the water bill account whenever possible, otherwise a separate invoice is rendered.

**How to Compute Your Bill**

Using the quarterly (C) meter rate and the assumed readings used below, the total bill would be computed as follows, for an account with a 5/8" meter:

Present Reading	418 (100 Cubic Feet)
Reading Last Quarter	393 (100 Cubic Feet)
Water Used Present Quarter	25 (100 Cubic Feet)

**Customer Bill Calculation:**

Service Charge (D)	\$61.14
Cost of Consumption (2,500 cubic feet x \$4.406 per 100 cubic feet) (D)	<u>110.15</u>
<b>TOTAL BILL</b>	<b>\$171.29</b>

(C) Quarters may contain more or less than 91 days.

(D) Service charge and Cost of Consumption are based on a 5/8" meter.

## Bill Summary

Billing Date		09/01/2021
PREVIOUS BALANCE	\$	2,234.74
PAYMENTS		
Balance Forward	\$	2,234.74
CURRENT CHARGES		
PipeSafe Charges		
PipeSafe Water Annual Charge		79.80
<b>Total PipeSafe Charges</b>	\$	<b>79.80</b>
Fees and Adjustments		
Sales Tax		5.07
<b>Total Fees &amp; Adjustments</b>	\$	<b>5.07</b>
<b>Total Current Charges</b>	\$	<b>84.87</b>
<b>TOTAL AMOUNT DUE</b>	\$	<b>2,319.61</b>

Balances over 30 days old are subject to an interest charge of 1.5 % per month. To avoid interest on the current charges, payments must be received by 10/01/2021. Please allow time for mailing and processing.

URGENT: THE BALANCE FORWARD MAY BE SUBJECT TO IMMEDIATE COLLECTION ACTION

## More Information



Visit [rwater.com](http://rwater.com) for more information on the RWA services and products that may be available to you.

## Important Messages

Enrolled in our PipeSafe Emergency Protection programs? If so, you will see these charges in the Bill Summary area. To learn more about PipeSafe, see back of bill.

Keep a close eye on your water usage and save money through our new online portal called Water Watch. Visit [rwater.com](http://rwater.com) and click Water Watch under RWA Connect.



ONLINE: [Rwater.com](http://Rwater.com)



MAIL: PO BOX 981102, BOSTON MA 02298-1102



PHONE: 203-562-4020



RETAIL LOCATIONS:



Contribution

☐ \$10

☐ \$5

☐ \$1

☐ Other: \_\_\_\_\_

[REDACTED] 002319618

DANIEL [REDACTED]  
ANGELA [REDACTED]  
226 [REDACTED]  
CHESHIRE CT 06410-3741



REGIONAL WATER AUTHORITY  
PO BOX 981102  
BOSTON MA 02298-1102





**PipeSafe**  
EMERGENCY PROTECTION

-  Water Line Protection
-  Sewer/Septic Line Protection
-  NEW! Interior Plumbing Protection

## PROTECT YOUR PIPES AND KEEP LIFE FLOWING!

The PipeSafe Process in 3 Easy Steps

-  **Enroll** for low-cost protection from water, sewer/septic line and plumbing repairs.
-  **Call** us 24/7 if something happens to your water, sewer/septic line – even if it's at 3 a.m.
-  **Relax** because you are covered for repair costs and finding a qualified contractor.



**PipeSafe Plan Benefits**

- Backed by the RWA, your trusted water service provider since 1849
- Convenient payment options
- Respond within 24 hours
- Basic site restoration in area of repair, including reseeding

[pipe-safe.com](http://pipe-safe.com) | 203.562.4020



## GO PAPERLESS

Tired of writing checks and buying stamps? Sign up for our paperless e-Billing, and you'll never have to do these things or sort and file paper bills again. We'll notify you by email when your bill is available to view online. It's simple, secure and – best of all – it's free!

**Enroll at [rwater.com](http://rwater.com) or call 203-562-4020.**



## GET HELP

Call 1-888-282-6816 or visit [rwater.com](http://rwater.com) to see if you qualify for our Residential Water Assistance program that offers relief for families having difficulty paying their water bill.

### Bill Complaints

The RWA is committed to customer service and satisfaction. If you have a question or complaint about your bill, call us at 203-562-4020 and speak to a Customer Care representative. If you are not satisfied, you have 13 days from the date of the mailing of a termination notice to call us and ask that a Company Review Officer examine your dispute. If you disagree with the Review Officer's decision, you must request a further investigation by our Office of Consumer Affairs by writing us at 90 Sargent Drive, New Haven, CT 06511-5966.

### Serious Illness

We are committed to providing water service to residential customers during a serious illness. If you or someone presently and normally living in your home is seriously ill, please have your physician call us at 203-562-4020. Your doctor must send us a letter telling us about the nature and length of the illness within a week after they call us. You will be required to make an equitable arrangement to pay your past due bills and to pay on a current basis all future bills during the duration of the illness.

### Claire C. Bennett Watershed Fund

One of the greatest legacies we can leave for future generations is clean, safe drinking water. To do this, we need to protect the water at its source. This is why the RWA created The Claire C. Bennett Watershed Fund, Inc. Its mission is to protect water quality by acquiring watershed land and promoting environmental education. These activities benefit customers by protecting the quality of their drinking water. You can support the Fund by selecting a contribution amount and adding it to your water bill payment. All contributions are tax deductible.

## Pay Your RWA Bill in Person

<b>Branford:</b> Walmart, 120 Commercial Parkway*	<b>Naugatuck:</b> Walmart, 1100 New Haven Road*	Walmart, 315 Foxon Boulevard*
<b>East Haven:</b> Alex Grocery, 418 Main Street	<b>New Haven:</b> C-Town Supermarket, 325 Ferry Street	<b>Wallingford:</b> Walmart, 844 North Colony Road*
<b>Guilford:</b> Walmart, 900 Boston Post Road	C-Town Supermarket, 482 Greenwich Avenue	<b>Waterbury:</b> Walmart, 910 Wolcott Street*
<b>Hamden:</b> Connecticut State Check Cashing, 960 Dixwell Avenue	Connecticut State Check Cashing, 426 Whalley Avenue	<b>West Haven:</b> C&A Market, 1088 Boston Post Road
Walmart, 2300 Dixwell Avenue*	Connecticut State Check Cashing, 630 Ella Grasso Boulevard	Grillo's Market, 137 Campbell Avenue
<b>Milford:</b> Walmart, 1365 Boston Post Road*	M&M Pawn Shop & Check Cashing, 32 Howe Street	M&M Pawn Shop & Check Cashing, 39 Elm Street
	M&M Pawn Shop & Check Cashing, 191 Whalley Avenue	Walmart, 515 Saw Mill Road*
	Visels Pharmacy, 714 Dixwell Avenue	

\* Cash or pin debit only, no checks or credit cards.



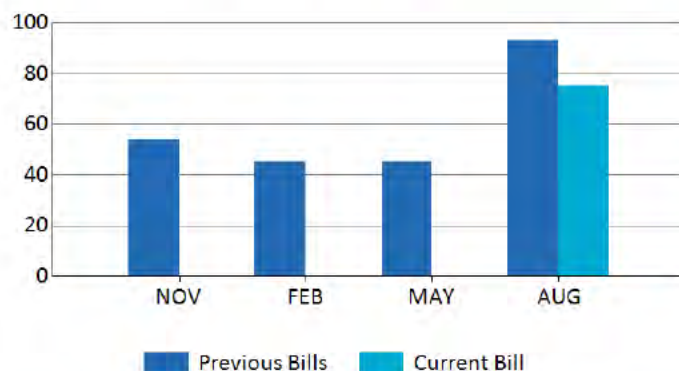
## Bill Summary

Billing Date	08/17/2021
Service Period	05/12/2021 to 08/10/2021
<b>PREVIOUS BALANCE</b>	<b>\$ 296.39</b>
<b>PAYMENTS</b>	
Payments Received	296.39
<b>Balance Forward</b>	<b>\$ 0.00</b>
<b>CURRENT CHARGES</b>	
5/8 INCH METER # [REDACTED]	
Usage Charge	330.45
Current Meter Reading: 1618 Estimate	
75 CCF x \$4.4060	330.45
Service Charge	61.14
DPH Safe Drinking Water Fee	0.30
<b>Total Charge</b>	<b>\$ 391.89</b>
<b>Total Water Charges</b>	<b>\$ 391.89</b>
PipeSafe Charges	
PipeSafe Sewer/Septic Quarterly Charge	15.00
PipeSafe Water Quarterly Charge	19.95
PipeSafe Service Charge	1.50
<b>Total PipeSafe Charges</b>	<b>\$ 36.45</b>
<b>Total Current Charges</b>	<b>\$ 428.34</b>
<b>TOTAL AMOUNT DUE</b>	<b>\$ 428.34</b>

Balances over 30 days old are subject to an interest charge of 1.5 % per month. To avoid interest on the current charges, payments must be received by 09/16/2021. Please allow time for mailing and processing.

## Usage Comparison By Billing Month

CCF



Each 100 cubic feet (CCF) equals 748 gallons of water

## Important Messages

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ONLINE: RWATER.COM



MAIL: PO BOX 981102, BOSTON MA 02298-1102



PHONE: 203-562-4020



RETAIL LOCATIONS:

See back



Contribution

☐ \$10

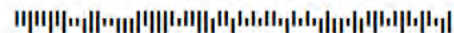
☐ \$5

☐ \$1

☐ Other: \_\_\_\_\_

00000428344

MICHAEL [REDACTED]  
9 [REDACTED]  
ANSONIA CT 06401-2602



REGIONAL WATER AUTHORITY  
PO BOX 981102  
BOSTON MA 02298-1102



## PipeSafe<sup>SM</sup>

EMERGENCY PROTECTION



Water Line Protection



Sewer/Septic Line Protection



NEW! Interior Plumbing Protection

## PROTECT YOUR PIPES AND KEEP LIFE FLOWING!

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#### East Haven:

Alex Grocery, 418 Main Street

#### Guilford:

Walmart, 900 Boston Post Road

#### Hamden:

Connecticut State Check Cashing, 960 Dixwell Avenue

Walmart, 2300 Dixwell Avenue\*

#### Milford:

Walmart, 1365 Boston Post Road\*

#### Naugatuck:

Walmart, 1100 New Haven Road\*

#### New Haven:

C-Town Supermarket, 325 Ferry Street

C-Town Supermarket, 482 Greenwich Avenue

Connecticut State Check Cashing, 426 Whalley Avenue

Connecticut State Check Cashing, 630 Ella Grasso Boulevard

M&M Pawn Shop & Check Cashing, 32 Howe Street

M&M Pawn Shop & Check Cashing, 191 Whalley Avenue

Visels Pharmacy, 714 Dixwell Avenue

Walmart, 315 Foxon Boulevard\*

#### Wallingford:

Walmart, 844 North Colony Road\*

#### Waterbury:

Walmart, 910 Wolcott Street\*

#### West Haven:

C&A Market, 1088 Boston Post Road

Grillo's Market, 137 Campbell Avenue

M&M Pawn Shop & Check Cashing, 39 Elm Street

Walmart, 515 Saw Mill Road\*

\* Cash or pin debit only, no checks or credit cards.



## Bill Summary

Billing Date		09/01/2021
<b>PREVIOUS BALANCE</b>	\$	<b>148.68</b>
<b>PAYMENTS</b>		
Payments Received		148.68
<b>Balance Forward</b>	\$	<b>0.00</b>
<b>CURRENT CHARGES</b>		
PipeSafe Charges		
PipeSafe Water Annual Charge		79.80
PipeSafe Sewer/Septic Annual Charge		60.00
<b>Total PipeSafe Charges</b>	\$	<b>139.80</b>
Fees and Adjustments		
Sales Tax		8.88
<b>Total Fees &amp; Adjustments</b>	\$	<b>8.88</b>
<b>Total Current Charges</b>	\$	<b>148.68</b>
<b>TOTAL AMOUNT DUE</b>	\$	<b>148.68</b>

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ONLINE: [Rwater.com](http://Rwater.com)



MAIL: PO BOX 981102, BOSTON MA 02298-1102



PHONE: 203-562-4020



RETAIL LOCATIONS:



Contribution

☐ \$10

☐ \$5

☐ \$1

☐ Other: \_\_\_\_\_

[REDACTED] 00000148682

ROBERT [REDACTED]  
50 [REDACTED]  
WOODBIDGE CT 06525-1255



REGIONAL WATER AUTHORITY  
PO BOX 981102  
BOSTON MA 02298-1102





**PipeSafe**  
EMERGENCY PROTECTION

-  Water Line Protection
-  Sewer/Septic Line Protection
-  NEW! Interior Plumbing Protection

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[pipe-safe.com](http://pipe-safe.com) | 203.562.4020



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<b>Hamden:</b> Connecticut State Check Cashing, 960 Dixwell Avenue	Connecticut State Check Cashing, 426 Whalley Avenue	<b>West Haven:</b> C&A Market, 1088 Boston Post Road
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### Bill Summary

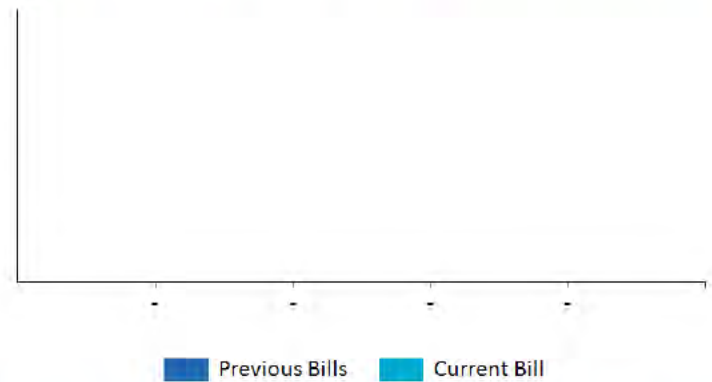
Billing Date	09/01/2021
Service Period	06/13/2021 to 06/13/2021
<b>PREVIOUS BALANCE</b>	<b>\$ 520.03</b>
<b>PAYMENTS</b>	
<b>Balance Forward</b>	<b>\$ 520.03</b>
<b>CURRENT CHARGES</b>	
5/8 INCH METER #	
Usage Charge	0.00
Current Meter Reading: 80230 Estimate	
0 CCF x \$4.4060	0.00
Service Charge	0.67
DPH Safe Drinking Water Fee	0.01
<b>Total Water Charges</b>	<b>\$ 0.68</b>
<b>Total Current Charges</b>	<b>\$ 0.68</b>
<b>TOTAL AMOUNT DUE</b>	<b>\$ 520.71</b>

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CCF



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ONLINE: RWATER.COM



MAIL: PO BOX 981102, BOSTON MA 02298-1102



PHONE: 203-562-4020



RETAIL LOCATIONS:

See back

### FINAL BILL



Contribution

- ☐ \$10  
☐ \$5  
☐ \$1  
☐ Other: \_\_\_\_\_

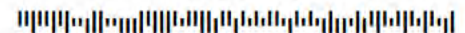
AMOUNT DUE

**\$ 520.71**

AMOUNT PAID

00000520715

PIZZA  
WHITNEY AVE  
NEW HAVEN CT 06510-1217



REGIONAL WATER AUTHORITY  
PO BOX 981102  
BOSTON MA 02298-1102






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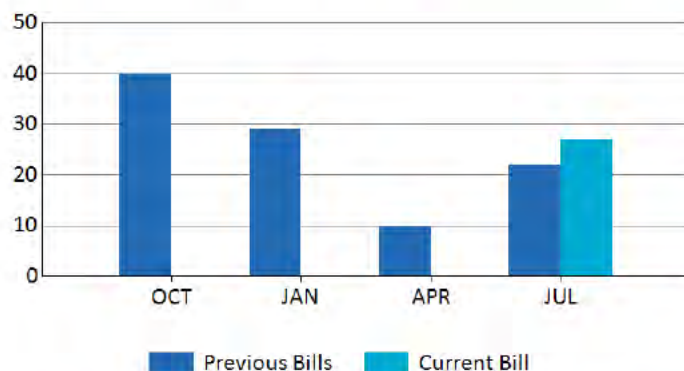
## Bill Summary

Billing Date	08/23/2021
Service Period	04/23/2021 to 07/22/2021
<b>PREVIOUS BALANCE</b>	<b>\$ 135.02</b>
<b>PAYMENTS</b>	
Payments Received	135.02
<b>Balance Forward</b>	<b>\$ 0.00</b>
<b>CURRENT CHARGES</b>	
1 INCH METER # [REDACTED]	
Usage Charge	108.51
Current Meter Reading: 36414	
27 CCF x \$4.0190	108.51
Service Charge	94.29
DPH Safe Drinking Water Fee	0.41
<b>Total Water Charges</b>	<b>\$ 203.21</b>
<b>Total Current Charges</b>	<b>\$ 203.21</b>
<b>TOTAL AMOUNT DUE</b>	<b>\$ 203.21</b>

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Contribution

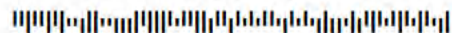
☐ \$10

☐ \$5

☐ \$1

☐ Other: \_\_\_\_\_

[REDACTED] 00000203210







## PipeSafe<sup>SM</sup>

EMERGENCY PROTECTION



Water Line Protection



Sewer/Septic Line Protection



NEW! Interior Plumbing Protection

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## Bill Summary

Billing Date	08/26/2021
Fire Service Period	01/01/2021 to 06/30/2021
<b>PREVIOUS BALANCE</b>	<b>\$ 353.81</b>
<b>PAYMENTS</b>	
<b>Balance Forward</b>	<b>\$ 353.81</b>
<b>CURRENT CHARGES</b>	
Private Fire Service Charge	
1 x 6" Diameter Connection	353.81
<b>Total Fire Charges</b>	<b>\$ 353.81</b>
<b>Total Current Charges</b>	<b>\$ 353.81</b>
<b>TOTAL AMOUNT DUE</b>	<b>\$ 707.62</b>

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RETAIL LOCATIONS:



Contribution

☐ \$10

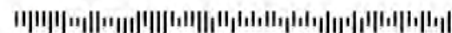
☐ \$5

☐ \$1

☐ Other: \_\_\_\_\_

[REDACTED] 000000707621

CITY OF  
165 [REDACTED]



REGIONAL WATER AUTHORITY  
PO BOX 981102  
BOSTON MA 02298-1102



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Sewer/Septic Line Protection



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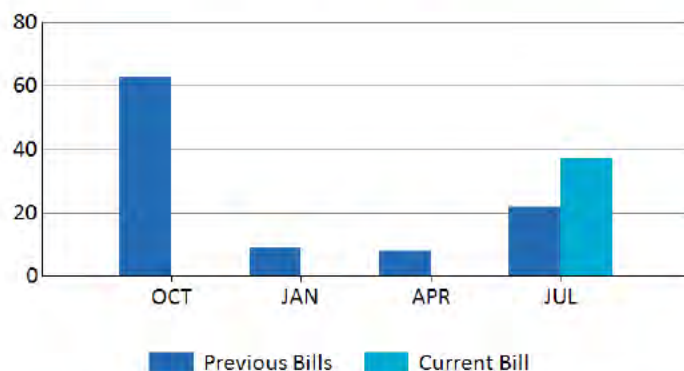
## Bill Summary

Billing Date	07/21/2021
Service Period	04/16/2021 to 07/15/2021
<b>PREVIOUS BALANCE</b>	<b>\$ 96.93</b>
<b>PAYMENTS</b>	
Payments Received	100.00
<b>Balance Forward</b>	<b>\$ (3.07)</b>
<b>CURRENT CHARGES</b>	
5/8 INCH METER # [REDACTED]	
Usage Charge	163.02
Current Meter Reading: 26569	
37 CCF x \$4.4060	163.02
Service Charge	61.14
DPH Safe Drinking Water Fee	0.46
<b>Total Water Charges</b>	<b>\$ 224.62</b>
PipeSafe Charges	
PipeSafe Water Annual Charge	79.80
PipeSafe Sewer/Septic Annual Charge	60.00
<b>Total PipeSafe Charges</b>	<b>\$ 139.80</b>
<b>Total Current Charges</b>	<b>\$ 364.42</b>
<b>TOTAL AMOUNT DUE</b>	<b>\$ 361.35</b>

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CCF




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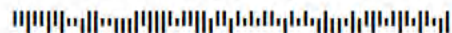
☐ \$5

☐ \$1

☐ Other: \_\_\_\_\_

[REDACTED] 0000361352

WILLIAM [REDACTED]  
CHESHIRE CT 06410-2606



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PO BOX 981102  
BOSTON MA 02298-1102



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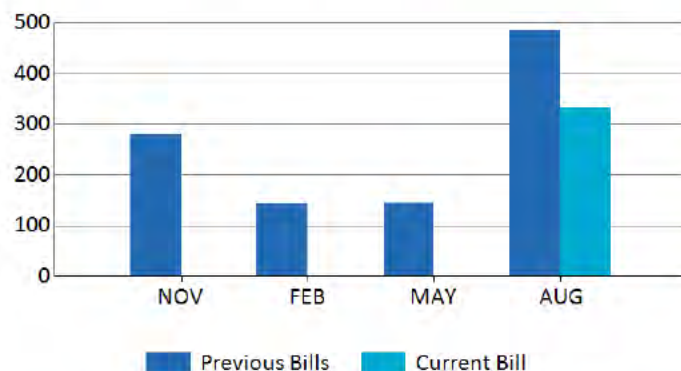
## Bill Summary

Billing Date	08/19/2021
Service Period	05/13/2021 to 08/12/2021
<b>PREVIOUS BALANCE</b>	<b>\$ 801.87</b>
<b>PAYMENTS</b>	
Payments Received	801.87
<b>Balance Forward</b>	<b>\$ 0.00</b>
<b>CURRENT CHARGES</b>	
1 1/2 INCH METER #	
Usage Charge	1,338.33
Current Meter Reading: 277000	
333 CCF x \$4.0190	1,338.33
Service Charge	142.80
DPH Safe Drinking Water Fee	0.29
<b>Total Water Charges</b>	<b>\$ 1,481.42</b>
PipeSafe Charges	
PipeSafe Sewer/Septic Annual Charge	60.00
<b>Total PipeSafe Charges</b>	<b>\$ 60.00</b>
Fees and Adjustments	
Back Flow Device Testing	55.00
<b>Total Fees &amp; Adjustments</b>	<b>\$ 55.00</b>
<b>Total Current Charges</b>	<b>\$ 1,596.42</b>
<b>TOTAL AMOUNT DUE</b>	<b>\$ 1,596.42</b>

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## Usage Comparison By Billing Month

CCF



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ONLINE: RWATER.COM



MAIL: PO BOX 981102, BOSTON MA 02298-1102



PHONE: 203-562-4020



RETAIL LOCATIONS:

See back



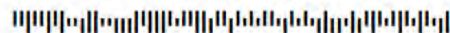
Contribution

☐ \$10

☐ \$5

☐ \$1

☐ Other: \_\_\_\_\_








## PipeSafe<sup>SM</sup>

EMERGENCY PROTECTION

-  Water Line Protection
-  Sewer/Septic Line Protection
-  NEW! Interior Plumbing Protection

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[pipe-safe.com](http://pipe-safe.com) | 203.562.4020



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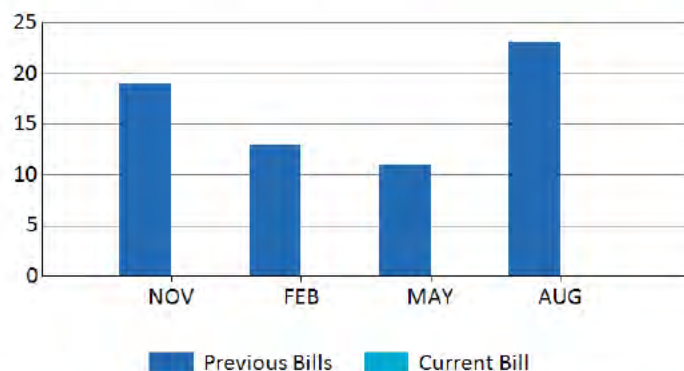
Billing Date	08/26/2021
Service Period	05/21/2021 to 08/20/2021
<b>PREVIOUS BALANCE</b>	<b>\$ 171.59</b>
<b>PAYMENTS</b>	
<b>Balance Forward</b>	<b>\$ 171.59</b>
<b>CURRENT CHARGES</b>	
5/8 INCH METER # [REDACTED]	
Usage Charge	0.00
Current Meter Reading: 16334	
0 CCF x \$4.4060	0.00
Service Charge	61.14
DPH Safe Drinking Water Fee	0.25
<b>Total Water Charges</b>	<b>\$ 61.39</b>
PipeSafe Charges	
PipeSafe Water Quarterly Charge	19.95
PipeSafe Service Charge	1.50
<b>Total PipeSafe Charges</b>	<b>\$ 21.45</b>
<b>Total Current Charges</b>	<b>\$ 82.84</b>
<b>TOTAL AMOUNT DUE</b>	<b>\$ 254.43</b>

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URGENT: THE BALANCE FORWARD MAY BE SUBJECT TO IMMEDIATE COLLECTION ACTION

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CCF




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 **ONLINE:** RWATER.COM



**MAIL:** PO BOX 981102, BOSTON MA 02298-1102



**PHONE:** 203-562-4020



**RETAIL LOCATIONS:**

[See back](#)



Contribution

☐ \$10

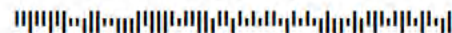
☐ \$5

☐ \$1

☐ Other: \_\_\_\_\_

[REDACTED] 000254432

H [REDACTED]  
[REDACTED]  
WEST HAVEN CT 06516-7247



REGIONAL WATER AUTHORITY  
PO BOX 981102  
BOSTON MA 02298-1102





**Water Line Protection**

**Sewer/Septic Line Protection**

**NEW! Interior Plumbing Protection**

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## Bill Summary

Billing Date	08/31/2021
Service Period	05/21/2021 to 08/20/2021
<b>PREVIOUS BALANCE</b>	<b>\$ 353.81</b>
<b>PAYMENTS</b>	
Payments Received	353.81
<b>Balance Forward</b>	<b>\$ 0.00</b>
<b>CURRENT CHARGES</b>	
5/8 INCH METER # [REDACTED]	
Usage Charge	0.00
Current Meter Reading: 999998	
0 CCF x \$4.4060	0.00
Service Charge	61.14
DPH Safe Drinking Water Fee	0.25
<b>Total Charge</b>	<b>\$ 61.39</b>
2 INCH METER # [REDACTED]	
Usage Charge	2,523.93
Current Meter Reading: 76450	
628 CCF x \$4.0190	2,523.93
Service Charge	216.78
DPH Safe Drinking Water Fee	0.25
<b>Total Charge</b>	<b>\$ 2,740.96</b>
DPH Safe Drinking Water Fee	0.50
Usage Charge	2,523.93
Service Charge	277.92
<b>Total Water Charges</b>	<b>\$ 2,802.35</b>
<b>Total Current Charges</b>	<b>\$ 2,802.35</b>
<b>TOTAL AMOUNT DUE</b>	<b>\$ 2,802.35</b>

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MAIL: PO BOX 981102, BOSTON MA 02298-1102



PHONE: 203-562-4020



RETAIL LOCATIONS:



Contribution

☐ \$10

☐ \$5

☐ \$1

☐ Other: \_\_\_\_\_



## PipeSafe<sup>SM</sup>

EMERGENCY PROTECTION



Water Line Protection



Sewer/Septic Line Protection



NEW! Interior Plumbing Protection

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CHEMICAL  
WEST HAVEN CT 06516  
Account Number [REDACTED]  
Meter Number MULTI METER

AMOUNT DUE

**\$ 1,273.49**

Payable Upon Receipt

## Bill Summary

Billing Date	08/31/2021
Service Period	05/21/2021 to 08/20/2021
<b>PREVIOUS BALANCE</b>	<b>\$ 1,203.73</b>
<b>PAYMENTS</b>	
Payments Received	1,133.81
<b>Balance Forward</b>	<b>\$ 69.92</b>
<b>CURRENT CHARGES</b>	
1 1/2 INCH METER # [REDACTED]	
Usage Charge	1,069.05
Current Meter Reading: 17173	
266 CCF x \$4.0190	1,069.05
Service Charge	142.80
DPH Safe Drinking Water Fee	0.25
<b>Total Charge</b>	<b>\$ 1,212.10</b>
5/8 INCH METER # [REDACTED]	
Usage Charge	0.00
Current Meter Reading: 0	
0 CCF x \$4.4060	0.00
Service Charge	61.14
DPH Safe Drinking Water Fee	0.25
<b>Total Charge</b>	<b>\$ 61.39</b>
DPH Safe Drinking Water Fee	0.50
Usage Charge	1,069.05
Service Charge	203.94
<b>Total Water Charges</b>	<b>\$ 1,273.49</b>
<b>Fees and Adjustments</b>	
Interest Charge	(69.92)
Payment On Account	(69.92)
Payment On Account	69.92
<b>Total Fees &amp; Adjustments</b>	<b>\$ (69.92)</b>

Continued on Page 3

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RETAIL LOCATIONS:

See back

AMOUNT DUE

**\$ 1,273.49**

AMOUNT PAID



Contribution

☐ \$10

☐ \$5

☐ \$1

☐ Other: \_\_\_\_\_

[REDACTED] 0001273491

CHEMICAL  
WEST HAVEN CT 06516-6234



REGIONAL WATER AUTHORITY  
PO BOX 981102  
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Bill Summary

Total Current Charges	\$	1,203.57
TOTAL AMOUNT DUE	\$	1,273.49

Balances over 30 days old are subject to an interest charge of 1.5 % per month. To avoid interest on the current charges, payments must be received by 09/30/2021. Please allow time for mailing and processing.



## Bill Summary

Billing Date	08/31/2021
Service Period	05/21/2021 to 08/20/2021
<b>PREVIOUS BALANCE</b>	<b>\$ 353.81</b>
<b>PAYMENTS</b>	
Payments Received	353.81
<b>Balance Forward</b>	<b>\$ 0.00</b>
<b>CURRENT CHARGES</b>	
1 1/2 INCH METER # [REDACTED]	
Usage Charge	1,069.05
Current Meter Reading: 31061 Estimate	
266 CCF x \$4.0190	1,069.05
Service Charge	142.80
DPH Safe Drinking Water Fee	0.25
<b>Total Charge</b>	<b>\$ 1,212.10</b>
5/8 INCH METER # [REDACTED]	
Usage Charge	0.00
Current Meter Reading: 20	
0 CCF x \$4.4060	0.00
Service Charge	61.14
DPH Safe Drinking Water Fee	0.25
<b>Total Charge</b>	<b>\$ 61.39</b>
DPH Safe Drinking Water Fee	0.50
Usage Charge	1,069.05
Service Charge	203.94
<b>Total Water Charges</b>	<b>\$ 1,273.49</b>
<b>Total Current Charges</b>	<b>\$ 1,273.49</b>
<b>TOTAL AMOUNT DUE</b>	<b>\$ 1,273.49</b>

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## Usage Comparison Chart



This account has multiple meters. To view usage comparison charts, visit [rwater.com](http://rwater.com)

## Important Messages

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ONLINE: [Rwater.com](http://Rwater.com)



MAIL: PO BOX 981102, BOSTON MA 02298-1102



PHONE: 203-562-4020



RETAIL LOCATIONS:

See back



Contribution

☐ \$10

☐ \$5

☐ \$1

☐ Other: \_\_\_\_\_

[REDACTED] 0001273491

MALLARD [REDACTED]  
C/O [REDACTED]  
140 [REDACTED]  
WEST HAVEN CT 06516-5951



REGIONAL WATER AUTHORITY  
PO BOX 981102  
BOSTON MA 02298-1102





**PipeSafe**  
EMERGENCY PROTECTION

-  Water Line Protection
-  Sewer/Septic Line Protection
-  NEW! Interior Plumbing Protection

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Walmart, 2300 Dixwell Avenue*	Connecticut State Check Cashing, 630 Ella Grasso Boulevard	Grillo's Market, 137 Campbell Avenue
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	M&M Pawn Shop & Check Cashing, 191 Whalley Avenue	Walmart, 515 Saw Mill Road*
	Visels Pharmacy, 714 Dixwell Avenue	

\* Cash or pin debit only, no checks or credit cards.



### Bill Summary

Billing Date 08/27/2021  
Service Period 07/16/2021 to 08/09/2021

#### PAYMENTS

Balance Forward \$ 0.00

#### CURRENT CHARGES

5/8 INCH METER # 0.00

Usage Charge 0.00

Current Meter Reading: 13241

0 CCF x \$4.4060 0.00

Service Charge 16.80

**Total Water Charges \$ 16.80**

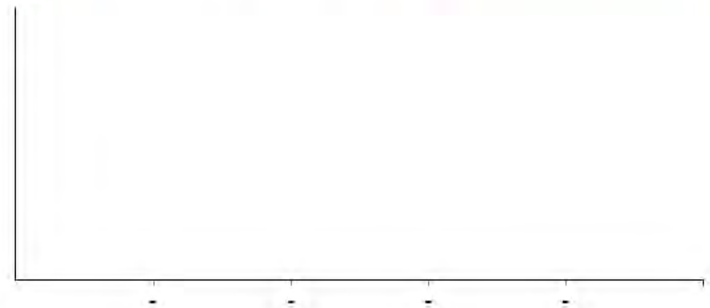
**Total Current Charges \$ 16.80**

**TOTAL AMOUNT DUE \$ 16.80**

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### Usage Comparison By Billing Month

CCF



Previous Bills Current Bill

Each 100 cubic feet (CCF) equals 748 gallons of water

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### FINAL BILL



Contribution

☐ \$10

☐ \$5

☐ \$1

☐ Other: \_\_\_\_\_

AMOUNT DUE

\$ 16.80

AMOUNT PAID

00000016805

LLC  
SOUTHINGTON CT 06489-3102

REGIONAL WATER AUTHORITY  
PO BOX 981102  
BOSTON MA 02298-1102






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### Bill Summary

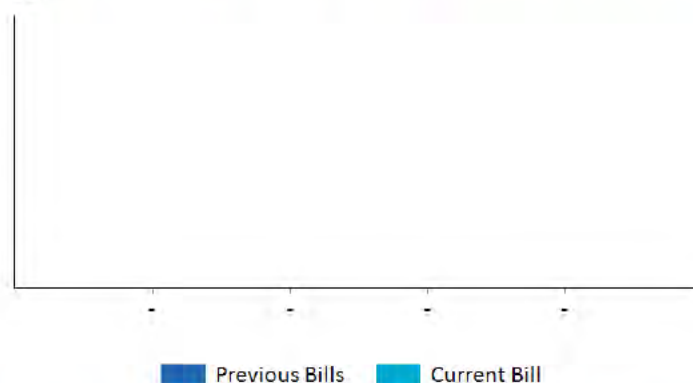
Billing Date	09/01/2021
Service Period	06/13/2021 to 06/13/2021
<b>PREVIOUS BALANCE</b>	<b>\$ 520.03</b>
<b>PAYMENTS</b>	
<b>Balance Forward</b>	<b>\$ 520.03</b>
<b>CURRENT CHARGES</b>	
5/8 INCH METER #	
Usage Charge	0.00
Current Meter Reading: 80230 Estimate	
0 CCF x \$4.4060	0.00
Service Charge	0.67
DPH Safe Drinking Water Fee	0.01
<b>Total Water Charges</b>	<b>\$ 0.68</b>
<b>Total Current Charges</b>	<b>\$ 0.68</b>
<b>TOTAL AMOUNT DUE</b>	<b>\$ 520.71</b>

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URGENT: THE BALANCE FORWARD MAY BE SUBJECT TO IMMEDIATE COLLECTION ACTION

### Usage Comparison By Billing Month

CCF



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### FINAL BILL



Contribution

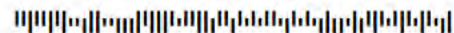
- ☐ \$10  
☐ \$5  
☐ \$1  
☐ Other: \_\_\_\_\_

AMOUNT DUE

**\$ 520.71**

AMOUNT PAID

00000520715








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-  Sewer/Septic Line Protection
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### Bill Summary

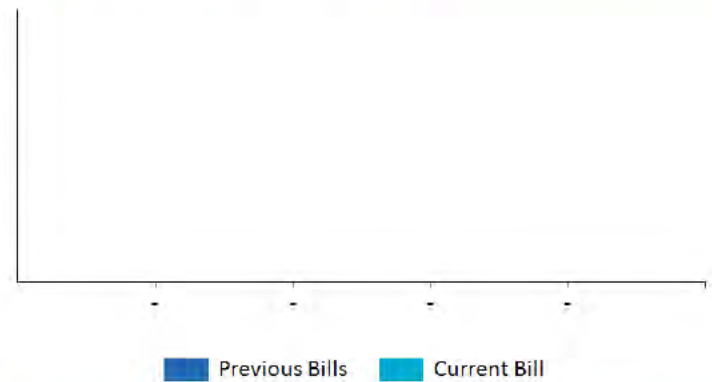
Billing Date	09/01/2021
Service Period	08/21/2021 to 08/30/2021
<b>PREVIOUS BALANCE</b>	<b>\$ 122.82</b>
<b>PAYMENTS</b>	
<b>Balance Forward</b>	<b>\$ 122.82</b>
<b>CURRENT CHARGES</b>	
5/8 INCH METER # [REDACTED]	
Usage Charge	4.41
Current Meter Reading: 50750	
1 CCF x \$4.4060	4.41
Service Charge	6.72
<b>Total Water Charges</b>	<b>\$ 11.13</b>
<b>Total Current Charges</b>	<b>\$ 11.13</b>
<b>TOTAL AMOUNT DUE</b>	<b>\$ 133.95</b>

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CCF



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RETAIL LOCATIONS:

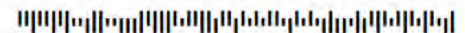
See back

### FINAL BILL



Contribution

- ☐ \$10  
☐ \$5  
☐ \$1  
☐ Other: \_\_\_\_\_





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EMERGENCY PROTECTION



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Sewer/Septic Line Protection



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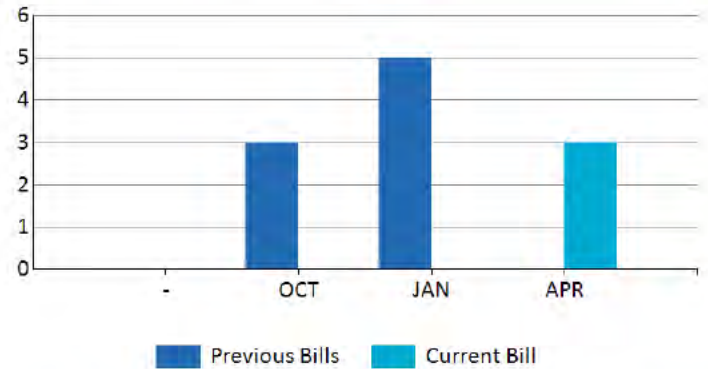
### Bill Summary

Billing Date	05/04/2021
Service Period	01/23/2021 to 04/23/2021
<b>PREVIOUS BALANCE</b>	\$ (39.65)
<b>PAYMENTS</b>	
<b>Balance Forward</b>	\$ (39.65)
<b>CURRENT CHARGES</b>	
5/8 INCH METER # [REDACTED]	
Usage Charge	13.22
Current Meter Reading: 72160	
3 CCF x \$4.4060	13.22
Service Charge	61.14
DPH Safe Drinking Water Fee	0.55
<b>Total Water Charges</b>	\$ 74.91
<b>Total Current Charges</b>	\$ 74.91
<b>TOTAL AMOUNT DUE</b>	\$ 35.26

Balances over 30 days old are subject to an interest charge of 1.5 % per month. To avoid interest on the current charges, payments must be received by 06/03/2021 . Please allow time for mailing and processing.

### Usage Comparison By Billing Month

CCF



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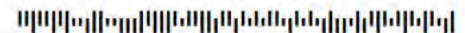
RETAIL LOCATIONS:

See back



Contribution

- ☐ \$10  
☐ \$5  
☐ \$1  
☐ Other: \_\_\_\_\_





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The RWA is committed to customer service and satisfaction. If you have a question or complaint about your bill, call us at 203-562-4020 and speak to a Customer Care representative. If you are not satisfied, you have 13 days from the date of the mailing of a termination notice to call us and ask that a Company Review Officer examine your dispute. If you disagree with the Review Officer's decision, you must request a further investigation by our Office of Consumer Affairs by writing us at 90 Sargent Drive, New Haven, CT 06511-5966.

### Serious Illness

We are committed to providing water service to residential customers during a serious illness. If you or someone presently and normally living in your home is seriously ill, please have your physician call us at 203-562-4020. Your doctor must send us a letter telling us about the nature and length of the illness within a week after they call us. You will be required to make an equitable arrangement to pay your past due bills and to pay on a current basis all future bills during the duration of the illness.

### Claire C. Bennett Watershed Fund

One of the greatest legacies we can leave for future generations is clean, safe drinking water. To do this, we need to protect the water at its source. This is why the RWA created The Claire C. Bennett Watershed Fund, Inc. Its mission is to protect water quality by acquiring watershed land and promoting environmental education. These activities benefit customers by protecting the quality of their drinking water. You can support the Fund by selecting a contribution amount and adding it to your water bill payment. All contributions are tax deductible.

### Pay Your RWA Bill in Person

#### Branford:

Walmart, 120 Commercial Parkway\*

#### East Haven:

Alex Grocery, 418 Main Street

#### Guilford:

Walmart, 900 Boston Post Road

#### Hamden:

Connecticut State Check Cashing, 960 Dixwell Avenue

Walmart, 2300 Dixwell Avenue\*

#### Milford:

Walmart, 1365 Boston Post Road\*

#### Naugatuck:

Walmart, 1100 New Haven Road\*

#### New Haven:

C-Town Supermarket, 325 Ferry Street

C-Town Supermarket, 482 Greenwich Avenue

Connecticut State Check Cashing, 426 Whalley Avenue

Connecticut State Check Cashing, 630 Ella Grasso Boulevard

M&M Pawn Shop & Check Cashing, 32 Howe Street

M&M Pawn Shop & Check Cashing, 191 Whalley Avenue

Visels Pharmacy, 714 Dixwell Avenue

Walmart, 315 Foxon Boulevard\*

#### Wallingford:

Walmart, 844 North Colony Road\*

#### Waterbury:

Walmart, 910 Wolcott Street\*

#### West Haven:

C&A Market, 1088 Boston Post Road

Grillo's Market, 137 Campbell Avenue

M&M Pawn Shop & Check Cashing, 39 Elm Street

Walmart, 515 Saw Mill Road\*

\* Cash or pin debit only, no checks or credit cards.



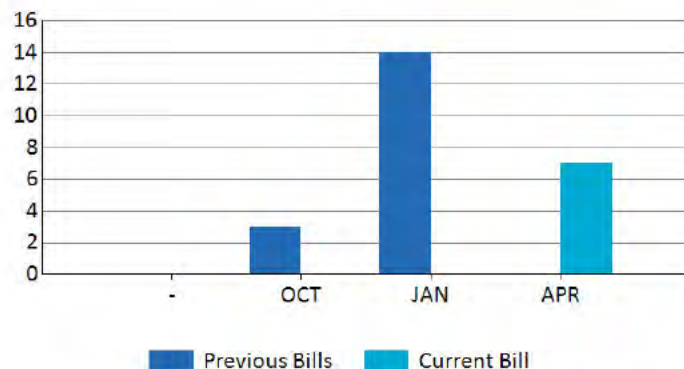
## Bill Summary

Billing Date	04/29/2021
Service Period	01/23/2021 to 04/23/2021
<b>PREVIOUS BALANCE</b>	<b>\$ 123.41</b>
<b>PAYMENTS</b>	
Payments Received	123.41
<b>Balance Forward</b>	<b>\$ 0.00</b>
<b>CURRENT CHARGES</b>	
5/8 INCH METER # [REDACTED]	
Usage Charge	30.84
Current Meter Reading: 73482 Estimate	
7 CCF x \$4.4060	30.84
Service Charge	61.14
DPH Safe Drinking Water Fee	0.55
<b>Total Water Charges</b>	<b>\$ 92.53</b>
<b>Total Current Charges</b>	<b>\$ 92.53</b>
<b>TOTAL AMOUNT DUE</b>	<b>\$ 92.53</b>

Balances over 30 days old are subject to an interest charge of 1.5 % per month. To avoid interest on the current charges, payments must be received by 05/29/2021 . Please allow time for mailing and processing.

## Usage Comparison By Billing Month

CCF



Each 100 cubic feet (CCF) equals 748 gallons of water

## Important Messages

Enrolled in our PipeSafe Emergency Protection programs? If so, you will see these charges in the Bill Summary area. To learn more about PipeSafe, see back of bill.

Keep a close eye on your water usage and save money through our new online portal called Water Watch. Visit rwater.com and click Water Watch under RWA Connect.



MAIL: PO BOX 981102, BOSTON MA 02298-1102



PHONE: 203-562-4020



RETAIL LOCATIONS:



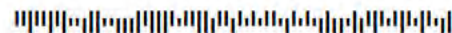
Contribution

☐ \$10

☐ \$5

☐ \$1

☐ Other: \_\_\_\_\_





## PipeSafe<sup>SM</sup>

EMERGENCY PROTECTION



Water Line Protection



Sewer/Septic Line Protection



NEW! Interior Plumbing Protection

## PROTECT YOUR PIPES AND KEEP LIFE FLOWING!

### The PipeSafe Process in 3 Easy Steps



**Enroll** for low-cost protection from water, sewer/septic line and plumbing repairs.



**Call** us 24/7 if something happens to your water, sewer/septic line – even if it's at 3 a.m.



**Relax** because you are covered for repair costs and finding a qualified contractor.



### PipeSafe Plan Benefits

- Backed by the RWA, your trusted water service provider since 1849
- Convenient payment options
- Respond within 24 hours
- Basic site restoration in area of repair, including reseeding

[pipe-safe.com](http://pipe-safe.com) | 203.562.4020



## GO PAPERLESS

Tired of writing checks and buying stamps? Sign up for our paperless e-Billing, and you'll never have to do these things or sort and file paper bills again. We'll notify you by email when your bill is available to view online. It's simple, secure and – best of all – it's free! Enroll at [rwater.com](http://rwater.com) or call 203-562-4020.



## GET HELP

Call 1-888-282-6816 or visit [rwater.com](http://rwater.com) to see if you qualify for our Residential Water Assistance program that offers relief for families having difficulty paying their water bill.

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Alex Grocery, 418 Main Street

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Connecticut State Check Cashing, 960 Dixwell Avenue

Walmart, 2300 Dixwell Avenue\*

#### Milford:

Walmart, 1365 Boston Post Road\*

#### Naugatuck:

Walmart, 1100 New Haven Road\*

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C-Town Supermarket, 325 Ferry Street

C-Town Supermarket, 482 Greenwich Avenue

Connecticut State Check Cashing, 426 Whalley Avenue

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M&M Pawn Shop & Check Cashing, 32 Howe Street

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Walmart, 844 North Colony Road\*

#### Waterbury:

Walmart, 910 Wolcott Street\*

#### West Haven:

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Grillo's Market, 137 Campbell Avenue

M&M Pawn Shop & Check Cashing, 39 Elm Street

Walmart, 515 Saw Mill Road\*

\* Cash or pin debit only, no checks or credit cards.

**SOUTH CENTRAL CONNECTICUT REGIONAL WATER AUTHORITY**  
90 Sargent Drive, New Haven, Connecticut 06511-5966 (203) 562-4020

Property Closing Statement

09/07/2021

Attorney: CUSTOMER SERVICE 018455      Caller: ATTY CHERYL [REDACTED]  
90 SARGENT DR      Phone Number: (203) [REDACTED]  
NEW HAVEN CT 06511-5918      Initials: J A

Seller Account Number: [REDACTED]  
ANA [REDACTED]

Property Sold: [REDACTED] ADMIRAL ST  
WEST HAVEN CT 06516

Buyer Account Number: [REDACTED]  
Buyer Name: JOEL [REDACTED]  
[REDACTED] ADMIRAL ST  
WEST HAVEN CT 06516

Date of Closing: [REDACTED] 2021      Last Read Date: 06/05/2021  
Date Notified: [REDACTED] 2021

Water Charges Due	338.87
Fire Service Charges Due	0.00
Jobbing Charges Due	0.00
Other Charges/Credits	0.00
Products and Service Charges Due	0.00
Amount Due on Account [REDACTED]	338.87

**TOTAL AMOUNT DUE: \$ 338.87**

NOTES:

**IMPORTANT! Help us maintain accurate billing records. Please notify us immediately of a cancellation or postponement.**

The final reading used to calculate the amount due is an estimate unless an actual read is provided at time of closing statement request. Charges or credit adjustments that may result from a subsequent actual read periodic billing will be applied to the buyer account.

September 07, 2021

SANDRA [REDACTED]  
[REDACTED]  
NEW HAVEN CT 06512-4310

Re: 97 [REDACTED] ST  
Acct #: [REDACTED]  
Tenant: New Tenant

Dear Customer:

We recently received a request to place the above referenced account into your tenant's name. At this time, we would like to make you aware of your responsibilities in this transaction.

The South Central Connecticut Regional Water Authority is a political subdivision created by Connecticut Special Act No. 77-98, as amended by Connecticut Special Act No. 78-24. Section 14 of this legislation states, in part, that:

"Such rates or charges, if not paid when due, shall constitute a lien upon the premises served and a charge against the owners thereof, which lien and charge shall bear interest at the same rate as would unpaid taxes. Such lien shall take precedence over all other liens or encumbrances except taxes and may be foreclosed against the lot or building served in the same manner as a lien for taxes ..."

Accordingly, you should recognize that any unpaid water bills constitute a continuing lien against the premises served whether the account is in your name, as the property owner, or bills are mailed to your tenant directly. If your tenant fails to pay outstanding charges, these charges become your responsibility. In addition, interest will be charged at the rate of 1.5% per month on those amounts outstanding thirty (30) days after the billing date, and a new tenant will not be approved for billing in his or her name until any and all past due account balances associated with the premise are paid in full.

It will be to your advantage to monitor your tenant's account closely to be certain that bills are being paid on time. You may wish to continue having the bill mailed directly to you, and collecting the charge along with your rental payments. In this way, you will have an opportunity to be aware of any delinquency situation that may arise. If you would prefer to have bills mailed directly to your tenant, please execute one of the enclosed forms with your tenant and return it to us in the self addressed stamped envelope as soon as possible. The second copy is for your records. Our mailing address is: 90 Sargent Drive, New Haven, CT 06511.

If you have any questions concerning this or other matters, please contact our Customer Service Department at (203) 562-4020. Thank you for your cooperation.

Regional Water Authority  
Customer Service Department  
B F  
enclosure





██████████ LLC  
WEST HAVEN CT 06516-4761

Date: 09/05/2021

Account: ██████████

Premise Address:  
72 ██████████  
WEST HAVEN

Thank you for choosing PipeSafe<sup>SM</sup> Emergency Protection Sewer/Septic Repair to protect your underground sewer/septic line. You have made a wise choice by protecting yourself before a problem arises.

Effective September 12, 2021 the underground sewer/septic line located at 72 ██████████ WEST HAVEN, is protected by PipeSafe Emergency Protection Sewer/Septic Repair. Your account is enrolled in the annual payment plan.

If you have a problem with your underground sewer/septic line, or if you have any questions about your protection plan, please feel free to contact us at 203-562-4020 and ask for PipeSafe. This is your one call number for water and sewer/septic emergencies.

**IMPORTANT:** Please sign the below tear off card and return it to us in the **enclosed POSTAGE PAID** envelope. This will confirm your request for PipeSafe Emergency Protection Sewer/Septic Repair plan.

Sincerely yours,

Regional Water Authority

██████████ LLC  
72 ██████████  
WEST HAVEN CT 06516-4761

Account: ██████████

Premise Address:  
72 ██████████  
WEST HAVEN



JACK [REDACTED]

PATRICIA [REDACTED]

[REDACTED]  
NEW HAVEN CT 06512-3654

Date: 09/05/2021

Account: [REDACTED]

Premise Address:

[REDACTED]  
NEW HAVEN

Thank you for choosing PipeSafe<sup>SM</sup> Emergency Protection Water Repair to protect your underground water line. You have made a wise choice by protecting yourself before a problem arises.

Effective September 12, 2021 the underground water line located at 44 [REDACTED] NEW HAVEN, is protected by PipeSafe Emergency Protection Water Repair. Your account is enrolled in the annual payment plan.

If you have a problem with your underground water line, or if you have any questions about your protection plan, please feel free to contact us at 203-562-4020 and ask for PipeSafe. This is your one call number for water and sewer/septic emergencies.

**IMPORTANT:** Please sign the below tear off card and return it to us in the **enclosed POSTAGE PAID** envelope. This will confirm your request for PipeSafe Emergency Protection Water Repair Plan.

Sincerely yours,

Regional Water Authority

JACK [REDACTED]

PATRICIA [REDACTED]

44 [REDACTED]

[REDACTED]  
NEW HAVEN CT 06512-3654

Account: [REDACTED]

Premise Address:

44 [REDACTED]

[REDACTED]  
NEW HAVEN

**Contribution**

- ☐ \$10  
☐ \$5  
☐ \$1  
☐ Other: \_\_\_\_\_

**AMOUNT DUE****\$36.60****AMOUNT PAID**
 00000036605


WEST  LLC  
 P.O.   
 LAKEWOOD NJ 

**FINAL BILL**


REGIONAL WATER AUTHORITY  
 PO BOX 981102  
 BOSTON MA 02298-1102

**ACCOUNT NUMBER**


PLEASE DETACH THIS PORTION OF THE BILL AND ENCLOSE WITH YOUR PAYMENT

METER NUMBER  
 MULTI METER

**ACCOUNT NUMBER**


SERVICE ADDRESS  
 47-61  U-51

# FINAL BILL SECOND NOTICE

# COPY

NOTICE DATE	<b>09/02/2021</b>
WATER CHARGES	<b>\$36.60</b>
FIRE SERVICE CHARGES	<b>\$0.00</b>
PRODUCTS AND SERVICES	<b>\$0.00</b>
MISCELLANEOUS CHARGES	<b>\$0.00</b>
INTEREST DUE	<b>\$0.00</b>

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<b>AMOUNT DUE</b>	<b>\$36.60</b>
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**YOUR IMMEDIATE PAYMENT IS REQUIRED.**

We would like to close your account. If you have already mailed your payment, please accept our thanks and disregard this notice. If there is a problem that we are unaware of, please contact us at (203) 562-4020. Our representatives are available from 8:00 A.M. – 5:00 P.M. Monday – Friday, and will be happy to assist you. For your convenience, we will accept your MasterCard or Visa payment by phone or in our office so that you may avoid collection action.

LAST PAYMENT	<b>\$109.48</b>
RECEIVED ON	<b>06/08/2021</b>

**Bills may be paid at these locations**

Branford - Walmart - 120 Commercial Pkwy  
 East Haven - Alex Grocery - 418 Main St  
 Guilford - Walmart - 900 Boston Post Rd  
 Hamden - CT State Check Cashing - 960 Dixwell Ave  
 Hamden - Walmart - 2300 Dixwell Ave  
 Milford - Walmart - 1365 Boston Post Rd  
 Naugatuck - Walmart - 1100 New Haven Rd  
 New Haven - CT State Check Cashing - 630 Ella Grasso Blvd  
 New Haven - CT State Check Cashing - 426 Whalley Ave  
 New Haven - C-Town Supermarket - 325 Ferry St  
 New Haven - C-Town Supermarket - 482 Greenwich Ave

New Haven - M&M Pawn Shop - 32 Howe St  
 New Haven - M&M Pawn Shop - 191 Whalley Ave  
 New Haven - Visel's Pharmacy - 714 Dixwell Ave  
 New Haven - Walmart - 315 Foxon Blvd  
 Wallingford - Walmart - 844 N Colony Rd  
 Waterbury - Walmart - 910 Wolcott St  
 West Haven - C&A Market - 1088 Boston Post Rd  
 West Haven - Grillo's Market - 137 Campbell Ave  
 West Haven - M&M Pawn Shop - 39 Elm St  
 West Haven - Walmart - 515 Saw Mill Rd

**IMPORTANT BILLING INFORMATION ON THE REVERSE SIDE**

REGIONAL WATER AUTHORITY - CUSTOMER SERVICE - 90 SARGENT DRIVE, NEW HAVEN, CT 06511-5966 TELEPHONE 203-562-4020

AMOUNT DUE

**\$100.00**

AMOUNT PAID

000000100009



WILLIAMS

EAST HAVEN CT 06513-1622

REGIONAL WATER AUTHORITY

PO BOX 981102

BOSTON MA 02298-1102



PLEASE DETACH THIS PORTION OF THE BILL AND ENCLOSE WITH YOUR PAYMENT

METER NUMBER  
MULTI METER

ACCOUNT NUMBER

SERVICE ADDRESS  
QUINNIPIAC AVE**60 DAY REMINDER NOTICE**

NOTICE DATE	09/02/2021
WATER CHARGES	\$100.00
FIRE SERVICE CHARGES	\$0.00
PRODUCTS AND SERVICES	\$0.00
MISCELLANEOUS CHARGES	\$0.00
INTEREST DUE	\$0.00
<b>AMOUNT DUE</b>	<b>\$100.00</b>

We understand that the COVID-19 pandemic is taking a financial toll on some of our customers. In addition to halting shut offs for nonpayment that were previously announced, we are offering flexible payment plans, up to 12 months with no interest or late fees on unpaid charges incurred during this period. Moreover, our Residential Water Assistance program provides assistance to customers with grants up to \$175 available to those living at or below 250% of the 2020 Federal Poverty Income Guidelines. We encourage customers who are financially impacted by the pandemic to contact us at 203-562-4020 before their account becomes past due.

Our customer service representatives are available to work with you, Monday through Friday, 8 a.m. to 5 p.m. You can also get more help with paying your water bill by visiting us at [rwater.com](http://rwater.com).

LAST PAYMENT	\$100.00
RECEIVED ON	09/01/2021

**Bills may be paid at these locations**

Branford - Walmart - 120 Commercial Pkwy  
 East Haven - Alex Grocery - 418 Main St  
 Guilford - Walmart - 900 Boston Post Rd  
 Hamden - CT State Check Cashing - 960 Dixwell Ave  
 Hamden - Walmart - 2300 Dixwell Ave  
 Milford - Walmart - 1365 Boston Post Rd  
 Naugatuck - Walmart - 1100 New Haven Rd  
 New Haven - CT State Check Cashing - 630 Ella Grasso Blvd  
 New Haven - CT State Check Cashing - 426 Whalley Ave  
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 West Haven - Walmart - 515 Saw Mill Rd

**IMPORTANT BILLING INFORMATION ON THE REVERSE SIDE**

REGIONAL WATER AUTHORITY - CUSTOMER SERVICE - 90 SARGENT DRIVE, NEW HAVEN, CT 06511-5966 TELEPHONE 203-562-4020

**Contribution**

- ☐ \$10  
☐ \$5  
☐ \$1  
☐ Other: \_\_\_\_\_

**AMOUNT DUE****\$397.92****AMOUNT PAID**

[REDACTED] 00000397920



WILFREDO [REDACTED]

262 [REDACTED]

DERBY CT 06418-1516

**DELINQUENCY NOTICE**

REGIONAL WATER AUTHORITY

PO BOX 981102

BOSTON MA 02298-1102



PLEASE DETACH THIS PORTION OF THE BILL AND ENCLOSE WITH YOUR PAYMENT

METER NUMBER

ACCOUNT NUMBER

SERVICE ADDRESS

262 [REDACTED]

**NOTICE OF DELINQUENCY**

NOTICE DATE	09/02/2021
WATER CHARGES	\$397.92
FIRE SERVICE CHARGES	\$0.00
PRODUCTS AND SERVICES	\$0.00
MISCELLANEOUS CHARGES	\$0.00
INTEREST DUE	\$0.00
<hr/>	
<b>AMOUNT DUE</b>	<b>\$397.92</b>
<hr/>	

**YOUR IMMEDIATE PAYMENT IS REQUIRED.**

Please send your payment now. If we do not hear from you by 09/17/2021 we will begin collection action. You will be responsible for all costs of collection. This may include filing a lien on the land records and having our attorneys begin the process of petitioning the court for a Receiver of Rents to collect all common charges and/or rental fees from your tenants. Our representatives are available from 8:00 A.M. – 5:00 P.M. Monday-Friday. For your convenience, we will accept your MasterCard or Visa payment by phone or in our office so that you may avoid collection action.

**Any invoices not paid when due will constitute a lien against the premises.**

LAST PAYMENT	\$200.00
RECEIVED ON	08/30/2021

**Bills may be paid at these locations**

Branford - Walmart - 120 Commercial Pkwy  
East Haven - Alex Grocery - 418 Main St  
Guilford - Walmart - 900 Boston Post Rd  
Hamden - CT State Check Cashing - 960 Dixwell Ave  
Hamden - Walmart - 2300 Dixwell Ave  
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REGIONAL WATER AUTHORITY - CUSTOMER SERVICE - 90 SARGENT DRIVE, NEW HAVEN, CT 06511-5966 TELEPHONE 203-562-4020

**Contribution**

- ☐ \$10  
☐ \$5  
☐ \$1  
☐ Other: \_\_\_\_\_

**AMOUNT DUE****\$79.80****AMOUNT PAID**

[REDACTED] 0000079809



PETER [REDACTED]  
CYNTHIA [REDACTED]  
58 [REDACTED]  
BRISTOL CT 06010-3805

**REMINDER NOTICE**

REGIONAL WATER AUTHORITY

PO BOX 981102

BOSTON MA 02298-1102



PLEASE DETACH THIS PORTION OF THE BILL AND ENCLOSE WITH YOUR PAYMENT

METER NUMBER

ACCOUNT NUMBER

SERVICE ADDRESS  
[REDACTED] LINCOLN AVE**30 DAY REMINDER NOTICE**

NOTICE DATE	09/02/2021
WATER CHARGES	\$0.00
FIRE SERVICE CHARGES	\$0.00
PRODUCTS AND SERVICES	\$79.80
MISCELLANEOUS CHARGES	\$0.00
INTEREST DUE	\$0.00
<hr/>	
<b>AMOUNT DUE</b>	<b>\$79.80</b>
<hr/>	

**YOUR IMMEDIATE PAYMENT IS REQUIRED.**

IF YOUR PAYMENT HAS BEEN MAILED, PLEASE ACCEPT  
OUR THANKS AND DISREGARD THIS NOTICE

**Any invoices not paid when due will constitute a lien against the  
premises.**

Your protection plan can be cancelled if you do not pay the fees  
within 60 days of receiving your bill. As your bill is 30 days past  
due, we reserve the right to cancel your plan if these charges are  
not paid by 10/02/2021.

LAST PAYMENT	\$79.80
RECEIVED ON	09/10/2020

**Bills may be paid at these locations**

Branford - Walmart - 120 Commercial Pkwy  
East Haven - Alex Grocery - 418 Main St  
Guilford - Walmart - 900 Boston Post Rd  
Hamden - CT State Check Cashing - 960 Dixwell Ave  
Hamden - Walmart - 2300 Dixwell Ave  
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**IMPORTANT BILLING INFORMATION ON THE REVERSE SIDE**

REGIONAL WATER AUTHORITY - CUSTOMER SERVICE - 90 SARGENT DRIVE, NEW HAVEN, CT 06511-5966 TELEPHONE 203-562-4020



## *Regional Water Authority Laboratory Testing*

<i>Featured Specialized Testing</i>	
<b>Organic Compounds</b>	
<i>Test</i>	<i>Method #</i>
Trihalomethanes	EPA 524.3
Simulated Distribution Systems Trihalomethanes & Haloacetic Acids	
Haloacetic Acid	SM6521 B
Formation of Haloacetic Acids	SM 5710D & SM 6521 B
MIB/Geosmin	STM 6040E
Perfluorinated Compounds	EPA 537 Rev 1.1
Chlorate	EPA 300.1
Volatile Organic Compounds	EPA 524.3
Microcystins and Nodularin (Cyanotoxins)	EPA 544
Microcystins	ELISA
Cylindrospermopsin	ELISA
Cylindrospermopsin and Anatoxin-a (Cyanotoxins)	EPA 545

<i>Standard Testing</i>			
<b>Bacteriological Parameters</b>		<b>Physical Parameters</b>	
<i>Test</i>	<i>Method #</i>	<i>Test</i>	<i>Method #</i>
Total Coliform	SM 18 (9222B)	Apparent Color	SM 2120 B
Fecal Coliform	SM 18 (9222D)	Turbidity	SM 2130 B
Fecal Strep	SM 9230C	Acidified Turbidity	SM 230 B
HPC	SM 18 (9215B)	pH	SM 4500PH-B
Total Coliform P/A	SM 18 (9223)	Odor	Sm 2150 B
T-Plankton	SM 10200 C/E		
E-Coli	SM 9223B		

<b>Organic Parameters</b>	
<i>Test</i>	<i>Method #</i>
Volatile Organic Compounds + MTBE	EPA 524.3
TOC	SM 5310 B
DOC	SM 5310 B
DIC	SM 5310 B
UV - 254	SM 5910 B
Pesticides	EPA 505
Herbicides	EPA 515.3
Semi-volatile Organics	EPA 525.2
Tentatively Identified Compounds for VOC	EPA 524.3
EDB & DBCP	EPA 504.1
Perfluorinated Compounds	EPA 537 Rev 1.1



Inorganic Parameters	
<i>Test</i>	<i>Method #</i>
Metals by Inductive Coupled Plasma	EPA 200.7
Metals by Atomic Absorption	EPA 200.9
Specific Conductance	SM 2501B
Fluoride	SM 4500FC
O-Phosphate as (PO <sub>4</sub> )	EPA 300.0
Total Phosphate as (PO <sub>4</sub> )	SM 4500 PH
Total Solids	SM 2540B
Fixed Solids	SM 2540E
Dissolved Solids	SM 2540C
Suspended Solids	SM 2540D
Solids in Water	SM 2540F
Free Ammonia as (N)	SM 4500NH <sub>3</sub> H
Nitrate as (N)	EPA 300.0
MBAS	SM 5540C
Alkalinity (CaCO <sub>3</sub> )	SM 2330B
TKN	EPA 351.2
Total Hardness (CaCO <sub>3</sub> )	SM 2340 B
Chloride	EPA 300.0
Sulfate	EPA 300.0
Calcium Hardness	SM 2340 B
Bromide	EPA 300.1
Bromate	EPA 300.1
Chlorite	EPA 300.1
Chlorate	EPA 300.1
Perchlorate	EPA 314.0

UCMR4	
Pesticides	EPA 525.3
Semi volatile	EPA 530
Alcohol	EPA 541
Microcystins and Nodularin (Cyanotoxins)	EPA 544
Cylindrospermopsins and Anatoxin-a (Cyanotoxins)	EPA 545
Total Cyanotoxins	EPA 546
Haloacetic Acid	EPA 552.3
Bromide	EPA 300.1
TOC by Combustion	SM 5310B
Germanium & Manganese	EPA 200.8

Currently reflects RWA quarterly billing collection processes.

Account Type

Activities	Water	Water Shut	Final Bill	Jobbing	Seasonal Initial	Seasonal Final	Public Authority	Private Fire	Monthly	Pipesafe	Collective	Installment Plan
"Alternative Collection" letters	74 day is = or > than \$100											
2nd Jobbing Letter				61d - \$5								
30 Day Reminder Notice	31d - \$5	31d - \$5			31d - \$5	31d - \$5	31d - \$100	31d - \$100		31d - \$25, 121d - \$25	31d - \$100	
60 Day Reminder Notice	61d - \$5									61d - \$25		
Aging Report							91d - \$100	76d - \$100			71d - \$100	
Call List		46d - \$100	46d - \$5					76d - \$100	46d - \$100	126d - \$25	71d - \$100	
Call List (Flag only)	46d - \$100			91d - \$5								
Call List (UAC)	46d - \$100					366d - \$10	76d - \$100					
COL 129 Letter to Landlord & Tenant			31d - \$5									
COL 129A Letter to Landlord			31d - \$5									
COL133 Lien Letter	91d - \$100	91d - \$100	31d - \$5		366d - \$10				91d - \$100			
COL143 Receivership Letter									76d - \$100			
COL143A Receivership Letter												
COL153 Letter Landlord	67d - \$100											
COL158 Letter				46d - \$5								
COL159 Letter				76d - \$5								
Deactivate Installment Plan												
Disconnect Document	74d or 91d - \$100				76d - \$100				76d - \$100			5d - \$.01
Disconnect Notice	61d - \$100				61d - \$100		61d - \$100	61d - \$100	61d - \$100		61d - \$100	
Empty Activity Message on Bill										91d - \$25		
Financial Write Off			61d - \$10	101d - \$10		381d - \$0						
Jobbing Notice				31d - \$5								
Notice of Cancellation										131d - \$25		
Notice of Delinquency							61d - \$100		61d - \$100		61d - \$100	
Notification to GRW	106d - \$100	106d - \$100	61d - \$10			381d - \$0			91d - \$100, 106d - \$100			
Release to Collection Agency				101d - \$10		381d - \$0						
Second Final Notice			16d - \$5									
Worklist for Review B4 Manual Cancel										146d - \$25		

## RWA Sample Report List

RWA Identifier	Document ID	Received From	Form or Report	Report Name	Brief Description	Frequency Run	Top 9
ZQ_ZMC_BA10_Q0020	R-FI-020-01	SAP Business Warehouse	Screen, Excel, PDF	Actual Billing Revenue	The objective of the report is to provide the amount of water consumed in units like CCF and Gallons by the various Account Class like Residential, Commercial, Industrial, Wholesale and Public Authority belonging to different towns in the specified month/year. Hard close required, all of the transactions for the period (date delineated) have been processed and there is no more financial activity allowed for that period. For example, January 31 is the cutoff date for all transactions in the month of January.	On Request, Monthly, YTD & FYTD	X
ZQ_ZMC_BA10_Q0030	R-BL-002-05-A	SAP Business Warehouse	Screen, Excel, PDF	Pipesafe / PS Plus Monthly Revenue by Town	The objective of the report is to provide the user with the details of the Accounts and the Amount collected for those accounts belonging to the PipeSafe water and PipeSafe Sewer division of various Town for the specified month.	Monthly	
ZQ_ZMC_BA10_Q0031	R-BL-002-05-D	SAP Business Warehouse	Screen, Excel, PDF	Pipesafe Monthly Revenue by Town	The objective of the report is to provide the user with the details of the Accounts and the Amount collected for those accounts belonging to the PipeSafe water division of various Town for the specified month. The report displays the three months data i.e. the selected month and two month prior to the selected month.	Monthly	
ZQ_ZMC_BA10_Q0050	R-BL-002-05-B	SAP Business Warehouse	Screen, Excel, PDF	Pipesafe Monthly Billing Report	The objective of the report is to provide the billing information of PipeSafe accounts for PipeSafe Water division annually or quarterly for the selected Year and month.	Monthly	
ZQ_ZMC_BA10_Q0090	R-BL-002-05-C	SAP Business Warehouse	Screen, Excel, PDF	Pipesafe Sewer Monthly Billing Report	The objective of the report is to provide the billing information of PipeSafe accounts for PipeSafe Sewer division annually or quarterly for the selected Year and month.	Monthly	
ZQ_ZMC_BA10_Q0110	R-BL-002-04-B	SAP Business Warehouse	Screen, Excel, PDF	Yearly Consumption by Town	The objective of the report is to provide the user with the Total amount of Water consumed and the Total billed Amount for the water consumed by different Account Classes such as 'Residential', 'Commercial', 'Public Authority' etc. in the selected month.	Annual	
ZQ_ZMC_BA10_Q0120	R-BL-002-03-A	SAP Business Warehouse	Screen, Excel, PDF	Water Demand Analysis - Top N Overall	The objective of the report is to provide the analysis on consumption of water on daily basis based on either the Business Partner or Contract Account or Acct Det. ID for CA level in the selected Month range. The report displays the detailed information on average water consumed per day by with its quantity in CCF and Gallons (GAL).	Monthly	
ZQ_ZMC_BA10_Q0121	R-BL-002-03-B	SAP Business Warehouse	Screen, Excel, PDF	Water Demand Analysis - Top N By Class	The objective of the report is to provide the analysis on consumption of water on daily basis based on either the Business Partner or Contract Account or Acct Det. ID for CA level in the selected Month range for user selected value of Account ID. The report displays the detailed information on average water consumed per day by with its quantity in CCF and Gallons (GAL).	Monthly	
ZQ_ZMC_BA10_Q0150	R-BL-002-09	SAP Business Warehouse	Screen, Excel, PDF	PipeSafe Water Monthly Billed Report by Town	The objective of the report is to provide the user with the details of the Accounts and the Amount billed for those accounts belonging to the PipeSafe water division of various Towns for the specified month.	Monthly	
ZQ_ZMC_BA10_Q0160	R-BL-006-02-A	SAP Business Warehouse	Screen, Excel, PDF	Sales Analysis - PipeSafe and PipeSafe Plus	The objective of the report is to provide the billing information for PipeSafe Water and PipeSafe Sewer divisions for the selected month range.	Monthly	
ZQ_ZMC_BA10_Q0171	R-FI-017-13-B	SAP Business Warehouse	Screen, Excel, PDF	Large Consumer Analysis Previous Year Comparison	Report to satisfy the regulatory requirement of reporting on Top 10 customers based on consumption revenue for Top X number of customers within a specific period, such as but not limited to FYTD. Hard close required, all of the transactions for the period (date delineated) have been processed and there is no more financial activity allowed for that period. For example, January 31 is the cutoff date for all transactions in the month of January.	Monthly	X
ZQ_ZMC_BA10_Q0180	R-FI-017-09-A	SAP Business Warehouse	Screen, Excel, PDF	Water Revenue and Consumption Analysis	The objective of the report is to provide monthly and fiscal year-to-date billing, revenue and consumption information. The report should include billing information related to Service Charge Revenues, Water Consumption by CCFs, Water Consumption Revenues, Number of bills and the option to include or exclude surcharge(s). The report should also include details such as but not limited to: ADID, Billing Class, Rate Category, Division, Price Class, Connection Size, and Account. Hard close required, all of the transactions for the period (date delineated) have been processed and there is no more financial activity allowed for that period. For example, January 31 is the cutoff date for all transactions in the month of January.	On Request, Monthly, YTD & FYTD	X
ZQ_ZMC_BA10_Q0181	R-FI-017-09-B	SAP Business Warehouse	Screen, Excel, PDF	Water Rev & Consump - Bills by Meter Size	Report provides the user with 'Total Number of Bills' generated with the Service Charge levied on it based on Price class for a particular period in a Fiscal Year & as well as for Fiscal YTD (Year-to-date). Report provides the information for the required month (which will be fiscal period as an input) and has the ability to include up to 12 months of reported activity. It possesses the ability to drill into details such as but not limited to: Account Class - Residential, Commercial, Industrial, Public Authority and Billing Class-New Haven, Ansonia Valley and Installation Number. The report calculates the figures on YTD (Year-to-Date) basis.	Monthly	

RWA Identifier	Document ID	Received From	Form or Report	Report Name	Brief Description	Frequency Run	Top 9
ZQ_ZMC_BA10_Q0182	R-FI-017-09-C	SAP Business Warehouse	Screen, Excel, PDF	Water Rev & Consump (F5) - Bills by Connection Size	For a given Fiscal Year, report provides the user with 'Total Number of Bills' generated with the Service Charge levied, based on Connection Size. Report provides the information for the required month (which will be fiscal period as an input) and has the ability to include up to 12 months of reported activity. It possesses the ability to drill into details such as but not limited to: Account Class - Residential, Commercial, Industrial, Public Authority and Billing Class-New Haven & Ansonia Valley. The report calculates the figures on YTD (Year-to-Date) basis.	Monthly	
ZQ_ZMC_BS10_Q0010	R-FI-017-07-A	SAP Business Warehouse	Screen, Excel, PDF	Water Accrual Report	The objective of the report is to provide non-annualized, monthly, analysis for estimating the revenues related to unbilled consumption and service charges with the option to include or exclude surcharge in order to determine earned but not yet billed revenues. Hard close required, all of the transactions for the period (date delineated) have been processed and there is no more financial activity allowed for that period. The cutoff date should be the last day of each month to delimit any additional business transactions from posting to that period and preventing any major change to cash flow. For example, January 31 is the cutoff date for all transactions in the month of January.	Monthly	X
ZQ_ZMC_CS20_Q0010	R-CS-011-01	SAP Business Warehouse	Screen, Excel, PDF	Customer Complaints	Users may obtain total number of customer complaints; (captured via EMMA cases), categorized by case category, case type and case ID for a user-selected date range; i.e., day, month, quarter, annual. Additional information for analysis purposes may be obtained via drill down reporting.	On Request	
ZQ_ZMC_FC10_Q0010	R-FI-017-09-D	SAP Business Warehouse	Screen, Excel, PDF	Cash Received/Interest Analysis	The objective of this report is to provide the detail of total amount received which have FICA clearing status "9" (i.e. Cleared) in the user selected fiscal year (i.e. Total and monthly basis) and YTD of fiscal period (i.e. June to user selected fiscal period) on the basis of Account determination ID (ADID).	Monthly	
ZQ_ZMC_FC10_Q0050	R-FI-017-04-A	SAP Business Warehouse	Screen, Excel, PDF	Accounts Receivable	Detailed information about the Total Balance (Previous Month, Open and Cleared Period Billings, Period Collections, Aging Movement and Total Balance. Totals should be itemized based on the type of usage by ADID (Residential, Commercial, Industrial, Public Authority, Seasonal and Wholesale), division (Water, Fire, Pipe Safe, and Jobbing) and nature of users (Bankruptcy, Lien, Receivership, Multi-Tenant etc.). Ability to see the report output based on Month/Year (Mandatory Selection), Billing Portion/s (Optional) and Town (Optional). Hard close required, all of the transactions for the period (date delineated) have been processed and there is no more financial activity allowed for that period. For example, January 31 is the cutoff date for all transactions in the month of January.	On Request, Monthly, YTD & FYTD	X
ZQ_ZMC_FC10_Q0060	R-FI-017-04-B	SAP Business Warehouse	Screen, Excel, PDF	Accounts Receivable by Age	Accounts Receivable as name suggests is the amount of money that are owed by customers to RWA in exchange for goods and services that have been delivered or used but not yet paid for. This report gives us the information about Accounts Receivable amount to be received by RWA and its aging from the due date of payment based on the Account ID.	Monthly	
ZQ_ZMC_FC10_Q0070	R-FI-017-03	SAP Business Warehouse	Screen, Excel, PDF	Cash Collections	Provides detailed collections of cash that cleared open balances for any and all services and the aging of the AR cleared. The objective of the report is to provide the User with the information on the payment collected through various means such as CF ebill, CF Non ebill cash, checks, credit cards, agency, or through collection services such as receiver, lockbox etc. in the user selected period. Age Range is also defined and required for each type of bill. The regulatory requirement is to meet General Bond resolution in determining cash in the door and the category it cleared. Hard close required, all of the transactions for the period (date delineated) have been processed and there is no more financial activity allowed for that period. For example, January 31 is the cutoff date for all transactions in the month of January.	On Request, Monthly, YTD & FYTD	X
ZQ_ZMC_FC10_Q0090	R-BL-007-03	SAP Business Warehouse	Screen, Excel, PDF	Number of Error Driven Adjustments	Sub transactions of the miscellaneous postings specify the category/service for which the customer has been charged by the utility company. Report will display the total count and amount of charges posted under these miscellaneous categories for the fiscal period and year entered/selected by the user.	On Request	
ZQ_ZMC_FC10_Q0100	R-FI-017-04-C	SAP Business Warehouse	Screen, Excel, PDF	Accounts Receivable by ADID	Query gives the detailed information about the Total Open Accounts Receivable Balance based on the Aging Category or Range and Account Class like Residential, Commercial, and Wholesale etc. and Nature of Users (Bankruptcy and Lien etc.). Open AR balance means that amount that is still not received by RWA from the customers in exchange of the goods and services provided by RWA.	Monthly	
ZQ_ZMC_MC10_Q0010	R-DM-013-01-A	SAP Business Warehouse	Screen, Excel, PDF	Metered Consumption Report for Engineering	The objective of the report is to provide Water consumption information by town, for a specified duration (month interval). The report generates a list of towns along with total number of days on which water was consumed in CF, CCF and Gallons (GAL).	Monthly	
ZQ_ZMC_MC10_Q0020	R-DM-013-01-B	SAP Business Warehouse	Screen, Excel, PDF	Consumption Reporting RWA Usage	The objective of the report is to provide information on the Total Consumption days and the Total amount of Water Consumed by different Account Class such as 'Residential', 'Commercial' and 'Public Authority' of Business partner 'RWA'.	Monthly	



RWA Identifier	Document ID	Received From	Form or Report	Report Name	Brief Description	Frequency Run	Top 9
ZQ_ZMC_MD20_Q0010	R-FI-001-01-A	SAP Business Warehouse	Screen, Excel, PDF	Number of Customers	Report provides the information about the Total Number of Customers with both Active and without Active Contracts Flag for the selected date range. The report displays the list of count of Total customers for all the months selected between the Start Month and End Month by the User.	On Request	
ZQ_ZMC_MD20_Q0020	R-FI-001-01-B	SAP Business Warehouse	Screen, Excel, PDF	Number of New Customers	Report provides the information about the Total Number of Customers as New that were created in the User selected time period. The report displays the list of count of New customers month wise whose creation date lies in the months selected between the Start Month and End Month by the User.	On Request	
ZQ_ZMC_MD20_Q0040	R-FI-012-01	SAP Business Warehouse	Screen, Excel, PDF	Bankruptcy Report	The objective of the report is to provide details for accounts that have bankruptcy status on the Contract Account level. The report displays the petition date and hearing date for the different business partners and the bankruptcy amount for the current month. User can also drill down the report on the basis of: <ul style="list-style-type: none"> <li>• Trustee</li> <li>• Case Number</li> <li>• Settlement Category</li> <li>• House No.</li> <li>• Street</li> <li>• Account Class</li> </ul>	On Request	
ZQ_ZMC_MD20_Q0040	R-FI-012-01	SAP Business Warehouse	Screen, Excel, PDF	Bankruptcy Report	The objective of the report is to provide details for accounts that have bankruptcy status on the Contract Account level.	On Request	
ZQ_ZMC_MD20_Q0060	R-FI-017-08-B	SAP Business Warehouse	Screen, Excel, PDF	Total Number of eBill Customers	The objective of the report is to provide the total number of eBill Vendor (Customers) between the user selected from date i.e. start month – to date i.e. end month.	On Request	
ZQ_ZMC_MD30_Q0020	R-CS-003-01-A	SAP Business Warehouse	Screen, Excel, PDF	Pipesafe / Plus Monthly Deactivation Report	Report is used by the outside marketer to track Pipesafe and Pipesafe Plus contract cancellations, reasons and other related information. The report will generate a list with number of customers, along with their town, who have cancelled their existing Pipesafe contract & Pipesafe Plus contract within the move-out month provided by the user on the selection screen. The rate category for deactivated PipeSafe contracts and PipeSafe plus contracts would also be displayed along with the number of contracts and town name.	Monthly	
ZQ_ZMC_MD30_Q0021	R-CS-003-01-B	SAP Business Warehouse	Screen, Excel, PDF	Pipesafe Monthly Deactivation Report	Report is used by the outside marketer to track Pipesafe contract cancellations, reasons and other related information.	Monthly	
ZQ_ZMC_MD30_Q0030	R-BL-002-06-A	SAP Business Warehouse	Screen, Excel, PDF	Billing Analysis: Meters on Service by Account Type	Report provides the Count of “Active” Contracts based on <ul style="list-style-type: none"> <li>• Single/Multi Meter</li> <li>• Division (Fire, Water Service)</li> <li>• Rate Category Group (Annually, Monthly, Quarterly and Seasonal)</li> <li>• Price Class (5/8” , ¾”, 1”, 1-1/2”, 2”, 3”, 4”, 6”, 8”, 10”, 12)</li> </ul>	On Request	
ZQ_ZMC_MD30_Q0031	R-BL-002-06-D	SAP Business Warehouse	Screen, Excel, PDF	Billing Analysis: Number of Active Water Accounts by	Report provides the Count of “Active” Contracts based on <ul style="list-style-type: none"> <li>• Single/Multi Meter</li> <li>• Division (Fire, Water Service)</li> <li>• Rate Category Group (Annually, Monthly, Quarterly and Seasonal)</li> <li>• Account Class/ADID (Residential, Commercial, Industrial, Wholesale)</li> </ul>	On Request	
ZQ_ZMC_MD30_Q0035	R-BL-002-06-E	SAP Business Warehouse	Screen, Excel, PDF	Billing Analysis: Number of Active Water Accounts by	Report provides the Count of “Active” Contracts based on <ul style="list-style-type: none"> <li>• Town</li> <li>• Division (Fire, Water Service)</li> <li>• Account Class/ADID (Residential, Commercial, Industrial, Wholesale)</li> </ul>	On Request	X
ZQ_ZMC_MD30_Q0061	R-CS-003-02-B	SAP Business Warehouse	Screen, Excel, PDF	PipeSafe Subscribers Report	The objective of the report is to provide the information on the number of Pipesafe subscribers at the start of the month and at the end of the month against the user selected town and user selected Month/Year. For e.g. In the selection screen if User selected 07/2013 in the Month/Year and Derby & New Heaven in the Town then the report will displays as below: <ul style="list-style-type: none"> <li>• Accumulated In’s i.e. Number of subscriber’s in the last month (i.e. Subscribed from 01/2000 to 06/2013) from the user selected month/year.</li> <li>• Accumulated Out’s i.e. Number of subscriber’s left up to the last month (i.e. Subscriber left from 01/2000 to 06/2013) from the user selected month/year.</li> <li>• Start of the Month i.e. Number of subscriber’s remain at the start of the user selected month/year which is calculated by subtracting Accumulated In’s - Accumulated Out’s.</li> <li>• New Enrollments i.e. Number of new subscriber’s subscribes at the start of the user selected month/year i.e. 07/2013.</li> <li>• Cancellations i.e. Number of subscriptions cancelled in the user selected month/year.</li> <li>• Net Gain or Loss i.e. Number of Net enrollments in the user Selected month/year which is calculated by subtracting New Enrollments - Cancellations.</li> <li>• Month End Total i.e. sum of total number of subscriber at the Start of the Month i.e. 07/2013 (user selected month/year) and the number of subscriber in the Net Gain or Loss.</li> </ul>	On Request	
ZQ_ZMC_MD32_Q0010	R-CS-003-03-A	SAP Business Warehouse	Screen, Excel, PDF	Pipesafe Cancellation and Renewal	The objective of the report is to provide the information on the Pipesafe cancellation date along with its reason and also renewal date details in the user selected current Month/Year.		



RWA Identifier	Document ID	Received From	Form or Report	Report Name	Brief Description	Frequency Run	Top 9
ZQ_ZMC_MD50_Q0010	R-DM-002-03	SAP Business Warehouse	Screen, Excel, PDF	End of Year Service Pipe Inventory - End of Year Tap Inventory	The objective of the report is to track the Inventory stock of Taps that has been installed with respect to the different service area in the selected month range provided by the user. The report also displays the pending or destroyed Taps for the selected month range.	Annual	
ZQ_ZMC_MD50_Q0040	R-DM-004-04-A	SAP Business Warehouse	Screen, Excel, PDF	Current Meter Inventory	Report is used to track Inventory stock of Devices that has been Active, New, Reset, Changed or Removed for a Town in the selected date range. Report generates the list of number of meters that are in stock for the user selected time period.	On Request	
ZQ_ZMC_MD50_Q0041	R-DM-004-04-B	SAP Business Warehouse	Screen, Excel, PDF	End of Year Meter in Stock Inventory	Report provides the information about the Inventory Stock of Meter devices that are available during the User selected time period. This report would have additional filtering option based on following objects:- • Device • Material	Annual	
ZQ_ZMC_MD50_Q0043	R-DM-004-08	SAP Business Warehouse	Screen, Excel, PDF	Meters Installed NO Active Contract	Report generates the count of those IS-U Equipment's which have their status as "Installed" but are not assigned to any Active Contract Accounts. The report provides additional details about the device like its installation number, Serial Number and Material. The fields included in the report are: o Device o Installation Number o Serial Number o Material o Count	On Request	
ZQ_ZMC_MD50_Q0050	R-DM-004-05-A	SAP Business Warehouse	Screen, Excel, PDF	Meter in Service Inventory	Report allows the users to generate the number of devices (meters) that are in use during the selected time period. Initial Layout of the report provides information about: • Number of devices in use at the beginning of the selected period. • Number of devices that were added during the course of the selected time period. • Number of devices that were retired during the course of the selected time period. • Size of the device • Number of devices in use at the end of the selected period.	On Request	
ZQ_ZMC_MD50_Q0051	R-DM-004-05-B	SAP Business Warehouse	Screen, Excel, PDF	Current Actual in Service Meters	Report provides information on active meters installed, for a particular town (city). Additional supporting information is available for further analysis.	On Request	
ZQ_ZMC_MD50_Q0052	R-DM-004-05-C	SAP Business Warehouse	Screen, Excel, PDF	Meters in Service	Report provides the information about the Inventory stock of Devices that has been in status 'Installed' and IN service for a Town in the selected date range. Report generates the list of number of meters that are in use for the user selected time period.	On Request	
ZQ_ZMC_MD50_Q0060	R-DM-004-06	SAP Business Warehouse	Screen, Excel, PDF	Meters Scrapped	Report provides the information about the Total Number of Meter devices scrapped during the User selected Date Range based on its Meter Size. Those scrapped meter devices have 'E0001' as their Equipment User Status.	On Request	
ZQ_ZMC_MD50_Q0070	R-DM-004-07	SAP Business Warehouse	Screen, Excel, PDF	Meters Purchased	This report provides the information about the Total Number of Meter devices acquired during the User selected Date Range based on its Meter Size.	On Request	
ZQ_ZMC_MD50_Q0080	R-DM-005-02-B	SAP Business Warehouse	Screen, Excel, PDF	Meter Activity - Detailed	Report provides the information about the Total Number of Meter devices with its status such as 'New Set', 'Reset', 'Changed' or 'Removed' during the User selected Date Range based on its Meter Size.	On Request	
ZQ_ZMC_MD50_Q0081	R-DM-005-02-A	SAP Business Warehouse	Screen, Excel, PDF	Meter Activity	The objective of the report is to provide the information about the Meter Activity such as Beginning Inventory, Set, Retired (i.e. Meter devices scrapped) and Ending Inventory based on its Meter Size during the user selected date range.	On Request	
ZQ_ZMC_MD50_Q0090	R-DM-005-03-A	SAP Business Warehouse	Screen, Excel, PDF	Meter Changes and Install Activities by Reason Code	This Report is used to keep track of any meter (device) changes done in the Field, with the appropriate Reason Removal Codes used for these changes or installations. It keeps a running total of meters changed during each day, month and fiscal year.	On Request	
ZQ_ZMC_MD50_Q0091	R-DM-005-03-B	SAP Business Warehouse	Screen, Excel, PDF	Meter Removal by Reason Code	This Report is used to keep track of any meter (device) removal done in the Field, with the appropriate Reason Removal Codes used for these removals. It keeps a running total of meters changed during each day, month and fiscal year.	On Request	
ZQ_ZMC_MD50_Q0100	R-DM-015-04-A	SAP Business Warehouse	Screen, Excel, PDF	Current Flexnet Inventory	This report is used to track Inventory stock of Flexnet Devices that has been Active, New, Reset, Changed or Removed for a Town in the selected date range. Report generates the list of number of Flexnet devices that are in stock for the user selected time period.	On Request	
ZQ_ZMC_MD50_Q0101	R-DM-015-04-B	SAP Business Warehouse	Screen, Excel, PDF	End of Year Flexnet in Stock Inventory	This report provides the information about the Inventory Stock of Flexnet devices that are available during the User selected time period.	Annual	
ZQ_ZMC_MD50_Q0111	R-DM-015-05-B	SAP Business Warehouse	Screen, Excel, PDF	Current Actual in Service Flexnets	Report provides information on "Active" Flexnets installed, for a particular town (city).	On Request	

RWA Identifier	Document ID	Received From	Form or Report	Report Name	Brief Description	Frequency Run	Top 9
ZQ_ZMC_MD50_Q0112	R-DM-015-05-C	SAP Business Warehouse	Screen, Excel, PDF	Flexnets in Service	This report provides the information about the Inventory stock of Flexnet Devices that has been in status 'Installed' and IN service for a Town in the selected date range. Report generates the list of number of Flexnet that are in use month wise for the user selected time period.	On Request	
ZQ_ZMC_MD50_Q0120	R-DM-015-06	SAP Business Warehouse	Screen, Excel, PDF	Flexnets Scrapped	This report provides the information about the Total Number of Flexnet devices scrapped during the User selected Date Range based on its Material. Those scrapped Flexnet devices have 'E0001' as their Equipment User Status.	On Request	
ZQ_ZMC_MD50_Q0140	R-DM-016-02-B	SAP Business Warehouse	Screen, Excel, PDF	Flexnets Activity - Detailed	This report provides the information about the Total Number of Flexnet devices with its status such as 'New Set', 'Reset', 'Changed' or 'Removed' during the User selected Date Range based on its Material.	On Request	
ZQ_ZMC_MD50_Q0141	R-DM-016-02-A	SAP Business Warehouse	Screen, Excel, PDF	Flexnet Activity	The objective of the report is to provide the information about the Flexnet Activity such as Beginning Inventory, Set, Retired (i.e. Flexnet devices scrapped) and Ending Inventory based on its Material during the user selected date range.	On Request	
ZQ_ZMC_MD50_Q0150	R-DM-016-03-A	SAP Business Warehouse	Screen, Excel, PDF	Flexnet Changes and Install Activities by Reason Code	This Report is used to keep track of any Flexnet (device) changes done, with the appropriate Reason Removal Codes used for these changes or installations. It keeps a running total of Flexnet changed during each day, month and fiscal year.	On Request	
ZQ_ZMC_MD50_Q0151	R-DM-016-03-B	SAP Business Warehouse	Screen, Excel, PDF	Flexnet Removal by Reason Code	This Report is used to keep track of any Flexnet (device) removal done in the Field, with the appropriate Reason Removal Codes used for these removals. It keeps a running total of Flexnets removed during each day, month and fiscal year.	On Request	
SQ01	N/A	SAP ECC	Displayed on screen ability to export to Excel	INV_BILL_DATE	Identify schedule bill date of bills posted during specified time period.	On Request	
SQ01	N/A	SAP ECC	Displayed on screen ability to export to Excel	TNT_FINAL_BILL	Returns list of CAs & Premise # with tenant-final bills during specified time frame.	On Request	
SQ01	N/A	SAP ECC	Displayed on screen ability to export to Excel	YALE-CHARGES	Provides additional charges detail for collective bill. Report contains: Contract Acct #, amount, bill doc no., line item type, valid from, valid to, bill qty, net amount, house #, Street.	On Request & Quarterly	
SQ01	N/A	SAP ECC	Displayed on screen ability to export to Excel	YALE-METERS	Provides additional meter detail for collective bill. Report contains: Contract Acct #, invoice total amount, meter number, Meter Size, Read Reason, Read Type, Start Reading, Stop Reading & Metered Consumption.	On Request & Quarterly	
SQVI	N/A	SAP ECC	Displayed on screen ability to export to Excel	LCW-MRU-SCHED	Creates list showing Download Date, Upload Date, Billing Dates and Portion for the MRU. This information is used to create a calendar showing Billing dates and estimated print volumes.	On Request	
SQVI	N/A	SAP ECC	Displayed on screen ability to export to Excel	BUT020-ADRC	User provides BP number, Mailing Address, Email Address and Phone number is returned.	On Request	
SQVI	N/A	SAP ECC	Displayed on screen ability to export to Excel	PS-OKM-PREM	User provides Contract Account or Premise Number, Service Address is returned.	On Request	
ZBI_EDWARDS		SAP ECC	Displayed on screen ability to export to Excel	Edwards PipeSafe Active Customers	This report displays all active customer enrolled in a PipeSafe protection plan. Information includes; Name, Service Address, Enrollment Date, Last Response Date, Last Work Order Number, Warranty Period, Tenant Billed Indicator.	Daily	

RWA Identifier	Document ID	Received From	Form or Report	Report Name	Brief Description	Frequency Run	Top 9
ZBILLCR	R-BL-007-01	SAP ECC	Displayed on screen ability to export to Excel	Billing Corrections Report	<p>This report will be used to track total number of corrected bills and the impact to our receivables. The report should be able to allow the user to obtain the following information:</p> <ul style="list-style-type: none"> <li>Contract Account Number</li> <li>Bill Portion Identifier</li> <li>Account Determination ID</li> <li>Device Manufacture/Identification number/size (if correction is based on meter reading)</li> <li>Date when bill was corrected</li> <li>Any comments entered when bill is corrected (Reps comments, i.e.: bad reading,, etc..)</li> <li>User Id as to who generated corrected bill (i.e.: csr or system generated)</li> <li>Type of charges getting corrected (Divisions) : <ul style="list-style-type: none"> <li>Consumption charges</li> <li>Minimum Service Charge</li> <li>Interest charges, etc.</li> <li>Fire Service Charges</li> <li>Non water charges (Pipesafe/Pipesafe Plus, etc.. )</li> </ul> </li> <li>Type of bill being corrected <ul style="list-style-type: none"> <li>Periodic billing</li> <li>Final Billing</li> <li>SD</li> <li>Recreation</li> </ul> </li> </ul>	On Request	
ZCASHFLOW	R-FI-017-14	SAP ECC	Displayed on screen ability to export to Excel	Cash Flow Analysis	<p>A month end report that will provide the user with information related to water billings and collections for a minimum period of 1 + 17 months following the billings. The report will also display a collected to billings with the option to apply an adjustable uncollectable factor. Hard close required, all of the transactions for the period (date delineated) have been processed and there is no more financial activity allowed for that period. The cutoff date should be the last day of each month to delimit any additional business transactions from posting to that period and preventing any major change to cash flow. For example, January 31 is the cutoff date for all transactions in the month of January.</p>	Monthly	X
ZCOLLECT	R_FI-005-01	SAP ECC	Displayed on screen ability to export to Excel	Monthly Accounts for Collection Agency Report	<p>Used by Collections and Customer Support Manager to monitor each past due receivables (excluding SD) at collection agency. Report to capture the following:</p> <ul style="list-style-type: none"> <li>Customer (Business Partner) name</li> <li>Customer (Business Partner) number</li> <li>Customer (Business Partner) address</li> <li>Premise address</li> <li>Collection Agency (Business Partner) name</li> <li>Collection Agency (Business Partner) number</li> <li>Contract account number</li> <li>Date of activity (submission date, recall date, payment date, reversal date, write-off date)</li> <li>Amount of item submitted</li> <li>Balance of item due as of the end of the month</li> <li>Items recalled from agency during the month</li> <li>Reason item was recalled from the agency: <ol style="list-style-type: none"> <li>BP files for bankruptcy,</li> <li>BP disputes the debt, or</li> <li>BP pays RWA directly</li> </ol> </li> <li>Payment received during the month by RWA on item placed at agency</li> <li>Payment received during the month by agency on item placed at agency</li> <li>Items at agency that were reversed during the month</li> <li>Items at agency that were written off during the month</li> </ul>	Monthly	
ZCS_SEASONAL	R-CS-014-01	SAP ECC	Displayed on screen ability to export to Excel	Seasonal Accounts Report	<p>The purpose of the report to show output fields for seasonal Account common report based on selection given in Input. Output contains information on Business Master Data, disconnection, Service order, Move In/out dates, Balance etc. Objects shown in output can be used as hyperlink to open respective transaction. For example if user clicks on Premise, it leads to Transaction ES62 to display Premise.</p>	On Request	
ZCS_SURVEY	R-CS-006-01 R-CS-006-02	SAP ECC	Displayed on screen ability to export to Excel	Customer Survey Report	<p>This report provides us with a random sample of customers interacting with RWA via telephone, personal, and/or written contact.</p>	On Request	

RWA Identifier	Document ID	Received From	Form or Report	Report Name	Brief Description	Frequency Run	Top 9
ZCUST_DET	R-CS-008-07	SAP ECC	Displayed on screen ability to export to Excel	Program to display Pipesafe Customer	<p>The report should will allow the user to obtain contract account mailing address details of primary business partners (BP) based on following selection criteria:</p> <ol style="list-style-type: none"> <li>Contract Account.               <ol style="list-style-type: none"> <li>Range or multiple selections</li> </ol> </li> <li>Division (PipeSafe Water or PipeSafe Sewer).</li> <li>Move out date.</li> </ol> <p>For example, if you wish to identify all contract account mailing addresses for all moved in water contracts (division 03), your selection criteria would be as follows:</p> <ul style="list-style-type: none"> <li>Contract Accounts: &lt;Blank&gt;</li> <li>Division: &lt;03&gt;</li> <li>Move-our Date: 12/31/9999</li> </ul>	On Request	
ZDM_EST	R-DM-006-02-D	SAP ECC	Displayed on screen ability to export to Excel	Consecutive Estimated Meter Reads	Business requests a report that would provide a count of accounts having consecutive estimated readings (3 or greater) from the last time a meter was read/billed to proactively determine problem meters, replace them or repair the outside reading devices prior to next periodic reading and therefore reduce the number of implausible reads impacting billing	On Request	
ZDM_STATUS	R-DM-004-03	SAP ECC	Displayed on screen ability to export to Excel	Daily Meter Status report	This report provide the summary of counts of meters by meter status and size.	On Request	
ZDM001	R-CS-006-03	SAP ECC	Displayed on screen ability to export to Excel	Work Order Summary	This report will be used to determine total number of work orders, interaction records, and complaints created.	On Request	
ZDM002	R-DM-010-02-A	SAP ECC	Displayed on screen ability to export to Excel	Periodic Meter Change Report by Town	This report will be used to determine the number of scheduled and completed meter changes by Field Service Representatives.	On Request	
ZDMRPT or ZPS_ACCTS	R-CS-008-01	SAP ECC	Displayed on screen ability to export to Excel	PS & PS Plus Mkt Accounts by Cycle	This report will be used to identify total number of customers; (by cycle), moved in, eligible to move in, and ineligible to move in for both Pipesafe Water and Pipesafe Sewer installations.	On Request	
ZDONATION	E-FI-022-01	SAP ECC	Displayed on screen ability to export to Excel	Donation Thank you Letter	Develop a program (Transaction code = ZDONATION) that can be run in batch or on an ad-hoc basis to select all donations made by a customer for the period specified in the selection criteria.	Annual	
ZFPRH	R-FI-014-01	SAP ECC	Displayed on screen ability to export to Excel	RWA Installment Plan Hist by Rep	This report will provide RWA with a listing of Active and Deactivated Installment Plans identified by the user that created the installment plan.	On Request	
ZINACT_DEVICES	R-DM-014-01	SAP ECC	Displayed on screen ability to export to Excel	Tcode to find out inactive devices	This report provide list of installations with inactive devices.	On Request	
ZINS_BILL	R-FI-021-01	SAP ECC	Displayed on screen ability to export to Excel	Report to identify orphan bill order	List of Billing Orders without Active Contracts.	On Request	
ZLEAKS	R-DM-011-03	SAP ECC	Displayed on screen ability to export to Excel	Leak Report	Provides a list of leak Work Orders showing premise.	On Request	
ZMFT	R-DM-010-02-B	SAP ECC	Displayed on screen ability to export to Excel	Meter Field Tests Report	<p>The purpose of the report to determine:</p> <ul style="list-style-type: none"> <li>Count of open orders for the year</li> <li>Percentage of field tests completed year to date.</li> </ul>	On Request	
ZMOMONITOR	R-CS-016-01	SAP ECC	Displayed on screen ability to export to Excel	Open contract on m/o and future date m/o	Report will display Future Move-Outs.	On Request	
ZMRU_RPT	R-DM-006-01	SAP ECC	Displayed on screen ability to export to Excel	MRU/Street Route detail Report	The report is generated (on demand) prior to a quarterly and monthly account due to be read based on the billing schedule. The report is broken out by book and cycle number (first two digits of the account number) and listed accordingly by read sequence number.	On Request	
ZMUNKNOWN	R-DM-004-02	SAP ECC	Displayed on screen ability to export to Excel	Unknown Meter Report	<p>The purpose of the report to show unknown meter lists all meter in the following categories:</p> <ul style="list-style-type: none"> <li>Meter numbers not in the RWA system.</li> </ul>	On Request	

RWA Identifier	Document ID	Received From	Form or Report	Report Name	Brief Description	Frequency Run	Top 9
ZNEWPT	R-DM-004-01	SAP ECC	Displayed on screen ability to export to Excel	New Meter Purchases and Tests Report	The report will display the list of all meters which have been removed from inventory or installed or exchanged due to various activities. Majority of meters are tested by manufacturer but the report will include Authority test results if available. The authority will randomly test the meters. Test results for these meters will be from the time they were purchased.	On Request	
ZNWSR	R-CS-008-02	SAP ECC	Displayed on screen ability to export to Excel	Non Water Sales and Water Referral	The purpose of the report to show output fields for Non water sales and water referral report based on selection given. Input selection is defaulted with division 20, 21 and user name with date or date range can be selected. There are 3 options available in form of radio button on selection screen Non water sales by reps, company sales and Referrals. Report basically shows the quantity and points for various mode of Enrollments for different users.	On Request	
ZPF_ACCRUAL	R-FI-017-07-D	SAP ECC	Displayed on screen ability to export to Excel	Private Fire Accrual Report	Report will have 2 radio Buttons for Report Selection: • New Haven • Ansonia Valley Note: Calculation of the Unbilled and Deferred Revenue is different for each of the above service areas and as such these 2 columns will require a different report. The format and remaining columns of the report are the same fields/links.	Monthly	
ZPS_ACCRUAL	R-FI-017-07-C	SAP ECC	Displayed on screen ability to export to Excel	Pipesafe Accrual Report	PipeSafe Accrual Report provides an the Finance department with information related to Pipesafe/Pipesafe Plus billed unearned and unbilled earned revenue for these two protection programs.	Monthly	
ZPSENROL	R-FI-022-01	SAP ECC	Displayed on screen ability to export to Excel	Number of PipeSafe Contracts per Portion	Number of Pipe Safe Contracts per Portion.	On Request	
ZRAN	E-DM-014-01	SAP ECC	Displayed on screen ability to export to Excel	Review Accounts Prior to Title Search - Lien processing	At specific dunning levels, notifications are created for an external title search company (GRW) to perform a title search on the property. This occurs prior to taking customers into receivership or prior to filing a lien on the property. The notifications will be created with status "Pending". Depending on certain conditions surrounding the account, the notification will not be sent out but rather will be closed (status updated to "Closed"). This report serves to facilitate this review and determination process.	On Request	
ZREP_ADJ	R-BL-007-02	SAP ECC	Displayed on screen ability to export to Excel	Adjustments by Representative	Generate the report (ZREP_ADJ) to provide the user with information related to adjustments that are made to customer accounts.	On Request	
ZREP_LIEN	R-FI-018-02	SAP ECC	Displayed on screen ability to export to Excel	Collection Lien Report	This report is a combination of liens filed/liens released report requirements. It provides an automated monthly listing of contract accounts with liens filed and liens released.	On Request	
ZREP_RECV	R-FI-005-02	SAP ECC	Displayed on screen ability to export to Excel	Collection Receivership Report	Detailed activity of items submitted to receivers.	On Request	
ZSREPLACEMENT	R-DM-002-01	SAP ECC	Displayed on screen ability to export to Excel	Service Replacement Report	Report is a list of water services that are replaced from the main to curb valve during the course of the year. For each water service replaced, there is a destroyed water service that is reported. The report must also differentiate between Authority owned and customer owned water services. Authority owned water services are installation date driven from 10/18/1966 thru 8/25/1980, inclusive. Any water service prior to and after these dates moving forward are considered customer owned. The replacement of these services is occasionally completed by outside Contractors hired by the Authority. A list of water services replaced by the Contractor is also maintained. Combination and manifolded water services are to be considered as one service for reporting purposes. The total amount of water services replaced is added to a cumulative total for fiscal year end reporting. The user should be able to select the time period for the report. The report should result in data per month & also a summary for the user selected calendar y-t-d (fiscal or calendar).	On Request	
ZTAXBO	R-FI-002-02	SAP ECC	Displayed on screen ability to export to Excel	Tax Breakout Report	This report will include all net CCS sales subject to sales tax invoiced during a month.	On Request	
ZWATERLEAKS	R-DM-011-09	SAP ECC	Displayed on screen ability to export to Excel	Gallons of Water Used - Leaks	This is a Comparison Report on Gallons of Water lost due to leaks. It compares water usage on a year to date basis and also can be run as a report to compare on a monthly basis comparing to the same month of the previous year.	On Request	
New Requirement #01	New Report Required	x New	Displayed on screen ability to export to Excel	Bankruptcy Proof of Claim Requirement	Chronological Display of Account Changes Required for Bankruptcy Proof of Claim filings.	On Request	

RWA Identifier	Document ID	Received From	Form or Report	Report Name	Brief Description	Frequency Run	Top 9
New Requirement #02	New Report Requir	x New	Displayed on screen ability to export to Excel	Detail Cash	Report that provides water (including wholesale), private fire and public fire revenue as well as interest, but excludes: Pipe Safe, miscellaneous revenue, jobbing, SD Billing, DPH surcharge payments and/or pre-payments, refunds, returns and any interest thereof. In other words a report that will provide strictly cash that cleared an open water balance (water/fire) within a select period of time frame, ex. monthly. Hard close required, all of the transactions for the period (date delineated) have been processed and there is no more financial activity allowed for that period. For example, January 31 is the cutoff date for all transactions in the month of January.	On Request, Monthly, YTD & FYTD	X
New Requirement #03	New Report Requir	x New	Displayed on screen ability to export to Excel	Final Bill Report	Monthly generated report to determine the number of customer's final billed by Account Determination ID (Residential, Commercial, Industrial, & Public Authority).	Monthly	
New Requirement #04	New Report Requir	x New	Displayed on screen ability to export to Excel	Public Fire	Monthly report to generate amount billed and revenue collected that cleared an open balance for all public fire accounts (NH & AVA).	On Request & Monthly	
New Requirement #05	New Report Requir	x New	Displayed on screen ability to export to Excel	Wholesale	Report to generate ccf, gallons or millions of gallons consumed, rate, service charge, consumption charge and credits (contractual, property tax, etc.) debits or miscellaneous postings.	On Request & Monthly	
New Requirement #06	New Report Requir	x New	Displayed on screen ability to export to Excel	Clarification List	Report to generate payments posted to the clarification account, and aging thereof.	On Request & Monthly	
New Requirement #07	New Report Requir	x New	Displayed on screen ability to export to Excel	List of Service Order results that qualify for charge on customer bill.	Provide list of Service Order results that qualify for manual entry of charge on customer bill.	On Request	





# Functional Matrix

## Attachment B

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## Vendor Functional Matrix Responses

25	Provided as part of base system.	No Modification is required. Desired functionality is achieved through configuration and is part of base Code. Cost of configuration is part of solution implementation.
20	Provided in base of next release.	No modification is required. Future release will include desired requirements at no cost in time for integration testing.
15	Base will require some enhancements	Enhancements are classified as minor coding utilizing system defined user exits with costing between \$1,000 - 15,000
10	Base will require minor software coding	Enhancements or modifications using established user exits or minor custom coding costing between \$15,001 - 35,000
5	Base Code will have to be modified	Modifications that require substantial development and coding costing between \$35,001 - \$75,000
1	Extensive modification to base code	Extensive development effort is required resulting in development and coding costs from \$75,001 - over \$100,000
0	Software can not be enhanced or modified	The development of this function is not possible with this application

## 1.0 General Requirements

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
<b>System Navigation</b>				
System provides that on all entry screens, fields tab in order presented on the screen. (Consistent data entry process on all screens)				
System provides that all of the modules/interfaces, including reports, have a consistent look and feel.				
System maintains key header information from one screen to the next. The utility requires that account number is part of the key header information.				
System provides the ability to use hotkeys or fast-paths to navigate throughout the system.				
System provides the ability to quickly access entry forms using shortcuts for heads down / high volume data entry (without using the mouse).				
System provides the ability to bookmark a form with specific account information, then access a different (customer, account, premises) set of data and be able to go back to the bookmark.				
System provides the ability to have multiple open sessions for a user to access data.				
System provides the ability to control different screen-paths based on user role.				
System provides a calendar function as an option where date fields are provided throughout the system.				
Within date fields the system provides a calendar function, which has the following capabilities:				
a) Highlights Current Date				
b) Allows for Selection of Desired Date				
c) Provides for the Ability to Select a Date in a Future Month				
System provides the ability to provide user-defined documentation that may be used as an online procedure manual.				
System/vendor provides electronic system documentation that can be turned into help for the users.				
System provides the ability to assign user-specific screen presentation criteria based on user sign-in.				
System provides the ability to access the last 10 or more accounts accessed through a 'back' button or drop-down list.				
System provides for significant "copy/cut and paste" capabilities including but not limited to:				
a) Between Fields				
b) Between Screens / Windows				
c) Between Two Different Applications Open on the Desktop				
d) Between Date Fields				
System should provide a multitude of output features, including but not limited to:				
a) Redirecting to any Printer on the Network				
b) MS Excel				
c) MS Word Mail Merge				
d) MS Access				
e) Email				
f) Screen Print				
g) File (e.g., CSV, flat, delimited, etc.)				
h) PDF				
i) Phone - IVR				
j) Sending a Fax				

## 1.0 General Requirements

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
On a screen, when there is only one primary option available, the CIS system should be able to prefill the screen as much as possible				
<b>Search Criteria</b>				
System provides the ability to accommodate multi-company codes.				
System provides unique identifiers that will be presented within the main CSR screen that allows the CSR to identify which company they are accessing quickly.				
System provides that every data element in the system, with access to be granted to users with the proper security, is available for inquiry, including but not limited to the following:				
a) Account Number				
b) Customer Number				
c) Premises Number				
d) Parcel ID (APN)				
e) Customer Name (including Last name, First name, DBA, Business name, and Customer last name with two last names)				
f) Primary Phone Number				
g) Secondary Phone Number (including Business, Residential, and Cell Phone)				
h) Driver License				
i) Email Address				
j) Account Status				
k) Equipment / Meter Number				
l) Premises Address				
m) Mailing Address				
n) Route and Cycle				
o) Spouse or roommate				
System provides the ability to mask specific numbers (e.g., SS#) or provide full access to SSN, based on security access with database encryption.				
Provide the ability to create a user-defined search that can easily be changed based on the user's needs. Search could include, but is not limited to, the following with export capabilities:				
a) Any Field(s)				
b) Filters				
c) If-Then-Else Statements				
System provides the ability to save the user-defined search for future use.				
System provides the ability for the saved user-defined searches to be grouped and accessed through a drop-down list by other users with the appropriate level of security. This includes the result and changing of columns.				
System provides the ability to export searches into 3rd party tools such as MS Excel with the appropriate security.				
System provides the ability within a search results screen to rearrange (drag and drop) display columns to have search data presented based on personal preference.				
System provides the ability to search by a partial address such as street name.				
System provides that searches can be performed on more than one search criteria field at the same time.				
System provides that searches can be performed on accounts regardless of their status.				

## 1.0 General Requirements

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
System provides the ability to support wildcard and phonetic (i.e., Soundex) searches on any number of fields. These searches should be able to work in all software modules including ad-hoc reporting.				
System provides the ability to filter/order adjustment dates on accounting forms for ease of finding specific charges.				
System provides the ability to filter/order consumption dates on accounting forms for ease of finding specific charges.				
System provides the ability to filter/order customer interactions based on call date.				
System provides the ability to filter/order customer interactions based on resolution date.				
System provides the ability to default the display order (ascending/descending) by user group.				
System provides the ability to drag and drop query result columns based on user login.				
<b>Primary Call Center, Billing, Credit &amp; Collections, and Field Worker Screen Criteria</b>				
System provides the ability to display payment information on primary CSR screen (Account Summary screen/form)				
System provides the ability to display amounts due and due dates on primary CSR screen (Account Summary screen/form)				
System provides the ability to display usage information on primary CSR screen (Account Summary screen/form)				
System provides the ability to display customer information on primary CSR screen (Account Summary screen/form)				
System provides the ability to display account information on primary CSR screen (Account Summary screen/form)				
System provides the ability to display premises information on primary CSR screen (Account Summary screen/form)				
System provides the ability to display rebate information on primary CSR screen (Account Summary screen/form)				
System provides the ability to display product/service information on primary CSR screen (Account Summary screen/form)				
System provides the ability to display service order information on primary CSR screen (Account Summary screen/form)				
System provides the ability to display customer interaction information on primary CSR screen (Account Summary screen/form)				
System provides the ability to display credit information on primary CSR screen (Account Summary screen/form)				
System provides the ability to display billing information on primary CSR screen (Account Summary screen/form)				
System provides the ability to access detailed payment information from the primary CSR screen.				
System provides the ability to access detailed usage information from the primary CSR screen.				
System provides the ability to access detailed customer information from the primary CSR screen.				
System provides the ability to access detailed account information from the primary CSR screen.				

## 1.0 General Requirements

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
System provides the ability to access detailed premises information from the primary CSR screen.				
System provides the ability to access detailed service information from the primary CSR screen.				
System provides the ability to access detailed service order information from the primary CSR screen.				
System provides the ability to access detailed customer interaction information from the primary CSR screen.				
System provides the ability to access detailed credit information from the primary CSR screen.				
System provides the ability to access detailed billing information from the primary CSR screen.				
System provides the ability to design individual inquiry screens for other departmental access.				
<b>Online Help</b>				
System provides the ability that the user documentation and screen/field level "help" should be accessible from each screen, should be context sensitive, should be printable, and should provide pop-up windows for table values.				
The vendor should provide a user-customized "help" that will be available to all users.				
System provides the ability for help to be updated with each new version release. CLIENT-specific help will not be changed.				
System provides the ability to help to provide an index and search capability.				
<b>Automated Work Queue</b>				
System provides the ability to allow the system administrator to define actions for any event, process or transaction, that are triggered by any combination of the following:				
a) Upon the Successful Completion				
b) Upon the Unsuccessful End				
c) At the Beginning				
d) During the Processing				
e) Time Elapsed				
System provides the ability to provide a calendar or similar mechanism for the system administrator to schedule events.				
System provides the ability to allow the system administrator to schedule an event multiple times.				
System provides the ability for linking together of a series of events necessary to complete a transaction. An event can be a display screen, an entry screen or a program. As each event is completed, the system would continue to the next event until all have been completed.				
System provides the ability for electronic management, routing by office or workgroup, and reporting of work generated by the system such as nightly batch or update.				
System provides the ability for a work queue to be managed or owned by one of the following:				
a) Individual				
b) Variable-Sized Work Group				
c) Department				
d) Location / Facility				
System Provides the Ability for Work Queue Items to be:				
a) Viewed				
b) Modified				



## 1.0 General Requirements

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
c) Deleted				
d) Printed				
e) Void				
System provides the ability for work queue items to be reassigned to another:				
a) Individual				
b) Work Group				
c) Department				
d) Location / Facility				
System will limit the ability to reassign an item after 'x' times				
System provides the ability to allow for appropriate controls to be placed on key queues to notify users of the need to work the queue. As new items are routed to the queue, users will automatically be alerted. System should also be able to turn off auto notices.				
System provides the ability for work queue usage and performance statistics.				
System provides the ability for supervisory work queue aged alerts.				
System provides the ability to allow for supervisors to view daily work queues. Can also assign work to queues.				
<b>Approvals</b>				
System provides adequate levels of management review and approval throughout the system; this may include an automatic queuing or routing of transactions pending management approval.				
System provides the ability to establish approval based on user-defined roles.				
<b>Auditing</b>				
System provides a consistent audit trail for all transactions. This audit trail should be easily traceable from resultant transaction back to source entry.				
System provides for all reasonable type edits unless otherwise specified, will be provided with some type of override mechanism with an audit trail of overrides exercised. This will include User-ID, date and time stamp, an option for entering a comment, and with full management approval/security access.				
System provides the ability to have all automatic system functions provided with some means of either manually overriding the function or the ability to identify and flag exceptions to the automated process. An audit trail of changes to overrides and items flagged as exceptions must be provided. This will include User-ID, date and time stamp, and provide for an option for entering a comment				
System provides for the logging of and identification of any user who accesses and/or modifies but not limited to the following:				
a) Account				
b) Rate				
c) Meter				
d) Work Order				
e) Billing Adjustment				
f) Schedule and Programs				
System provides for user-defined audit retention and archiving abilities based upon user-defined timeframe.				
<b>System Administration / Configuration</b>				

## 1.0 General Requirements

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
System provides the ability to allow the administrator and other designated users the ability to accomplish all major changes in processing requirements by changing various system parameters and/or user-defined business rules without changing the code in programs. This is to be accomplished without the need for professional services.				
Provide for system administrator-defined fields and allow the system administrator to define edits on user-defined fields through the ability to use Possible Value Lists, drop down lists or other field/data validation to enhance the integrity of data entered into the system.				
System provides for the system administrator to easily have the ability to change the description of fields.				
System provides the ability to allow for all software and database design elements (ERD's (Entity Relationship Diagrams), design graphics, etc.)) to be available for viewing and/or updated by the system administrator.				
System provides the ability to allow the system administrator to initiate restart and recovery procedures after any event.				
<b>Data Validation and Exception Reporting</b>				
System will provide specific secured/masked fields to be overridden when transferring service with an audit trail.				
System to allow the selection of specified exception and/or error items for processing or printing or online work queue based on user-specified criteria.				
System to provide processing controls to prove the accuracy and completeness of all processing. Additionally, these controls must prevent reprocessing where the process has already been done. Example: The system should issue a warning if attempting to double post the usage from meter reading or double post cash receipts, etc.				
System to provide a way to correct or reverse any error that may occur. This applies to any and all errors whether system generated or operator induced.				
System to provide the ability to have daily balancing including cash, returned items, accounts receivable, deposits, and billing as well as the capability for diagnostic reporting if out of balance.				

## 2.0 Account, Customer & Premise Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
<b>Generation Information</b>				
System provides the ability to store prior system customer numbers from all legacy systems.				
System to automatically generate unique customer numbers.				
System to automatically generate unique premise numbers.				
System to automatically generate unique account numbers.				
System provides the ability to store a unique location number to identify Branch, Office, etc., within the utility. These numbers will be used to help direct the output file for processing and printing.				
System provides the ability to create a temporary account (e.g., construction sites, etc.).				
System provides the ability to associate one customer with multiple premises.				
System provides the ability to associate a customer with a billing account and premise.				
System provides the ability for a user to modify specific data fields (regarding a customer, meter, billing, etc.) for a single account.				
System provides the ability for a user to modify specific data fields (regarding a customer, meter, billing, etc.) for an account range.				
System provides the ability to override the standard billing cycle to establish a customer-requested bill date.				
System provides the ability to create multiple customers, premises, or accounts from a single setup screen with appropriate edits and quality control features.				
System provides the ability to set defaults (carry data from one screen to the other) in designated fields, based upon customer class with the ability for an override condition.				
System provides the ability to reset defaults (reset data between customers to default amount) in designated fields based upon customer class with the ability for an override condition.				
System provides the ability to default mailing address to service address unless over-written.				
System provides the ability to override defaults.				
<b>Account Data Customer Identification and Information</b>				
System provides the ability to capture customer identification data fields.				
System provides the ability to modify all customer identification data fields.				
System provides the ability to capture a company name for non-residential accounts.				
System provides the ability to capture customer's entire name including the following:				
a) First				
b) Middle				
c) Last				
d) Title				
e) Suffix				
f) Double Last Name				
System provides the ability to search by First or Last name.				
System provides the ability to capture one or more types of Identification such as:				
a) Drivers License				
b) Social Security Number (SSN) or Tax ID				
c) Password with hint question				
d) Phone number (standardized)				
e) Other (e.g., email, SMS/text, etc.)				

## 2.0 Account, Customer & Premise Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
f) Date field and authorization check for using the field (authorized by the customer and who authorized the customer.)				
g) Any government issued identification				
System provides the ability to identify the relationship of the second person to primary account holder including but not limited to the following:				
a) Spouse				
b) Roommate				
c) Landlord				
d) Secondary Party				
e) Guarantor				
f) 3rd Party Non-Related (e.g., Attorney, Executor, Guardian, etc.)				
g) Key Contact at the Utility (i.e., account manager)				
i) Key Contact at Facility				
ii) Key Contact for the Customer				
h) Also Known As or Doing Business As (DBA)				
i) Property Manager				
j) Owner				
k) Other				
System provides information to be associated with the Primary party on account: Multiple phone numbers, email addresses, employment information, and identification numbers. All fields have unique labels by field type.				
System provides information to be associated to a secondary party on account: multiple phone numbers, email addresses, employment information, and identification numbers.				
System provides the ability to capture more than one person's information on one account.				
System provides information to be associated with other parties after the primary and secondary on account: Multiple phone numbers, email addresses, employment information, and identification numbers.				
<b>Addresses</b>				
System to provide individual fields for each component of the premises' service address, including but not limited to the following:				
a) House Number				
b) Fractional House Number				
c) Pre-Direction				
d) Street Name				
e) Post-Direction				
f) Unit Type (i.e., APT/Lot/ other identification numbers, etc.)				
g) Unit Number (i.e., actual number of suite or apartment)				
h) Street Suffix (Ln, Blvd, Rd, St...etc.)				
i) Assessor Parcel Number / Tax Map Identification				
j) State				
k) Zip Code				
l) Zip Code +4				
System will provide for unique premises identification fields, including but not limited to:				
a) Ward				
b) District name				
c) Zone ID				
d) Map Page				
e) Service Area				
f) X,Y Coordinates				
g) Dwelling Type				
h) Services Provided				
i) Inside / Outside service area Limits (Town)				

## 2.0 Account, Customer & Premise Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
System provides the ability to add a single address into the system or en masse.				
System provides the ability to validate the creation of new addresses within the system to eliminate duplicates or to provide an override.				
System to provide a premise comment field (e.g., barn, building, etc.)				
System to provide built-in validation of USPS standards for direction and street type plus other standard abbreviations.				
System to capture multiple address types, such as billing, seasonal, etc.				
System to provide the ability to maintain seasonal start and end dates for alternate mailing addresses with the ability to revert automatically based on a date or other fields.				
System to provide subordinate accounts the use of their own mailing address, or the mailing address of the master.				
System to provide the ability to accommodate multiple mailing names and addresses for multiple copies of the bill.				
System to provide the mailing address to allow for at least two ATTN or C/O fields/lines.				
System provides external connections (API/interface) for validation of USPS API / CASS certification of addresses with overrides. (ability to have a flag that excludes an account from being updated)				
System provides for batch validation and correction of USPS API / CASS certification of addresses.				
System accommodates foreign addresses that do not follow the USPS API / CASS certification.				
System provides the ability to flag accounts with foreign addresses for extra postage.				
<b>Other Customer Account Data</b>				
System provides the ability to track the status of the account independently, customer, premises, and service(s), including but not limited to the following:				
a) Inactive				
b) Active				
c) Final				
d) Pending / New				
System provides the capability to independently track account attributes on the account, customer, premises, and service(s) including but not limited to the following:				
a) Delinquent				
b) Collections				
c) CARE (Low Income)				
d) Life Support				
e) Temporary				
f) Write-Off				
g) Bankruptcy				
h) Bad Debt				
i) Budget billing customer				
j) Liens				
k) Receivership				
System to provide the ability to create and define configurable data fields without system programming - throughout the system.				
System to provide the ability to have and use multiple alert codes.				
System captures account information for the following:				
a) Detailed View of Master Account and Associated Sub Accounts				
b) Detailed View of a Customer that is Associated to Multiple Accounts. Accounts Billed Separately and in Different Routes				

## 2.0 Account, Customer & Premise Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
System captures the history of products/services/rebates, etc., provided for a customer.				
System captures the following information that can be obtained by a customer survey/audit:				
a) Number of Units				
b) Types of Fixtures (e.g., water closets, etc.)				
c) Date Survey/Audit was conducted				
d) Results				
e) Other				
System captures any tampering history at the customer level.				
System to provide the ability to select a preferred method of communication formats (e.g., paper, electronic, SMS/Text, etc.)				
System to provide unlimited client-defined customer types/class for differentiation to included but not limited to:				
a) Residential				
b) Commercial				
c) Industrial				
d) Federal				
e) State				
f) Employee				
g) Other				
h) (Public Authority)				
System captures the original date when the customer moved in, and all services were activated.				
System to provide the ability to enter, display and track billing delivery method for a customer, to include the following but not limited to:				
a) Mail Only				
b) Mail and EBPP				
c) EBPP Only				
d) E-mail Bill Only				
e) SMS / Text				
System provides ability to integrate with faxing software to send documentation via fax.				
System to provide the ability to enter, display and track payment method for a customer to include the following:				
a) Mail				
b) EBPP				
c) ACH				
d) Credit Card				
e) Web Payments				
f) IVR				
g) Mobile App				
System to provide the ability to capture tax exempt certificate number.				
System to provide a method of notification for expired tax exempt certificates.				
System to provide the ability to capture third-party credit agency rating for a customer (e.g., Equifax, TransUnion, etc.).				
System to provide the ability to capture internal credit rating based upon user-defined criteria (e.g., # NSF's, late payments, etc.).				
System provides the ability to automatically change the payment type to "Cash Only" based on a user-defined number of NSF's, with a built-in override - when the file comes from the bank.				
System to provide for multiple health hardship codes.				
System to provide for multiple essential services codes, such as Hospital, EMS, Police department, etc.				
System to capture meter information at the premises level.				



## 2.0 Account, Customer & Premise Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
System provides the ability to capture multiple contact information associated with the service address to include the following:				
a) Tenant				
b) Landlord / Manager				
c) Owner				
System provides the option for the customer to select the type of bill (bill choice), for example, a summary bill or detailed bill - for master/sub-billing.				
Service Charge, Volumetric Charge, Surcharge, Tax, Interest & Miscellaneous Posting. And a comment such as but not limited to:				
a) Base Rate				
b) Tiered Rate				
c) Demand Charge				
d) Customer Charge				
e) Commodity Charge				
f) Transportation Charge				
g) Distribution Charge				
h) Component Charge				
i) Minimum Monthly Charge				
<b>Non-Core Services (PipeSafe, Labs, other)</b>				
System will be configured to identify how a customer starts service to include:				
a) Mailing				
b) Web - client website				
c) Phone				
<b>Service(s) Generation</b>				
System provides a unique identifier for each service type.				
System displays services available within a user-defined range for new and existing services.				
System provides a view of rates and billing schedules for services that are being activated.				
System provides ability to create a bill simulation (quick bill) based on manually entered meter reading.				
System provides ability to do account balance transfer x days after move out date. That means that the system will hold the final balance on the account for a period of time prior to transferring to the new account.				
System has the ability to handle the property closing process as outlined in the RFP.				
System provides the ability to prevent a user from activating a service that has been removed from the premises (i.e., abandoned property).				
System must be able to capture specific rate determinants that allow the system to correctly assign a default rate with the proper amount of reporting to notify users of the change for the following:				
a) service				
b) Customer class				
c) Usage type				
d) Consumption level and history				
e) Capacity				
f) Meter type				
g) Timing or duration				
System has the flexibility for manually overriding rate determinates based on specific situations.				
System provides the ability to create and store a new service address without all premise attributes.				
System provides the ability to capture and identify temporary service locations for the following:				
a) Seasonal Sites				

## 2.0 Account, Customer & Premise Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
b) New Construction				
c) Other User Defined Sites				
d) Date of original service enrollment				
e) Based on Length of Temporary Service				
System to provide the ability for the utility to define the required data fields.				
System to provide for service activation and termination history to be maintained and reviewable for a minimum of 15 years.				
<b>Memos and Notes</b>				
System provides an automatic log entry for the history of customer name changes in the system.				
System provides an automatic log entry for the history of customer mailing address changes in the system.				
System to capture User-ID, and a Date and Time stamp that the memo or note was made.				
System provides security levels for allowing add, edit, and delete functions for memos or notes.				
System to provide for free-form notes and remarks that include the use of special characters.				
System to provides for an unlimited amount of memos or notes and remarks for the following:				
a) Customer				
b) Premise				
c) Account				
d) Services				
e) Meter				
System to provide the ability to categorize notes and remarks based on user-defined criteria.				
System to provide the ability for sorting and displaying notes and remarks based on category, date, etc.				
System to provide the ability to identify critical or permanent notes/remarks. These notes/remarks are exempt from purge/archive.				
System to provide the ability to produce a system generated note or memo based on user-defined account activity or condition. And the ability to upload notes or memos in mass not generated by a system activity.				
System provides the ability to automatically or manually purge notes or memos after a user-defined time frame and proper security.				
System provides the ability to have expiration dates on client-defined notes that can be set up at the time of creation.				
System provides the ability to display all notes that are associated to a customer, regardless of their specific account.				
System provides the ability to display, log, and respond to all e-mails that are associated to a customer, regardless of their specific account.				
System has the ability to provide (or disable) spell check and word-wrapping ability for entering notes or memos.				
<b>Master and Sub-Accounts</b>				
System to provide the ability to associate sub-accounts to a master account or to multiple sub-accounts.				
System to provide the ability for the sub-account to be associated or disassociated to the master account at any time during the billing month.				
System to provide the ability to maintain credit history of sub-accounts independently from the master account.				
System to provide the ability to maintain the credit history of the master account independently from the sub-accounts.				

## 2.0 Account, Customer & Premise Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
System to provide financial and reading history independently or collectively for master and sub-accounts.				
System provides a view of a master and its associated sub-accounts, that includes accounts, premises, and balances detail, etc.				
System provides the ability to establish a master account for statement and reporting purposes only. Actual billing and payment takes place at the sub-account level.				
System provides the ability to establish a master account for consolidation of billing and payments.				
<b>Customer Calls</b>				
System has the ability to link with an interactive voice response system.				
System provides the ability to pre-populate the primary customer information screen from inbound calls.				
System provides the ability to track all customer contacts.				
System captures date and time of when a customer called.				
System captures notes relating to the nature of the call.				
System provides the ability to classify a resolution type for the call, including but not limited to:				
a) Complaint - Closed Customer Issue				
b) Inquiry - Answered				
c) Complaint - Closed Company Issue				
System provides the ability to capture resolution date and time.				
System to provide a form for supervisors to monitor open contacts by CSR-ID.				
System provides the ability to create reports for customer call information.				
System will provide the ability to provide user-defined call types.				
<b>Customer Conversation Scripting</b>				
System provides the ability to create, store and present scripts for calls that the CSR's can follow.				
System provides the ability to configure scripts by product/service and the type of call.				
System provides the ability to have scripts prompt users of key data capture questions related to the issue.				
System provides the ability to have up to 20 questions for each script type.				
<b>Account Operations/Manipulation</b>				
System to provide the ability to activate one or more specific services without others.				
System to provide the ability to alert the user of customers that have alert codes (e.g., cash only, confidential, etc.).				
System to provide the integration of captured e-mail address for delivery of bills and notices electronically.				
System to provide the ability to notify a user of unused but available products, services, programs, etc. for potential cross- or up-sales.				
System to provide the ability to set up an installment plan for services provided with a fixed total amount due, monthly payment amount, and fixed end date.				
System to provide the ability to set up an installment plan for charitable contributions, with a fixed or unlimited total amount due, monthly payment amount, and fixed or unlimited end date.				
System to provide the ability to require and capture certain identification and/or personal information during the account creation and maintenance process.				
System to provide the ability to transfer customers from one premise to another, maintaining existing customer information.				

## 2.0 Account, Customer & Premise Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
System to provide the ability to create a new customer and transfer services from an existing customer to the new customer.				
System to provide the ability to request one or more services to be terminated with a date certain (final-off).				
System to provide the ability to automatically identify and report accounts with no activity for a specified period of time.				
<b>Account Display</b>				
System to provide the ability to view historical financial information when creating a new account, whether the historical information is active, in collections, or written off.				
System provides the ability to view the following:				
a) Accounts Receivable History				
b) Payment History for 10 years				
c) Adjustment History				
d) Deposit History				
e) Simple Interest History				
f) Payment Plans and Status				
g) Payment Plan Historical Information				
h) Current Accounts Receivable Charges and Due Dates				
i) Current Payment Transactions not yet Dispersed / Posted to Accounts Receivable				
j) Account Billing History				
k) Service Order History				
l) Open Service Orders				
m) Active Products/Services for a Customer or Premises				
n) Customer Calls, Memos, Notes History				
o) Credit History by Customer				
System has the ability to export all consumption history in a standard file format to the desktop.				
System provides the ability to view the history of bad payments (NSF, slow pay, etc.) received on an account for a user-defined time period.				
System provides the ability to flag accounts that have active recurring charges.				
System provides the ability to establish and track the end-date of recurring charges.				
System provides the ability to link to and display bill images stored outside the CIS system.				
System provides the ability to list available linked bill images according to search, filter, and sort criteria.				
<b>Landlord/Tenant Information</b>				
System to provide the ability to set up, change, delete and/or revert-to-landlord, the active customer when a tenant is final billed.				
System provides the ability to recognize/waive service initiation fees for addresses reverting to a landlord's name.				
System to provide the ability to mass setup, change and delete landlord and revert-to information (role-based)				
System to provide the ability to establish an effective time period for revert-to functionality.				
System provides the ability to view the landlord status history at the premises.				
System to provide the ability where accounts on owner's revert-to program will automatically transfer into landlord name after a tenant closes the account.				
<b>Property Closings</b>				
System to provide ability to create a bill simulation for a final bill document in advance of the move out date, on the move out date, and post the move out date based on a manually entered meter reading(s) or a system estimated reading(s)				

## 2.0 Account, Customer & Premise Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
System to provide ability to create a Property closing statement is created reflecting the final bill simulation and all outstanding balances for the premise. i.e., for all historical billed parties, including migrated and prior moved out billed parties. Total charges due including the following charges if applicable; non-water, interest, sales tax, miscellaneous charges, surcharges, etc.				
System provides ability to preview, cancel or revise during bill simulation prior to sending property closing statement.				
System provides ability for property closing statement be faxed from the creation data entry screen.				
System provides ability for error messages when required data is not entered in order to proceed with creation of bill simulation document.				
System provides ability for attorney requested property closings need to generate the following actions:				
a) All active Installations are moved out based on the move out date and final bill created				
b) Final bill is suppressed from printing				
c) Water and fire installations are automatically moved in to new buyer with a new buyer account effective the move in date, with user defined rate category, scheduled meter read/billing dates				
d) PipeSafe protection plans are terminated and a cancellation reason posted to the account automatically				
e) PipeSafe protection plans are not automatically initiated for the new party				
f) User Defined # of days - Automatic Solicitation Letter(s) for PS Plan(s) based on user defined eligibility criteria				
g) User Defined # of days after move out date, automatic balance transfer from seller and historical moved out accounts to new buyer account. - date is user defined				
h) User Defined # of days - Automatic Posting lock on the move out account, incoming payments go to clarification				
i) User Defined # of days -Automatic Interest lock; move out account – no expiration, move in account – 30 days				
j) User Defined # of days - Automatic Dunning lock; move out account – no expiration				
k) User Defined # of days - Automatic Welcome Letter sent to buyer				
l) User Defined # of days - Automatic Follow Up Solicitation Letter(s) for PS Plan(s) for customers not enrolled based on user defined eligibility criteria				
System to provide for Municipal Foreclosure property closings generate all actions for property closings with the following differences:				
a) Bill simulation document is created and reflects \$0 total charges due for the premise.				
b) Balance is not transferred to the new account.				
Balance is subject to full write off because a tax lien has priority over water.				
c) Ability to create a statement for non-metered accounts; i.e. historical outstanding dollars for premise, but not currently moved in.				
System to provide ability to create a property closing statement for tenant billed account where the tenant is the buyer				
System to provide ability to generate account history report along with property closing statement when needed i.e., mortgage foreclosure and lender assumes ownership				

## 2.0 Account, Customer & Premise Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
System provides ability to allow authorized user(s) to manually perform steps referenced above if needed; either individual or in mass				
System has the ability to display property transfer bill simulation document history; i.e. date of move out, buyer/seller/reading/calculations etc....				
System provides ability to resend document(s) to attorney and/or additional parties if needed.				
System provides ability for Property Closing documents that includes the following:				
a) Outstanding balance				
b) Prorated charges (debit/ credit) from last read date to closing date; calculating for both charges billed in arrears and in advance				
c) Buyer / seller contact information, i.e., name and mailing address and billed party (Tenant), if seller is NOT currently billed party.				
d) Move out date				
e) Move out reading				
f) Last read date				
g) Amount due for each contract /installation type				
h) Simulation to include applicable sales tax for each contract /installation type i.e., non- water				
i) Simulation to include applicable service charge for each contract /installation type, i.e., non-water				
j) Inactive contract account(s) and total due balance associated with the premise				
k) Ability to add notes				
l) Ability to add miscellaneous changes not yet billed i.e., meter replacement fee				
System provides the ability to revise the move out; i.e., closing date change, or cancellation. *Cancellation or closing date change will also prevent automatic activities referenced above if not yet triggered				
<b>Special Contracts</b>				
System captures specially negotiated service contract rates.				
System captures any contact information, for example, but not limited to SLA's, Business partners, equipment maintenance, contract status, credit & collection details, special minimums, special facility tariffs, etc.				
System to provide the ability to view historical financial information when creating a new account, whether the historical information is active, in collections, or written off including but not limited to:				
a) Active contracts				
b) Contract history				
System provides the ability to assign special discount codes (contract) at the customer level to follow the customer as they move within the system for the following type of customers:				
a) Water Assistance Programs				
b) Low Income				
c) Life Support				
d) Economic Development (where rate reflects the discount) In the event a customer does not fulfill their contract term the total amount due will be billed.				



## 2.0 Account, Customer & Premise Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
System provides the ability to track low-income accounts through visual account identifiers.				
System provides the ability to track SHARE/HEAP, Lifeline, Economic Development, and other user-defined accounts, through separate visual account identifiers.				
System provides the ability to terminate contracts, (e.g., Low Income), at the location when the customer that qualified for the contract moves out and closes the account.				
System provides the ability for the contracted discount amount to follow the customer to the new location.				
<b>Product Generation</b>				
System provides a unique identifier for each product type.				
System provides a view of rates and billing schedules for services/products that are being activated.				
System has the flexibility for manually overriding rates determinants, based on specific situations and with the proper security.				
System provides the ability to capture the date of original product purchase.				
System provides the ability for user-defined fields.				
System provides the ability to set up an installment plan for products/equipment sales/rental with a fixed total amount due, monthly payment amount, simple interest, and with a fixed end-date.				
System to provide the ability to associate a customer to special product offerings including:				
a) Discount Packages				
b) Levelized Payments				
c) Conservation and Efficiency Plan				
d) Charitable Donation Plan				
System to provide the ability to create a new customer and then transfer/inactivate product(s) from an existing customer to the new customer.				
<b>Marketing and Communications Data</b>				
System provides the ability to track customer data using user-defined codes.				
System provides the ability to track user-defined Marketing Promotion Codes.				
System provides the ability to notify users of new products or services, protection plans, welcome letters etc. to market to the customer, based upon psychographic code or other customer information.				

					3.0 Credit and Collections				
Application Requirement	Tab	Category	Sequence		Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
CIS	CC	3	0	0	<b>System Requirements</b>				
CIS	CC	3	0	1	System provides the ability to maintain a record of open accounts receivable indefinitely.				
CIS	CC	3	0	2	System will retain searchable history on accounts with any balance for more than 84-months.				
CIS	CC	3	0	3	System provides the ability to view on-screen a listing of at least 84 (user-defined) months transactions on a specific account. These transactions include adjustments, payments, meter transactions, database changes, etc.				
CIS	CC	3	10	0	<b>A/R Processing</b>				
CIS	CC	3	10	1	System provides the ability to allocate partial payments based on service for the following:				
CIS	CC	3	10	2	a) Priority				
CIS	CC	3	10	3	b) Due Date - Oldest Date				
CIS	CC	3	10	4	c) Weighted Percentage				
CIS	CC	3	10	5	d) Ability to Prioritize any Combination of A-C by User Defined Order				
CIS	CC	3	10	6	System provides the ability to accept overpayments with automatic generation of proper accounting entries.				
CIS	CC	3	10	7	System provides the ability to track prepayments for services with proper accounting entries.				
CIS	CC	3	10	8	System provides the ability to provide for positive (or negative) billing adjustments with an audit trail.				
CIS	CC	3	10	9	System provides the ability to manually transfer balances on inactive accounts to other accounts, with a clear audit trail.				
CIS	CC	3	10	10	System will allow overpayments to remain as a credit on the account with automatic generation of proper accounting entries.				
CIS	CC	3	10	11	System provides the ability to automatically create an edit report to approve final credit balance refunds. Refund dates are user-defined.				
CIS	CC	3	10	12	System can retain a credit balance on an account, regardless of account status or other automated refund parameters.				
CIS	CC	3	10	13	System provides the ability to cut checks for overpayments as defined by user-defined criteria.				
CIS	CC	3	10	14	System provides the ability to have a grace period between the last payment date and the issuance of a refund check.				
CIS	CC	3	10	15	System provides the ability to issue a credit refund regardless of the balance due on the account in the event of a payment made in error.				
CIS	CC	3	10	16	System provides the ability to cut a check for any specified amount regardless of the balance of account but not to exceed the credit balance on the account.				
CIS	CC	3	10	17	System provides the ability to make the appropriate journal entries to the general ledger when refunds are made.				
CIS	CC	3	10	18	System should generate refunds of final bill credits or overpayments.				
CIS	CC	3	10	19	System provides the ability to automatically generate security deposit refunds as a credit to the account based on pre-defined rules.				
CIS	CC	3	10	20	System provides the ability to automatically generate security deposit refunds as a check to the customer based on pre-				
CIS	CC	3	20	0	<b>A/R Adjustments</b>				
CIS	CC	3	20	1	System provides the ability to post adjustments to accounts that have been written off.				
CIS	CC	3	20	2	System provides on-screen interactive adjustment process, including review and approval before posting.				
CIS	CC	3	20	3	System provides the ability to set dollar limits of adjustments that will not be applied to the customer's account. The adjustments will be placed in a queue for approval.				
CIS	CC	3	20	4	System provides an audit trail of all adjustments that include the following:				
CIS	CC	3	20	5	a) Dollar Amount				
CIS	CC	3	20	6	b) User ID that Created, Modified, and/or Deleted the Adjustment				
CIS	CC	3	20	7	c) User ID that Approved the Adjustment				
CIS	CC	3	20	8	d) Reason or reason code or comment				
CIS	CC	3	20	9	e) Date				
CIS	CC	3	20	10	f) Time				
CIS	CC	3	20	11	System provides the ability to track the following fields:				
CIS	CC	3	20	12	a) Entry date				
CIS	CC	3	20	13	b) Posting date				
CIS	CC	3	20	14	c) Name of Program or Process that Generated the Adjustment				
CIS	CC	3	20	15	System provides the ability to notify a defined reviewer when a predetermined number of adjustments have been made by a single user.				
CIS	CC	3	20	16	System provides the ability to accommodate back billing for multiple periods with an adjustable start and end date using rates effective during back billing time frame.				

CIS	CC	3	20	17	System supports sending and reversing transactions to the general ledger.				
CIS	CC	3	20	18	Selected users can transfer deposits from one account to another with an audit trail.				
CIS	CC	3	20	19	System provides the ability to transfer individual open A/R line items from one account to another with an audit trail based on security.				
CIS	CC	3	20	20	System provides the ability to transfer entire A/R record from one account to another with an audit trail and proper security.				
CIS	CC	3	20	21	System provides a summary of the information on the bill that identifies all A/R-related items.				
CIS	CC	3	20	22	System provides the ability to reverse a payment due to NSF or other return.				
CIS	CC	3	20	23	System provides the ability to automatically charge a return payment fee when the payment reversal is processed.				
CIS	CC	3	20	24	System provides the ability to override a charge for a payment reversal.				
CIS	CC	3	20	25	System to allow a returned payment (NSF) fee to be a fixed amount.				
CIS	CC	3	20	26	System to allow a returned payment (NSF) fee to be a percentage of the payment amount.				
CIS	CC	3	20	27	System provides the ability to adjust all types of products/service billing for the months that are in error.				
CIS	CC	3	20	28	System provides the ability to view the previous 84 (user-defined) months adjustments, with complete details (e.g., reading, number of months adjusted, remarks, etc.).				
CIS	CC	3	20	29	System provides the ability to make adjustments on Accounts Receivable by individual service.				
CIS	CC	3	20	30	System provides the ability to make adjustments on Accounts Receivable for any charges on a meter and non-meter products/services.				
CIS	CC	3	20	31	System provides the ability to enter mass adjustments to a range of the following information:				
CIS	CC	3	20	32	a) Accounts				
CIS	CC	3	20	33	b) Services				
CIS	CC	3	20	34	c) Products				
CIS	CC	3	20	35	d) Cancel / Rebill				
CIS	CC	3	30	0	<b>Fee Processing/Penalty</b>				
CIS	CC	3	30	1	System provides the ability to calculate and display minimum balance required and the last day to pay before further action may be taken.				
CIS	CC	3	30	2	Automatically produce past due notices based upon customers' preferred method of communication and user-defined business rules.				
CIS	CC	3	30	3	System sends email reminder notice if an email is present and/or otherwise, a paper copy is sent.				
CIS	CC	3	30	4	System provides the ability to generate past due notices automatically based on the age of receivable and status of an account.				
CIS	CC	3	30	5	System provides the ability to assess late fees based on the age of receivables.				
CIS	CC	3	30	6	System provides the ability to calculate late fees as a fixed amount or a percentage.				
CIS	CC	3	30	7	System provides the ability to mark accounts that are exempt from late fees.				
CIS	CC	3	30	8	System provides the ability to mark accounts that are exempt from late fees by rate schedule/type.				
CIS	CC	3	30	9	System provides the ability to adjust late fees.				
CIS	CC	3	30	10	System provides the option to calculate and assess late fees, while the account has scheduled payment terms, on the unpaid balance.				
CIS	CC	3	30	11	System provides the ability to calculate and assess a late fee based upon non-compliance of payment plan terms.				
CIS	CC	3	30	12	System provides the ability to exempt an account from a late fee with a one-time override in addition to the letter and/or email/social media generation.				
CIS	CC	3	30	13	System provides the ability to establish a promise to pay date that temporarily extends the date of the amount due.				
CIS	CC	3	30	14	System provides the ability to place the account that has a promise to pay date out of the normal collection track.				
CIS	CC	3	30	15	System provides the ability to exempt an account from a late fee with a one time override with an audit trail.				
CIS	CC	3	40	0	<b>Delinquent Processing</b>				
CIS	CC	3	40	1	System provides the ability to access through inquiry all delinquent receivables charges for an account or a customer.				
CIS	CC	3	40	2	System provides the ability to assess a late fee and leave the customer in the collection stream yet not create a shut-off.				
CIS	CC	3	40	3	Provide the ability to exempt accounts to prevent them from going into delinquency status on a recurring basis (e.g., Church, University, other agencies, etc.).				
CIS	CC	3	40	4	System provides the ability to generate outbound collection call file, social media and/or email.				
CIS	CC	3	40	5	System generates an additional collection letter within a user-defined time frame.				
CIS	CC	3	40	6	System provides the ability to manually prevent a delinquent account from being turned over to a collection agency.				
CIS	CC	3	40	7	System provides the ability to make adjustments to delinquent accounts.				

CIS	CC	3	40	8	System provides the ability to generate a report of accounts that are delinquent and that have a special alert codes, e.g., life support equipment in the home, essential services, etc.				
CIS	CC	3	40	9	System provides the ability to suspend the delinquency process temporarily for an account in lieu of changing delinquency exemption permanently.				
CIS	CC	3	40	10	System will be configured for setting up the following rules for dropping accounts from delinquent ledger for various reasons including but not limited to:				
CIS	CC	3	40	11	a) Payment arrangements				
CIS	CC	3	40	12	b) Life support				
CIS	CC	3	40	13	c) High bill investigation/bill disputes				
CIS	CC	3	40	14	d) Re-read order pending				
CIS	CC	3	40	15	e) Payment extensions				
CIS	CC	3	40	16	f) Under a certain dollar amount				
CIS	CC	3	40	17	System provides the ability to create delinquency exceptions that will increase the duration of time before the next scheduled collection process.				
CIS	CC	3	40	18	System provides the ability to notify both the primary and the secondary party when an account is delinquent.				
CIS	CC	3	40	19	System provides the ability to notify a 3rd-party when the account is delinquent.				
CIS	CC	3	40	20	System provides the ability to automatically send selected delinquent notices to the customer in addition to multiple third parties.				
CIS	CC	3	40	21	System provides the ability to generate separate delinquent notices for accounts in Master metered relationships, i.e., apartments, mobile home parks and strip malls/commercial accounts.				
CIS	CC	3	40	22	System provides the ability to charge collection cost based on the delinquent activity to the Delinquent Ledger account or equivalent.				
CIS	CC	3	40	23	System provides the ability to search for unpaid bills on the delinquent ledger or accounts receivable by name, etc.				
CIS	CC	3	40	24	System provides the ability to track Delinquent Ledger history billing even after payment has been made for up to 84 months.				
CIS	CC	3	40	25	System provides the ability to automatically generate cut-off service orders for accounts based on user-definable rules:				
CIS	CC	3	40	26	a) Age of Receivable				
CIS	CC	3	40	27	b) Cycle or Route				
CIS	CC	3	40	28	c) Dollar Amount				
CIS	CC	3	40	29	d) By Area				
CIS	CC	3	40	30	e) Deposit on File (i.e., greater than the outstanding balance means no-disconnect. Up to three times per year when the deposit is greater than the A/R plus the calculated amount of usage for the current period.)				
CIS	CC	3	40	31	System provides the ability to exempt an account from disconnect service order manually.				
CIS	CC	3	40	32	System provides the ability to generate user-defined special cutoffs manually.				
CIS	CC	3	40	33	System provides the ability to apply a selected fee to the delinquent service order.				
CIS	CC	3	40	34	System provides the ability to run a selection process that will optionally create final tag notices for delinquent accounts based on a variety of options, including but not limited to:				
CIS	CC	3	40	35	a) Route and cycle				
CIS	CC	3	40	36	b) Minimum Balance				
CIS	CC	3	40	37	c) Maximum Number of Orders				
CIS	CC	3	40	38	d) Service type				
CIS	CC	3	40	39	e) Age of receivables				
CIS	CC	3	40	40	f) Any Combination of the Above				
CIS	CC	3	40	41	System will provide the capability of reinstating the account back into the accounts delinquency track when the reversal of the payment has been applied (e.g., returned check, etc.).				
CIS	CC	3	40	42	System will provide the capability of reinstating the account back into the accounts delinquency track with an automatic grace period from when the reversal of the payment was applied. This allows for the mailing of a customer notification time period.				
CIS	CC	3	40	43	System provides the ability to automatically generate service orders to terminate remaining product and/or services after a designated time following cut off of a service for delinquency if the delinquency remains unpaid.				
CIS	CC	3	40	44	System provides the ability to produce and print delinquent door hangers.				
CIS	CC	3	40	45	System provides the ability to provide receipts (door hangers) to include, but not limited to:				
CIS	CC	3	40	46	a) Mailing Address				
CIS	CC	3	40	47	b) Telephone Number				
CIS	CC	3	40	48	c) Customer's Service Address				
CIS	CC	3	40	49	d) Premise or partial account number				
CIS	CC	3	40	50	e) Reason for the Proposed Termination				
CIS	CC	3	40	51	f) Total Outstanding Balance				
CIS	CC	3	40	52	g) Due Date and Time to Pay By				
CIS	CC	3	40	53	h) Notice of Additional Deposit Amount				
CIS	CC	3	40	54	i) Notice of a Reconnect Fee				
CIS	CC	3	40	55	j) Special Notes				
CIS	CC	3	40	56	k) User Defined Fields				

CIS	CC	3	40	57	l) notice must be printed in the following languages but not limited to:				
CIS	CC	3	40	58	i) English				
CIS	CC	3	40	59	ii) Spanish				
CIS	CC	3	40	60	System provides the ability to filter based on the below criteria and create a generic file that can be sent to an IVR system to perform the following outbound dialing activities:				
CIS	CC	3	40	61	a) Past Due Amount of 45 Days				
CIS	CC	3	40	62	b) Past Due Amount of 67 Days				
CIS	CC	3	40	63	c) Due To Be Cut at 75 Days				
CIS	CC	3	40	64	System provides the ability for accounts to be manually exempt from being exported to an IVR system for outbound dialing.				
CIS	CC	3	40	65	System provides the ability to filter based on the below criteria and create a file that can be sent to email/social media/text messaging system (SMS) to perform the following outbound communication activities:				
CIS	CC	3	40	66	a) Past Due Amount of 45 Days				
CIS	CC	3	40	67	b) Past Due Amount of 67 Days				
CIS	CC	3	40	68	c) Due To Be Cut at 75 Days				
CIS	CC	3	40	69	System provides the ability for accounts to be manually exempt from being exported to a text/SMS/social media systems for outbound communication.				
CIS	CC	3	50	0	<b>Write-Off</b>				
CIS	CC	3	50	1	A user can set up criteria for reporting by the system that identifies accounts eligible for write-off to include, but not limited to the following:				
CIS	CC	3	50	2	a) Dollar				
CIS	CC	3	50	3	b) Status				
CIS	CC	3	50	4	c) Duration				
CIS	CC	3	50	5	d) Account Type (e.g., bad debt legal, sundry, account status, etc.)				
CIS	CC	3	50	6	System provides the ability to manually write-off selected charges.				
CIS	CC	3	50	7	System provides the ability to select accounts for write-off, based upon user-defined criteria automatically.				
CIS	CC	3	50	8	System provides the ability to track when and how much an account was written off for.				
CIS	CC	3	50	9	System provides the ability to view at the customer-level historical write-offs for accounts that pertain to that customer.				
CIS	CC	3	50	10	Customers that have been written-off can be reactivated.				
CIS	CC	3	50	11	System provides the ability to report against payments received on accounts that have been written-off.				
CIS	CC	3	50	12	System provides the ability to display write-off amounts and post payments to prior-year write-off ledger accounts.				
CIS	CC	3	50	13	System provides for the ability to systematically and automatically accept and report payments on previously written-off amounts (e.g., the credit payment is applied, and normal processing occurs without human intervention).				
CIS	CC	3	50	14	System to flag user when a customer with write-off history wants to create a new account.				
CIS	CC	3	50	15	System provides the ability to activate a customer account in write-off status without collecting the write-off amount.				
CIS	CC	3	50	16	System prevents a user from re-activating a customer account in write-off status without collecting the write-off amount, but with the option of an override.				
CIS	CC	3	50	17	System provides the ability to run the write-off batch process within an hour window.				
CIS	CC	3	50	18	System will provide the ability to lien an account based on the following but not limited to:				
CIS	CC	3	50	19	a) Dollar amount				
CIS	CC	3	50	20	b) Duration of time				
CIS	CC	3	50	21	System will provide the ability to quickly identify accounts that have currently been placed on a lien from the CSR screen.				
CIS	CC	3	50	22	System will provide the ability to calculate the lien able amount owed once service is disconnected.				
CIS	CC	3	50	23	System will provide an electronic medium of all accounts with a lien. This information can be provided to an outside agency.				
CIS	CC	3	50	24	System will provide the ability to quickly identify accounts that have currently been placed on a lien from the CSR screen.				
CIS	CC	3	60	0	<b>Archive and Purge Records</b>				
CIS	CC	3	60	1	System provides the ability for selected users to archive billing and accounts receivable history based on user entered effective dates.				
CIS	CC	3	60	2	System provides the ability for selected users to archive payment history based on user entered effective dates.				
CIS	CC	3	60	3	System provides the ability for selected users to archive other financial and customer related information based upon user-defined criteria.				
CIS	CC	3	60	4	System provides the ability to re-instate an archived record to the active system.				
CIS	CC	3	60	5	System provides the ability to purge selected records based on effective dates and user-defined criteria.				
CIS	CC	3	60	6	System provides the ability to select user-defined dates to back up before purging records.				
CIS	CC	3	70	0	<b>Credit Rating</b>				

CIS	CC	3	70	1	System provides the ability to automatically update credit history with NSF check data, number of delinquency notices, and number of cut-off for non-pay service orders, breaking <u>promises-to-pay, etc.</u>				
CIS	CC	3	70	2	System provides the ability for credit history of all accounts of a customer to be evaluated at the customer level.				
CIS	CC	3	70	3	System allows establishing rule-driven overall credit score for a customer.				
CIS	CC	3	70	4	System allows establishing rule-driven overall credit score for an account.				
CIS	CC	3	70	5	System automatically assesses credit impact with user definable point values for credit activities.				
CIS	CC	3	70	6	System to provide the capability to expire credit impact points over time to positively restore credit score.				
CIS	CC	3	70	7	System allows for the capability to allow a refund of deposit fees to be dependent on obtaining or maintaining an adequate credit score.				
CIS	CC	3	70	8	System will provide the option to create user-defined criteria to consider a customer's/customer account's overall credit rating and length of service with the utility to determine messaging content and frequency of delinquent notification.				
CIS	CC	3	80	0	<b>Bankruptcy Processing</b>				
CIS	CC	3	80	1	System to allow a user to code bankruptcy and split an account balance <u>pre- and post- petition</u>				
CIS	CC	3	80	2	System provides for setting up user-defined rules for dropping accounts from delinquent ledger for various reasons including bankruptcy proceedings.				
CIS	CC	3	80	3	System provides the ability to identify bankruptcy accounts by the current bankruptcy status.				
CIS	CC	3	80	4	System will be configured to track and identify the status and payments on the main customer service screen of the bankruptcy status include the following:				
CIS	CC	3	80	5	a) Chapter 7				
CIS	CC	3	80	6	b) Chapter 11				
CIS	CC	3	80	7	c) Chapter 13				
CIS	CC	3	80	8	System will be configured to track dismissals and discharges.				
CIS	CC	3	80	9	System provides the ability to track bankruptcy history in customer account screen, including but limited to case #, Trustee, Hearing Date				
CIS	CC	3	80	10	System will be configured to indicate on the new account that the customer has filed for bankruptcy on an old account.				
CIS	CC	3	90	0	<b>Deposits</b>				
CIS	CC	3	90	1	System will provide the ability to assess a deposit by service.				
CIS	CC	3	90	2	System will provide for a deposit-application hierarchy.				
CIS	CC	3	90	3	System will support the ability to charge different deposit amounts for all customers, in particular:				
CIS	CC	3	90	4	a) Billed amount (anticipated or history)				
CIS	CC	3	90	5	b) "Like" establishment or business				
CIS	CC	3	90	6	System will provide for separate deposits to be reported for individual services.				
CIS	CC	3	90	7	System provides the ability to default deposit amount for selected services based upon user-defined criteria (e.g., type of service, number of services, Credit Bureau rating, etc.)				
CIS	CC	3	90	8	System provides the ability to accept Standby Line of Credit or Surety Bond information to satisfy the deposit requirement for non-residential accounts.				
CIS	CC	3	90	9	System provides the ability to assess deposit by service. Separate deposits can be collected and reported for individual services. Must have a way to ensure the correct deposit is <u>applied to the service</u>				
CIS	CC	3	90	10	System allows a deposit for a single customer across multiple accounts. A customer can apply a single deposit to cover multiple premises.				
CIS	CC	3	90	11	System will transfer existing deposit(s) to a new account or service. At the point of termination, a customer has the option to have their deposit transferred to a new billing account in accordance with utility defined parameters.				
CIS	CC	3	90	12	System allows for the transfer of the deposit to another account being opened by the customer when credit rating warrants the need for an increased deposit if the customer transfers from one premise to another.				
CIS	CC	3	90	13	System will calculate the deposit amount due at the new premises and alert the user as to the amount that the transferring deposit is over or short the new deposit requirement, if the customer transfers from one premise to another, <u>with the ability to override.</u>				
CIS	CC	3	90	14	System provides calendar year interest paid to customer for preparation of 1099-Interest forms.				
CIS	CC	3	90	15	System provides the ability to have flexibility in calculating interest on deposits that is user controlled. Interest calculations, calculation methods (simple), and accruals are determined by the user.				
CIS	CC	3	90	16	System provides the ability to calculate interest on deposits that were paid in increments, calculating interest on each increment based on the date and amount of the deposit payment.				
CIS	CC	3	90	17	System provides the ability to calculate a new deposit for services when transferred, taking into account credit history, types of services, and customer type, with the ability to override.				



CIS	CC	3	90	18	System has the ability to display accrued interest not yet paid on deposits.				
CIS	CC	3	90	19	System provides the ability for users to manually or automatically apply interest or deposit and interest to active accounts.				
CIS	CC	3	90	20	System provides the ability to apply deposit and deposit interest to a bill on a user-defined interval and rate.				
CIS	CC	3	90	21	System will allocate payment based on priorities given to pay codes, rates, service, and/or any combination therein.				
CIS	CC	3	90	22	System will evaluate current deposits and provide the ability to recommend increased/decreased requirements on active accounts based on the following criteria:				
CIS	CC	3	90	23	a) Credit History				
CIS	CC	3	90	24	b) Customer Class				
CIS	CC	3	90	25	c) Types of Services				
CIS	CC	3	90	26	d) Usage History				
CIS	CC	3	90	27	e) Average Bill Amount				
CIS	CC	3	90	28	f) Length of Service with the Utility				
CIS	CC	3	90	29	System will allow for the deposit to be paid in a single payment or installments being billed over a user-defined timeframe.				
CIS	CC	3	90	30	System will provide on-screen ability to view outstanding deposits not yet applied.				
CIS	CC	3	90	31	System provides the ability to track expiration dates on all letters of credit and surety bonds held in lieu of deposit.				
CIS	CC	3	90	32	System provides the ability to automatically generate a letter to a customer in a user-defined number of days before the expiration of the letter of credit, surety bond, or CDs.				
CIS	CC	3	90	33	System provides the ability to transfer deposits from one account to another account, regardless of status, with an audit trail.				
CIS	CC	3	90	34	System provides the ability to hold a deposit, exempting it from the automatic refund.				
CIS	CC	3	90	35	System provides the ability to automatically refund deposits when the deposit requirement period has expired, and the current credit rating is satisfactory.				
CIS	CC	3	90	36	System provides the ability to automatically apply the deposit on the account when the deposit requirement period has expired, and the current credit rating is satisfactory.				
CIS	CC	3	90	37	System provides for application of the deposit to the final bill when an account is closed.				
CIS	CC	3	90	38	System creates appropriate GL entries for deposit refunds.				
CIS	CC	3	90	39	Deposit payment and refund history are maintained at customer and account level.				
CIS	CC	3	90	40	Deposit payment and refund history are maintained at the service level.				
CIS	CC	3	90	41	System provides for the ability to automatically send a letter to a customer indicating that a deposit was assessed, the deposit amount, and deposit terms and conditions.				
CIS	CC	3	100	0	<b>Payment Arrangements</b>				
CIS	CC	3	100	1	System provides the ability to see all payment plans that the customer has had. The system will also display on a single screen the ability to see the following:				
CIS	CC	3	100	2	a) Status				
CIS	CC	3	100	3	b) Number of Payment Arrangements				
CIS	CC	3	100	4	c) Number of Payment Arrangements Successfully Completed				
CIS	CC	3	100	5	d) Number of Payment Arrangements Defaulted				
CIS	CC	3	100	6	System to provide for non-standard payment plan periods (i.e., daily, weekly, monthly, etc.) on customer payment plans.				
CIS	CC	3	100	7	System provides the ability to vary payment plan agreement amounts and due dates.				
CIS	CC	3	100	8	System provides the ability to establish payment plan agreement by selected open items.				
CIS	CC	3	100	9	System to allow a user to set up deferred payment plans based on a fixed dollar amount per month in addition to current bill amount.				
CIS	CC	3	100	10	System to allow the set up of payment plans for accounts regardless of status.				
CIS	CC	3	100	11	System to allow flexibility to modify payment plan installment amounts and due dates.				
CIS	CC	3	100	12	System provides the ability to prevent cut-off notices from being created when payment plan terms are being met.				
CIS	CC	3	100	13	System provides the ability to alter delinquent and other messaging based upon satisfaction or non-satisfaction of payment plan.				
CIS	CC	3	100	14	System provides the ability to automatically suspend the creation of a cut-off service order when terms of a payment arrangement are being met.				
CIS	CC	3	100	15	System provides the ability to automatically generate a cut-off service order when terms of a payment arrangement are not met.				
CIS	CC	3	100	16	System to automatically produce payment plan notices based upon customers' preferred method of communication and user-defined business rules.				
CIS	CC	3	100	17	System to manually produce payment plan notices based upon customers' preferred method of communication and user-defined business rules.				
CIS	CC	3	100	18	System will apply overpayments to the next payment due in the payment plan if the customer overpays.				

CIS	CC	3	100	19	System will accept a payment and apply it to open receivables or allow a credit balance on the account if the customer has completed their payment plan.				
CIS	CC	3	100	20	System will calculate monthly payment, based on fixed number of months on balance due at that point in time, with the provision that a user can change payment plans at any time.				
CIS	CC	3	100	21	System will calculate monthly payment, based on fixed number of months on balance due at that point in time, including rule defined interest charge, and a user can change payment plans at any time.				
CIS	CC	3	100	22	System to automatically provide an alert to a user of payment plan arrangement that is in default.				
CIS	CC	3	100	23	System to provide the ability to create user-defined parameters/limits for users creating payment arrangements.				
CIS	CC	3	100	24	System to provide the ability to create user-defined parameters/limits, with override capability, for payment arrangements.				
CIS	CC	3	100	25	System to provide audit trail displaying user who created the payment arrangement in addition to displaying approving user's details - if applicable.				
CIS	CC	3	110	0	<b>Collection Agency / Receivership Processing</b>				
CIS	CC	3	110	1	System provides the ability to produce a report, based on a selected date range, of any payments and source of payments made on accounts designated as collection agency / receiver accounts, including calculation of fees.				
CIS	CC	3	110	2	System provides the ability to flag accounts as exempt from being sent to the collection agency / receiver based on user defined criteria.				
CIS	CC	3	110	3	System provides the ability to flag accounts as exempt based on dollar amount from being sent to the collection agency / receiver.				
CIS	CC	3	110	4	System provides the ability to produce a report of accounts eligible to be sent to collection agency / receiver, but that is exempt.				
CIS	CC	3	110	5	System provides the ability to produce a report of accounts sent to a collection agency / receiver.				
CIS	CC	3	110	6	Capture name and/or code of collection agency / receiver.				
CIS	CC	3	110	7	Capture date account is given to a collection agency / receiver.				
CIS	CC	3	110	8	System provides the ability to maintain the collection agency / receiver data and full details of delinquent accounts (same information on active accounts as delinquent).				
CIS	CC	3	110	9	System provides the ability to generate notice(s) to a customer of pending collection agency / receiver action.				
CIS	CC	3	110	10	System provides the ability to generate a file based on user-defined criteria of newly selected accounts that will be sent to the collection agency.				
CIS	CC	3	110	11	System provides the ability to receive an electronic file from a credit agency of collections / receiver and automatically update CIS.				
CIS	CC	3	110	12	System provides the ability to add a service fee to the accounts sent to the collection agency / receiver.				
CIS	CC	3	110	13	System provides the ability to generate a notice to the customer when an account is turned over to a collection agency / receiver.				
CIS	CC	3	110	14	System provides the ability to write off an uncollectible account.				
CIS	CC	3	110	15	System provides the ability to mass write-off selected uncollectible accounts.				
CIS	CC	3	110	16	System provides ability to capture collection agency / receiver status related to account.				
CIS	CC	3	110	17	System provides ability to capture collection agency / receiver status date related to account.				
CIS	CC	3	110	18	System provides the ability to receive files from collection agency / receiver and update statuses and data provided in file.				
CIS	CC	3	110	19	System provides the ability to generate a report of user selected accounts for court hearing.				
CIS	CC	3	110	20	System provides the ability to update and maintain property acquisition volume and page number on the account in CIS.				
CIS	CC	3	110	21	System provides the ability to generate a receivership discharge correspondence based on user-defined criteria.				
CIS	CC	3	120	0	<b>Responsible Third Party/Guarantor/Co-signer</b>				
CIS	CC	3	120	1	Automatically generate past-due notices to guarantors for the past-due accounts they are guaranteeing.				
CIS	CC	3	120	2	System provides the ability to automatically release the guarantor from financial responsibility for an account when the account meets regulatory good standing guidelines.				
CIS	CC	3	120	3	System provides the ability to transfer receivable balances from a delinquent account to a guarantor account. This transfer would take place at the time the past-due account is deemed uncollectible.				



## 4.0 Financial Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
<b>General Ledger Accounting</b>				
System provides the ability to accommodate the association of a G/L balance sheet and revenue number to a CIS rate that contains the following:				
a) Fund - (3 bytes)				
b) Business Unit Cost Center - (3 bytes)				
c) Account - (6 bytes)				
d) Project - (6 bytes)				
e) Description-1 (50 bytes)				
f) Description-2 (50 bytes)				
System provides the ability to accommodate the association of a G/L expense number to a CIS rate that contains the following:				
a) Business Unit (5 bytes)				
b) Fund (5 bytes)				
c) Sub Ledger (2 bytes)				
d) Account Number (6 bytes)				
e) Description-1 (50 bytes)				
f) Description-2 (50bytes)				
System will allow for dashes and/or spaces between each G/L segment.				
System must have the capacity to accommodate at a minimum a 30 digit alphanumeric G/L number for each rate.				
System provides the ability to accommodate multiple G/L numbers with related percentage distribution for each rate.				
System provides the ability to associate a WAMS project number to a rate.				
System will follow GAAP accounting and reporting principles.				
Ability to electronically enter, store, and update and create a miscellaneous A/R bill (for commodity and non-commodity) using the following information including but not limited to:				
a) Date				
b) Name of Customer to be Invoiced				
c) Address of Customer to be Invoiced				
d) Incident and /or Transaction Date and/or Due Date				
e) Type of billing code				
f) Charge Multi-G/L Account Number				
g) Credit Multi-G/L Account Number				
h) Description of Charges				
i) Itemized Breakdown of Charges				
j) Total Amount Due				
k) Department Requesting Billing				
l) Name of Person Submitting Request				
m) Department Approval				
n) Second Party or Additional Liable Party				
o) Work Order Number				
p) Invoice Number				
q) System will follow GAAP accounting and reporting principles, including concept of "cut-off", for example cash in or out is recorded in the month of the transaction and prior months are not restated for certain reports/analysis				
<b>Payment Posting</b>				

## 4.0 Financial Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
System will provide summarized or detailed GL transactions to interfaced systems for payments based upon the rate's GL account number for the utility CIS payments only.				
System will provide summarized or detailed GL transactions to interfaced systems for non-commodity payments based upon the rate's G/L account number.				
System will create a separate open item for contributions and donations with a separate G/L account. System will allow for detailed reporting on all donations and contributions.				
<b>Credits and Refunds</b>				
System provides the ability to issue a report and checks for credit balance processing. The check will be printed through the A/P application sent from an automated issuance from the CIS.				
System provides the ability to issue a check, through A/P, for a user-specified amount for any reason (i.e., overcharges, etc.) regardless of the account balance.				
System will provide the ability to pay a credit refund by check or application to the account based on user-defined criteria.				
System provides the ability to maintain credit balances on the system until purged.				
System provides the ability to automatically refund overpayments within a specified time on final accounts, allowing for exemption based upon user-defined parameters.				
System will provide reviews of any account prior to applying for the refund.				
System will provide the ability to issue mass credit refunds based on user-defined criteria.				
System will provide the ability to print checks to a laser check printer.				
System will produce a file of refund checks issued to be used for submittal to the bank for fraud control (i.e., Control Pay by Bank of America).				
System will accommodate credit card refunds that do not require the issuance of a check through A/P. This is based on credit card industry mandates and best practices.				
<b>Reconciliation/Reports</b>				
System provides the ability to report unidentified payments that are held in suspense.				
System provides the ability to report contributions to special program offerings.				
System provides the ability to show aging of A/R in detail and summary, grouped by account number or G/L code.				
System provides the ability to show aging of A/R in detail and summary, grouped by account number or G/L code and takes into account an as of date.				
System provides the ability to show aging of a customer's account outstanding balance in a minimum of 30, 60, 90 and over, arrears increments by service. Increments are user-defined.				
System provides the ability to show aging of a customer's account outstanding balance in a minimum of 30, 60, 90 and over, arrears increments by service. Increments are user-defined and takes into account an as of date.				

## 4.0 Financial Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
System will provide for online and detailed review of bad debt write-offs.				
System will provide the ability to track detailed financial monthly and/or year-end write-off of receivables.				
System automatically marks receivables as doubtful based on user-defined criteria and records associated bad debt expense without removing the receivable from the customer's account.				
System will provide that a subsequent payment posted to an account with doubtful receivables will automatically offset the bad debt expense and should be treated as a write off recovery in the G/L.				
System provides a reconciliation between the billing cycle revenues and the general ledger revenue cycles.				
System will allow for user-defined rule-based accounting controls to ensure the accuracy of the reconciliation between the billing cycle revenues and the general ledger revenue cycles.				
System provides a daily payment reconciliation by the following:				
a) Amount				
b) Transaction type				
c) Cashier code				
d) Payment code				
e) Business Unit				
f) Customer				
g) Account				
System provides daily accounts receivable reconciliation by-products/professional services, by cycle and/or route.				
System provides the ability to provide for internal financial controls and balancing.				
System provides the ability so that the user can reconcile detail in base CIS system to output files such as billing print files, G/L interface, and reports.				
System provides the ability so that the user can reconcile today's beginning balance to prior day's ending balance, using financial transactions by category and type to come up with an ending balance for the day (i.e., daily balancing).				
System will be able to report using a business post date and/or today's date.				
System can reverse any transaction (e.g., payment, charge, adjustment, refund, etc.) with the proper G/L accounting entries.				
System provides the ability for all financial transactions (e.g., cash, G/L, A/P, revenues, etc.) and consumption amounts to be balanced:				
a) Daily				
b) End of Month				
c) Calendar Year-to-Date				
d) Fiscal Year-to-Date				
e) Twelve Consecutive Months				
f) Ad-Hoc, As Necessary				
System will retain searchable information on accounts with 30, 60, 90, and over, arrears by service or user-defined dates. This includes a business post date, today's date, or any date.				



## 4.0 Financial Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
System will track all service usage and revenues including adjustments by boundaries, cycles, routes, zones, meter, or daily, end of month, fiscal year to date, calendar year to date, <u>twelve months ending, etc.</u>				
System will report and allow users to correct out of balance conditions of pre-defined rule-driven financial and consumption transactions.				
System will track usage and revenue amounts for all services for the purpose of projecting revenue, usage, and growth to support rate cases and fees.				
System will report detailed billing by customer, account, premise, meter.				
System will track individual revenue and billing components for a class of customer, by business and service type and industrial categories for all services.				
System provides controls that will not allow the system to be out of range (or problematic) on a daily basis. The system will balance for both total dollars received and the number of items by payment period.				
System generates a report that captures a number of customers billed for each bill item.				
The system generates an unbilled revenue report for the following date parameters that include the last time the account has billed.				
System generates an unbilled revenue report that includes information that accounts for consumption and dollar amount to estimate a user-defined period of time of revenue and consumption. (See reports for more information)				

## 5.0 Billing Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
<b>General Billing Criteria</b>				
System provides the ability to calculate and bill for all products and services on a single bill, including both metered and unmetered services.				
System provides the ability to bill for multiple meters at a single location.				
System provides the ability to bill for an aggregate of like meters at a single location.				
System has the ability to capture consumption and bill based on real-time billing determinants taken from our meter reading systems.				
System has the ability to automatically change rates based on demand and/or consumption usage.				
System has the ability to modify consumption values including, but not limited to:				
a) Product of the Metered Consumption and a Fixed User Defined Calculation Adjustment Factor				
b) Product of the Metered Consumption and Number of Units				
System provides the ability for a line-item charge to be the product of any given rate and any user-defined data items, including but not limited to:				
a) Consumption Value(s)				
b) Multipliers				
c) Unit(s)				
d) Ratio and / or Percentage Calculation Adjustment Factor(s)				
System has the ability to bill for flat rates that contain but not limited to the following rate determinants:				
a) Units				
b) Equipment Charges				
c) Line Extension Charges (annexation and impact fees)				
System provides the ability to bill for associated meters, e.g., Irrigation with an associated water meter.				
System provides the ability to associate a project number to a specific invoice that is billed for misc. services provided.				
<b>Billing Initiation</b>				
System provides the ability to provide an on-screen bill calculation for a single bill and generation feature.				
System provides the ability to provide an on-screen bill calculation for a complete route and generation feature.				
System provides the on-screen ability to assign cycle dates to schedule and initiate billing cycles.				
System provides the on-screen ability to initiate billing cycles when all billing criteria have been met.				
System provides the ability to bill for other unmetered and related services at a user-defined time.				
System provides the on-screen ability to change the billing cycles/routes.				
System provides the on-screen ability to combine or split billing cycles/routes.				
System provides the on-screen ability to hold billing cycles/routes.				
System provides for billing on a monthly schedule that includes meter reading activities.				
System provides the ability to schedule meter reading on a monthly and bi-monthly basis. For example, one office bills monthly and another office bills bi-monthly.				

## 5.0 Billing Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
System provides the ability to bill both monthly and bi-monthly for the same account.				
System provides the ability to bill multiple cycles on the same day.				
System provides for services to be billed on a user-defined schedule such as monthly, bi-monthly, quarterly, annually, etc.				
System provides the ability to override the system default billing date.				
System will provide the ability to automatically bill out of cycle for a customer who has selected a preferred billing date and a preferred due date without the impact of the meter reading schedule.				
System provides the ability to generate bills from a meter reading route that is uploaded after the scheduled billing date.				
System provides the ability to override the standard due date and specify a specific due date for a customer's bill.				
System provides the ability to identify if a cycle or route has been read within X amount of days. System provides notification if the cycle or route is trying to be read again.				
System provides a warning if the read dates entered are a user-defined number of days from the previous read dates.				
<b>Billing Proration</b>				
System provides the ability to prorate non-consumption based charges and credits based on a user-defined number of days in the billing cycle.				
System has the ability to prorate for days less than system or user-defined number of billing days.				
System provides the ability to prorate a new bill based on the number of days active.				
System provides the ability to prorate a final bill based on the number of days active.				
System provides the ability to turn-off specific proration types that included the following:				
a) Rate Change				
b) Initial Bill				
c) Final Bill				
d) Number of Days in Billing Period				
System provides the ability to prorate based on the number of days that are outside the normal billing schedule. For example, billing days between 25-35 days is billed, based upon 30-days consumption/service charges, or anything outside of that range is billed based on the actual number of days.				
System provides that the system will not prorate where billing days are less than 'x' (user-defined) days.				
System provides the ability to prorate dollar amount by a number of days, e.g., \$3 per month customer charge = \$0.10 per day.				
System provides the ability not to bill an account if active less than "x" (user-defined) number of days.				
System provides the ability to bill only specific charges if an account is active less than "x" (user-defined) number of days.				
System provides the ability to reflect prorated detailed amounts on a customer's bill due to rate change during a billing period.				

## 5.0 Billing Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
<b>Billing Process</b>				
System must be able to capture specific rate determinants that allow the system to correctly assign a default rate, with override, based on the following:				
a) Service/Meter Type				
b) Customer Class				
c) Usage Type				
d) Consumption Level / History				
e) Demand				
System has the ability to utilize specific additional rate determinants and utilize them when calculating a bill:				
a) User Defined Rate Packages - Excel-Based Billing				
b) Number of Units				
c) Discount Identifiers (Low income, Seniors)				
d) North American Industry Classification System (NAICS) / SIC				
e) Business Type (Strip Mall, Industrial, etc.)				
f) Geographic or Location (X/Y coordinate)				
g) Flat Fees				
h) Fixed Consumption ( )				
i) Min Consumptions				
j) Average Consumption - estimation				
k) Average Consumption for previous 12 months				
l) Amount of Usage				
m) Contracted Rates				
n) Percentage (calculation adjustment factor)				
o) Life Support				
p) Water Connection Size				
System to provide all details of calculation adjustment factors and results to be used for billing statement creation.				
System provides the ability on-screen for "What If Billing" and prospectus billing. Billing factors can be changed, and calculations can be viewed.				
System provides the ability to track different historical classifications.				
System will allow for late reads to be input without deviating from the original billing schedule. The system will process accounts with reads and hold the accounts without reads.				
System provides the ability to bill in advance for a service:				
a) Water				
b) Wastewater				
c) Fire Line Service				
d) Irrigation				
e) Other - Fire Hydrant, PipeSafe				
System to provide the ability to bill in arrears for a service:				
a) Water				
b) Wastewater				
c) Stormwater				
d) Fire Line Service				
e) Irrigation				
f) Other - Fire Hydrant, PipeSafe				
System provides the ability to accommodate back billing for a single period with a user-defined start and end date.				

## 5.0 Billing Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
System provides the ability to accommodate back billing for multiple periods with a user-defined start and end date.				
System will provide for on-screen bill production for a single bill that will not require batch or nightly processing. Bill will be generated after calculations have been processed.				
System provides the ability to produce duplicate copies of the bill.				
System provides the ability on-screen to generate a one-time miscellaneous bill to an existing customer.				
System provides the ability on-screen to generate a one time misc. bill to a non-utility customer.				
System provides for tax and fee exemptions.				
System provides for partial tax and fee exemptions.				
System provides the capability to limit the number of days an exception bill can stay in the system.				
System provides the ability to bill surcharges based on a fixed, user defined criteria, or percentage charge.				
System provides the ability to assign expiration dates to surcharges.				
System provides the ability to assign expiration dates to rates.				
System provides the ability to track surcharges independently of all other charges.				
System provides the ability to bill for special rates based on the following but not limited to:				
a) Applying differences between contracted minimum consumption and the actual consumption, providing details as a line item on the bill				
b) Recurring Charges				
c) Conservation / Efficiency measures				
d) One-Time Miscellaneous Fees and/or Charges				
System provides the ability to validate dates entered, i.e., the year 2018 accidentally keyed as 2008.				
System provides the ability to validate future dates greater than 'x' years (user-defined). The system will prompt for confirmation prior to accepting the date.				
Provides the ability to set a range for date validation upon entered date.				
System provides the ability to bill inter-departments.				
System provides the ability to identify accounts that have met the system criteria to generate a bill, but due to reading or other errors, a bill was not generated. The account status could be an initial bill, regular bill, or a final bill type.				
System provides the ability to generate a test billing process that generates the necessary financial reports for review before actually submitting the billing batch to post. For example audit the billing run in a post-go-live.				
System provides the ability to track the following customer's classes, including but not limited to:				
a) Residential				
b) Small Commercial				
c) Medium Commercial				
d) Large Commercial / Industrial				
e) School Districts				
f) Non-Customers (non-commodity relationship)				
g) Municipalities, Public Authority				

## 5.0 Billing Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
h) Agricultural / Irrigation				
i) Other				
<b>Fee Billing</b>				
System has the ability to bill for the following charges and fees, including but not limited to:				
a) Return Check Fees				
b) Service Establishment Fee				
c) Penalty Fees				
d) Finance Fees				
e) Meter Testing Fees				
f) After Hours Service Fees				
g) Labor Charges for Work Performed				
h) Reconnect / Disconnect Fees				
i) Collection Fees				
j) Late Payment Fees				
k) Missed appointment Fees				
l) Tampering Fees				
m) Regulatory Fees such as "CTDPH Fee"				
n) Unlimited User Defined Fees				
<b>Billing Adjustments</b>				
System will provide the ability to associate adjustment types with the appropriate G/L number.				
System provides the ability to select a specific historic charge to adjust.				
System will provide for on-screen back billing for a user-defined timeframe based on rates effective during that timeframe.				
System provides the ability to identify any billing line item charges must have the following fields:				
a) Billed Date				
b) Processed Date				
System provides the ability to generate a corrected bill with "user entered" correct meter readings and the number of months to be corrected. The system should generate the adjustment, change meter reading data fields and produce a bill.				
System provides the ability to correct consumption, actual, or estimated reading on an account and adjust the billing accordingly to any specific month within a user-defined timeframe.				
System provides the ability to correct charges for unmetered services on an account and adjust the billing accordingly to any specific month within a user-defined timeframe.				
System will provide the on-screen ability to cancel and re-bill account for the last bill issued.				
System will provide the ability to cancel and re-bill entire routes or cycles in batch.				
System provides the ability to select a specific historic charge to cancel/re-bill.				
System provides the ability to cancel re-bill a previously canceled re-billed bill.				
System will provide the on-screen ability to cancel and re-bill a previously billed account for a user-defined period of time.				
System will generate the G/L entries associated with the services being canceled and re-billed.				



## 5.0 Billing Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
System will provide a mechanism that allows the user to identify bills that have been canceled and re-billed.				
System will allow the cancel re-bill process to include all line items on the bill.				
System will have the ability to select which line item on the bill to cancel and re-bill not affecting the other billed line items. Any dependent charges of the select item will be automatically recalculated.				
System will generate a corrected bill reflecting user-defined adjustments to the previous bill.				
System will provide the ability to include payment adjustments during billing.				
System will provide user-defined security for adjustment dollar amounts.				
System captures details of adjustment history.				
System will provide the ability to attach a reason code to the adjustment for reversed transactions including, but not limited to:				
a) Bad System Estimate				
b) Stuck Meter				
c) Misread				
d) Data Entry Error				
e) User Defined with Comments				
System provides the ability to adjust off (remove) a single line item - based on security levels.				
System to capture all appropriate G/L transactions for adjustments. System will provide a list of historical charges from which to select.				
System will provide the ability to transfer balances from one account to another with the appropriate audit trail in one operation.				
System provides the ability to account for cross connects/switched meters. The system will cancel/re-bill each account that included the corrected reading. The system will provide the process within one screen.				
System provides the ability to process cross connects/switched meters back from a user-defined timeframe, where the meters are not installed or billed on the same date.				
System provides the ability to process cross connects/switched meters back from a user-defined timeframe.				
System processes both the cross-connects amending and displaying the new consumption and dollar amounts automatically.				
System provides the ability to automatically back out transactions on an account that has been connected or disconnected in error with an audit trail.				
<b>Bill Production / Printing / Format</b>				
System provides the flexibility in combining line item charges or separating item charges for bill printing.				
System provides the ability to flag charges to not appear on the bill. Adjustments or charges made in error that the utility does not want the customer to view.				
System provides the ability to accommodate multi-page bill formats.				
System provides the ability to display Name / Spouse / Company name before street address within the bill format.				

## 5.0 Billing Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
System provides a separate line item for deferred payment arrangements. The deferred due date will be printed and can be different from the net new due date.				
System provides the ability for detailed balance forward information to include, but not limited to the following:				
a) Previous Balance Due				
b) Payments Applied				
c) Adjustments Applied				
d) Penalties Applied				
System provides the ability to produce a mail barcode on the bill print.				
System provides the ability to show the total amount due plus the amount of penalty if not paid by due date. The penalty amount can be viewed as a separate line item.				
System provides a graph or table showing consumption/usage for current and prior 12-months for each service/usage type.				
System provides the ability to generate an image of the actual view of the bills and statements. The view can either be a PDF or HTML file format.				
System provides the ability to generate an image of the actual view of letters. The view can either be a PDF or HTML file format.				
System provides the ability to display how the bill was sent for example mail or email.				
System provides the ability to display how the letter was sent for example mail or email.				
System provides for a check digit/barcode to be included on the return portion of the bill print for scanning into payment batch.				
System provides the ability for customer to select the preferred channels of communication that impacts the following areas of CIS:				
a) Bills				
b) Past Due Bills and Notices				
c) All Letters and Individual Customer Correspondence				
d) Web Self-Care				
e) SMS/Text				
System provides the ability for CSR to select the preferred channel of communication, which allows the CSR to translate the documents, based on the customer's preferred channels of communication:				
a) Bills				
b) Past Due Bills and Notices				
c) All Letters and Individual Customer Correspondence				
d) Web Self-Care				
e) SMS/Text				
System provides the ability to produce all correspondence (as defined above) for following customer preferred language(s):				
a) English				
b) Spanish				
c) Other (please use vendor notes)				
<b>Sorting</b>				
System provides multiple capabilities for sorting bills by the following:				
a) Zip Code + 4				

## 5.0 Billing Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
b) Cycle				
c) Exception Code / Bunch / SPAT				
d) Customer Name				
e) Inter-Departmental				
System provides the ability to sort bills by postal carrier route for bulk rate discounts.				
System provides the ability to mark inter-departmental bills so that they don't print.				
System will provide the ability to identify bill types (so that proper form can be used for printing) including, but not limited to:				
a) Cancel/Re-Bill				
b) Closing/Finaled				
c) Regular				
d) Delinquent				
e) Estimated				
f) Bank draft (ACH)				
System provides the ability to sort bills based on internal bunch codes without printing on customer bill but grouping with a separator page.				
<b>Production</b>				
System provides the ability to input a range of bills to be produced. For example, the entire bill run does not need to be printed all at one time.				
System provides the ability to have the system display the number of bills to be printed, by bill type, etc.				
System provides the ability to have the system display the number of bills remaining to be printed.				
System provides the ability to have the system display the number of total bills printed.				
System provides the ability to allow restarting of a bill print run from any point.				
System provides the ability to allow a bill print run to be paused and restarted.				
<b>Output</b>				
System provides the ability to be capable of creating an HTML and/or text-only version of any bill for email attachment purposes.				
System provides the ability to be capable of creating a text message / SMS of any bill and related information.				
System provides the ability to automatically transmit bills to selected customers via fax or Internet services, i.e., cloud computing, FTP, etc.				
System provides the ability to reprint a duplicate copy of the current bill.				
System provides the ability to reprint a duplicate copy of the bill for 'xx' number of months of previous billing.				
System provides the ability to re-print the current bill after adjustments have been made.				
System provides the ability to send a duplicate copy or portion of the bill to any third party defined for the account (ex: landlord, etc.).				
System provides the ability to generate customer bills to digital media such as tape or disk (for storage).				
System provides the ability to provide an output file for bill print to an outsource company group.				

## 5.0 Billing Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
System provides the ability to dynamically add/subtract fields on the bill print extract file without programming intervention.				
<b>Bill Messaging</b>				
System provides the ability for global custom messages, without programming needed as this may change with each bill run, and where all bills produced will have a single message.				
System provides the ability for all message types to be started and terminated based on an input date.				
System provides the ability to view history of bill messages for a user-defined timeframe.				
System provides the ability to define custom messages by individual customer, a range of customers, class, zip code, rate, etc.				
System provides the ability to display a message based on cycle number.				
System provides the ability to display a message based on route number.				
System provides the ability to define custom messages by service or other user-defined groups.				
<b>Master and Sub-Account Billing</b>				
System provides the ability to summarize multiple accounts onto a single bill, i.e., master account.				
System will provide the ability to send the master account a summary bill in addition to detailed bill for individual accounts.				
System will generate a summary bill when the billing cycle for the master account is processed. All sub-accounts will be held (or not) until the master account is billed.				
System provides the option for the master account to either receive a summary bill or detailed bill.				
<b>Budget Billing</b>				
System provides for budget billing.				
System provides a year-end budget plan recap/settlement statement.				
System provides for sign-up for budget billing in customer portal.				
System calculates the average billing amount over a user-defined period for past billings.				
System calculates the same monthly payment while capturing actual readings.				
System provides a user-defined month for an account to be reconciled (trued up). Difference between the budget months calculated and payment to the actual amount to be billed.				
System will provide total true-up amount in the next bill.				
System provides the ability to establish a budget amount based on actual consumption.				
System provides automatic notification based on a user-defined timeframe that account is delinquent.				
System will automatically remove a customer from budget billing if after a user-defined timeframe the account has not been paid by the due date.				
System provides automatic generation of a letter, email, social media, etc. will be sent if a customer is removed from budget billing.				

## 5.0 Billing Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
System will automatically recalculate the difference that is owed based on previous months after being taken off budget billing. The following billing cycle will capture exact usage and bill accordingly.				
System will bill for total due, including total true-up amount plus current usage, to be billed on the settle-up statement.				
System will recalculate a budget bill based on specific issues, e.g., an abnormally cold winter requires a recalculated budget amount, etc.				
System allows the customer to define the start of the budget billing process.				
System provides for a global setting to establish budget billing duration, with overrides for exceptions.				
System allows user-defined criteria, e.g., poor credit rating, etc., that has to be met in order to be eligible for budget billing services - with manual override. System will generate letters or work queue activities.				
Customer must have a user-defined, e.g., positive, etc., credit score and a user-defined threshold of A/R to be eligible for budget billing.				
System will allow for user override of an amount due to special conditions.				
System will allow for budget billing on user-defined services.				
System provides the ability to select what service will be included in a budget bill when multiple services are offered.				
System will allow for delinquent cut-off, and a late charge to be assessed once account has been taken off budget billing. The charges will include the true-up account balance plus assessed charges.				
<b>Estimated Billing</b>				
System will provide for estimating should actual reads not be available.				
System provides the ability to estimate entire billing cycles or routes with user-defined read date.				
System will calculate the estimated bill based on the read date, not the bill date, to determine the number of days in the billing cycle.				
System will allow estimation to be read date to read date.				
System will automatically mark services that have been estimated with a unique identifier.				
System will have user-defined tables that allow for determination of the number of estimations allotted for a specific timeframe.				
System has the ability to estimate or exclude certain customers from estimated readings which would include the following:				
a) Customer Class				
b) Individual				
c) Route				
d) Rate Code				
System provides user-defined validation characteristics for estimation, by service, which include the following:				
a) Consumption During the Same Time Last Year				
b) Consumption During the Same Time for the Previous 12 Months				
c) Last Bill				
d) Average Consumption for the Past Three Months				

## 5.0 Billing Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
e) Winter/Summer Average				
f) Currently daily Average				
g) User Defined Average				
System will provide the ability to prioritize any and all of the above characteristics a-g.				
System to provide the ability to place a percentage of consumption on the above estimations due to weather conditions (temp and/or precip)that affected past consumption.				
System to provide the ability to manually change the percentage of consumption estimation on a daily, weekly, monthly, etc., timeframe.				
System provides the ability to identify seasonal periods with weighted averages by service type and customer class when calculating estimates.				
System has the ability to estimate compound water meters that include two-side (HCF, HCF2).				
<b>Discount Billing</b>				
System can calculate discounts based on the percentage or fixed amount.				
System will provide for discounts for a credit or debit based on user-defined criteria that include but is not limited to:				
a) Number of Services				
b) Number of Like Services within an Account				
c) Consumption/Use				
d) Contractual Period				
System will provide the ability to aggregate multiple accounts to accommodate calculation of a discount or penalty.				
<b>Special Billing</b>				
System provides installment billing method for billing of charitable contributions including but not limited to the following:				
a) Fixed Monthly Amount				
b) Fixed Time Period, or Unlimited Term				
c) Total Pledge Amount, or Unlimited Term				
d) Rounded up to the Nearest Dollar				
System provides the ability for billing of a service to follow the customer instead of a premises, i.e., charitable donations, etc. when the customer moves.				
System, if all other services are off/discontinued, to discontinue billing for charitable services.				
System provides installment billing method for billing of professional services performed including the following:				
a) Fixed Amount				
b) Actual amount of time				
c) Total Amount Due				
d) Per meter				
e) Per incident (etc.) or "claims"				
System provides the ability to calculate special surcharges based on consumption with a user-defined dollar limit.				
System will bill out the remainder of the total amount due should the account final bill prior to the end of the stated fixed time period.				
System will bill out only the monthly installment amount of charitable contributions on a final bill.				



## 5.0 Billing Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
System, for loans, will calculate the amount of the monthly installment if the total amount and fixed time period are provided.				
System will provide for 'free' services for a specified start and end time for promotional purposes, and not bill for that service during that time.				
System will compare one neighbor (or neighborhood) to another based on the ability to relate one neighbor or neighborhood to each other.				
<b>Lab Billing</b>				
System will generate a misc. bill that will contain the following information:				
a) name of the organization				
b) summary or tests				
c) Summary of costs				
d) Misc. notes				
e) Total due with no Balance Forward				
f) Invoice number				
g) Due date				
<b>PipeSafe Billing</b>				
System provides the ability to select the following service types:				
a) Water Line				
b) Sewer line				
c) Indoor line				
d) Any combination of the above				
System provides the ability to assign a percent discount for a specific service				
System provides the ability to input an expiration date to that specific discount. System will automatically revert back to the full rate.				
System will automatically start billing for the service 30 days from the start date. System will prorate based on the number of days the regularly scheduled bill is generated for that specific service.				
System will capture the following dates:				
a) Sign update				
b) Effective Date				
c ) Bill date				
System will automatically apply a rate change if there is one, 12 months from the effective date. Rate will be protected for an additional 12 months and then will qualify for an additional rate change if applicable.				
System will only prorate at the time of move in and move out - will not prorate during a rate change.				
System provides the ability to automatically send a different letter per PipeSafe services at the time of sign up.				
System provides the ability to send a specific letter based on the services selected.				
System will apply all charge on a single bill. Will not bill PipeSafe service on a separate bill.				
System provides ability to identify premises with specific protection plans when generating a service order.				
System provides ability for Protection Plan details to be easily viewed, including but not limited to:				
a) Type of protection plan in place				
b) All service orders generated against the plan including service order information such as contractor, cost, notes				

## 5.0 Billing Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
c) Maximum amount				
d) Balance				
e) Dollars spent				
f) Estimate				
g) Contract initiation information (Web, CSR, Mail etc.)				
h) Plan end date				
i) Plan effective date				
System provides ability to generate a MAXIMUM dollar based on the protection plan selected and store the amount on a field for viewing.				
System provides ability to aggregate dollars generated from service work performed specific to the protection plan and store the dollars in a SPENT field. This field needs to revert to \$0 at the end of the plan year. Note: The charges for service work are billed after the MAXIMUM amount has been reached.				
System provides ability to calculate and store a BALANCE field equal to the (MAXIMUM - SPENT).				
System provides ability to flag an account when the balance field is less than a specified amount.				
System provides ability to store an ESTIMATE for cost of service work to be performed. Estimates are only used when the amount of the estimate is over the MAXIMUM amount field.				
System provides ability to bill for service work performed for dollars that exceed the BALANCE but not more than the ESTIMATE.				
System provides ability to automatically cancel a plan after a specified number of repairs based on the type of plan.				
System provides ability to automatically cancel a plan for non-payment based on specified criteria.				
System provides ability to automatically renew a plan at the end of the term at the then-current renewal price.				
System provides ability to generate letters for marketing purposes based on specific eligibility criteria.				
System provides ability to generate letters for events in the plan lifecycle including but not limited to: acceptance, renewal, cancelation, etc.				
<b>Taxation</b>				
System provides the ability to assess taxes and/or fees based on customer, account, premises and/or service data item(s) including, but not limited to:				
a) Customer, Account, Premises, and Service Class				
b) Service Type				
c) Tax Exemption Data (i.e. percentage exempt)				
d) Premises/Locations Location( i.e., inside/outside CLIENT limits, enterprise zone designation, etc.)				
System provides the ability to maintain tax exemption status with the customer - not the service or account or premises level.				
System provides the ability to notify the customer 'x' number of days prior to expiration of the tax exemption.				
System will automatically generate customer tax renewal letters/ applications.				
System provides historical tax values that can be sorted or filtered by user-defined criteria.				
System provides the ability for customer to have accounts in multiple taxing jurisdictions				

## 5.0 Billing Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
System provides the ability for customers to have accounts in different states.				
System provides the ability to address tax differences when transferring accounts to other jurisdictions.				
System provides the ability for different tax rates for the same taxing authority (i.e., State Sales Tax, for each service type).				
System provides the ability to bill for taxes that are applied by percentage or flat rate.				
System provides the ability to bill for taxes active by date range (start and stop).				
System provides the ability to bill for multiple taxes for individual services (local and state, etc.).				
<b>Water Billing</b>				
System has the ability to bill and provide detailed reporting for flat-rate or metered water services. Calculation of charges and characteristics of billing should include but not limited to the following:				
a) Unmetered or Flat-Rate				
b) Metered per CCF, HCF, Gallon, TGals, Mgal, and cubic foot, etc.				
c) Customer Charge per meter per month based on size of meter:				
i) 5/8"				
ii) 3/4"				
iii) 1"				
iv) 1 1/2"				
v) Additional meter sizes include 2", 3", 4", 6", 8", 10" and 12"				
d) Base fee				
e) Surcharge(s)				
f) Meter (equipment) Charge				
g) Hydrant meters were a temporary service with a start and stop date/time and rental fee. A minimum and a maximum number of days must be specified.				
h) Unlimited Fees and Fee Billing				
i) Unlimited Number of Tiers and Seasons				
j) Energy Cost Adjustment for Pumping				
k) Inside / Outside Service area Limit Charges				
l) Water meters on trucks (street sweepers)				
m) Any combination of the above a-m				
System will provide for billing for special metered services for nonprofit organizations owned or maintained by City/County, including without limitation: parks, groves, landscaped medians and reverse frontage.				
System provides for billing irrigation customers.				
System provides for billing and detailed reporting for fire line service, based on the following characteristics:				
a) Metered per CCF, HCF, Gallon, Mgal, TGals, Kgal, etc.				
b) Customer Charge				
c) Commodity Charge				
d) Charges Based on In/Outside City Limits				
System provides for calculation and storage of seasonal (user-defined months) average winter consumption for use in water billing.				
System provides for the ability to override the seasonal average.				

## 5.0 Billing Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
System provides for the ability to bill for multiple types of water services at the same premises on a single bill.				
System provides the ability to apply a special assessment/penalty for non-compliance during a water restriction period.				
<b>Wastewater Billing</b>				
System has the ability to bill for wastewater services. Calculation of charges must include but not limited to the following:				
a) Based on Number of Fixtures (i.e., water closets (toilets), sinks, appliances, etc.)				
b) Flat Rate				
c) Inside of territory				
d) Derivative of water (Kgal)				
e) BOD and TSS				
f) Special Negotiated Charges				
g) Billing based on winter seasonal average in user-defined months.				
h) Excess Concentration Charges				
System provides the ability to identify industrial waste users by a unique identifier and/or SIC code				
System provides the ability to identify (SIU) accounts - Significant Industrial Users.				
System provides the ability to identify (SCU) accounts - Significant Commercial Users.				
System provides the ability to bill for SIU and SCU accounts that are both inside the client limits and outside the client limits.				
System has the ability to identify customers that have metered sewer services.				
System will use BOD/TSS strength categories for determination of cost (# of units of water x charge).				
System has the ability to bill for the following types of usage:				
a) Strength				
b) Flow				
c) Specific Rate code				
System has the ability to bill for metered wastewater services based on calculated consumption.				
System has the ability to bill for wastewater services based on measured or metered wastewater (Bio-solids).				
System provides for calculation and storage of seasonal (user-defined months) average consumption for use in wastewater billing.				
System provides for unlimited user-defined charges.				
System has the ability to bill for other services, inside/outside service area limits, including but not limited to:				
a) System provides for wastewater maintenance billing, reporting, and accounting for the following types of accounts, including but not limited to:				
i) Residential and Multi-family				
ii) Commercial and Industrial				
<b>Stormwater</b>				
The system needs to have the ability to calculate local wastewater rate and a regional wastewater rate separately.				
Ability to search records based on primary agency				

5.0 Billing Management				
Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
System should have the ability to interface with GIS related data and systems.				
System shall have the ability interface with an existing Permitting system for both stormwater and wastewater charges.				
System to allow credits for stormwater and wastewater over a period of time-based on the rate that was in effect during the time period the credit is required.				
System provides the ability to capture the impervious surface area.				
System has the ability to manage private stormwater facilities.				
System has the ability to identify services requiring special treatment or that falls under the County Wastewater Management Facilities.				
The system has the ability to add other designated fees as required.				
<b>Stormwater Billing</b>				
System will store impervious square footage.				
<b>General Miscellaneous A/R</b>				
System will produce a one-time Miscellaneous A/R (MAR) bill for a customer or non-commodity customer.				
System will have security for MAR that allows or prevents who has access to MAR versus the "utility billing" portion of the CIS.				
System will allow for each line item to have a user-defined/system standard or user-entered description.				
System will have security where the CSR who entered the charges cannot produce the bill.				
System will provide for unlimited user-defined customer types.				
System will provide for sending or not sending an invoice or statement per month.				
System will not send a bill if there is a credit balance bill (bill suppression).				
System will provide for MAR loans including billing for principle and interest.				
System will for bill creation by customer type.				
System will allow for changing due date by customer type or a specific number of days in the future.				
System will allow for the creation of miscellaneous charges and payments associated with a customer or non-customer but not to a service location.				
System will allow for the creation of miscellaneous charges and payments associated to a service location.				
System will produce a miscellaneous bill that is set-up for recurring charges at the account.				
System has a built-in "separation of duties" where the originator completes the MAR, and through an online work queue, is approved by a different person/group.				
Security that will prevent the person who entered the original MAR from accepting the cash receipt.				
All MAR charges comply with the standard and automatic aging thus allowing penalty/interest charges.				
System provides for the set-up of penalty/interest amounts based on charge or customer type.				
All penalty and interest should use an account specific to the charge type.				

## 5.0 Billing Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
All penalty and interest charges have the ability to be directed to different revenue accounts.				
System will provide for default and varied charge types, including but not limited to:				
a) Revenue/offset account numbers				
b) Aging based on due date				
c) A grace period before penalty and interest charges are applied				
d) User-defined penalty and interest charges				
e) Default charge descriptions with a manual (user-defined) override				
System will provide for comments on the charge item.				
System will provide for a "full description" comment field that prints on the invoice.				
System provides for "templates" for the varying charges from which the user can choose the appropriate template.				
System will provide for a monthly "credit card-type" statement showing all open charges and credits.				
Statement will or will not be produced for all customers regardless of their balance (debit/credit) - depending on customer type.				
System will support MAR prepayments, including but not limited to:				
a) Prepay for charges not yet charged or invoiced				
b) Upcoming reoccurring charges				
c) Payments made this year for next year's charge				
d) Suspense account payments where they can be held until applicable				
System will support an environment where all charges can correctly be adjusted, canceled, rebilled, etc.				
System will support an environment where all charges can be manually or automatically written-off the CIS.				
System will support an environment where all charges can be manually or automatically sent to a collection agency.				
System will allow for the transfer of charges to any customer or non-customer.				
System will allow for the transfer of payments to any customer or non-customer.				
System will support the refund of any monies through A/P.				
<b>MAR Reporting</b>				
System will provide for MAR query, including but not limited to:				
a) Daily				
b) Monthly				
c) Ad-hoc				
d) User-defined (Define in Comments)				
All MAR queries will provide for detailed lines on the invoices including all costs, G/L accounts, messaging, and address information.				
System will provide that all MAR queries are downloadable to MS Excel or MS Word.				
System will provide for the following types of queries, including but not limited to:				
a) Adjustment/write-off listing – Show any adjustment or write/off transactions.				



## 5.0 Billing Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
b) Customer Aging Report – A report that shows what is due by customer by aging category (current, past due, 30 days past due, 60 days past due, etc.) A report based on the following filters: Fund, Customer Type, Charge Type, Department.				
c) Collection Report – A report to show all charges that are in specific aging categories. Similar to the last report, but be able to specify how old the charge is so that the client only get those charges that they might want to send to collections.				
d) Open Charge listing/invoices by customer.				
e) Open Payment listing/invoices by customer.				
f) Paid charge listing that shows which charges have been paid, date, and against all G/L accounts.				
g) Payment/charge listing - a report that associates payments with charges.				
h) Pending invoices/charges/penalty and finance charges by each MAR customer and in total for all MAR (by account, fund, type, etc.)				
i) Trial balance report – both in summary or detail, a certain date, a fund, range of funds, or an account number: such as cash, revenue, receivables, and deferred revenue, etc.				
<b>Pledges and/or Vouchers</b>				
System is capable of adding, updating, or deleting pledges from customers, non-profit organizations, and/or governmental agencies, over the phone, to the utility CSR or back-office personnel.				
System will provide a method to accept different types of pledges (e.g., non-profit organizations, governmental agencies, etc.).				
System will allow the pledge amount to pay the total or greater than the outstanding balance.				
System will allow the pledge amount to pay any portion of the outstanding balance (i.e., any dollar amount against outstanding balance).				
System will allow the pledge amount to pay any line item/service/appliance of the outstanding balance.				
In the event, a single service/line item is pledged the system will automatically remove (only) that line item from delinquency processing.				
In the event any portion of the outstanding balance is pledged, the entire account can be removed from delinquency processing.				
When a pledged amount is received, the system will treat the payment as a "pending payment."				
When a pledged amount is received, the system will deduct the pledge amount from the outstanding balance.				
When a pledged amount is dropped or deleted, the system will add the pledge amount back into the outstanding balance using a payment reversal transaction.				
System will automatically remove the "pending payment" status once the utility has received the actual pledge payment.				

## 5.0 Billing Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
If the actual pledge payment has not been received by the utility within 'x' (user-defined days), the system will automatically flag the account in an online work queue for further follow-up (e.g., in the event that the payment agency did not send a check - the customer's account and the payment agency must be reviewed).				
System provides the ability to apply any payment from any Voucher that is provided by a 3rd party where the payment will only be applied to the water service only. This process will be done automatically from the receipt of the file/payment from the 3rd party system.				
System provides a screen showing pledged amounts, including, but not limited to:				
a) Date				
b) Pledge Amount				
c) Pledging Agency				
d) Pledging Representative				
e) Status (pending or received)				
f) Type of Pledge				
System provides a report showing pledged amounts, including, but not limited to:				
a) Date				
b) Pledge Amount				
c) Pledging Agency				
d) Pledging Representative				
e) Status (pending or received)				
f) Type of Pledge				
System will provide a detailed online (web) application/registration process that allows access to account information and provides the ability to pledge payments for the proper agencies with the following functionality:				
a) System will provide a search capability for the customer account to retrieve the pledge page. The complete pledge details, including agency name/representative, pledge amount, type, email address, etc. will be recorded				
b) System will send an email confirmation response confirming the details of the pledge				
c) System will automatically suspend delinquency for the pledge portion of the bill				
d) System will allow for detailed and summary reporting of all pledges, payment authorized agencies, etc.				
<b>Landlord / Foreclosure Customer Awareness</b>				
<i>Definition: Whenever a water authority/company furnishes individually metered residential service to residential occupants in a multiunit residential structure, mobile home park, etc., where the water authority/company lists the owner, manager, or operator as the customer of record, the water authority/company shall make every good faith effort to inform the residential occupants, by means of a notice, when the account is in arrears, that service will be terminated at least 'x' days prior to termination.</i>				
System will have the ability to track/flag the following, including but not limited to:				
a) Residential Service				
b) Multi-Unit Residential Structure				
c) Mobile Home Park, Condos				

## 5.0 Billing Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
d) Landlord				
e) Tenant				
f) Homeowner				
System will identify to the utility a landlord or homeowner with multiple units who is delinquent through the following means but not limited to:				
a) Online Work Queue				
b) Alerts, Email, and other means sent directly to management				
c) Printed Report and/or Worksheet				
d) Dashboard				
e) Account Alerts				
f) Combination of the above				
System will produce a notice or door-hanger (printed receipt) with the following information, but not limited to:				
a) Disconnect Date				
b) Utility Name, Address, Phone Number				
Additionally, the notice will inform the residential occupants that they have the right to become customers, to whom the service will then be billed, without being required to pay any amount which may be due on the delinquent account (between the owner and tenant - not the tenant and tenant).				
a) Inform the residential occupants that they have the right to become customers				
b) Inform the residential occupant that they are not required to pay any amount past due				
System will produce a notice in the following languages:				
a) English				
b) Spanish				
c) Other (please use vendor notes)				
System will flag the language for which notice will be printed:				
a) English				
b) Spanish				
c) Other (please use vendor notes)				
System will automatically notify all tenants of the landlord or homeowners 'x' days in advance of service termination, including:				
a) 15 days				
b) User-defined				
System will allow for the tenant(s) to "establish" services that were in the landlord's name.				
System will provide for comments and notes regarding the status of the landlord/tenant relationship.				
System will indicate / flag/message whether or not the landlord has attempted to notify the tenants of the condition of delinquency.				
System will support if prior service with the utility is a condition for establishing credit with the authority, residence, and proof of prompt payment of rent or other credit obligation acceptable to the utility for that period of time is a satisfactory equivalent for establishing service.				

5.0 Billing Management				
Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
In order for a tenant to accept service in their name and the amount due on the delinquent account to stay with the owner of the premise, the system will require an occupant, who becomes a customer, to verify that the delinquent account customer of record is or was the landlord, manager, or agent of the dwelling. Verification may include but is not limited to, a lease or rental agreement, rent receipts, a government document indicating that the occupant is renting the property, or other information.				
System will "trap" and "flag" the condition where a landlord attempts to terminate all services for its tenants. System will provide a means of follow-up for the utility.				
System will support the condition where any service wrongfully terminated shall be restored without charge to the residential occupants or customer for the restoration of the service.				
<b>Additional Requirements</b>				
System has the ability to automatically generate a new rate based on X % increase and set a user-defined expiration date on the old rate.				

## 6.0 Rates Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
<b>Setup Criteria</b>				
System will support all client existing, past, and future rates.				
System will allow the user to assign G/L account numbers to all individual bill components.				
System provides the ability for multiple rate changes within a billing period.				
System to provide the ability to set up rates and special charges with defined start and stop dates (user-defined).				
System will allow for, after a rate change, historical rates that include fixed rates to be available for adjustments for prior periods.				
System provides the ability to set up and assigns other specific taxes.				
System provides the ability to set up and maintains specific rates online without programming.				
System provides the ability to design rates utilizing SQL and/or Excel-based equation statements.				
System to provide the ability to inactivate a rate without programming.				
System provides a copy function (create a new rate based on old rate structure).				
System will track historical rates and allow for the ability to browse/review the inactive/historical rates.				
System to provide the ability to create special or negotiated rates.				
System provides the ability to track user ID/timestamp for the last update of rate.				
System provides user-defined security for the creation, modification, and deletion of rates.				
System will provide for the creation of user-defined one-time miscellaneous charges based on user-defined customer type or credit.				
System provides for selection to view / print rate structures (individually, by date, all, or ad-hoc).				
System provides rates for metered services, unmetered services, products, professional services, charges, and fees including but not limited to:				
a) Water				
b) Fire Line Service				
c) Wastewater				
d) Stormwater				
e) Rebate Programs				
f) Other Services (e.g. refuse)				
g) Flat Rates for all Commodity and Non-Commodity Types				
h) Agricultural and Pumping				
<b>Documentation Criteria</b>				
System to provide that each rate has the capacity to accommodate a minimum 30 digit alphanumeric revenue G/L code and is a required field.				
System to provide that each rate must have the capacity to accommodate a minimum 30 digit alphanumeric cash receipts G/L code and is a required field.				
System to provide setup and maintenance of rates, taxes, and charge descriptions that include but not limited to:				
a) Corresponding debit and credit G/L numbers				
b) Identification of the Measurement Used for the Rate				

## 6.0 Rates Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
c) Based on Consumption or Amount				
d) Stand Alone Rate (Flat rate)				
e) Fixed Charges (Min charge, svc. charge)				
f) Tiered Charges				
g) Description Fields must contain a minimum of 50 characters				
h) Each Rate must have the corresponding debit and credit G/L numbers with percentages applied				
i) Effective Date and End Date				
j) Minimum Charges				
k) Taxes as a percent of specific rate codes / billed charges				
<b>Rate Analysis</b>				
System provides tools to compare rates based on class or consumption changes and rate testing.				
System provides sample calculations based on forecasting with no impact on active rate billings (rate changes).				
System provides for rate development and calculation of sample billings for test accounts without affecting revenue. The usable environment for extract and testing is the production instance.				
System has provisions that exist for projecting revenues from new rate structures based on affected classes of customers by rate component. The usable environment for extract and testing is the production instance.				
System provides the ability to download for the analysis of customer usage by various characteristics. For example customer class, usage category, demand, etc.				
System provides for standard profiles within each customer class for determination and estimation of usage, costs, and other attributes (e.g., a comparison between CLIENT rates and another utility company's rates).				
<b>Rate Structure</b>				
System provides for unbundled line items rates which are user-defined and unlimited including but not limited to:				
a) Customer Charge				
b) Commodity Charge				
c) Transportation Charge				
d) Distribution Charge				
e) Public Benefit / Regulatory Charge				
f) Minimum Monthly Charge				
System will provide the capacity to accommodate at a minimum five tiers or blocks in addition to a fixed or flat charge for rate development.				
System will provide unlimited rate tiers or blocks in addition to a fixed or flat charge to make up rate development.				
System provides rates for services, including but not limited to:				
a) Connection Fee / Initial Install				
b) Conservation Audits				
c) Meter Testing				
d) Same Day Connection Fee				
e) Disconnect Notification Fee				
f) Manual meter reading Fee				
g) Pipe Extension Fees (Annexation Fees)				
h) Flow Test Fees				



## 6.0 Rates Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
System to accommodate the following types of rate calculations, in the CIS itself, including but not limited to:				
a) Seasonal Rates				
b) Discount Rates				
c) Inactive Rates				
d) Conservation Rates				
e) Flat Rates				
f) Contract Rate (Drop rates, contractor rates)				
g) Geographic Rates (Inside/outside, pumping, etc.)				
h) Simple Interest-Based Rates				
System provides the ability to issue a user-defined percent credit that is applied to the Water Charges that utilizes the following criteria:				
a) Prior years usage that is user-defined percent difference taking into account Weather normalization				
b) Issue a % credit across all accounts that have been active for a user defined time.				
System provides the ability to apply a flat dollar amount based on the following:				
a) Prior years usage that is user-defined percent difference taking into account Weather normalization				
b) Issue a flat credit across all accounts that have been active for a user defined time.				
System provides the ability to apply or not apply a specific penalty to the following determinants:				
a) Account balance / aging				
b) Service				
c) Account				
d) Customer				
System provides the ability to charge late fees at any time during the billing period.				

## 7.0 Usage Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
<b>Route and Cycle Criteria</b>				
System to provide the ability to change, the association between routes, cycles, and accounts.				
System provides the following cycle information:				
a) Description / Name				
b) Cycle Number				
c) Last Read and Bill Date				
d) Next Scheduled Read / Bill Date				
e) Associated Number of Active Routes				
f) Associated Number of Inactive Routes				
g) Number of Stops / Reads within a cycle and route				
System provides the following route information:				
a) Associated Cycle Number				
b) Description / Name				
c) Route Number				
d) Last Read Date				
e) Next Scheduled Read Date				
f) Number of Stops / Reads within a Route				
g) The ability to associate a time per read per meter (The value can be uploaded or manually entered to standardize the route read time)				
System provides the ability to accommodate the following read route functionality within the CIS:				
a) Establishment of a New Route				
c) Change of Route Attributes (active, reactive, description, etc.)				
d) Automatic Re-Sequencing within a Route				
e) Automatic Renumbering of Routes to allow for size limitations				
f) Automatic Re-Sequencing of the Route from the handheld device				
g) Re-Sequence the Meter Reading Sequence of a service or group of services				
h) Ability to adjust Meter Reading Routes or move accounts to a different billing cycle				
i) User can Re-Sequence Meters through a GIS graphical interface/3rd party routing software				
j) User can Re-Route and Re-Sequence Large Blocks of Accounts through batch processing or a single, individual account by a user or through meter reading software.				
k) Ability to "deactivate" a route in a way that will prevent it from being selected during account maintenance				
System provides the ability to maintain, and update via batch from our meter reading systems, route read history information for the following:				
a) Description / Name				
b) Last Read Date				
c) Number of Meters within the Route				
d) Route Identification Number				
e) Name of Meter Reader or Meter Reader ID reading the route				
f) Start and Finish Time of the Route				
g) Mileage Driven to Complete the Route				
h) Scheduled Meters that were read				
i) Scheduled Meters not read				

## 7.0 Usage Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
j) Provide List of Meter Reading Exceptions based on user-defined criteria				
k) Unauthorized Usage (Tampering)				
System provides the ability to change a service from one route to another route easily.				
System to accommodate routes for non-metered services separately from metered routes.				
System provides the online ability to change multiple accounts from one route to another route easily.				
<b>Premise/Service Criteria</b>				
System provides the ability to associate unlimited meters and equipment to a premise.				
System provides the ability to associate unlimited non-metered services to a premise.				
System provides the ability to have multiple routes per service address to capture metered and non-metered services.				
System to provide the ability to change the following product/service information:				
a) Route Number				
b) Read /Process Sequence				
c) Location Code				
d) Minimum of 2 Additional Location Identifiers				
<b>Meter Readings</b>				
System to provide the ability to download and upload mass meter readings to/from the meter reading applications based on the following but not limited to:				
a) Cycle				
b) Route				
System provides the ability so that the user can reconcile the number of meter readings exported from the Meter Reading software to the number of meter readings imported into the billing system.				
Ability to record and associate meter reading measurements such as:				
a) HCF / CCF / etc. Compound Water Meters				
b) Negative Read				
System to provide the ability to request and accept individual meter readings for the following types of requests, but not limited to:				
a) Reread				
b) New Service				
c) Reconnect				
d) Disconnect				
e) Field Visit (other field activity)				
f) Meter Change Out				
g) Special Read (Off-cycle bill)				
System provides the ability to override or manually send down cycle and routes to the handheld devices.				
System to provide the ability to accept readings from service orders completed in batch from PDA or like device.				
System to provide the ability to accept readings from service orders completed in real time from PDA or like device.				
System will provide the ability to manually mass enter multiple meter readings, type of readings, and read dates.				
System provides the ability to capture all reads including exceptions and actual.				

## 7.0 Usage Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
System will provide the following types of readings or inputs, including but not limited to:				
a) Forced (manual estimated)				
b) Estimated (system estimated)				
c) Actual				
d) Interim				
e) Initial				
f) Final				
System will provide the ability to track the number of consecutive times that a meter reading is estimated.				
System will provide the ability to estimate consumption based upon an average of user-selected prior billing periods.				
System will provide the ability to maintain both actual and billed consumption.				
System will provide for the following reading information, including but not limited to:				
a) Read Date				
b) Reading				
c) Metered / Measured Consumption				
d) Days of Service Between Reads				
e) Employee and Date				
f) Time Stamp of meter read				
System to provide the ability to automatically generate the following activities as a result of meter reader's input but not limited to:				
a) Meter Reader Notes / Comments / Codes				
b) Service Orders				
c) Customer Communication (Letter, email, text)				
d) Service Request (WO)				
System to provide the ability to make corrections/changes to readings, read dates, and metered/measured consumption with an audit trail.				
System provides the ability to enter readings with dates out of sequence. For example, monthly meter reading input then a manual work order is entered but for a previous date, 'sandwich-in' and process billing in a sequence of read dates.				
System to provide the user with the ability to code, view and search for special meter read instructions that are forced to be read or optional (unforced).				
System to provide the user the ability to enter, view and search multiple special meter reading instructions, with a minimum of 30 character field length.				
System to provide the ability to maintain history on tamper codes for meter reading system and the CIS.				
<b>Consumption</b>				
System to provide the ability to measure usage for a specific period of time for days of service.				
System to provide the ability to calculate and view the average daily use and store within the system - for each service.				
System to provide the ability to record usage for the following services but not limited to:				
a) Water				
b) Stormwater				
c) Retail contracts / complex billing				

## 7.0 Usage Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
d) Stormwater (billing only)				
System to provide the ability to bill for the following services but not limited to:				
a) Loans & Rebates				
b) Claims				
c) Equipment and Facility Rentals				
d) Other miscellaneous A/R (service contracts, etc.)				
e) Water cards (prepaid card to fill up a water bottle)				
System will provide the ability to capture a minimum of 10 years of meter usage history.				
System provides the ability to calculate billed consumption from metered consumption, including, but not limited to:				
a) Product of the metered consumption and a fixed user-defined calculation factor				
b) Product of the metered consumption and a meter multiplier factor				
c) Product of the metered consumption and number of units				
<b>Consumption Validation</b>				
System to provide the ability to establish a high tolerance range for each service with billing cycle independence.				
System to provide the ability to establish a low tolerance range for each service with billing cycle independence.				
System provides the ability to validate online and in batch the following for reasonableness, but not limited to:				
a) Zero Consumption				
b) Negative Consumption				
c) High Consumption based on user-defined rules				
d) Low Consumption based on user-defined rules				
e) Current Consumption compared to the tolerance range of last billing period's consumption				
f) Current Consumption compared to the tolerance range of the same period last year's consumption				
g) High Consumption based on user-defined criteria if consumption history is incomplete				
h) Low Consumption based on user-defined criteria if consumption history is incomplete				
System provides the ability to accept a reading that fails edit.				
System contains the ability to review a report of readings that failed edit and accept, change, or hold until further action.				
System contains the ability to review readings online that failed edit and accept, change, or hold until further action.				
System provides the ability to accept a zero reading.				
System provides the ability to calculate the consumption when a dial turnover occurs correctly.				
System provides the ability to validate meter readings to the number of dials.				
System provides the ability to support a number of dials up to 12 digits.				
System provides the ability to track unauthorized usage.				
System provides a mechanism to flag an account due to unauthorized usage.				
<b>Consumption Display</b>				
System will provide the ability to view all related fields of metered and billed consumption.				

## 7.0 Usage Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
System to provide the ability to view the consumption related information for the following areas, including but not limited to:				
a) Premise (service address)				
b) Meter / Equipment number				
c) Type of Service (e.g., water, fire, etc.)				
d) Customer / Account				
System to provide the ability to look at the historical information at a premise for a particular service that includes but not limited to: readings, consumption, and revenue.				
System to provide the ability to look at the historical information at a premise for a particular service that includes but not limited to: average daily consumption.				
<b>Consumption Adjustment</b>				
System to provide the user the ability to calculate and enter estimated meter readings manually.				
System to provide the user the ability to adjust a meter reading without overriding an original or billed reading with an audit trail.				
System to provide the ability to make consumption adjustments without changing the amount actually used with an audit trail.				
System to provide the ability for positive and negative consumption				



## 8.0 Inventory Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
<b>Meter Inventory</b>				
System will allow for a maximum of 13 alphanumeric characters field for meter number.				
System will at a minimum store and track the following types of meters and devices and their current location:				
a) Water Meters				
b) Flow/Bleeder Meters				
c) Master Meters				
d) Hydrant Meters				
e) Backflow assemblies				
System will provide the ability to mass change specific meter attributes.				
System will allow for mass entry of meters and attach predefined meter and associated device (AMR, AMI-MDM, prepaid swipe, etc.) numbers.				
System will allow for single entry of meters and attach predefined meter and associated device (AMR, AMI-MDM, prepaid swipe, etc.) numbers.				
System will allow for mass entry of meters as provided by the manufacturer.				
System will allow for a single meter to be added to inventory.				
System will allow upload of meter information from manufacturers through CD-ROM, USB, FTP, or the internet into a pending status.				
System will allow upload of meter information from 3rd party meter management system into the system.				
System provides the ability to mass delete or archive meters that are not active and associated information from inventory.				
System provides the ability to delete or archive a single meter/equipment that is not active and the associated information from inventory.				
System provides the ability to track equipment/products that are not associated with an inventory or serial number.				
System to provide the ability to process multiple register meters.				
System to provide the ability to maintain programmable electronic meters and AMI-MDM devices. All numbers will need to be visible in the system and related to each other.				
System to allow for more than one premise to be associated with a single meter.				
System provides the ability to accommodate multiple meters at a premise that measure different components of usage (For example usage, fire, wastewater, etc.).				
The ability to place into, track, and remove from inventory non-meter related items, such as:				
a) Conservation Equipment				
<b>Meter Data Details</b>				
System to provide the ability to search, assign, and modify the following meter status but not limited to:				
a) Active				
b) Inactive				
c) In Inventory				
d) On Truck				
e) Damaged or Under-Repair				

## 8.0 Inventory Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
f) Retired / Purged				
g) Testing				
h) Stolen/Missing				
System to provide the ability to uniquely identify a water meter by the following attributes, but not limited to:				
a) Meter Number				
b) Meter Type				
c) Meter Manufacturer				
d) Meter Size				
e) Number of Dials				
f) AMR / AMI-MDM Address (serial number) within the meter				
g) Purchase Date				
h) Multiplier				
i) Purchase Order Number				
j) AMI/FlexNet Code-ID				
k) Tested Accuracy				
l) Battery Life Expiration Date				
m) Rate of Flow (GPM)				
n) Minimum / Maximum Flow Rate				
o) Unit of Measure (HCF, CCF, Gallons)				
p) Reverse-Flow Indication				
q) Operating Range (min-max GPM)				
r) Pressure Loss				
s) Hose Couplings (fire hose coupling thread size)				
t) Meter Installation Date				
System provides the ability to modify/review/change all meter attributes.				
System provides the ability to track product warranties information including the following:				
a) Warranty Start / Purchase Date				
b) Warranty Termination Date				
c) Extended Warranty Available				
System will have the ability to associate a photo of a meter so that the image can be presented to a mobile handheld device.				
<b>Meter Search</b>				
System provides the online ability to identify all meters/equipment by type of service that are or have been set at a specific premise.				
System provides the online ability to view a premise and identify all meters/equipment for a service.				
System provides the ability to search by meter/equipment number and display history of the premise locations.				
System will provide the ability to search online for Meter/Equipment by the following:				
a) Premise Number				
b) Customer Name and Number				
c) Service Address				
d) Account Number				
e) Meter / Equipment Number				
f) Serial Number				
<b>Meter Set and Change-out</b>				
System provides the ability to automatically update meter/equipment information upon completion of the set service order.				

## 8.0 Inventory Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
System provides the ability to automatically update meter/equipment history and status upon completion of a remove service order.				
System provides the ability to add a meter/equipment to a premise as long as it is not active or installed at another location.				
System disallows for duplicate meter/equipment numbers within the same service type.				
<b>Meter History</b>				
System has the ability to track the following information				
a) Location				
b) Date				
c) Replacement Meter / Equipment Number				
d) Comments				
System to provide the ability for stolen meter information to follow a customer.				
System provides the ability to flag a premise that has a history of stolen service or meters. The flag will be passed down to the handheld device and provide a pop-up alert to the meter reader.				
System to provide the ability to maintain the history of when the service was established and when the meter was originally set.				
System to provide the ability to maintain a complete history of multiple installations, location history, and repair and test history of individual meters.				
System to provide the ability to maintain meter inventory including meter location and reading history.				
System to provide the ability to maintain meter repair and test history and location.				
<b>Meter/Equipment Test</b>				
System will provide for annual testing programs including the following:				
a) Multiple Meters				
b) Geographic Area (e.g., by customer location, etc.)				
c) Manufacturer				
d) Service Meter / Equipment Types				
e) Size				
f) Reactive to Event (e.g., slow, bad read, etc.)				
g) Other User Defined Testing				
h) By contract				
System will automatically generate a service order based on the next annual test date and provide the ability to capture testing data.				
System will allow for a service order for a meter/equipment test to be generated as a result of a customer request.				
System will allow a meter note/comment on the testing results.				
System will provide on-line access to the following test results and information but not limited to:				
a) Test Date				
b) Testers Name				
c) Testing Procedure and Completed Results				
d) Tester Freeform Notes				
e) Multiple Testing Results (more than 2)				
f) Test Result Type (e.g., pass/fail, etc.)				

## 8.0 Inventory Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
g) Meter Accuracy Results (i.e., fast, slow, percentage of each, etc.)				
h) System accepts meter test results for 'x' percent of new meters and publishes the results for the balance of new meters.				
System provides the ability to see online if testing results are in or out of range.				
<b>AMI Inventory</b>				
System will allow for mass entry of AMI devices as provided by the manufacturer.				
System will allow for a single AMI device to be added to inventory.				
System provides the ability to mass delete or archive AMI devices that are not active and associated information from inventory.				
<b>AMI Data Details</b>				
System to provide the ability to search, assign, and modify the following AMI device status but not limited to:				
a) Active				
b) Inactive				
c) In Inventory				
d) On Truck				
e) Damaged				
f) RMA				
g) Retired / Purged				
h) Stolen/Missing				
System provides the ability to store identification fields such as but not limited to:				
a) Type - (Pit or Wall mount)				
b) Port Info - (single or dual)				
c) Purchase Date				
d) AMI number				
e) MFG serial number				
f) Model Number				
g) Acquisition Date				
h) MFG name				
i) required replacement date				
System provides the ability to track product warranties information including the following:				
a) Warranty Start / Purchase Date				
b) Warranty Termination Date				
c) Extended Warranty Available				
<b>AMI Search</b>				
System provides the online ability to identify all AMI Devices by type of service that are or have been set at a specific premise.				
System provides the online ability to view a premise and identify all AMI devices for a service.				
System provides the ability to search AMI number and display the history of the premise locations.				
System will provide the ability to search online for AMI devices by the following:				
a) Premise Number				
b) Customer Name and Number				
c) Service Address				
d) Account Number				
e) AMI number				

## 8.0 Inventory Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
<b>AMI Set, Change-out, Remove</b>				
System provides the ability to automatically update AMI device information upon completion of the set service order.				
System provides the ability to automatically update AMI device history and status upon completion of a remove service order.				
System provides the ability to add an AMI device to a premise as long as it is not active or installed at another location.				
System will allow an AMI device to removed, set or changed from a premise without changing the status of the meter at the premise.				
System will allow AMI device to be related to a specific meter. I.e., one premise with multiple meters.				
System will automatically update meter / AMI relationship status based on a completed service order.				
System will allow the ability to update the meter / AMI relationship of the AMI device to a meter manually.				
<b>AMI History</b>				
System has the ability to track the following device lifecycle information including but not limited to:				
a) Location				
b) Date				
c) AMI Number				
d) Comments				
System to provide the ability to maintain a complete history of multiple installations and location history of individual devices.				

## 9.0 Service Order Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
<b>System Requirements</b>				
System provides the ability to upload/download service orders and associated information into PDA, Laptops, or like devices.				
System will provide for user-defined order status. On the CIS, the order status will include but not limited to:				
a) Printed (released)				
b) Canceled (not worked)				
c) Closed (completed)				
d) Pending / Open				
e) Issued (assigned)				
f) Hold (Pending further action or information)				
For Service orders, the system to provide the ability to:				
a) Issue				
b) Copy				
c) Edit/change without having to cancel				
d) Cancel				
e) Print				
f) Complete				
System to provide the ability to route service orders to an electronic work queue.				
System routes the orders based on the physical location, device, etc.				
System to identify work initiated and/or completed in the field.				
System to allow for a single service order to accommodate multiple actions for a single service (example: Meter change out would be a remove and install).				
System will allow for a single order to address a single service/product only.				
System to provide the ability to create, display, and maintain automated agreements with landlords to revert selected services and not others at a single premise.				
System to provide the ability to create, display, and maintain automated agreements with landlords to revert selected services and not others at multiple premises (apartment complex).				
Service orders made in error, prior to completion, can be reversed within the system, which also reverses any actions taken as a result of the service order creation.				
System to allow emergency service orders to be differentiated from normal day to day service orders by a unique identifier.				
System provides the ability to default multiple charges based on the type of service order and various options selected (i.e., Turn-on fee plus additional same-day fee).				
System provides the ability to manually enter or override a charge on a service order.				
System provides the ability to automatically generate unique, and/or sequential service order numbers.				
System provides the ability to define service order information codes and descriptions including, but not limited to:				
a) Status Codes				
b) Employee ID (worker code)				
c) Resolution Codes				



## 9.0 Service Order Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
d) Cause Codes				
e) Priority				
System provides the ability to create a turn-off order for a pending turn-on order as a single step for the same customer and services.				
System supports automated workload balancing at a group and individual level.				
System to provide on-line manual rescheduling of service orders by service area based on the following:				
a) Date Requested				
b) Staffing Levels				
c) Priority				
<b>Service Order Validation</b>				
System will validate the inventoried meter and update the meter multiplier for the installed meter if necessary with override.				
System provides notification if an order already exists for the same premise and service.				
System provides the ability to require user-defined fields to be populated prior to the service order being created or completed.				
System to provide the ability to validate both the customer and premise exist within the system before a service order is produced.				
System validates and prevents more than one connect order from being placed on the same premise and service for the same customer.				
System will prompt/alert cut-off-allowed flag prior to accepting a disconnect for non-pay service order, but allowing user override (Promise to pay account, vouchers, etc.)				
System to provide the ability to override the system defined restrictions on the number of orders allotted for a specific time frame.				
System provides the ability to produce an alert if the time slot has been filled with a manual override.				
System provides selected types of orders to have a required user-defined time slot with manual override.				
System provides for the ability to restrict the scheduling of orders based on limits and a calendar that takes into consideration holidays, weekend, etc. with manual override.				
System provides the ability to notify that there is a dependent order being canceled.				
System provides the ability to validate that the service exists or is available at the premise prior to the creation of the service order.				
System will validate the meter readings against the number of dials.				
System will validate service order readings against the standard hi-low criteria used for in meter reading and other system edits.				
System provides the ability to validate that a scheduled date is a current or future date, not a past date and allows for user override.				
System provides the ability to validate that the date can only be scheduled within a user-defined date range (future) with an override.				
<b>Service Order Initiation</b>				

## 9.0 Service Order Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
System provides the ability to initiate service orders by batch from an external file.				
System will provide the ability to either create and route existing services order in groups or by individual order, based on a set of user-defined parameters (e.g., route, meter sequence, service type, etc.).				
System to provide the ability to initiate a service order in the field to be entered via an electronic device.				
System to provide the ability to initiate and complete a service order in the field via an electronic device.				
System to provide the ability to create and distribute service orders that are initiated by trouble codes identified within the meter reading handheld device upload.				
System to provide the ability to create and distribute service orders that are initiated by trouble codes identified within the meter reading handheld device upload into an online work queue with manual overrides.				
An electronic device (mobile device) retains and sync's the information that has been captured on the system in the event of communication disruption.				
System will provide the ability to issue a same day order.				
System has the ability to manually and automatically initiate the following types of service orders, including but not limited to:				
a) Turn On / Off				
1) Repair				
2) Temporary Service				
3) Seasonal				
4) Non-Pay (delinquent)				
5) NSF				
6) Missed Payment Plans				
b) Meter Test				
c) Delinquent turn-offs for multi-metered accounts pursuant to client defined shut rules				
d) Delinquent turn-off for multi-meter service lines pursuant to client defined shut rules				
e) Set Meter				
f) Pull Meter				
g) Repair and Replace Equipment				
h) New Service Install Equipment				
i) Request Service Level Change (different equipment)				
j) Reread				
k) Unlimited				
System to provide the ability to initiate service orders automatically based on specific circumstances (e.g., turn on after delinquent off and payment met) with manual override(s).				
System has the ability to prioritize the issuing of service orders by the following but not limited to:				
a) Dollar Amount Past Due				
b) Duration of Time				
c) Maximum Quantity				
d) Service Type				
e) Geographic Area (i.e., ward, zone, APN, service area #, X/Y, etc.				
f) Type or class of customer				
g) Any Combination of Above				

## 9.0 Service Order Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
System provides the ability for in-field initiation of service order investigations for the following but not limited to:				
a) High and Low Bill Investigation.				
b) Unauthorized Usage / Diversion / Idle Investigation.				
c) Stopped Meter				
d) Check or Locate Meter				
System to provide the ability to initiate an unmetered service order online for user-defined reasons (e.g., etc.)				
System provides the ability to hold an order until related orders have been completed for the same location.				
System provides the ability to "split" orders for different services at the same location - so that each order can be closed independently of each other.				
If there is an on order and an off order issued for the same premise and service for the same day system will:				
a) Print / Distribute a "read-only" combined order				
b) Automatically complete the off order and the on order with the "read-only" read				
System to provide the ability to initiate and complete a service order after the work has been completed.				
System provides the ability to generate a report of potential service orders based on related codes.				
System to provide the ability to select accounts that have a service off for delinquent for more than a specified period of time, and generate a service order to close out (cut off) any other active services.				
System to provide the ability to select accounts that have a service off for delinquent for more than a specified period of time, and generate a service order to follow up on the account until paid or vacated (verify that the service is off).				
System provides the ability to automatically generate a service order for turn-ons and installs as a result of processing an online web-based application for new service - that may or may not be processed through an online work queue.				
System provides the ability to automatically generate a service order based on system events or upstream trigger (fails system high/low validations, negative consumption, etc.) with override.				
System provides the ability to capture customer contacts and notes that the CSR has taken and import onto the service order. (Not general notes field)				
<b>Service Order Distribution</b>				
System will provide the ability to define where a specific order should be printed/and or sent based on user-defined codes.				
System provides the ability to override the default print/distribution location of a service order.				
System provides for reprint/redistribution of a service order to the same or different location.				
System to support the functionality of emailing orders.				
System to provide the ability to distribute service orders immediately upon creation.				
System to provide the ability to print service orders immediately upon creation.				

## 9.0 Service Order Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
System to provide the ability to print/distribute service orders in batch mode based upon user-defined parameters.				
System to provide the ability to sort based upon user-defined parameters which would include, but not limited to:				
a) Geographic Area (i.e., route, zone, APN, service area #, X/Y, etc.)				
b) Service Address or Zip Code				
c) Type of Order				
System to provide the ability for a service order that has been held pending payment of a deposit to be released when payment is made.				
System to provide the ability to automatically route service orders to pre-defined areas such as dispatch and remote service centers based upon information such as a type of order, type of service, etc.				
System to provide printed/generated service order information that is user-defined and may contain all or some of the following but not limited to:				
a) Order Number				
b) Scheduled Date				
c) Order Status				
d) Customer Name				
e) Account Number				
f) Premise Address				
g) Route Number				
h) Cycle / Service Area				
i) Third Party Information				
j) Order Type or Code				
k) Special Conditions (health conditions, dangerous area, etc.)				
l) Area for Hand Written Remarks				
m) User Defined Areas				
n) Geographic Area (i.e., route, zone, APN, service area #, X/Y, etc.)				
o) Special Condition Code(s) that require additional investigation and discussion with customer prior to service turn-on/off and/or cut-in/off, etc. (e.g., bad dog - customer must open gate, cross meter, special medical conditions, etc.)				
p) Created By				
q) Last Modified By				
System to allow each service order to have a different format and related information.				
System will allow for the creation of a service order, for up to 4 services, that can be printed/contained on a single 8"x11" printed page.				
<b>Appointment Scheduling</b>				
At a minimum, the proposed system will track all of the utility's service requests through an appointment scheduling system.				
System will provide for advanced schedule views within a user-defined window.				
System will not restrict the availability of the appointments based on a fixed time horizon				
Availability of appointments will be configurable based on job				

## 9.0 Service Order Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
System has the ability for the resource that has been assigned an order and the order has been canceled or rescheduled, that resources or time slot will be open.				
System will allow for unlimited, customized, schedule board, view layouts per user.				
System will allow for the sending of text messages with schedule details to technicians in the field.				
System will provide for a color-coded schedule status.				
System will allow for detailed notes from the customer, as well as internal note tracking.				
System will automatically convert completed schedules to billable labor, as appropriate.				
System will support the movement of incomplete schedule slots/work to a different day, time, etc., to either the same field worker or to the 'unassigned' queue for rescheduling.				
System will allow for sending a preferred technician to a customer's site, based on the following criteria:				
a) Certification, education, job Skills				
b) Physical condition of the field worker				
c) Physical location				
d) Time of day				
e) Availability				
f) Type of service order				
g) Type of problem				
h) Safety driven				
i) Technicians ID (preassigned)				
j) Group/business unit				
System will support a "best fit" feature, where scheduling is based on the following, but not limited to:				
a) Personnel who is the closest				
b) Personnel who has the proper equipment				
c) Personnel who has the proper skill set				
d) Territory assignments				
System will record and real-time update estimated arrival times when any change to the schedule or route is made.				
System will allow supervisors to enter the maximum number of allowable orders per tech user profile.				
System allows user-defined appointment windows.				
Provide a graphical view of service orders and field representatives on a Gantt chart and mapping display.				
System will provide for viewing schedule (trace report) summary and detailed information by the following criteria, including but not limited to:				
a) Order type				
b) Service area				
c) Work unit / Team				
d) Operational area				
e) Job or project status				
f) Physical location				
System will provide internal analytics that demonstrates the following, but not limited to:				
a) Increased individual/crew satisfaction				

## 9.0 Service Order Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
b) Reduce overtime costs				
c) Improve schedule compliance				
d) Improve payroll accuracy				
e) Improve time and attendance				
System will track personal hours as required.				
System will provide for inventory control for service requests and related equipment.				
System will support service request delays and allow for rebooking of requests.				
System will support an environment where service orders can be entered wirelessly or from a handheld device.				
Provides ability to wirelessly dispatch services orders to field service representatives.				
System will allow for problem and repair analysis, guidelines, etc.				
System will allow for full reporting capabilities for labor				
a) Type of work				
b) Problem code				
c) Account				
d) Job site				
e) Priority				
f) Hours				
System will allow for full reporting capabilities for materials				
a) Type of work				
b) Problem code				
c) Account				
d) Materials used				
e) Costs				
f) Hours				
System will support different pricing schemes for different types of work or specify a specific, pricing structure at the customer level.				
System will support multiple completion codes per each work order.				
System will support multiple dispatch codes per each work order.				
System will allow for field requirements 'Problem Check List' feature.				
System will allow for the creation of unlimited completion subcodes for each service order.				
System will "re-balance" work, based on internal and external factors that affect the estimated arrival time (i.e., real-time, continuous, optimal work assignments.).				
System will allow customers can go to customer self-service to request an appointments or tasks.				
System will automatically notify customers of estimated arrival times or schedule changes.				
System will display the status and availability of the utility's entire field workforce at a glance.				
System provides the ability to force an order into the schedule with no scheduled appointment.				
System will allow field personnel to view their schedule.				
System will allow for adjusting schedules by dragging, dropping, cutting, copying and pasting functionality.				
Provide ability to see a calendar view of schedules for a day or more graphical format.				



## 9.0 Service Order Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
System will allow for viewing of entire list of orders per field worker.				
System will allow for viewing of entire list of orders for all field workers.				
System will allow field personnel reassign work to another field person.				
Ability to filter the task list to identify work types by user-defined criteria.				
System will allow field personnel to reject an order with a reason code and send the order back to the dispatcher to be assigned to a different crew.				
System will support service orders and scheduling that are incomplete due to waiting for parts or a multi-day job, etc.				
System will transmit service order status en route to next				
System will transmit an on-site indicator when the service person arrives at a premise or location.				
System will record the length of order (based on the order type).				
System will, upon completion of the service order, automatically move on to the next service order.				
System will allow the CSR to select the time window for a particular service order while in CIS, but the scheduling system contains the parameters for scheduling.				
System will suggest, to the CSR, alternative appointment times, dates, and resources necessary to accomplish the task.				
<b>Service Order Modification/Change</b>				
System to provide the ability to change the order status of any order for any user-defined reasons (e.g., payment arrangements, payment made, etc.).				
System to provide the ability to change the order type of any order for any user-defined reason.				
System to provide the ability to reschedule orders which have not been worked.				
System to provide the ability to modify an uncompleted service order online.				
System to provide the ability to modify (reopen) a completed service order with the proper security level and audit trail.				
System provides the ability to add additional charges in addition to the default charge.				
System provides the ability to remove or change the default charge.				
System provides the ability to modify specific areas of a service order (notes) if a service order has been completed or canceled.				
<b>Service Order Completion</b>				
System to provide the ability for the final read to be used as the start read (for a forced off or final off for same day).				
System to provide the ability to cancel orders resulting in any associated orders being canceled.				
System to allow for the completion of a turn-on order for an active account and/or service will force the previous account off if it is active.				
In the event of a cancel of a service order, in a multi-service order environment, the system will allow for any individual or all associated orders to be worked - without affecting the other.				

## 9.0 Service Order Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
System provides the ability to notify CSR of the cancellation of a turn-on order so that the account can be reviewed for deposit refund, etc.				
System to provide the ability to input the completion information in a single entry screen.				
System to allow for service order completion screens that are tailorable to the type of service order.				
System allows for the mass cancel or completion of service orders that can be selected and modified by any combination of the following:				
a) Order Number				
b) Scheduled Date				
c) Order Type				
d) Order Status				
e) By Employee ID				
f) Created By				
System to, by completing the service order, change the account status automatically.				
System to, by completing the service order, capture the date services were completed.				
System to, by completing the service order, capture the date the work was completed.				
System to, by completing the service order, capture the user ID.				
System provides the ability to complete service orders by batch from an external file.				
System can be user configured to specify the action(s) taken on a service order including, but not limited to:				
a) Turn On				
b) Turn Off				
c) Replace				
d) Remove				
e) Cut Off				
f) Abandon / Found Meter				
g) Read Only				
h) Reseal/Maintenance				
i) Appointment				
System provides the ability for multiple actions to take place with a single order.				
System to, based upon the actions specified, will validate all necessarily associated fields of any single and/or multi-action order and the ability to manually override.				
System provides the ability to update an account, premise, and/or service information upon completion of a service order including, but not limited to:				
a) Service Status				
b) Replacement Meter Number and Type				
c) Current and Replacement Meter Reading(s)				
d) Meter Test Results [As found and as left]				
e) RFID Unit Number(s) and other related Equipment				
f) Meter / Equipment Location Code				
g) Associated Services				
h) Meter / Equipment Status				
i) Resolution Code (replaced, pulled, etc.)				
System provides the ability to establish the default service status action when an order is initiated. For example, water new service would default to be active.				

## 9.0 Service Order Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
System provides the ability to establish the default service status action when an order is completed. For example, water new service would default to be pending.				
System provides the ability to override the default service status action when an order is completed.				
System to allow for the completion of metered service orders that can initiate the action and start dates with non-metered services (e.g., completion of new service water could default irrigation svc. to start billing n days in the future).				
System provides the ability for the completion of one type of order to automatically initiate another type of order or process.				
System will allow for a meter/equipment to be removed without a replacement.				
System to allow for meter/equipment readings and/or register number, and/or RFID related number(s) to automatically be updated as a result of a meter exchange service order.				
System to allow meter/equipment readings and numbers to automatically be updated as a result of an exchange service order.				
System has the ability to have customers sign on on work performed at their premise - either on paper or in the mobile field service subsystem.				
System provides the ability to input a specific charge - user-defined amount.				
<b>Service Order Display</b>				
System will provide the ability to select and view service orders in a work queue including any combination of the following, but not limited to:				
a) Order Status				
b) Order Type				
c) Person or Department or District Office assigned to				
d) Range of Dates				
e) Range of Order Numbers				
f) Scheduled Date				
g) Customer Name				
h) Account Number				
i) Premise Address or Number				
j) Route Number				
k) Service Area / Cycle				
l) Closed - no action is taken or required				
m) Customer Class				
n) When it was printed and/or reprinted and by whom- issued				
System to provide support for tracking person/crew assignments/dispatching of service orders.				
System to provide the ability to view online existing workload and the next available time an order can be scheduled.				
System to provide the ability to inquiry or report against all orders that were not started or completed by a certain time.				
System will maintain online history of canceled service orders that including the following:				
a) Reason for Cancellation				
b) Who Canceled the Service Order				

## 9.0 Service Order Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
c) Date, the Service Order, was Canceled				
System will maintain the history of all service orders until purged/archived.				
System to provide the ability to view and sort on-line all service orders for the customer account and/or service address.				
System to provide the ability to include Alert Codes on any off or delinquent off orders so that field services can give proper advance notice to the customer.				
System allows for a view of service order history as related to:				
a) Premise				
b) Service / Product at a Premise				
c) Customer				
d) Meter / Equipment				
e) Account				
f) Utility Worker				
g) Work Group / Crew				
h) Service Order Type				
<b>New Requirements</b>				
System has the ability to track watering permits and variances. (start and end dates)				

## 10.0 Cashiering Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
<b>System Requirements</b>				
System provides the ability to process transactions through the use of a cash drawer.				
System allows for account balances to be used to calculate change for the payment transaction.				
System provides the ability to print a customer receipt based on a user-defined format.				
System provides the ability to view a pending payment which has not yet been disbursed/posted.				
System has the ability to accept a payment and apply it to multiple accounts.				
System has the ability to accept a single payment for a master account and auto-distribute across all sub accounts.				
System provides the ability to recognize payments received on an account that has transferred by automatically posting the payment to the account where the balance was transferred with an audit trail.				
System provides the ability to apply a payment for a specific outstanding receivable (oldest arrears, deposit, returned check, etc.).				
System provides the ability to apply for a payment through a user-defined hierarchy (i.e., age, type of service, type of charge/fee, percentage of bill, etc. and any combination of the above).				
System provides the ability to allow the CLIENT user, to specify which outstanding receivable is paid, overriding defined rules.				
System has the ability to hold an overpayment and apply to the next bill.				
System provides the ability to post a batch of payments at any time during the day, such as payments received in the mail and processed via remittance processor. (See cash processing interfaces)				
System provides the ability to accept a payment from a 3rd party, centralized, cashiering module.				
System provides the ability to send information regarding customer, payments, balances and due dates to 3rd party.				
System provides the ability to create a daily ACH file for recurring payments to be transmitted to the bank.				
System provides the ability to post cash payments, real-time, with integration to applicable service orders in progress. Payment must be at least the minimum amount due to affect the service order, with a manual override.				
System provides the ability to accept multiple types of currency within one transaction.				
System provides the ability accommodate remote pay stations. (limited ability to access the CIS system)				
System provides the ability to identify location of transaction.				
System provides the ability to post monies paid by customer or non-customer.				
System provides the ability to display special account status, on the primary cashiering screen, that includes the following, but not limited to:				
a) Cash Only / No Checks				
b) Shut-Off				

## 10.0 Cashiering Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
c) Flags that the customer is utilizing recurring payment setup on account in CIS.				
d) Flags that the customer is utilizing recurring payment setup on account in 3rd party payment processor.				
e) User-defined				
System provides the ability to cash personal / employee checks.				
System will have the ability to reverse original transaction, payment history, transaction date, etc. and post expense to the original department/GL chart of accounts.				
System provides the ability to accept and track any method of payment. This is to include but not limited to the following:				
a) Cash				
b) Check				
c) Credit Card / Type of Credit Card (i.e., Visa, MC, Discover, etc.)				
d) Money Order				
e) Cashier Check				
System provides the ability to accept and track any origin of payment. This is to include but not limited to the following:				
a) Walk-In				
b) Phone				
c) Mail				
d) Electronic Commerce (bank drafts, EFT, etc.)				
e) DropBox				
f) Internet Payments				
System provides the ability to view payment distributions.				
System provides the ability to reverse a previous payment distribution and re-apply the payment differently to a single payment or batch. This is to include a complete audit trail of all transactions.				
System provides the ability to receipt multiple account stubs but only one check (i.e., property manager paying multiple accounts but with only one check). The system must provide a method to correct payments as needed, without having to delete the entire entry and re-enter all of the account information again from the beginning.				
adjustments to account balances which have previously been written-off.				
System provides the ability to allow for payment to be posted to a customer that is not yet associated with a premises, i.e., construction deposits, tap fees, etc.				
System provides the ability to allow for instant review of payment transaction history for at least 84 months.				
System provides the ability to assign unique numbers to each transaction.				
System provides the ability for a 3rd-Party payment application to pass the transaction number.				
System will automatically generate a delinquent reconnect order when the minimum required payment is received, with the ability for the user to cancel, if needed.				
System provides the ability to set parameters for minimum required payments, with CSR override for any amount.				



## 10.0 Cashiering Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
System provides the ability to prevent an order being printed/sent to a hand-held device for a disconnect if the deposit amount is greater than aged balance. System will prompt/alert the CSR of this condition and place the item in an online work queue for further review.				
System provides the ability for payments made at a pay-station to be totaled by pay station, along with the total number of payments, and generate the information that goes to the revolving fund for payment.				
System provides date, time, and user ID stamp for posted transactions.				
System provides the ability for the payment to be voided prior to disbursement/posting, but with proper security and an audit trail.				
System will display write off amounts on-screen and post payments to current period write-off general ledger accounts.				
System provides the ability to suspend payments processed against invalid accounts for customers and to hold the amount paid until they can be researched and applied (Suspense account concept).				
System provides the following types of actions:				
a) Generation of OCR Line				
b) Barcode				
c) A receipt will include:				
1) Date				
2) Station ID and CSR ID				
3) Time				
4) Account number				
5) Dollar amount of payment				
6) System will allow or disallow the printing of name and address on the receipt.				
System OCR line that is generated must include the following, but not limited to:				
a) Utility Identifier				
b) Utility Account Number				
c) Amount				
d) Past due				
e) Bill type				
f) 2-Check Digits (one for the account, one for the amount)				
<b>Primary Cashiering Screen Criteria</b>				
System provides the ability to display payment information on primary cashier screen.				
System provides the ability to display amounts due and due dates on primary cashier screen.				
System to provide the ability to display current/past due amount breakdown.				
System provides the ability to display certain customer information on primary cashier screen.				
System provides the ability to display account information on primary cashier screen.				
System provides the ability to display premises information on primary CSR screen.				
System provides the ability to display limited product/service information on primary cashier screen.				

## 10.0 Cashiering Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
System provides the ability to display credit history information on primary cashier screen.				
System provides the ability to display limited billing information on primary cashier screen.				
System provides the ability to access detailed payment information from the primary cashier screen.				
<b>Non-Sufficient Funds Processing</b>				
System provides the ability to validate customer information during payment entry, for prior unpaid services via SSN or Drivers' license number. Also information like NSF Checks - Cash Only, Meter disconnections, late pays, etc. should be shown when entering payments.				
System provides the ability to display information like previous NSF Checks - Cash Only status, Meter disconnections, late penalties, etc. when entering payments.				
System will provide for batch or real-time processing of returned checks.				
System will provide the ability to apply a return check fee when a returned check is processed.				
System provides the ability to automatically generate letters for returned checks / NSF's processed. The system will automatically place the customer in the proper delinquency tract (where they were when the check was presented or where they are now).				
System provides the ability to request a group of letters for returned checks / NSF's processed.				
System provides the ability to automatically update credit history with returned checks / NSF check data.				
<b>Reconciliation</b>				
System provides the ability to provide real-time and end-of-day balance information to include the following, but not limited to:				
a) Number of Checks Received				
b) Total Cash				
c) Total Credit Cards				
d) Total Stubs				
e) Total Transactions				
f) Amount Received				
g) Payments Voided, if applicable				
System provides the ability to process/scan auto-check functionality, i.e., processing debit card or Check 21 payments.				
System provides a mechanism to ensure receipts are processed against the correct chart of account numbers in the accounting system.				
System provides a distribution report showing all accounting entries for a given cashier and date combination (i.e., check tender list).				
System provides that the Accounts Receivable balances can be updated from the receipts/file. This process updates account balances and create an automated journal for the Accounting application.				
System provides the ability to purge receipt transactions from the Cash Receipts system, based upon user-defined parameters.				

## 10.0 Cashiering Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
System provides a recap of transactions for a given date range. This report gives a listing in full detail and/or in summary of all transactions by cashier (e.g., report can be based on receipt date and post date).				
System provides a month-end distribution report. This report gives a listing of all transactions posted to the Accounting system for the period by journal number. Detail should be broken down by GL number.				
outs, with a listing of fields by dollar amount, to quickly count cash.				
System allows cash drawer processing and cash reconciliation for each cashier.				
System allows a cashier to balance their own drawer at any time during the day.				
System provides the ability to use the balance transaction sheet as the bank deposit slip.				
System allows for the ability to search or "find a payment" by amount, date, and cashier.				
System provides the ability to create a report that is created for specific period of time that is re-creatable in the future that reflects the same numbers. (I close the books for a particular month end and then do a C/R the following month that impacts				
<b>Scanner</b>				
System provides the ability to use a plug-and-play, handheld OCR scanner, barcode reader, or another industry-standard device for automated payment receipt when payment is submitted with return portion of the bill print.				
System provides the ability to automatically populate the following fields in the cashiering batch, upon scanning the stub to include the following:				
a) Account Number				
b) Customer Name				
c) Premises Address				
d) Defaulted Amount Due (which can easily be overwritten to match the amount of, if different from amount due)				
e) Invoice Number				
System must provide a field for manual entry of the check number on the same entry screen as items listed above.				
<b>Misc. items</b>				
System provides the ability to create misc. items that can be sold that will be linked to specific GL account number.				
MISC items could include the following:				
a) lead test				
b) Vehicle maintenance (RWA garage will perform specific services for RWA employees and generate an invoice)				
c) Recreation Payment				

					11.0 Field Mobile Work Management				
Application	Requirement	Tab	Category	Sequence	Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
CIS	FMWM	11	0	0	Mobile Work Management - General				
CIS	FMWM	11	0	1	At a minimum, the proposed solution provides for the following real-time mobile solutions, including but not limited to:				
CIS	FMWM	11	0	2	a) Dispatch				
CIS	FMWM	11	0	3	b) Intelligent Routing				
CIS	FMWM	11	0	4	c) Scheduling of Appointments				
CIS	FMWM	11	0	5	d) Resource Management Optimization				
CIS	FMWM	11	0	6	e) Field Automation (e.g., Platform for developing specific field workflow applications to further automate and improve field crew productivity using the utility's CIS and GIS) - support a variety of workflows with unique events, touch points for each type of work.				
CIS	FMWM	11	0	7	System must be able to send and receive work/service order requests from the proposed CIS.				
CIS	FMWM	11	0	8	System must be able to send and receive work/service order requests from other utility systems (work order management system, etc.).				
CIS	FMWM	11	0	9	System will allow for the creation of work orders from within workforce mobilization system.				
CIS	FMWM	11	0	10	System will be able to complete work in workforce mobilization system and close order in the source system (CIS, work order management system, etc.).				
CIS	FMWM	11	0	11	System will be able to complete work in back office system and close order in the source system (CIS, work order management system, etc.).				
CIS	FMWM	11	0	12	System will provide the ability to update information on an existing dispatched order to be updated only when the mobile device is synced.				
CIS	FMWM	11	0	13	System can, in real-time review and update the following information in the dispatch environment:				
CIS	FMWM	11	0	14	a) Event				
CIS	FMWM	11	0	15	b) Crew				
CIS	FMWM	11	0	16	c) Personnel				
CIS	FMWM	11	0	17	d) Equipment information				
CIS	FMWM	11	0	18	System provides the ability for orders to be grouped at the same location based on a specific user-defined time frame. Example - dispatched to a location for a reread and there is prescheduled order that has a 12 month expire date. The system will automatically pull in those order(s).				
CIS	FMWM	11	0	19	System will manage the orders to ensure that all orders for a single property are logically grouped (or not), worked and closed.				
CIS	FMWM	11	0	20	System will provide that orders are not required to be associated with a premise and can be pointed to and searchable by field and geo code for the following:				
CIS	FMWM	11	0	21	a) Intersections				
CIS	FMWM	11	0	22	b) Parcels				
CIS	FMWM	11	0	23	c) Specific locations				
CIS	FMWM	11	0	24	System provides the capability to assign short duration work to a user-defined group of employees.				
CIS	FMWM	11	0	25	System will provide a "store and forward" ability to ensure no orders are lost.				
CIS	FMWM	11	0	26	System will provide for online, real-time views that assist with operations to include the following:				
CIS	FMWM	11	0	27	a) Expense management				
CIS	FMWM	11	0	28	b) Intelligent routing - utilization				
CIS	FMWM	11	0	29	c) Staff location				
CIS	FMWM	11	0	30	d) Resource management				
CIS	FMWM	11	0	31	e) Scheduling				
CIS	FMWM	11	0	32	System will acquire work/service orders automatically from enterprise asset management (EAM) system in real-time or batch mode.				
CIS	FMWM	11	0	33	System will support the following EAM work requests including but not limited to:				
CIS	FMWM	11	0	34	a) Standard crew work				

CIS	FMWM	11	0	35	b) New service requests				
CIS	FMWM	11	0	36	c) Preventative maintenance order				
CIS	FMWM	11	0	37	d) Emergency / After hours work				
CIS	FMWM	11	0	38	System provides the ability to generate outage work that is gathered from the GIS system. - Automatically create the orders.				
CIS	FMWM	11	0	39	System will allow work to be stored until it can be scheduled with a resource that is working within the area, or when a resource is available. The scheduled or unscheduled work will not be automatically deleted as long as the order is not worked or completed - based on a user-defined timeframe.				
CIS	FMWM	11	0	40	System will provide priority work schedule based on current workload and availability of resources.				
CIS	FMWM	11	0	41	System will acquire outage orders automatically from the OMS in real-time mode.				
CIS	FMWM	11	0	42	The system will support the following OMS work requests:				
CIS	FMWM	11	0	43	a) Trouble call				
CIS	FMWM	11	0	44	b) Routine maintenance				
CIS	FMWM	11	0	45	d) Troubleshooting				
CIS	FMWM	11	0	46	e) Tree Trimming - roots				
CIS	FMWM	11	0	47	System will automatically notify field personnel of an amended order in real-time.				
CIS	FMWM	11	0	48	System will automatically change orders as directed by CIS/EAM and notify the field personnel in real-time.				
CIS	FMWM	11	0	49	System will automatically notify field personnel of work orders that have been re-assigned to them in real-time.				
CIS	FMWM	11	0	50	System will support future-dated orders for the following:				
CIS	FMWM	11	0	51	a) Workload				
CIS	FMWM	11	0	52	b) Vehicle				
CIS	FMWM	11	0	53	c) Balancing, etc.				
CIS	FMWM	11	0	54	System will allow for an order to be assigned to multiple workgroups at the same time.				
CIS	FMWM	11	0	55	System will lock-out certain service orders for a specific period of time (with override).				
CIS	FMWM	11	0	56	System will identify the work attempted but not completed, due to unavailable parts, inventory, resources, criticality etc., to see if necessary parts/resources have been received or are available and provide a manual means to reprocess the order - Canceled, different order type, resource etc.				
CIS	FMWM	11	0	57	System will identify the work attempted but not completed, due to unavailable parts, inventory, resources, criticality etc., to see if necessary parts/resources have been received or are available and provide an automated means to reprocess the order - Canceled, different order type, resource etc.				
CIS	FMWM	11	0	58	System employs user-defined, estimated job times depending on the service order type.				
CIS	FMWM	11	0	59	System employs user-defined, estimated drive times (reasonable expectations) for each geographic area.				
CIS	FMWM	11	0	60	System drive-time estimate can be updated based on user-defined time frames for the following:				
CIS	FMWM	11	0	61	a) User				
CIS	FMWM	11	0	62	b) Geographic areas				
CIS	FMWM	11	0	63	c) Weather				
CIS	FMWM	11	0	64	System calculates estimated, time of arrival-based drive times of all assigned orders.				
CIS	FMWM	11	0	65	System will allow for the utility to configure workgroup, geographic boundaries by order type, workgroup, etc.				
CIS	FMWM	11	0	66	System will group orders dated for "x" days in the future and group them by proximity and by order type, for certain types of orders.				
CIS	FMWM	11	0	67	System will support multi-branch capability with a single point of entry and common database sharing.				
CIS	FMWM	11	0	68	System will allow for addresses entered into the system – as a work- site, customer location, resource start and end location, or work-in-progress – to be automatically "pinned" on a map.				
CIS	FMWM	11	0	69	The proposed MFS solution will integrate with the following systems, including but not limited to:				
CIS	FMWM	11	0	70	a) CIS				
CIS	FMWM	11	0	71	b) Human Resource / Labor (Time and Labor Management)				
CIS	FMWM	11	0	72	c) Asset Management System				
CIS	FMWM	11	0	73	d) CRM				
CIS	FMWM	11	0	74	e) Purchasing				

CIS	FMWM	11	0	75	f) FMIS				
CIS	FMWM	11	0	76	g) GIS - (scheduling, mapping, geo coding, routing) and mapping integration into FMWM:				
CIS	FMWM	11	0	77	1) Scheduling				
CIS	FMWM	11	0	78	2) Mapping				
CIS	FMWM	11	0	79	3) Geo coding				
CIS	FMWM	11	0	80	4) Routing				
CIS	FMWM	11	0	81	5) Mapping integration into MFS				
CIS	FMWM	11	0	82	System supports skill set matching.				
CIS	FMWM	11	0	83	The proposed MFS system is capable of multilingual support.				
CIS	FMWM	11	0	84	System will provide for demand labor planning based on work that has been input, including but not limited to the following periods:				
CIS	FMWM	11	0	85	a) Day-ahead				
CIS	FMWM	11	0	86	b) Week Ahead				
CIS	FMWM	11	0	87	c) Month-ahead				
CIS	FMWM	11	0	88	d) Quarter Ahead				
CIS	FMWM	11	0	89	e) Year Ahead				
CIS	FMWM	11	0	90	f) Planned event				
CIS	FMWM	11	0	91	g) Emergency or unplanned event				
CIS	FMWM	11	0	92	h) Yearly preventative maintenance event				
CIS	FMWM	11	0	93	i) SLA-compliance				
CIS	FMWM	11	0	94	System allows for orders for some field personnel or some order types can be printed while others are transmitted to mobile data terminals.				
CIS	FMWM	11	0	95	System has the ability have specific orders automatically print. Order type code is defined by the user.				
CIS	FMWM	11	0	96	System supports an automated call-ahead function (interface to an outbound call system).				
CIS	FMWM	11	0	97	System allows for user-defined field names and configurable labeling on both the dispatch application and the mobile application.				
CIS	FMWM	11	0	98	System prevents the loss of data during synchronization.				
CIS	FMWM	11	0	99	System provides synchronization and recovery procedures.				
CIS	FMWM	11	0	100	System provides conflict resolution procedures for synchronizing client and backend data integrity conflicts.				
CIS	FMWM	11	0	101	System provides time-stamping of transactions and along with transaction logs to include hour, minute, sec.				
CIS	FMWM	11	0	102	System provides data-encryption (256-bit minimum), using SSL or similar method, during real-time communication.				
CIS	FMWM	11	0	103	Dispatch security by user profiles.				
CIS	FMWM	11	0	104	System provides the ability for field personnel to change log-in passwords.				
CIS	FMWM	11	0	105	System provides administrative tools for managing user profiles and permissions.				
CIS	FMWM	11	0	106	Provide ability to view all account contact information on a single screen.				
CIS	FMWM	11	0	107	System provides the ability to view field representative notes entered by other technicians or home office employees that include notes from the last three entries at the premise location, such as "Meter had a broken seal or Leak"				
CIS	FMWM	11	0	108	System provides the ability for field representative to view customer service notes about service site/premise as recorded in CIS.				
CIS	FMWM	11	0	109	System provides the ability for the field rep. to view premise warning and site information per each customer as recorded in CIS.				
CIS	FMWM	11	0	110	System provides the ability for the field rep. to input premise warning and site information per each customer as recorded in CIS.				
CIS	FMWM	11	0	111	System provides the ability to select which field the comment/picture has entered the selection should be the following level:				
CIS	FMWM	11	0	112	a) Customer				
CIS	FMWM	11	0	113	b) Premise				
CIS	FMWM	11	0	114	c) Meter				
CIS	FMWM	11	0	115	System provides the ability to offer appointment windows to host systems based on order details and configurable window options.				
CIS	FMWM	11	0	116	System provides the ability to assign window options based on the following:				
CIS	FMWM	11	0	117	a) Day of week				
CIS	FMWM	11	0	118	b) Job type				



CIS	FMWM	11	0	119	c) Employee type/group (internal/contractors)				
CIS	FMWM	11	0	120	d) Location				
CIS	FMWM	11	0	121	System provides the ability to allow a specific end-user the ability to create a specific order that can be directly issued from the CIS system to the mobile client.				
CIS	FMWM	11	10		<b>MFS / CIS Integration</b>				
CIS	FMWM	11	10	1	System will provide for the following types of CIS-related service orders and work requests, including but not limited to:				
CIS	FMWM	11	10	2	a) Meter Read or Re-Read				
CIS	FMWM	11	10	3	b) Turn-On of Services				
CIS	FMWM	11	10	4	c) Turn-off of Services (final or disconnect for non-pay)				
CIS	FMWM	11	10	5	d) Transfer of Service (final/start read) - soft-off				
CIS	FMWM	11	10	6	e) Meter Installation				
CIS	FMWM	11	10	7	f) Meter Removal				
CIS	FMWM	11	10	8	g) Meter Exchange				
CIS	FMWM	11	10	9	The system provides real-time, in-field service information to CSR's, for use during a customer call, including but not limited to:				

12.0 Security Management

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
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**13.0 CRM**

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
<b>System Navigation</b>				
System will be configured so that on all entry screens, fields tab in order presented on the screen.				
System will be configured so that all of the modules/interfaces, including reports, have a consistent look and feel.				
System maintains key header information from one screen to the next. The utility requires that account number is part of the key header information.				
System will be configured with the ability to use hotkeys or fast-paths to navigate throughout the system.				
System will be configured to allow the ability to quickly access entry forms using shortcuts for heads down / high volume data entry (without using the mouse).				
System will be configured to allow the ability to bookmark a form with specific account information, then access a different (customer, account, premises) set of data and be able to go back to the bookmark.				
System will be configured to allow users the ability to have multiple open sessions.				
System will be configured to control different screen-paths based on user role.				
System will be configured to use a calendar function as an option where date fields are provided throughout the system.				
Within date fields the System will be configured to allow the following capabilities when using the calendar function:				
a) Highlights current date				
b) Allows for selection of desired date				
c) Provides for the ability to select a date in a future month				
System will be configured to provide user-defined (role based) online documentation that may be used as an online procedures manual.				
System/vendor provides system documentation in electronic format that can be customized into online help for the users (specific to the utility).				
System will be configured to assign user-specific screen presentation criteria based on user sign-in.				
System will be configured to allow a user access the last 10 or more accounts accessed through a 'back' button or drop-down list.				
System will be configured for significant "copy/cut and paste" capabilities including but not limited to:				
a) Between fields				
b) Between screens / windows				
c) Between two different applications open on the desktop				
d) Between date fields				
System should provide a multitude of output features, including but not limited to:				
a) Redirecting to any Printer on the Network				
b) MS Excel				
c) MS Word Mail Merge				
d) MS Access				
e) Email				
f) Screen print				
g) File				
h) PDF				
i) Social Media				
j) Fax				
System will be configured to provide a hover over feature that will display details of the account without leaving the current screen.				

**13.0 CRM**

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
<b>Search Criteria</b>				
System will be configured to accommodate multi-company codes.				
System will be configured with unique identifiers that will be visible on the main user screen which allow the user to quickly identify which company they are accessing.				
System will be configured so every data element in the system is available for inquiry to users granted the proper security. This includes: but is not limited to the following:				
a) Account number				
b) Customer number				
c) Customer name (including Last name, First name, DBA, Business name, and Customer last name with two last names)				
d) Primary phone number				
e) Secondary phone number (including Business, Residential, and Cell Phone)				
f) Email address				
g) Account status				
h) Premises address				
i) Mailing address				
System will be configured to mask specific numbers (e.g., SSN) or provide full access to those numbers based on user permissions.				
System will be configured to allow a user-defined search that can easily be changed based on the users needs. Search could include, but is not limited to, the following:				
a) Any field(s)				
b) Filters				
c) If-Then-Else statements				
System will be configured to save the user-defined search for future use.				
System will be configured to allow the saved user-defined searches to be accessed through a drop-down list by other users with the appropriate level of security.				
System will be configured to export searches into a 3rd party tools such as MS Excel with the appropriate level of security.				
System will be configured with the ability to rearrange (drag and drop) display columns within a search results screen based on a personal preference.				
System will be configured to search by partial address such as street name.				
System will be configured so searches can be performed on more than one search criteria field at the same time.				
System will be configured so searches can be performed on accounts regardless of their status.				
System will be configured to support wild card and phonetic (i.e., Soundex) searches on any number of fields. These searches should be able to work in all software modules, including ad-hoc reporting.				
System will be configured to filter/order customer interactions based on call date.				
System will be configured to filter/order customer interactions based on resolution date.				
System will be configured to the ability to default the display order (ascending/descending) by user group.				
System will be configured link accounts in a parent/child hierarchy.				
<b>Online Help</b>				

## 13.0 CRM

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
System will be configured so the user documentation and screen/field level "help" should be accessible from each online screen, should be context sensitive, should be printable, and should provide pop-up windows for table values.				
System will be configured to provide a user-customized "help" that will be available to all users in addition to online help.				
System will be configured in a way that allows online help to be updated with each new version release. CLIENT-specific help will not be changed.				
System will be configured so online help provides an index and search capability.				
<b>Workflow Management</b>				
System will be configured to allow the system administrator to define actions for any event, process, or transaction, that are triggered upon any combination of the following:				
a) Upon the successful completion				
b) Upon the unsuccessful end				
c) At the beginning				
d) During the processing				
e) Time elapsed				
System will be configured to provide a calendar or similar mechanism for the system administrator to schedule events.				
System will be configured to allow system administrator to schedule an event multiple times.				
System will be configured with the ability to link together a series of events necessary to complete a transaction. An event can be a display screen, an entry screen, or a program. As each event is completed, the system would continue with the next event until all have been completed.				
System will be configured for electronic management, routing by office or workgroup, and reporting of work generated by the system such as nightly batch or update.				
System will be configured for a work queue to be managed or owned by one of the following:				
a) Individual				
b) Variable-sized work group				
c) Department				
d) Location				
System will be configured to allow Work Queue Items to be:				
a) Viewed				
b) Modified				
c) Deleted				
d) Printed				
e) Voided				
System will be configured to allow work queue items to be reassigned to another:				
a) Individual				
b) Work group				
c) Department				
d) Location				
System will limit the ability to reassign an item after 'x' times.				
System will be configured with appropriate controls in place to automatically notify users of work assigned from specific queues. System should also be able to turn off auto notices.				

## 13.0 CRM

Requirement Description	Vendor Weight	Is Functionality Included in Price? (Yes or No)	Name of System or Module That Provides This Functionality	Version
System will be configured with work queue usage and performance statistics.				
System will be configured with supervisory work queue that allow for aged alerts.				
System will be configured to allow supervisors to view daily work queues. Can also assign work to those queues.				
<b>Approvals</b>				
System will be configured with adequate levels of management review and approval throughout the system; this may include an automatic queuing or routing of transactions pending management approval.				
System will be configured to establish approval based on user-defined roles.				
<b>Auditing</b>				
System will be configured with a consistent online audit trail for all transactions. This audit trail should be easily traceable from resultant transaction back to source entry.				
System will be configured to allow all reasonable edits unless prohibited by security, will be provided with some type of override mechanism with an audit trail of overrides exercised. This will include user ID, date and time stamp, an option for entering a comment, and with full management approval/security access.				
System will be configured to have all automatic system functions provided with some means of either manually overriding the function or the ability to identify and flag exceptions to the automated process. An audit trail of changes to overrides and items flagged as exceptions must be provided. This will include user ID, date and time stamp, and provide for an option for entering a comment.				
System will be configured with logging of an identification of any user who accesses and/or modifies but not limited to the following:				
a) Account				
b) Customer				
c) Programs				
d) Other				
System is capable to turn on audit of any critical information.				
System will be configured with user-defined audit retention and archiving abilities based upon user-defined timeframe.				
<b>Contact Management</b>				
System will be configured to create and manage contacts linked to the organization.				
System will be configured to create and manage contacts linked to the organization.				
System will be configured to have multiple relationships with multiple accounts and contacts.				
System will be configured to identify the relationship and corresponding associations.				
System will be configured to check existing contacts when creating a new contact to avoid duplicates.				
System will be configured to bring up the nearest contact match.				





## Attachment C

### Solution Cost Matrix

Prime Proposer's Name: Vendor Name Here

**PLEASE NOTE:**

All costs should be in US Dollars.



Regional Water Authority

Summary Cost Worksheet

Provided By:

Vendor Name Here

Note: Do Not Modify this worksheet.

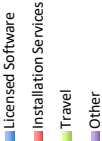
Minimum Requirement: CIS + FMWM + CRM

Licensed Software	-
Installation Services	-
Travel	-
Other	-
Total Implementation:	\$ -

0M

Cost Breakdown Per Account

Approximate Account	120,000
Licensed Software	-
Installation Services	-
Travel	-
Other	-
All-In Price Per Customer:	\$ -



Project Overview

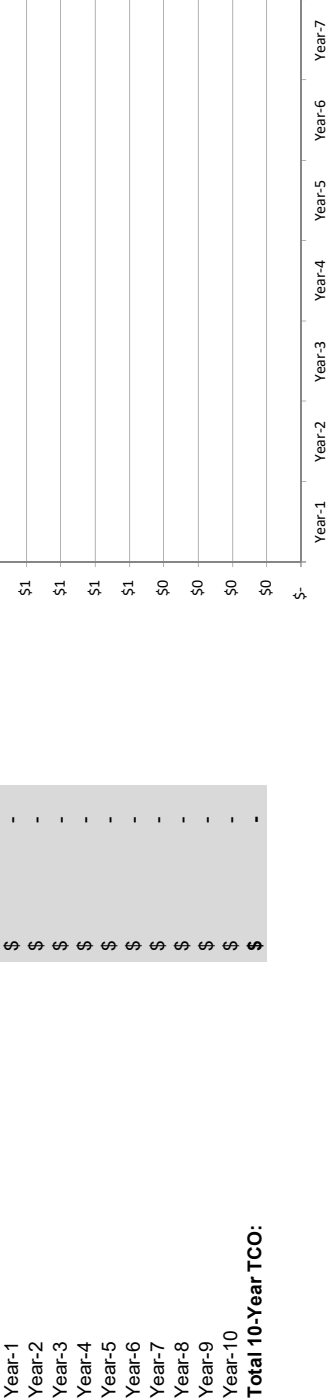
CIS Implementation Time Frame (Months)

FMWM Implementation Time Frame

Optional CRM Time Frame

CIS Total Implementation Hours	2,500
FMWM Implementation Hours	30
Optional CRM Implementation Hours	30

Total Cost of Ownership



Total 10-Year TCO:

Attachment C- RWA Cost Matrix.xlsx  
CIS Cost Worksheet

### Regional Water Authority

CIS Cost Worksheet

Provided By:

Vendor Name Here

#### CIS Software License Fees

##### Software Related

List **ALL** licenses, costs, names of applications, and modules as part of the base software that is being proposed.

Application Name	Price	Pricing Methodology & Assumptions
CIS License	\$ -	
Batch Scheduler	\$ -	
	\$ -	

List **ALL** license, costs, names of applications, and modules from 3rd party's being proposed.

Application Name	Price	Pricing Methodology & Assumptions
RDBMS	\$ -	
	\$ -	
	\$ -	

**Subtotal: Software License Fees**

**\$ -**

#### CIS Implementation Costs

##### Professional Services and other Implementation Costs

List all costs associated with implementing a complete solution.

The breakdown below should be by major phase.

Application Name	Cost	Notes
<b>Implementation Time Frame (Mos):</b>	<b>0</b>	<b>&lt;===== Enter Total CIS Project Duration In Months</b>
<b>Project Management</b>	<b>Hours</b>	
Project Planning Meetings	- \$ -	
Project Kick off	- \$ -	
Software Installation	- \$ -	
Fit or Gap Analysis	- \$ -	
Configuration	- \$ -	
Modifications (Design, Develop, Unit Test)	- \$ -	Total from Modification Detail Worksheet
Interfaces (Design, Develop, Unit Test)	- \$ -	Total from Interface Detail Worksheet
Data Conversion - per information in the RFP	- \$ -	
Standard Reports	2,500 \$ -	Estimated allocation of hours for net new or undefined report development
Bill Print / Letters / Correspondence	- \$ -	
Batch Scheduler (Config, Train, Test)	- \$ -	
Core Team Training	- \$ -	
End User Training (Train the Trainer)	- \$ -	
Functional Testing	- \$ -	
Integration Testing	- \$ -	
Parallel Testing	- \$ -	
Performance Testing	- \$ -	
Acceptance Testing	- \$ -	
System Go-Live Activities	- \$ -	
90 Days Onsite Post Go-Live Support	- \$ -	Total from Post Go-live Worksheet
	- \$ -	
	- \$ -	
	- \$ -	
	- \$ -	
	- \$ -	
	- \$ -	
	- \$ -	
<b>Subtotal: CIS Implementation Costs</b>	<b>2,500 \$ -</b>	

Attachment C- RWA Cost Matrix.xlsx  
CIS Cost Worksheet

**CIS Expenses**

**Expense Related Costs**

List anticipated expenses to install and support proposed solution.

	Costs	Notes
Airfare	\$ -	
Lodging	\$ -	
Car Rental	\$ -	
Meals	\$ -	
Parking	\$ -	
Supplies	\$ -	
Postage	\$ -	
Post Go-Live Travel Expenses	\$ -	Total from Post Go-Live Worksheet
	\$ -	
	\$ -	
<b>Subtotal: Expenses</b>	<b>\$ -</b>	

**Other One-Time Fees or Expenses**

List any other one-time fees and expenses required for the proposed solution.

	Costs	Notes
	\$ -	
	\$ -	
	\$ -	
	\$ -	
	\$ -	
	\$ -	
	\$ -	
<b>Subtotal: Other</b>	<b>\$ -</b>	

**TOTAL CIS IMPLEMENTATION SOLUTION COSTS**

**\$ -**

Attachment C- RWA Cost Matrix.xlsx  
CIS Modification Detail

**Regional Water Authority**

Modification Detail Cost Matrix

Provided By:

**Vendor Name Here**

Number	Functional Matrix #	Requirement Description	Modification Description	Modification Hours	Fixed Price
1				-	\$ -
2				-	\$ -
3				-	\$ -
4				-	\$ -
5				-	\$ -
6				-	\$ -
7				-	\$ -
8				-	\$ -
9				-	\$ -
10				-	\$ -
11				-	\$ -
12				-	\$ -
13				-	\$ -
14				-	\$ -
15				-	\$ -
<b>Total Modification Hours</b>				-	
<b>Total Fixed Price For Modifications</b>					\$ -

Attachment C- RWA Cost Matrix.xlsx  
CIS Interface Detail

Regional Water Authority			
Interface Detail Cost Matrix			
Provided By:			
Vendor Name Here			
Number	Interface Description	Mod/Dev. Hours	Fixed Price
1		-	\$ -
2		-	\$ -
3		-	\$ -
4		-	\$ -
5		-	\$ -
6		-	\$ -
7		-	\$ -
8		-	\$ -
9		-	\$ -
10		-	\$ -
11		-	\$ -
12		-	\$ -
13		-	\$ -
14		-	\$ -
15		-	\$ -
16		-	\$ -
17		-	\$ -
18		-	\$ -
19		-	\$ -
20		-	\$ -
21		-	\$ -
22		-	\$ -
23		-	\$ -
24		-	\$ -
25		-	\$ -
26		-	\$ -
27		-	\$ -
28		-	\$ -
29		-	\$ -
30		-	\$ -
31		-	\$ -
32		-	\$ -
Total		-	\$ -



Attachment C- RWA Cost Matrix.xlsx  
Post Go-Live Support

Post Go-Live Support	4 Weeks Post	8 Weeks Post	12 Weeks Post	
Number of Resources	-	-	-	
Post Go-Live Support Cost	\$ -	\$ -	\$ -	
Post Go-Live Travel Costs	\$ -	\$ -	\$ -	
<div> <div>Total Post Go-Live Support Costs:</div> <div>\$ -</div> </div> <div> <div>Total Post Go-Live Travel Costs:</div> <div>\$ -</div> </div>				



## Expenses

## Expense Related Costs

**List anticipated expenses to install and support proposed solution.**

	0000	0000	0000
Airfare	\$	-	
Lodging	\$	-	
Car Rental	\$	-	
Meals	\$	-	
Parking	\$	-	
Supplies	\$	-	
Postage	\$	-	
Post Go-Live Travel Expenses	\$	-	
	\$	-	
	\$	-	
<b>Subtotal: Expenses</b>	<b>\$</b>	<b>-</b>	

## Other One-Time Fees or Expenses

**List any other one-time fees and expenses required for the proposed solution.**

COSTS		NOTES
\$	-	
\$	-	
\$	-	
Subtotal: Other		
\$	-	
TOTAL IMPLEMENTATION SOLUTION COSTS		
\$	-	

## Regional Water Authority

### Optional Customer Relationship Management (CRM)

Provided By:

Vendor Name Here

#### System Software License Fees

##### Software Related

List **ALL** licenses, costs, names of applications, and modules as part of the base software that is being proposed.

Application Name	Price	Pricing Methodology & Assumptions
Software	\$ -	
	\$ -	
	\$ -	

List **ALL** license, costs, names of applications, and modules from 3rd party's being proposed.

Application Name	Price	Pricing Methodology & Assumptions
	\$ -	
	\$ -	
	\$ -	

**Subtotal: Software License Fees**

**\$ -**

#### Implementation Costs

##### Professional Services and other Implementation Costs

List all costs associated with implementing a complete solution.

The breakdown below should be by major phase.

Application Name	Cost	Notes
<b>Implementation Time Frame (Mos):</b>	<b>0</b>	<b>&lt;===== Enter Total CSS Project Duration In Months</b>
<b>Project Management</b>	<b>Hours</b>	
Project Planning Meetings	- \$ -	
Project Kick off	- \$ -	
Software Installation	- \$ -	
Fit or Gap Analysis	- \$ -	
Configuration	- \$ -	
Modifications (Design, Develop, Test)	- \$ -	
Interfaces (Design, Develop, Test)	- \$ -	
Standard Reports	30 \$ -	
Application/System/Performance Testing	- \$ -	
Core Team Training	- \$ -	
End User Training (Train the Trainer)	- \$ -	
Acceptance Testing	- \$ -	
System Go-Live Activities	- \$ -	
30 days post go-live support	- \$ -	
External Training Classes	- \$ -	
Other	- \$ -	
	- \$ -	
	- \$ -	
	- \$ -	
<b>Subtotal: Implementation Costs</b>	<b>30 \$ -</b>	

#### Expenses

##### Expense Related Costs

List anticipated expenses to install and support proposed solution.

	Costs	Notes
Airfare	\$ -	
Lodging	\$ -	
Car Rental	\$ -	
Meals	\$ -	
Parking	\$ -	
Supplies	\$ -	
Postage	\$ -	
Post Go-Live Travel Expenses	\$ -	
	\$ -	
	\$ -	
<b>Subtotal: Expenses</b>	<b>\$ -</b>	

Other One-Time Fees or Expenses		
List any other one-time fees and expenses required for the proposed solution.		
	Costs	Notes
	\$ -	
	\$ -	
	\$ -	
Subtotal: Other	\$ -	
TOTAL IMPLEMENTATION SOLUTION COSTS	\$ -	

Attachment C- RWA Cost Matrix.xlsx  
Roles & Responsibilities

**Regional Water Authority**  
Managed Services Roles and Responsibilities  
Provided By:  
**Vendor Name Here**

**Instructions:**

Complete by marking an **X** in the appropriate column indicating the party responsible for each task listed (Proposer, Client, Third-Party). Third-Party must be identified below.

Function	Proposer	Client	Third-Party	Included in Costs O&M Costs	Proposer Notes
Input	X	X	X	Yes/No	
<b>Infrastructure Management</b>					
Maintain and administer hardware/server infrastructure, troubleshoot and support hardware/server infrastructure, manage utilization and capacity of hardware/servers according to reasonable standards.					
Maintain and administer server Operating System (OS) configuration, maintain level of Operating System components (e.g. patches, service packs, upgrades). Troubleshoot and support server OS.					
Maintain and administer software/application configuration, maintain level of software/application with current, new, and updated components (e.g. patches, service packs, upgrades) according to reasonable standards. Troubleshoot and support software/application.					
<b>Performance and Capacity Management</b>					
Maintain capacity plan based on requirements (e.g. users, new apps. etc.).					
Perform trend analysis as input to capacity forecasting.					
Scale system as required to meet SLAs at no additional costs.					
Monitor online performance of all in-scope environments and take appropriate action to address performance issues.					
Perform performance tuning.					
Monitor, manage, and report system performance.					
Monitor, manage, and report on the system availability.					
Analyze performance-related incidents to identify factors impacting performance.					
Provide recommendations to improve system performance.					
<b>Database and Application Management</b>					
Manage and administer the database environment.					



Attachment C- RWA Cost Matrix.xlsx  
Roles & Responsibilities

Function	Proposer	Client	Third-Party	Included in Costs O&M Costs	Proposer Notes
<p>Maintain and administer the database and object configuration, manage utilization and capacity of the database according to reasonable standards, troubleshoot and support the database.</p> <p>Receive and evaluate manufacturer provided DBMS patches, updates, upgrades, and prioritize as appropriate for implementation within documented severity time frames.</p> <p>Perform database object and software tuning.</p> <p>Provide a continuous update model for application patches/enhancements to eliminate need for major upgrades.</p> <p>Perform database startup/shutdown procedures.</p> <p>Maintain database on vendor supported versions during the contracted period.</p> <p>Manage and monitor file maintenance requirements.</p> <p>Perform database capacity planning.</p> <p>Apply object updates</p> <p>Apply code patches for application software.</p> <p>Implement minor technology updates</p> <p>Provide system maintenance scheduling and coordination.</p> <p>Perform scheduled/periodic refreshes of the non-production environments from the production environment to include all relevant object updates (ie: data, applications, etc.).</p>					
<b>Security Services</b>					
<p>Implement security administration requests in accordance with approved client processes.</p> <p>Report security incidents that impact the client and other vendors whose services are provided in the same operating environment as the services provided in this agreement.</p> <p>Provide overall application security, maintenance and administration.</p> <p>Maintain and support firewall subsystem software components (e.g. patches and software upgrades).</p> <p>Monitor virus/security alerts and vulnerabilities from manufacturers and determine appropriate action per procedure.</p> <p>Maintain compliance with applicable PCI guidelines.</p> <p>Monitor and manage environments using IDS/IPS (Intrusion Detection Systems and Intrusion Prevention Systems).</p> <p>Application penetration testing.</p>					
<b>Network Management</b>					
<p>Establish 24x7x365 monitoring of the Wide Area Network (WAN) between the Primary and Secondary Data Center.</p>					

Attachment C- RWA Cost Matrix.xlsx  
Roles & Responsibilities

Function	Proposer	Client	Third-Party	Included in Costs O&M Costs	Proposer Notes
Establishment and management of a secure, client specific access to the solution within the data center. Notification to designated client representative(s) of service interruption. Follow NOC (Network Operations Center) and SOC 2 (System and Organization Controls) monitoring and notification practices.					
<b>Backup Recovery and Management</b>					
Schedule, perform and monitor backups at defined intervals. Perform data restore / data recovery, as required including data restoration. Manage and support the backup hardware library platforms. Maintain and support backup subsystem software components on servers (e.g. patches and software upgrades). Coordinate off-site storage functions (authorization lists, audits, etc.). Provide for a replicated system architecture in a geographically disparate disaster recover environment. Collect metrics, produce reports on backup timeliness, success rate, missed files, restore requests, and restore timing, etc. Conduct annual testing of the disaster recovery solution and provide detailed results.					
<b>Application Management and General Administration</b>					
Document Change Control process with applicable approvals for any change promoted to production. Configuration management (ie: Rates, C&C rules, etc). Batch processing management to include daily run & monitoring and related incident management to include batch job performance. Interface management (interface/file delivery, batch processing completion and report availability). User application security management (ie: moves, adds, changes, and deletions). Reporting & query management. Release testing. Release planning and deployment for (ie: Dev, Train, Prod, etc). Provide on-going functional training for current and new users. Maintain currency of all training related documentation with each new release.					

## Regional Water Authority

10 Year Total Cost of Ownership and Benefits  
Minimum Products: CIS, FMWM, CRM  
Provided by:

Provided by:

Vendor Name Here												
TCO Cost Category		TCO Description	Implementation		Post Go-Live and Maintenance Costs							
			Costs Year 1	Costs Year 2	Costs Year 3	Costs Year 4	Costs Year 5	Costs Year 6	Costs Year 7	Costs Year 8	Costs Year 9	Costs Year 10
Set Up Fees		One time costs to implement applications specific to client	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		CIS Installation	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		RDBMS Costs	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		Disaster Recovery	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		FMWM Installation	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		Optional CRM Installation	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
			\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
			\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
			\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
			\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Application License Fees (On Premise or Hosted)		Please describe pricing factors (ie: based on number of users, meters, etc).	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		CIS	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		FMWM	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		Optional CRM	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
			\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
			\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
			\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
			\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
			\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
			\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Annual Application Maintenance & Support Fees (On Premise or Hosted)		Please include COLA	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		CIS	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		FMWM	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		Optional CRM	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
			\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
			\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
			\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
			\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
			\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
			\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Subscription Fees (SaaS)		Please describe pricing factors (ie: based on number of users, meters, etc). Please include COLA	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		CIS	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		FMWM	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		Optional CRM	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
			\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
			\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
			\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
			\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
			\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
			\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Hosting Fee's (If Applicable)		Ongoing fees for the hosting, maintenance, support and technical currency of the software	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		Hosting Environment	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		Hosting Network and Security	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		Annual hosting fee for all customers	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		Infrastructure initial costs	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		Infrastructure refresh costs	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		Batch and Process Monitoring	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		Communications/Connectivity	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		Business Continuity/Disaster Recovery	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		Security and Compliance	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Managed Services Fees (Items included from Proposer Roles & Responsibilities tab)		RDBMS Costs	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		RDBMS Costs Support	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		Application Support and Maintenance	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
			\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
			\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
			\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
			\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
			\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
			\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
			\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Other		Ongoing fees for any managed services provided	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
		Describe	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
			\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
			\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
			\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
			\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
			\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
			\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
			\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
			\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Total Cost of Ownership:			\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -

Attachment C- RWA Cost Matrix.xlsx  
Resource Hourly Rates

**Regional Water Authority**

Resource Detail Cost Matrix

Provided By:

**Vendor Name Here**

Resource			Hourly
Title		Role Description	Rate
1	Project Manager		\$ -
2	Testing Lead		\$ -
3	Testing Lead		\$ -
4			\$ -
5			\$ -
6			\$ -
7			\$ -
8			\$ -
9			\$ -
10			\$ -
11			\$ -
12			\$ -
13			\$ -
14			\$ -
15			\$ -



# Staffing Matrix

CIS      FMWM      CRM

**Prime Vendor's Name:**      Insert Name Here

Contents:

Sheet 1: Proposer Staffing

Sheet 2: RWA Staffing

## Instructions

The Vendor will be responsible for identifying the necessary resources to successfully install the proposed solution in the identified timeframe.



## Vendor Staffing Allocation

[illegible]



Vendor Staffing Allocation

Input Start Date	Month Number		Project Month		Business Days in Month		Total Available Hours in Month		Role	Responsible Party	Avg. % Allocation	Testing & Training																								Post Implementation Support	
	Planning		Analysis				Design & Construction																														
	1	2	3	4	5	6	7	8				9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28						
7/1/2022	Jul '22	Aug '22	Sep '22	Oct '22	Nov '22	Dec '22	Jan '23	Feb '23	Mar '23	Apr '23	May '23	Jun '23	Jul '23	Aug '23	Sep '23	Oct '23	Nov '23	Dec '23	Jan '24	Feb '24	Mar '24	Apr '24	May '24	Jun '24	Jul '24	Aug '24	Sep '24	Oct '24									
	21	23	22	21	22	22	22	20	23	20	23	22	21	23	21	22	22	21	23	21	23	22	23	20	23	22	21	23									
	168	184	176	168	176	176	176	160	184	160	184	176	168	184	168	176	176	168	184	168	176	184	160	184	176	168	184										
	*** Enter % Allocation Per Month ***																																				
	5%											5%	5%	5%	5%	5%	5%	5%	5%	5%	5%	5%	5%	5%	5%	5%	5%	5%	5%	5%	5%	5%					
Project Sponsor																																					
Project Manager																																					

Average Onsite Resources 1.0

## RWA Staffing Allocation

[illegible]

**Input Start**

[illegible]

RWA Staffing Allocation

Input Start Date	Month Number	Planning		Analysis				Design & Construction				Testing & Training												Post Implementation Support					
		1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28
		Jul '22	Aug '22	Sep '22	Oct '22	Nov '22	Dec '22	Jan '23	Feb '23	Mar '23	Apr '23	May '23	Jun '23	Jul '23	Aug '23	Sep '23	Oct '23	Nov '23	Dec '23	Jan '24	Feb '24	Mar '24	Apr '24	May '24	Jun '24	Jul '24	Aug '24	Sep '24	Oct '24
		21	23	22	21	22	22	22	20	23	20	23	22	21	23	21	22	22	21	23	21	21	22	23	20	23	22	21	23
		168	184	176	168	176	176	160	184	160	184	176	168	184	168	176	176	168	184	168	168	176	184	160	184	176	168	184	
Avg. % Allocation		*** Enter % Allocation Per Month ***																											
Responsible Party																													
Role																													
Total Resource Hours		705.6	772.8	739.2	705.6	739.2	739.2	739.2	672	772.8	672	772.8	739.2	705.6	772.8	705.6	739.2	739.2	705.6	772.8	705.6	705.6	739.2	772.8	672	772.8	739.2	705.6	772.8
FTE Count		4.2	4.2	4.2	4.2	4.2	4.2	4.2	4.2	4.2	4.2	4.2	4.2	4.2	4.2	4.2	4.2	4.2	4.2	4.2	4.2	4.2	4.2	4.2	4.2	4.2	4.2	4.2	4.2



## Attachment E

### Interface Approach Worksheet

"Confidential Information – Property of South Central Connecticut Regional Water Authority"

Prime Proposer's Name: Enter-Name-Here

**PLEASE NOTE:**

For all interfaces RWA expects to maintain or may maintain please provide details on your approach. All of these must also be included in the Cost Matrix.





RWA Application Interface Worksheet

Functionality	Direction	Interface Type	Integration Technology	Frequency	Encryption Required (Y/N)	Vendor Approach	Notes
Customer Self-Service	Real-time Bidirectional	Web Services	Web Services	Daily	N		
Current Business Partner and Addresses	Outbound	Text File	File	Monthly	N		
Update Business Partner Addresses	Inbound	Text File	File	Monthly	N		
CASS & NCOA Updates							
Lock Box Payments (3 files)	Inbound	Text File	File	Monthly	N		
Remittance Payments	Inbound	Text File	File	M - F	N		
Remittance Payments	Inbound	Text File	File	M - F	N		
Returned Payments (NSF's)	Inbound	Text File	File	M - F	N		
Returned Payments (NSF's)	Inbound	Text File	File	M - F			
Returned Payments (NSF's)	Inbound	Text File	File	M - F			
Clearing File (Refund Checks)	Inbound	Text File	File	M - F	N		
One Call Collection Calling and other system generated calls. Six (6) + files, one for each type of collection call and others such as leaks.	Outbound	Text File	File	M - F	N		
One Call Now	Inbound	Text File	File	M - F	N		
Consumption Extracts for Town (Wastewater Billing)	Outbound	Text File	File	Ad hoc	N		
M/S Great Plains General Ledger	Outbound	Text File	File	M - F	N		
Meter Reading Requests (2 systems)	Outbound	Text File	File	Sun - Sat	N		
Meter Reading Uploads (2 systems)	Inbound	Text File	File	M - F	N		
Kubra Enrollments	Inbound	Text File	File	M - F	N		

Functionality	Direction	Interface Type	Integration Technology	Frequency	Encryption Required (Y/N)	Vendor Approach	Notes
Kubra De-enrollments	Inbound	Text File	File	M - F	N		
Kubra Daily Balance File	Outbound	Text File	File	Sun - Sat	N		
Bill Printing	Bidirectional	Text File	File	M - F	N		
Yale Consolidated Billing (Water & Fire)	Outbound	Text File	File	Ad hoc	N		
IVR Account Balance	Real-time Bidirectional	Web Services	Web Services	Ad hoc	N		
IVR Meter Reading Entry	Real-time Bidirectional	Web Services	Web Services	Ad hoc	N		
IVR Service Order Scheduling	Real-time Bidirectional	Web Services	Web Services	Ad hoc	N		
GIS Extract files Fifteen (15) files support interface; 1. Account Records 2. Tap Records 3. G/L Codes & Descriptions 4. Meter Sizes 5. Accounts Service Areas 6. Towns 7. Curb Stop Sizes 8. Curb Stop Types 9. Water Main Sizes 10. Water Main Types 11. Tap Service Areas 12. Tap Service Sizes 13. Tap Service Types 14. Tap Sizes 15. Tap Towns	Outbound	Text File	File	M-F	N		
GIS Leak Service Order Extract	Outbound	Text File	File	M-F	N		
Customer Letter/Forms Presentation	Outbound	RDI File	File	Ad hoc	N		
RNI Retire Device (SAP to RNI)	Outbound	Text File	File	Mon - Sat	N		
RNI Location Premise Address (SAP to RNI)	Outbound	Text File	File	Mon - Sat	N		
RNI Register, Lat. Long. (RNI to SAP)	Inbound	Text File	File	Mon - Sat	N		

Functionality	Direction	Interface Type	Integration Technology	Frequency	Encryption Required (Y/N)	Vendor Approach	Notes
MeterSense Load (SAP to MDMS) Ten (10) files support interface; 1. Meters 2. Locations 3. Meter/Location xref 4. Zone (Service Area) 5. Meter/Zone xref 6. Accounts 7. Customers 8. Account/Customer xref 9. Account Services 10. Billing Schedule	Outbound	Text File	File	Mon - Sat	N		
Future Functionality	Direction	Interface Type	Integration Technology	Frequency	Encryption Required (Y/N)	Vendor Approach	Notes
Services to be billed (i.e., completed tests, etc.)	Outbound	Future State	Future State	Mon - Sat	N		
Service Orders information	Outbound	Future State	Future State	Daily	N		
Collection Agency File	Outbound	Future State	Future State	TBD	N		
Meter Testing Results	Inbound	Future State	Future State	Daily	N		
Credit rating information	Real-time Bidirectional	Future State	Future State	TBD	N		
GIS Customer Letter File	Inbound	Future State	Future State	Ad hoc	N		
Service Order Appointment - Call-Ahead	Outbound	Future State	Future State	TBD	N		
One Call	Inbound	Future State	TBD	TBD	N		



## Attachment F

## Intent-To-Respond or Decline and Confidentiality Agreement Form

RFP for CIS, FMWM, CRM and Implementation Services

**Please email completed Intent-To-Respond or Decline Form and the included Confidentiality Agreement to: [pduncan@teamaac.com](mailto:pduncan@teamaac.com) in order to have a Discovery Session with RWA.**

**RWA requests this Intent-To-Respond or Decline and Confidentiality Agreement document to be returned by Friday, October 1, 2021 at 2p.m. Eastern Time.** Requests received after this time may not be honored.

The one-hour forty-five-minute (1:45) sessions will be conducted in person and/or virtually at the RWA offices in New Haven, CT. All discovery dates will be confirmed by 4 p.m. Eastern Time on Friday, October 1, 2021. The exact location of the Discovery Session will be in the confirmation communication from RWA as well as teleconferencing information.

Date	Time	Preference (1,2,3)
Monday, 10/11/21	1 pm – 3 pm	
Monday, 10/11/21	3 pm – 5 pm	
Tuesday, 10/12/21	8 am – 10 am	
Tuesday, 10/12/21	10 am – Noon	
Tuesday, 10/12/21	1 pm – 3 pm	
Tuesday, 10/12/21	3 pm – 5 pm	
Wednesday, 10/13/21	8 am – 10 am	
Wednesday, 10/13/21	10 am – Noon	
Wednesday, 10/13/21	1 pm – 3 pm	
Wednesday, 10/13/21	3 pm – 5 pm	
Thursday, 10/14/21	8 am – 10 am	
Thursday, 10/14/21	10 am – Noon	
Thursday, 10/14/21	1 pm – 3 pm	
Thursday, 10/14/21	3 pm – 5 pm	
Friday, 10/15/21	8 am – 10 am	
Friday, 10/15/21	10 am – Noon	

Please indicate your **first three choices** for your Discovery Session. Times will be awarded on a first-come, first-served basis. RWA reserves the right to increase or decrease the number of available slots based on demand.

**If Vendor is declining to respond, please provide the reason below:**

<b>COMPANY NAME→</b>	
Primary Contact	
Names of Attendees	
Titles of Attendees	
Primary Phone Number	
Primary Email Address	

Each Vendor is **highly encouraged** to attend the Discovery Session to meet with RWA for questions and answers. The Discovery Sessions are the preferred forum for questions. Discovery questions will be answered in confidence during the Vendor's Discovery Session, unless a question is deemed to be material to the overall RFP clarity or accuracy, then those answers will be provided to all via the RWA bid portal.

**Note:** Attending Discovery Sessions is not required to submit a bid.

#### **CONFIDENTIALITY AGREEMENT**

This Agreement is made this \_\_\_\_\_ day of \_\_\_\_\_ 2021, by and between the South Central Connecticut Regional Water Authority, (the "RWA") and \_\_\_\_\_ (the "Receiving Party").

The Receiving Party has requested that the RWA provide the Receiving Party with **information including bid documents, plans, and specifications**, so that the Receiving Party may utilize such data solely for the purpose of **preparing a bid for** \_\_\_\_\_. The Receiving Party **may not** utilize such information for the purpose of a published article.

For good and valuable consideration, the RWA agrees to make the Confidential Information available to the Receiving Party and the Receiving Party agrees to take the Confidential Information on the following basis:

1. *“Confidential Information” shall mean the information identified above delivered from the RWA to the Receiving Party. It shall be marked with a legend identifying it as “Confidential Information – Property of South Central Connecticut Regional Water Authority” at all times.*
2. The Receiving Party shall not, without the RWA’s prior written permission, use the Confidential Information or any part thereof for any purpose other than for the expressly limited purpose stated above.
3. The Receiving Party shall maintain all Confidential Information in confidence, taking all reasonable precautions to prevent disclosure of it or any part thereof to any third parties, other than its employees or agents for limited use related to the purpose stated above. The Receiving Party shall be responsible for any disclosure of the Confidential Information by such employees or agents.
4. The Receiving Party shall return immediately all Confidential Information (and all copies thereof) upon completion of its use thereof or upon the request of the RWA.
5. RWA makes no representation as to the accuracy of the Confidential Information.
6. If the Receiving Party breaches this Agreement, the RWA may pursue all remedies available to it, including but not limited to specific performance and injunctive relief.
7. The Receiving Party shall indemnify, defend and hold harmless the RWA as well as all officers, agents and employees of the RWA against all liability, damages, loss or expense in connection with any claims, suits, demands or judgments resulting from the unauthorized disclosure by the Receiving Party of the Confidential Information in violation of the terms and conditions of this Agreement.

SOUTH CENTRAL CONNECTICUT  
REGIONAL WATER AUTHORITY

By \_\_\_\_\_

Print Name \_\_\_\_\_

Title \_\_\_\_\_

RECEIVING PARTY

Signature \_\_\_\_\_

Print Name \_\_\_\_\_

Title \_\_\_\_\_

SECTION 00452

NONCOLLUSIVE BIDDING CERTIFICATION

State of \_\_\_\_\_

County of \_\_\_\_\_

I, \_\_\_\_\_ of the City of  
(Name of Individual Signing Bid Form)

\_\_\_\_\_, in the County of \_\_\_\_\_ and

the State of \_\_\_\_\_, of full age, being duly sworn according

to the law on my oath depose and say that:

I am \_\_\_\_\_ a, \_\_\_\_\_  
(Name) (Title, Position, etc.)

of the firm of \_\_\_\_\_,

the Bidder making the Bid for the Roof Replacement Projects: High Rock Pump Station and South  
Cheshire Well House #2, and that I executed the said Bid with full authority so to do; that said Bidder  
has not, directly or indirectly, entered into any agreement, participated in any collusion, or otherwise  
taken any action in restraint of free, competitive bidding in connection with the above named Project;  
and that all statements contained in said Bid and in this affidavit are true and correct, and made with  
full knowledge that the South Central Connecticut Regional Water Authority relies upon the truth of  
the statements contained in said Bid and in the statements contained in this affidavit in awarding the  
Contract for the said Project.

I further warrant that no person or selling agency has been employed or retained to solicit or  
secure such Contract upon an agreement or understanding, for a commission, percentage, brokerage or  
contingent fee, except bonafide employees or bonafide established commercial or selling agencies  
maintained by:

\_\_\_\_\_  
(Signature of Bidder)

\_\_\_\_\_  
(Printed or Typed Name of Bidder)

\_\_\_\_\_  
(Title)



Subscribed and Sworn to before me this \_\_\_\_\_ day  
of \_\_\_\_\_, 20 \_\_\_\_.

(SEAL)

\_\_\_\_\_  
Notary Public

My Commission expires

\_\_\_\_\_  
END OF SECTION

# NONDISCRIMINATION CERTIFICATION

(By corporate or other business entity regarding support of nondiscrimination against persons on account of their race, color, religious creed, age, marital or civil union status, national origin, ancestry, sex, mental retardation, physical disability or sexual orientation.)

I, \_\_\_\_\_, \_\_\_\_\_ of  
signer's name signer's title  
 \_\_\_\_\_, an entity lawfully organized and existing  
name of entity  
 under the laws of \_\_\_\_\_, do hereby certify that the following  
name of State or commonwealth  
 is a true and correct copy of a resolution adopted on the \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_ by  
 the governing body of \_\_\_\_\_, in accordance with all  
name of entity  
 of its' documents of governance and management and laws of \_\_\_\_\_,  
name of State or commonwealth  
 and further certify that such resolution has not been modified, rescinded or revoked, and  
 is, at present, in full force and effect.

RESOLVED: That \_\_\_\_\_ hereby adopts as  
name of entity  
its' policy to support the nondiscrimination agreements and warranties required  
under Connecticut General Statutes § 4a-60(a)(1) and § 4a-60a(a)(1), as amended  
in State of Connecticut Public Act 07-245 and sections 9(a)(1) and 10(a)(1) of  
Public Act 07-142.

WHEREFORE, the undersigned has executed this certificate this \_\_\_\_\_ day of \_\_\_\_\_  
20\_\_\_\_.

Signature



## **Appendix B**

**Introduction to AAC, April 2022, prepared by AAC Utility Partners**



## About AAC Utility Partners

AAC Utility Partners, LLC (AAC) is a utilities-specific, vendor/SI independent consulting firm that assists utilities with the strategy/assessment, selection, and client-side project implementation leadership of CIS and other mission-critical systems.

For more than 17 consecutive years, AAC has guided electric, gas, water, wastewater, and multi-service utilities throughout North America and the Caribbean through successful mission-critical system assessments, selections, and implementations. This experience includes a significant breadth of mission-critical systems, including CIS, ERP, FIS, WMS, MDMS, and other peripheral systems.



We have managed more than 80 successful projects. In addition, more than 60% of our clients provide water as a service. We have a strong understanding of water utilities and how they utilize their CIS and other mission-critical systems, the utility industry, and how the CIS systems are implemented and integrated.

### The NavigateOne™ Difference

AAC's services are built on our transformational methodology, NavigateOne™, which includes a proprietary set of processes, tools, templates, and software, completely scalable and customizable to the unique needs of utility software initiatives. The scope of services available for an AAC client is offered within three core competencies.

AAC has guided Water, Electric, Gas, and multi-service utilities throughout North America and the Caribbean – ranging in size from 7,000 to 1.5 million customers – through successful IT assessments, selections, and implementation. This experience includes a significant breadth of utility information systems, including CIS, ERP, FMIS, WMS, AMI/AMR, MDMS, and other peripheral information systems.

AAC's expertise is comprised of Assessment and Selection consultants who have been employed in the utility software industry for a minimum of 10 years in various capacities.

AAC's Strategy and Software Vendor/SI Selection practices assist clients with various engagements regarding their CIS and other mission-critical systems. A sample of the services provided through these practices include:

- Systems Assessments and Analysis
- Risk Assessments
- Business Process Documentation
- Business Case Development
- Cyber Security Services (Alliance with Israel Electric Corporation)
- Requirements Analysis and Definition
- Organizational Staffing Analysis
- Software Procurement
- Statement of Work Development and Contract Negotiations Guidance



## **Appendix C**

**NavigateOne™ Selection Methodology, prepared by AAC Utility  
Partners**



# ADDITIONAL RELEVANT SERVICES

If RWA's decision is to replace SAP, AAC can assist with the selection of the software vendor and/or system integrator. In addition, if RWA were to need assistance with project Management (managing the software vendor/system integrator) or other leadership roles to lead the RWA team, AAC can provide the necessary services. AAC's Selection methodology and Project Implementation Leadership Services are outlined below.

## NAVIGATEONE™ SELECTION METHODOLOGY

The CIS Assessment has been completed and the Final Report and Recommendation has been presented to the stakeholders. RWA now has the necessary information to make a decision as to how it will proceed with the future direction of its CIS. If RWA concludes that the replacement of the current CIS is the recommended course of action, AAC is available to assist RWA with the CIS Selection as outlined in the following section.

### BUILDING A PRECISION RFP & SCOPE OF WORK

AAC will develop an RWA-specific RFP that effectively and accurately expresses RWA's functional and technical needs for the vendor/SI, enabling them to provide complete and specific responses.

Our comprehensive RFP template has been developed specifically for utilities and will be customized to express specific details of RWA's functional and technical areas in a concise, logical framework of content. The functional requirements documented in the Needs Assessment will be incorporated into the RFP, ensuring that responding vendor/SI responds to the specific needs of RWA. The RFP template will also identify interfaces and hardware needs that RWA may use to develop and pursue identified business strategies.

During the RFP development period, AAC will conduct on-site workshops with RWA's project team to tailor and augment our tested RFP base format to include areas such as: instructions on how to respond, RWA specific procurement guidelines, legal requirements and forms, functional matrices, business objectives and pricing lists.

AAC will coordinate the release of the RFP with the appropriate RWA department and in accordance with their requirements and procedures. If requested, AAC will



recommend a list of vendor/SI, based on our industry knowledge, experience and input from RWA that we feel are qualified candidates to provide a solution for RWA's needs/requirements.

### Scoring Criteria

AAC and RWA will develop together a detailed evaluation framework, timeline and scoring matrices for evaluation of CIS software vendor/SI proposals. This process will take into account RWA's current and long-term needs, which could include but not be limited to the following areas:

- ▲ Procurement Requirements
- ▲ Functional Requirements
- ▲ Technical Requirements
- ▲ Total Solution Costs
- ▲ Demonstration Results
- ▲ Implementation Methodology
- ▲ Support Requirements
- ▲ Vendor/SI Demographics

### Key Activities

- ▲ Confirm software and SI selection approach for RWA
- ▲ Develop RFP with RWA-specific requirements
- ▲ Tailor NavigateOne™ demonstration framework and scripts to RWA's requirements
- ▲ Establish detailed scoring criteria
- ▲ Tailor NavigateOne™ evaluation framework to RWA's requirements
- ▲ Market and distribute RFP to potential software vendor's and system integrators
- ▲ Coordinate all RFP activities

## VENDOR/SI EVALUATION & DEMOS

### RFP Support

Following the release of the RFP, AAC will assist RWA in supporting vendor/SI inquiries regarding its contents. If appropriate, based on time constraints and RWA's procurement rules, AAC strongly encourages individualized "bidder" discovery sessions. These sessions are intended to provide CIS vendor/SI face-to-face time with RWA to ask detailed questions related to the RFP without the fear of giving away response strategies to competitors. While this method does require more time and effort from the project team beyond the normal "bidders conference," we believe that the benefits to RWA are much greater, ensuring that vendor/SI are able to provide more specific responses that are tailored to RWA's specific needs.

### Key Activities

- ▲ Support / research vendor/SI RFP questions
- ▲ Coordinate "bidder" discovery sessions

## ADDITIONAL RELEVANT SERVICES

### EVALUATION OF VENDOR/SI RESPONSES AND CREATING A SHORT LIST

Following the close of the RFP response period, RWA's project team and AAC will work together to evaluate and identify the two or three CIS vendor/SI that best meet RWA-approved selection criteria as defined in the RFP. AAC consultants have decades of industry experience in CIS selection and implementation projects of various complexities—critical for effectively validating vendor/SI responses. In addition, RWA will have the benefit of AAC's NavigateOne™ vendor/SI evaluation accelerators for streamlining reference checks and additional due-diligence activities.

We understand the importance of validating a selection to stakeholders, which is why AAC's unique selection process requires extensive documentation throughout the entire project. We will, therefore, conduct the necessary on-site workshops as needed during the procurement phase to document and present the project team's findings to members of RWA's management or other high-level stakeholders.

#### Factors AAC Considers in Scoring and Selecting a Vendor/SI

- ▲ RFP scoring with Business Requirements Catalog
- ▲ Vendor/SI experience on similar projects
- ▲ Demonstration of software's ability to meet RWA's business needs
- ▲ Implementation Methodology
- ▲ Technology match
- ▲ References
- ▲ Price / Cost
- ▲ Vendor/SI company viability

#### Key Activities

- ▲ Review and evaluate / score RFPs
- ▲ Identify "short-list" of vendor/SI to move to next phase
- ▲ Organize and conduct demos
- ▲ Conduct on-site vendor/SI discovery sessions

### VENDOR/SI DEMONSTRATIONS

AAC will coordinate on-site workshops with RWA's project team to develop business-based demonstration scripts, scoring criteria and detailed outlines of requirements that need to be satisfied by the vendor/SI.

Because we believe that simply allowing vendor/SI to "demo" without direction does not provide value to our clients, AAC's approach is to script vendor/SI demonstrations based on RWA's key business drivers.

Prior to conducting scripted demonstrations, AAC will organize and schedule two- hour vendor/SI "demonstration" discovery sessions—not to be confused with the "bidder" discovery sessions in the RFP support process—to better equip the vendor/SI for the business-process focused demonstrations.

The project team will then invite two to three short-listed vendor/SI to RWA to conduct two- to four-day scripted system demonstrations, which give RWA's team



the opportunity to evaluate the software applications functionally and technically. In addition to software capabilities, the vendor/SI will present corporate overviews and a detailed review of their implementation methodology and proposed work plan.

AAC will thoroughly document these demonstration results, including summarization of scores, a written recap of RWA's users' notes and general comments. This demonstration documentation will be added to the scoring matrix.

Follow-up meetings within the project team will then be conducted to review the results of the demonstrations. In addition, AAC and RWA will review reference results and document issues. AAC will conduct on-site workshops to update the scoring matrix to reflect the most recent procurement activities.

In addition to conducting demonstrations, AAC will assist RWA's project team in coordinating reference checks for the short-listed vendor/SI. RWA may utilize AAC's reference check tool to capture detailed questions. AAC will again update the scoring matrix to reflect the appropriate reference scores and comments.

At the conclusion of these demonstrations and reference checks, AAC and RWA will compile all the scoring details to assist RWA with the selection process. The summaries of the scores are then reviewed by RWA and a final decision made.

Additionally, these workshops will help to identify anticipated project costs. Results from the detailed demonstration and workshops will be provided to the preferred vendor/SI so the vendor/SI can provide an accurate cost for the following items:

- ▲ Modifications
- ▲ Interfaces
- ▲ Conversion
- ▲ Implementation
- ▲ Process Engineering
- ▲ Hardware
- ▲ Support
- ▲ 3rd Party Software
- ▲ Travel
- ▲ Licensing

This process ensures that the preferred vendor/SI has been given the opportunity to make certain they have a complete understanding of RWA's requirements in order to provide an updated price based on the most accurate information. As the preferred vendor/SI knows the information gathered will be included in the NavigateOne™ Statement of Work and contract, it prevents the preferred vendor/SI from saying that they did not have a complete understanding of RWA's requirements once the implementation project has started. This helps eliminate cost increases for project. AAC will conduct the necessary on-site workshops to document the core team's findings and participate in or conduct the presentation of the Core team's results to members of RWA's management team.

### Key Activities

- ▲ Conduct Vendor/SI Demonstrations
- ▲ Compile Demonstration Scoring

## ADDITIONAL RELEVANT SERVICES

### VENDOR/SI CONFIRMATION

After the preferred vendor/SI is identified, AAC will then give due diligence to confirming the qualifications of the vendor/SI through reference site visits. AAC will coordinate, while adhering to RWA's travel policy, up to two-vendor/SI production site visits and one vendor/SI corporate visit by key project team members.

A site visit schedule that accounts for functional, technical, and project management aspects of the vendor/SI's work will facilitate interviews with various reference site employees, especially high-volume end-users. These trips will:

- ▲ Facilitate a detailed review of the proposed product
- ▲ Provide insight into the proposing vendor/SI's support structure and client base
- ▲ Offer pragmatic, vendor/SI-specific insights into the implementation process

AAC will summarize the project team's evaluations into the scoring matrix and conduct the necessary on-site confirmation workshops to review the team's findings.

#### Key Activities

- ▲ Coordinate and support RWA in vendor/SI reference checks and site visits

### CONTRACT NEGOTIATIONS

Leveraging our experience with numerous CIS vendor contract and SOW negotiations, AAC will lead RWA in the negotiation process with the selected vendor/SI, including review of the vendor's proposed contract terms and the development of a NavigateOne™ Statement of Work that is tailored to and protects the specific interests of RWA, not the vendor/SI. Having led SOW development and client implementations with many different CIS vendors, we know where projects fail and where strong language is required to ensure a successful project and protect our clients.

Based on the intensive research of the months before, AAC will work with RWA and the selected vendor/SI in negotiating the Statement of Work, work plan and contract. Throughout his process, AAC will assist in managing the iterative nature of completing the contract to both RWA's and the chosen vendor's satisfaction.

The completed, agreed-upon SOW will provide detailed data regarding the implementation project ahead. Responsibilities for all parties involved will be documented and described to the extent that ambiguities are reduced as much as reasonably possible. All functional questions and answers from the RFP response and the vendor confirmation sessions will be included in the SOW. Service levels will be described in detail. Acceptance criteria and measurement criteria for each deliverable will be included—generally there are 100 to 200 deliverables for a typical implementation.

Exhibits to be incorporated into the SOW may include: the RFP, the RFP response, functional checklists, technical checklists, resumes of assigned resources, project plan, etc.

AAC will support RWA in any governing body approval presentations or discussions.

#### Key Activities:

- ▲ Present vendor/SI finalist recommendation





- ▲ Develop negotiation strategy
- ▲ Support SOW negotiations
- ▲ Conduct price and term negotiations
- ▲ Governing body approval (if required)
- ▲ Signed contracts

## TABLE OF DELIVERABLES

NO.	DELIVERABLE NAME	DESCRIPTION & ACCEPTANCE CRITERIA
10	Updated Project Charter/ Strategy Document	The Project Charter will include descriptions of the major project components, establishment of the steering committee board, identified project resources, assumptions, and risks. The strategy section of the document will describe the approach to the project and explain why the team established this strategy.
11	Project Plan	An approved document used to guide both project execution and control. Documents planning assumptions, decisions, and facilitates communication between stakeholders, and documents approved scope, cost and schedule. There will be summary and detailed versions.
12	RFP Template Document	RFP template that lists major categories of information that may be included in RWA specific RFP. Sections include: business purpose of project, utility history, utility statistics, technical requirements and template vendor/SI required response format.
13	Scoring Work Sheet	Completed scoring worksheet that reflects RWA's scoring criteria and weights.
14	Final RFP Document	Document that is a derivative of Deliverable number 7. This document builds on the template information from Deliverable 12 and is updated based RWA's data gathering and meetings with AAC. This document will be specific to the RWA's specific requirements.
15	Base Product Demo Scripts	Templates - Document that defines the functionality from Deliverable 6 that will be used to create information to guide CIS vendor/ SI through a functional presentation of their software.
16	Vendor/SI Discovery Sessions	AAC will schedule and conduct 2 hour Discovery Sessions with Vendor/SI.
17	Clarification Document	AAC will issue to all vendor/SI a clarification document(s) prior to the vendor/SI RFP response.

## ADDITIONAL RELEVANT SERVICES

NO.	DELIVERABLE NAME	DESCRIPTION & ACCEPTANCE CRITERIA
18	All Functional Scores & Project Solution Costs	Documents that summarize and ranks vendor/SI' Responses from the RFP for both Functional and Cost information.
19	Selection of Vendor/SI Finalists based on Scores	Rankings for selection of the vendor/SI finalists. (Short list – up to 3 vendor/SI)
20	Steering Committee Presentation	AAC will prepare an executive level PowerPoint presentation that summarizes the selection decision for RWA's Steering Committee. AAC will conduct this presentation or support RWA with the presentation, based on RWA's preference.
21	Executive Management Presentation	AAC will prepare an executive level presentation that summarizes the selection decision for RWA's Executive Management. AAC will conduct this presentation or support RWA with the presentation, based on RWA's preference.
22	RWA Product Demo Scripts	AAC and RWA will work together to create the appropriate level of detail for data and various business rules to be included in these scripts using the templates as a starting point from Deliverable 15. RWA and AAC will also mutually determine which components of the Business Requirements Catalog will be included based on RWA's level of importance. These scripts will only use portions of Deliverable 6 in order to accommodate the time allocated for software presentations. In addition to these scripts, AAC will provide a suggested agenda for the vendor/SI meetings.
23	Demonstration Agenda and Schedules	Document that outlines the schedule for demonstrations for each vendor/SI. The document will also outline the major topics to be presented by the vendor/SI based on RWA's requirements.
24	Completion of the Vendor/SI Demonstrations	The short-listed vendor/SI that participated in the demonstrations have completed their presentations.
25	Reference Checks	RWA has completed all reference checks, AAC has summarized results.
26	Summarization Score Ranking of Vendor/SI Based on Completed Demonstrations and All Information	Documents that summarize and rank vendor/SI for the demonstrations. All scoring criteria is computed and the vendor/SI finalist is identified.
27	Selection of Preferred Vendor/SI	Meeting conducted to review score/ ranks and review the final selection. AAC will provide a document to summarize the meeting minutes.
28	Updated Scoring Matrix	Updated Scoring Matrix

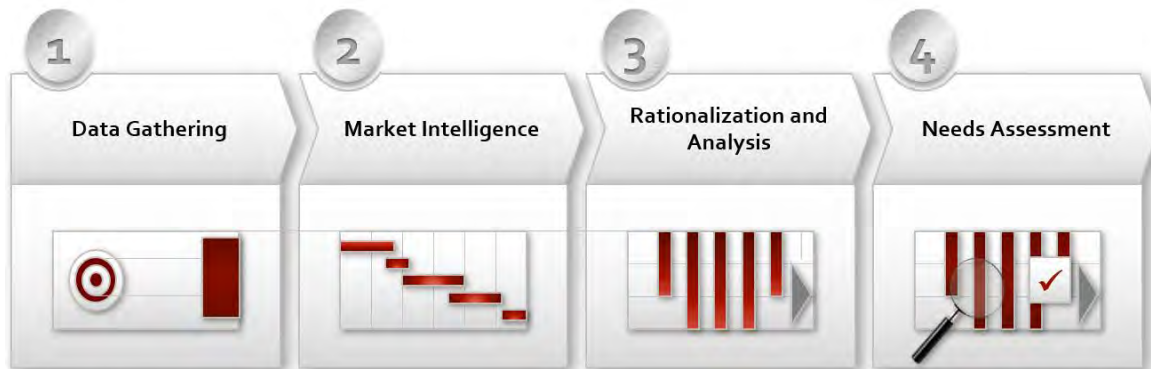


## ADDITIONAL RELEVANT SERVICES

NO.	DELIVERABLE NAME	DESCRIPTION & ACCEPTANCE CRITERIA
29	Preferred Vendor/SI Confirmation	Three to four day in depth review of Preferred Vendor/SI's proposed solution with the intent to confirm completeness of solution as related to RFP requirements. Product demonstration and implementation methodology review.
30	Solution Cost Summary	Document that outlines the Preferred Vendor/SI's cost summary and evaluates for completeness. This document is used as a component of the Preferred Vendor/SI negotiations and for governing body approval. This document is delivered prior to the start of vendor/SI negotiations.
31	Site Visits Completed	AAC will assist RWA to schedule and conduct up to three on-site customer reference visits for Preferred Vendor/SI. Additionally, RWA may choose to visit the Preferred Vendor/SI's headquarters.
32	Negotiation Strategies Workshop	In preparation of contract negotiations, AAC will conduct a presentation to RWA outlining contract negotiation strategies and will inform RWA of expected vendor/SI positions.
33	Governing Body Approval Presentation	AAC will prepare an executive level PowerPoint presentation that summarizes the selection decision for RWA's governing body. AAC will conduct this presentation or support RWA with the presentation, based on RWA's preference.
34	Contract Key Issues	AAC will provide a document outlining the major business issues that should be reviewed by RWA. RWA will be required to have legal counsel evaluate all contracts from a legal perspective, as AAC does not render legal advice.
35	Statement of Work (SOW)	SOW that reflects RWA's specific project information with the Preferred Vendor.

### NAVIGATEONE™ METHODOLOGY

AAC utilized a four-step methodology for producing this report, demonstrated in the figure below:



### THE NAVIGATEONE™ DIFFERENCE

NavigateOne™ is a comprehensive methodology that integrates proven processes, powerful tools, and proprietary templates and software—designed from the ground up for utility mission critical system transformation projects. NavigateOne™ is completely scalable and fully customizable to meet the specific needs of any utility software initiative. NavigateOne™ is built on the foundational rule that software projects must resolve real business issues. This focus ensures your project delivers not just new technology, but real, lasting value for your utility, its employees, and its customers.

[More need regarding overview of Methodology](#)



# **Appendix E**

**AAC NavigateOne™ Methodology, March 2022, prepared by AAC  
Utility Partners**





# Core Team Project Introduction



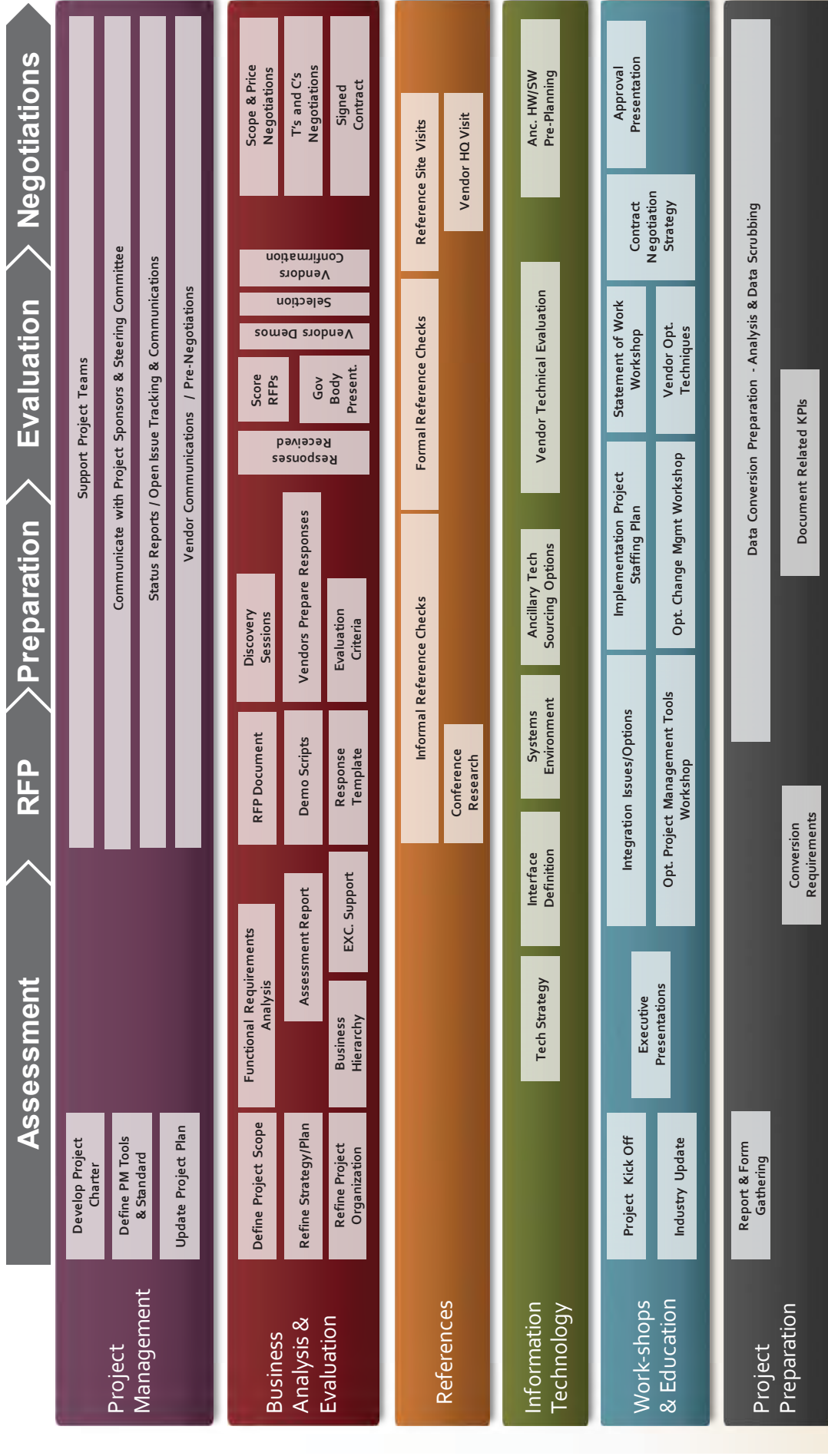
# AAC Utility Partners, LLC

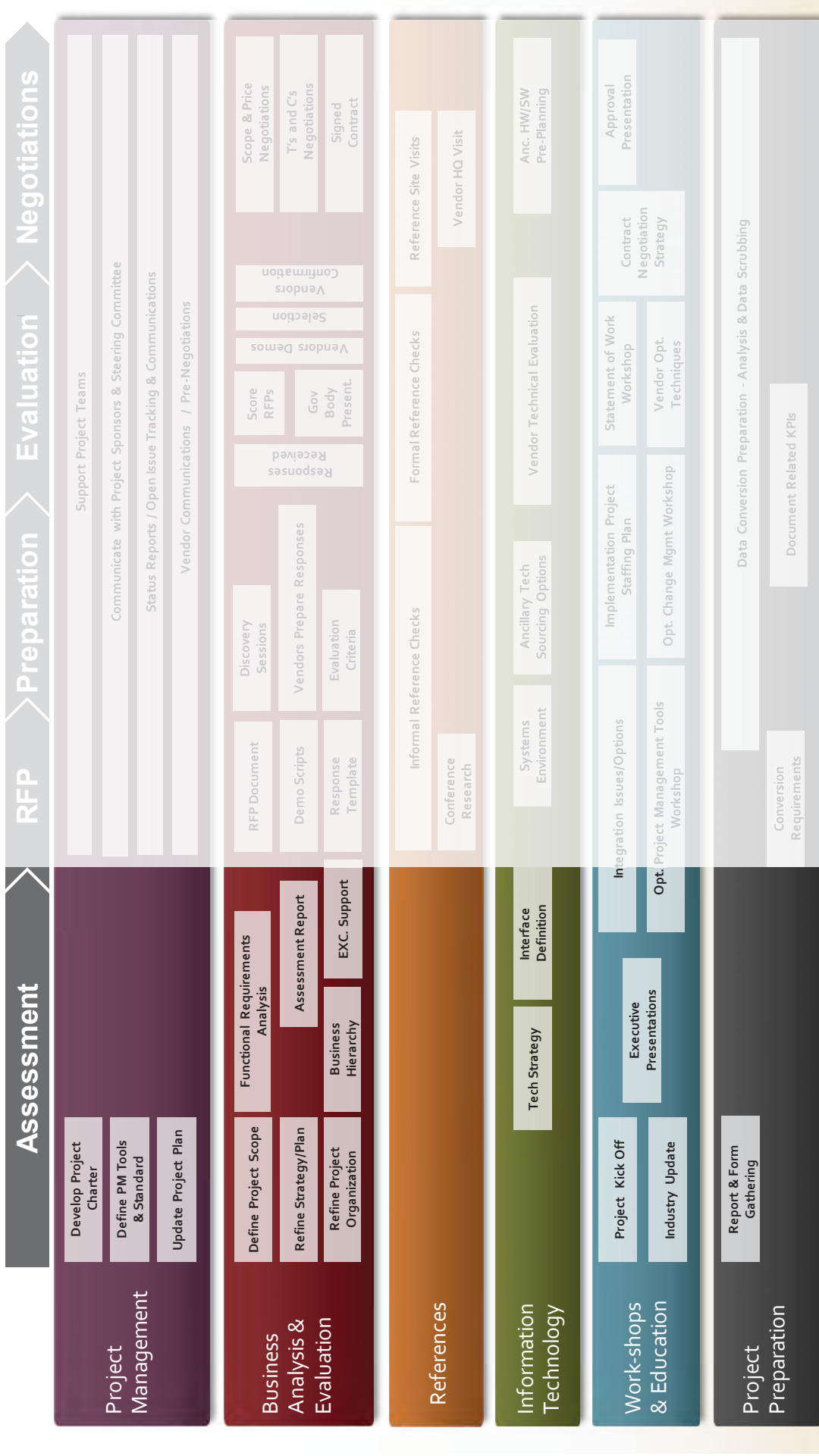
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- Formed in 2005 to serve as an **advocate for utilities**
- **80+ projects** - electric, gas, and water utilities
- Public Sector and Municipal Experience **(75%)**
- **Tier One/Tier Two** Vendor and SI Experience
- Over **8 Million** customers **positivity impacted**
- **Full life-cycle services**
- NavigateOne™ – **Proven Methodology/SOW**
- Verified Vendor Independence







## Functional Requirements

may be calculations, technical details, data manipulation and processing and other specific functionality that define what a system is supposed to accomplish.

- Wikipedia

# System Analysis & Requirement Gathering

15	Key Business Drivers	A Primary business drivers for this replacement effort.
5	Essential requirements. Work-arounds possible	Current system provides required functionality but understands new system may provide different options.
3	Potential Requirements	Functionality that may be utilized in the future to address industry changes.
1	Non-Essential	Functionality that is not currently needed, but if offered could be used.



# Staffing Plan



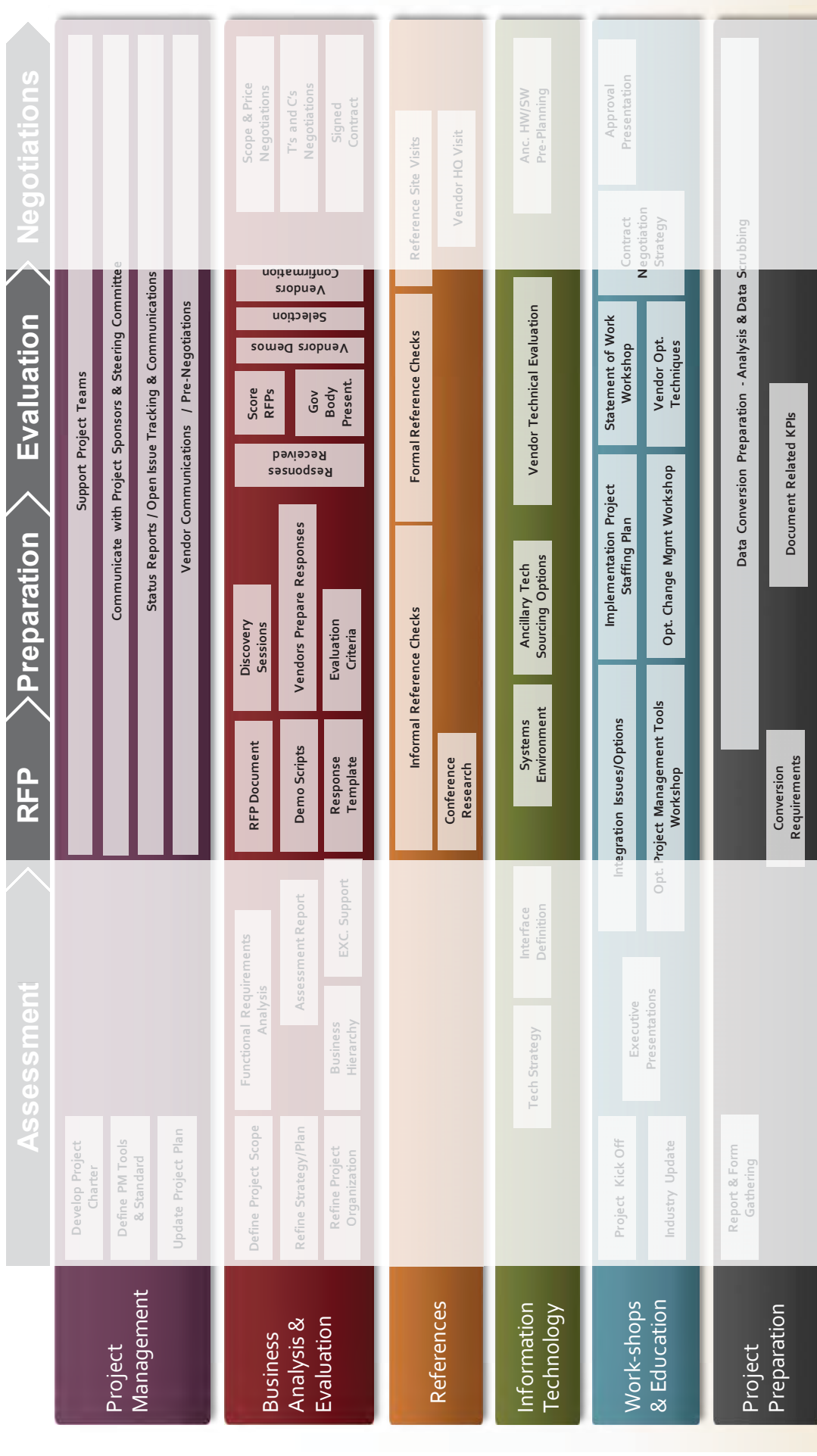


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# Selecting a Solution

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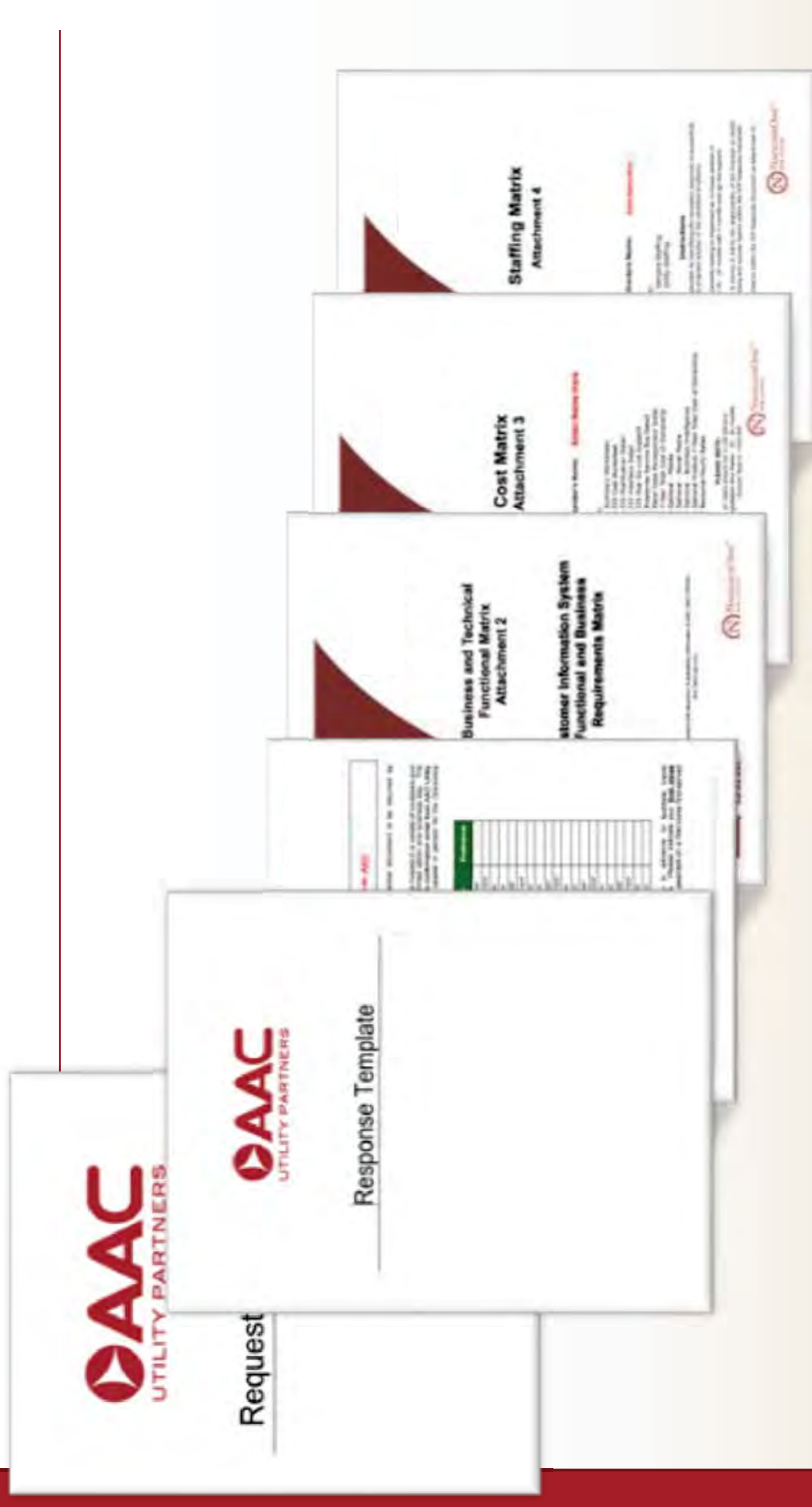
- RFP Package
- Evaluation Framework
- Discovery Sessions
- Demonstrations



job description

A written statement of a specific job, based on the findings of a job analysis.

# The RFP Package



frame - work

A basic structure  
underlying a system,  
concept or text

# The Evaluation Framework

		Aggregate		By Phase		Summary	
Evaluation Categories							
		Total Points Phase I		36,500		80,000	
		Total Points Phase II		40,500		37,425	
		Total of All Phases		80,000		67,892	
		Total Percent		100%		85%	
	Phase I	49%	100%	39,500		67%	77%
1	Qualifications and Profile	7.1%	14%	5,700	4,949	4,104	4,287
2	Business Solutions	14.4%	29%	11,500	9,488	8,620	8,675
3	Implementation Plan/Strategy	12.5%	25%	10,000	7,733	5,355	6,661
4	Functional Matrix	7.3%	15%	5,800	5,617	5,239	5,472
5	Technology Summary	4.4%	9%	3,500	2,681	2,415	2,439
6	Solution Costs (Go-Live)	3.8%	8%	3,000	2,931	2,549	1,996
	Phase II	51%	100%	40,500			2,622
7	Innovation and Flexibility	3.8%	7%	3,000	2,400	2,100	2,700
8	Demonstrations	17.5%	35%	14,000	13,300	9,800	12,600
9	Implementation Discussion	13.1%	26%	10,500	9,975	6,300	9,450
10	Technology Discussion	8.8%	17%	7,000	6,650	5,250	6,300
11	Reference Checks	7.5%	15%	6,000	5,100	4,800	4,200

dis · cov · er · y

The action or process of  
discovery or being  
discovered

# Discovery Sessions

- In place of the pre-bid Vendor Conference, CLIENT will Discovery Sessions.
- Each Vendor is highly encouraged to attend a Discovery Session to meet with CLIENT for questions and answers.
- Discovery Sessions are not simply another opportunity for a sales call. Vendors are expected to have read the RFP and be familiar with the contents in sufficient detail.
- The Vendor's representatives participating in the Discovery Session are responsible for asking questions about the business operations. The questions and answers will not be documented or provided in an addendum to other Vendors unless CLIENT deems the information to be material to the specifications of the RFP.
- Discovery Sessions are assigned on a first-come, first-served basis. Normally, they are 1.75 hours and are in person and virtual.
- Vendors may also submit any additional questions by the Final RFP Questions deadline. The questions (that are received by this deadline) and answers will be distributed to all participating Vendors through the CLIENT's electronic Bid and Vendor Management System.

dem · on · stra · tion

A basic structure  
underlying a system,  
concept or text

# Demonstrations

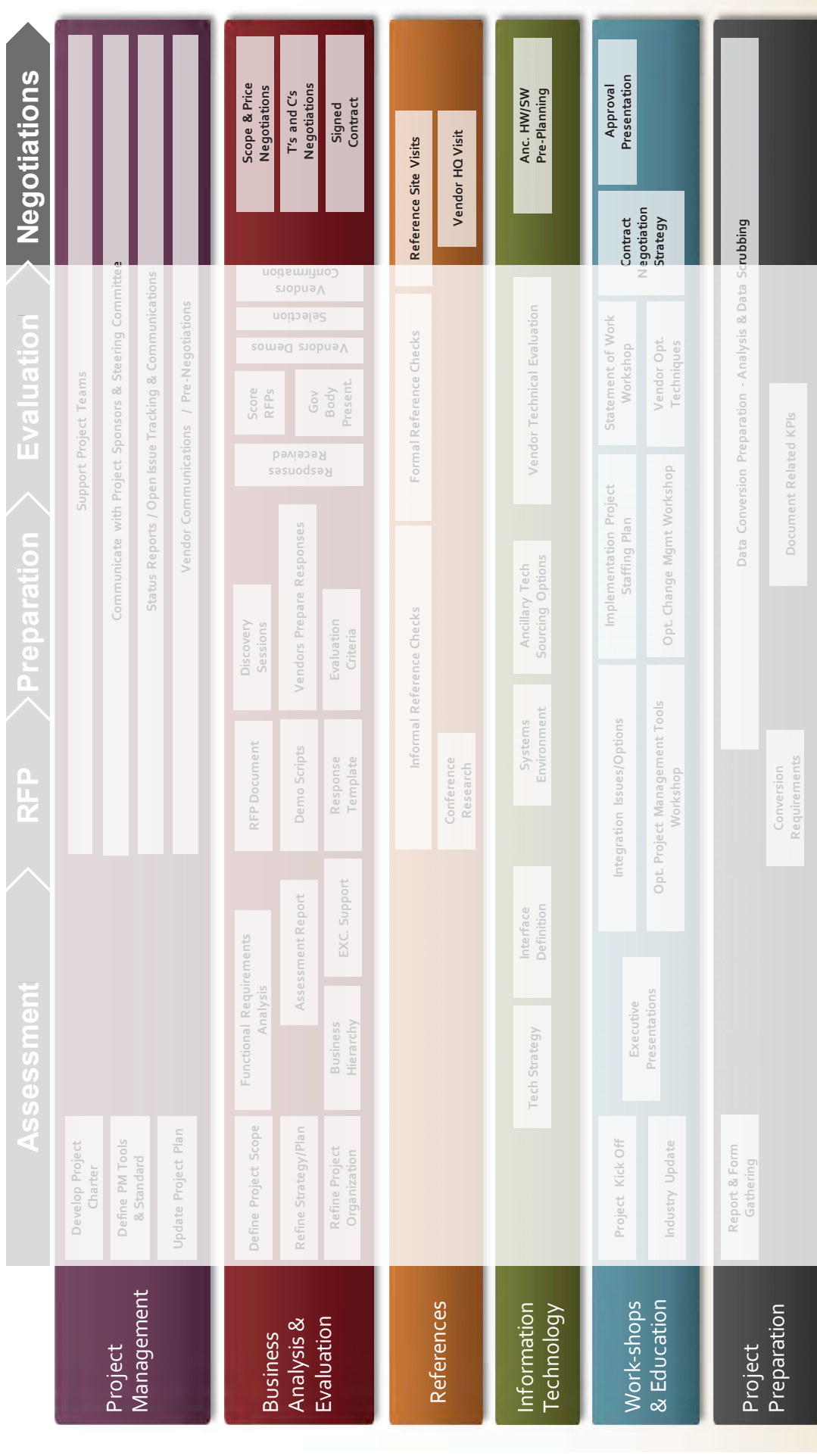


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# Negotiating the SOW

---





The SOW  
needs to be  
fair to all  
parties

## Not all SOWs are Created Equal

---





# Statement of Work

- The Statement of Work (SOW) is the comprehensive agreement between entities of the work to be done.
- The SOW:
  - Based on your Project Strategy.
  - Business approach to implement the project.
  - Defines the SI and Utility project commitments.
  - Itemizes deliverables.
  - Should be fair to both parties.
  - A good SOW takes time to develop and negotiate.

# Core Team Responsibilities

---

- Active Participation
- Message the Project
- Be Vocal
- Make Decisions
- Be Discrete
- Act as a “Team”







Questions?





## **Appendix G**

**CIS Assessment Summary, March 2022, prepared by AAC Utility  
Partners**





## RWA CIS Assessment Summary

### BACKGROUND

July 7, 2017, RWA issued an RFP for the assessment of their current customer information system. RWA recognized the importance of such a mission-critical system. Given the system's current state, the organization needed to partner with a company like AAC to assist RWA in evaluating whether their current CIS should be upgraded or if the new system should be procured and implemented.

Due to the organizational impact of replacing a mission-critical system such as the CIS application and the potential for general business disruptions during upgrades, RWA has thus far made only the absolute necessary technical and functional upgrades to its legacy system. This frugal investment strategy has created a much steeper grade for the modernization of the current system. RWA's legacy system was installed in the early 2000 and for years met the needs of RWA's utility business operations. However, the legacy application provides only a minimal amount of automated workflow, few interfaces between customer and employee-centric programs, and very poor data sharing among applications. Due to the age of the underlying technology, the current vendor, SAP, requires all applications not on the current software version to be upgraded to a new supported platform within the next few years. The recent projection is that these additional compliance investments will significantly exceed \$2 million. In addition, RWA's cost to maintain the system due to the unique specific skill sets required for both technology and functional areas results in RWA spending well above the industry norms for a non-profit public corporation serving over 115,000 water customers. RWA is also in a unique situation

The result is limited modern customer service, inefficient operations, and an extremely high cost to maintain application in conjunction with an outdated version; this is a risk of no longer being supported.

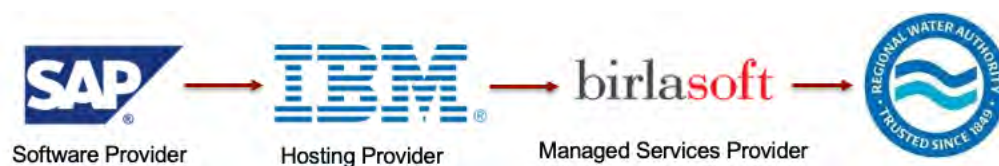
Since the purchase and implementation of the SAP CIS system in the early 2000s and other systems purchased since advancements in computer technology and software systems have evolved in ways that expand and offer improved services to utilities and their customers, RWA's existing legacy system is challenging to modify, lacks functionality, has limited documentation, and does not provide RWA's customers with industry-standard capabilities.

The current CIS system runs on an outdated technology platform that limits the ability to improve data security and creates significant challenges when new processes are required to comply with regulatory requirements. Obsolete technology and limited functionality of the current version of SAP requires reliance on specialized third-party and costly personnel for support.

RWA's current version is more vulnerable to security threats and requires ever-increasing attention and resources. Cybersecurity is an important piece of these solutions because it

protects all categories of data from theft and damage. This includes sensitive data and financial information. If RWA was the target of a cyber-attack and the CIS was affected, it would impede the organization's ability to conduct day-to-day business, including billing and customer service.

This AAC Utility Partners investigation found three areas of severe deficiency or risk: (1) the ability to quickly add or change functionality that would align with RWA's strategic long-term vision of providing enhanced services and diverse service offerings; (2) there is very limited sharing of data across related applications; and (3) the current legacy application is costly to maintain based on the need to have multiple vendors that provide for hosting the application and assisting in any functional and technical issues that need to be addressed on a day-to-day basis in order to ensure the applications meets RWA's needs.



## PROJECT DESCRIPTION

The Project was to identify RWA options in order to meet their strategic future goals while also conducting the following: 1) conducting an in-depth analysis of the functional and technical capabilities of RWA's existing business systems, 2) providing a comparison with water utility industry "best practices", and 3) providing RWA with a recommendation as to what to do with their existing CIS application.



The project scope guided the evaluation of the various solutions to RWA's systems deficiencies. The initial scope provided three categories for consideration: 1) Functional and Business Process Limitations, 2) Improvement Opportunities, and 3) Technology Limitations. The evaluation followed AAC's NavigateOne process and utilized artifacts, tools, and research available to AAC through the execution of the NavigateOne™ program.

## PROJECT APPROACH

In conjunction with RWA, AAC Utility Partners completed a significant analysis effort to best ascertain the proper steps forward and how to accomplish this task in a complementary manner. The team evaluated approximately 2,600 Functional Requirements and identified many functional capabilities RWA does not have today but would take advantage of in the future.

## RWA'S EXPERTISE

RWA had various Subject Matter Experts (SMEs) utilizing internal talent from across the organization. The carefully chosen team that represented departments from customer service, information technology, field staff, Billing, and finance were focused on the task at hand. RWA Leadership Dana Bochan and Larry Woodward led the team and were present for most if not all workshops that were conducted. The Team did not settle on mediocrity but instead was determined to do whatever it takes to make the project a success. The Core Team worked together to examine functional requirements, often putting aside personal agendas for a common goal.

## PROJECT PROCEDURE

AAC has developed a standardized methodology that executes an assessment process that produces a series of reports and other deliverables that capture key business and technical requirements. This process is to understand better the gaps between RWA's current version of SAP CIS application and utility industry "best practices" from leading CIS systems. The overall objective of this process is to educate employees, follow a rigorous methodology to upgrade or select the most suitable solution, and carefully document all project steps to minimize any risk to the company or its customers.

RWA and AAC completed the following tasks to complete this report:

- Project Kick-off
- Develop Project Charter and Schedule
- Discussed Business and Technical Requirements
- Documented and Weighted CIS related business requirements focused on outcomes
- Completed an Operational Assessment (Implementation Staffing Requirements)
- Completed Needs Assessment Report

## NAVIGATEONE™ METHODOLOGY

AAC utilized a four-step methodology for producing this report, demonstrated in the figure below:



### Data Gathering

In order to start the review and assessment process, AAC and RWA worked together to collect data from “all corners of RWA.” Information gathering included on-site interviews, business module replacement determination, creation of a Project Charter, a Project Schedule, and the organization of data gathering and assimilation of the vast amounts of captured data.

### Functional Assessment

AAC provided a database of industry-standard business processes and functional requirements that were reviewed, analyzed, discussed, and weighted with the RWA team. This highlighted the difference between current functionality against what's generally available in the marketplace.

The scoring methodology used the following weighting:

<b>20</b>	<b>Key Business Drivers</b>	Business Drivers that AWC expects to implement as part of this project. ie: inefficient manual process, reason for new system, etc)
<b>15</b>	<b>Expected in a Modern System</b>	Current system provides required functionality but understands new system may provide different options.
<b>5</b>	<b>Future Required Functionality</b>	Functionality that is critical to AWC but will be implemented in a future phase of the project.
<b>3</b>	<b>Nice to Have</b>	Functionality that will be utilized if provided as a part of the base solution/implementation

The Team evaluated 2,663 requirements based on the descriptions in the AAC functional matrix and identified a number of functional areas RWA does not have today but want to take advantage of in the future.

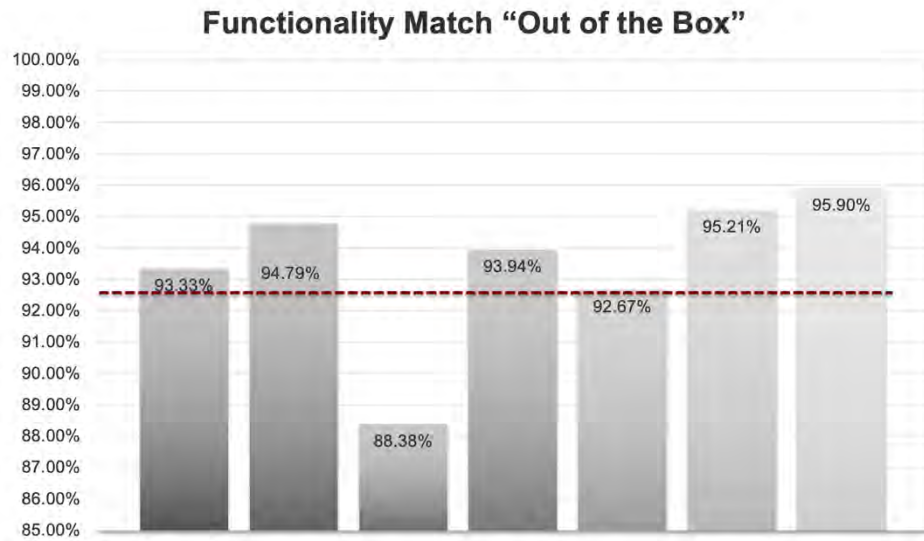
System Navigation	Search Criteria	Primary CSR Screen	General Billing
Bill Initiation	Bill Proration	Billing Process	Security
Adjustments	Master / Sub Billing	Budget Billing	GL Structure
Estimation	Misc. AR Billing	Bill Production	Account Management
Account Data	Product & Services	Memos & Notes	Customer Contact
Account Display	System Administration	Auditing	KPIs
Meter Inventory	Meter Documentation	Meter Search	Rate Management
Rates	A/R Processing	A/R Adjustments	Mobile Work Management
Credit & Collections	Cashiering	Delinquent Processing	Credit Rating
Deposits	Payment Processing	Payment Arrangements	Delinquent Processing
Social Media	Customer Self-Service	Conservation	Bill Print
Reporting	Ad-hoc Reporting	Dashboards	Smart Devices

Weight	Response	Description	Number of items
15	Key Business Driver	Functionality which is cause for transformation and/or mandatory for future strategic business requirements.	1,055
5	Essential Requirements. Work Arounds Possible.	Functionality that is required. New system may provide different options. Could be done with a manual work-around.	1,054
3	Potential Requirements	Functionality that may be utilized in the future to address industry changes. Accommodated in a future system release.	448
1	Non-Essential	Functionality that is nice to have or nice to have in the new solution.	106
		<b>Total</b>	<b>2,663</b>

In comparing RWA with similar organizations and the 1,055 functional areas where RWA could possibly improve business processes or functionality and vendors who have substantially similar requirements, in AAC's CIS project database:

AAC expects that, on average, proposing vendors will be able to meet the RWA's functional needs at 93% and with minimal if any, modifications.





### Market Intelligence

AAC has a significant library of current vendor and market data from utility organizations of similar size and scope as RWA. This included a database of over 80 projects which allowed AAC to make an informed comparison to determine the functionality match required, the average costs, staffing levels needed for the project, and estimated project timelines as part of the report.



Traditional CIS vendors have migrated, partnered, or developed more mission-critical functionality into their overall software offerings since the implementation of the RWA application in early 2000. These solutions allow employees the ability to do their job more efficiently by breaking down the barriers between business units and offering real-time data between applications. In particular, this would allow RWA to automate many core business operations (meter-to-cash) and enhance customer satisfaction by providing one source for billing and customer relationship.

There are many viable solutions available for RWA to purchase in the marketplace. The CIS vendor community is highly competitive and driven by sales commission. These vendors are



challenged to evolve their product line if they are to survive, and this is especially true with smaller vendors. The vendors are being challenged by SaaS (Software as a Service) and newer cloud computing initiatives. Newer software development aims to strengthen business process flow between applications (improving worker efficiencies), adopt emerging technologies (smartphones, social media, and AMI), and increase worker automation through improved analysis of day-to-day events.

Above are samples of CIS vendors whose functionality would meet RWA's needs.

A modern CIS solution would provide additional functionality to profoundly improve the customer experience and allow RWA to streamline existing processes across all departments and achieve most business requirements through configuration, not customization.

### Technical Review

Through a series of meetings and information gathering in conjunction with RWA staff, AAC reviewed the current technology environment, including:

- All major systems
- Network Architecture
- Hardware
- Interfaces and connectivity
- Current business uses
- Any third-party components working in conjunction
- Hosting and support contracts

AAC reviewed and documented at a high level the connections between these technology resources and major business activities that utilize them as well as appropriate non-system factors such as support roles and major service protocols that may affect or be affected by any major system change.

As part of the Assessment Report, AAC was able to identify a high-level picture of RWA's information systems and technology environment that would determine the risks and benefits of either upgrading or replacing the current CIS application.

A new solution would provide enhanced security and auditing capabilities as well as proactive technology upgrades to ensure RWA remains secure and current on future software releases.

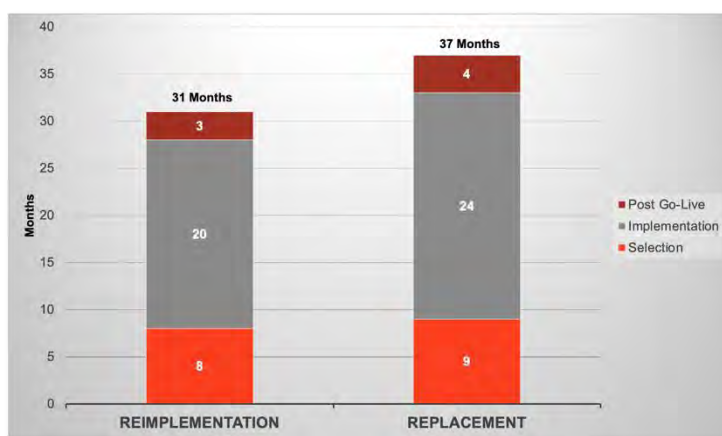
## PROVIDE ESTIMATED TIMELINES

When determining the timelines for either an upgrade or replacement, the software vendor typically determines the implementation length based on their experience with like-sized utilities and available staffing. The timeframe is discussed and worked out with RWA prior to signing a contract. For the Assessment Report that was provided, AAC utilized our library of RFP responses, experience gained through our Client-Side Services, and an understanding of RWA's needs matched to vendor skills and demands.

An upgrade/technology replacement would reflect a shorter implementation timeframe due to the reimplementation of the SAP application and the familiarity with the integrations and technical architecture. The amount of business process and change management is hard to estimate. AAC estimates an upgrade/technology replacement to take between 18 and 20 months. With post-go-live activities to take between two and three months.

With the necessary staffing provided by RWA, AAC estimates an 18-24 month implementation timeframe for a new CIS with 3-4 months of post-go-live support.

Based on AAC's organizational staffing assessment workshop conducted with RWA, we have outlined the following timeline needs.



## PROVIDE ESTIMATED PROJECT COSTS

The costs for a licensed or Cloud sale of software and hosting services have a significant variance due to the vendor tiers and are complicated by the varying differences in implementation timelines and hosting services that are provided. At the highest level, analysis reveals the following based on a review of RFP responses for similar water utilities:

A contingency reserve is typically money put aside for small project emergencies, change controls (impacts), and unforeseen events during implementation. Contingency can also include additional labor or time to complete the project. Overall, the contingency reserve is considered part of risk management. AAC examined past projects in an effort to identify unknown cost components. The contingency reserve is a percentage of the sum of all software, implementation, third-party services, and travel costs. AAC recommends a contingency reserve between 10% and 20%. A cost contingency of 10% has been included in the Cost Overview provided below. Given the cloud-first strategy RWA desires moving forward, hardware costs

are not included. Cloud solutions provide all of the necessary infrastructure and eliminate the need for RWA to procure such hardware. Annual maintenance costs typically include hosting, managed services, and other ancillary services. The below Information based done in 2018 based on an 8 year Total Cost Of Ownership (TCO).

**Average Costs include the following: \$**

Software, implementation, external professional services  
Post-go-live stabilization

**Software Costs include license for the following applications:**

CIS  
Customer Web Self-Service  
Customer Relationship Management  
Cloud/managed service fees

FY 2019 – FY 2026	Capital	O&M	Total
Stay The Course	\$15,717,800	\$10,008,000	\$25,725,800
Reimplement SAP*	\$19,552,000	\$10,000,000	\$29,552,000
New Implementation*	\$17,471,548	\$2,385,944	\$19,857,492

**RWA can not risk Staying The Course**

*Concurrent System Production Costs (~36 months)	Capital	O&M	Total
SAP Keep The Lights On	\$400,000	\$4,194,500	\$4,594,500




Note: Support is based on 20% maintenance fees. No incremental yearly costs are included  
Estimated costs for scheduled upgrade to include new release and hardware refresh

## ASSESSMENT SUMMARY

Based on the data above and AAC's understanding of both RWA's functional and technical needs, RWA's strategic long-term plan aligns with its mission statement and the vendor market

	<p><b>Our Mission</b></p>	<p>To provide customers with high-quality water and services at a reasonable cost while promoting the preservation of watershed lands and aquifers.</p>
---	-------------------------------	---

space. A matrix was provided of RWA's options to consider to achieve their long-term strategic goals.

Description	Stay The Course	Reimplement SAP	New Implementation
Project Capital Costs	\$15.7M	\$19.5M	\$17.5M
Concurrent System Production Costs (~36 months)	Included	\$4.6M	\$4.6M
Avg Annual O&M	\$1.2M	\$2.5M	\$0.3M
Increased Functionality	Low	Above Average	Very High
Risk Exposure	High	Moderate	Low
Meets Internal Needs	Medium	Medium	Very High
Customer Focused	Low	Medium	Very High
Technology Improvement	Low	Medium	High
Change Impact	Moderate	Moderate	High
Recommendation			

AAC's recommendation for RWA was to issue an RFP to the CIS market space. To procure a state-of-the-art, functionally rich CIS application that would meet RWA's current and future customer service needs. Select a technology platform that could be supported with minimal impact on the technology group while lowering the overall cost of ownership. The recognized benefit would be a system that can streamline business processes, quickly adapt to new services and reduce the cost of ownership while maintaining reasonable water rates for their customers.

## **Appendix H**

**CIS Assessment Report, 2018, prepared by AAC Utility Partners**





# CIS Business Assessment

Regional Water Authority



# AAC

## UTILITY PARTNERS

- 13 years
- 70+ projects
- Water Service Experience
- Public Sector Experience – 70%
- AWWA Experience – 17 Members
- SAP Experience
- NavigateOne – Proven Methodology
- Full Life Cycle Services
- **Verified Vendor Independence**



# Partnership



Technical Assessment &  
Application Selection

Implementation Advisory  
Services



# Topics for Discussion

**1** The Team

**2** The Project

**3** Gap Analysis

**4** Moving Forward

**5** Market Intelligence

**6** Project Staffing

**7** Costs

**8** Recommendations

# The Team



# The Team



Executive Team	
Linda Discepolo	Executive Vice President and Chief Financial Officer
Jean A. Zanella-Dyer	Vice President Service Delivery Project Sponsor
Beth Nesteriak	Sr. Advisor to the President & Director of Business Strategy



# The Team



CIS Core Team	
Dana Bochan	Business Transformation Lead – Project Manager
Larry Woodward	Information Technology
Kathleen Axelrod	Customer Service
Andrea Maldonado	Customer Service
Subject Matter Experts	Department Knowledgeable Staff



# The Team



Project Management Team	
Steve Wenke	AAC Engagement Manager
Rick Cutter	AAC Managing Partner
Phil Duncan	AAC Senior Consultant
Tom Morgan	AAC Senior Consultant





# The Project



# Objective

Provide RWA with a Strategic CIS Recommendation

The following analysis and report represents the culmination of work and analysis as part of the Needs Assessment defined in the Statement of Work

Deliverable	Step	Description
9	Assessment Report and Recommendation	Final document that outlines the CIS Assessment findings and recommendations including functionality assessment, gap analysis, risks, estimated costs (eight-year cost model), strengths, weaknesses, benefits, timelines, organizational readiness (resource needs), as well as the implications from changing from quarterly to monthly billing, the ability to bill non-rate revenue products and other pertinent information.



# RWA Strategic CIS Recommendation

**Re-implement**



**Stay the course**



**Other CIS Options**

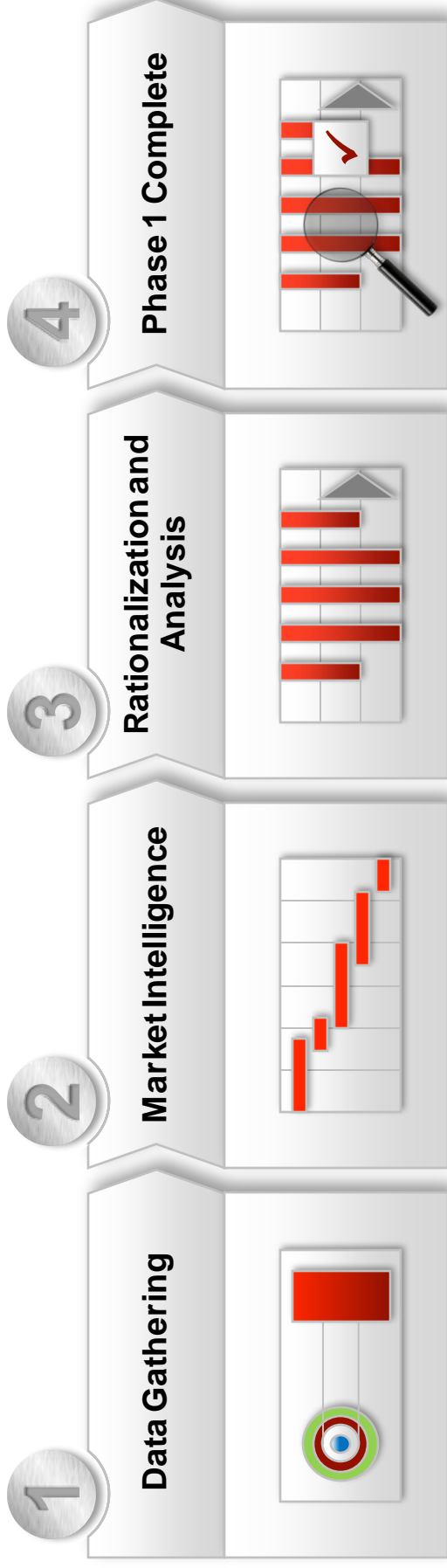


# Assessment Overview

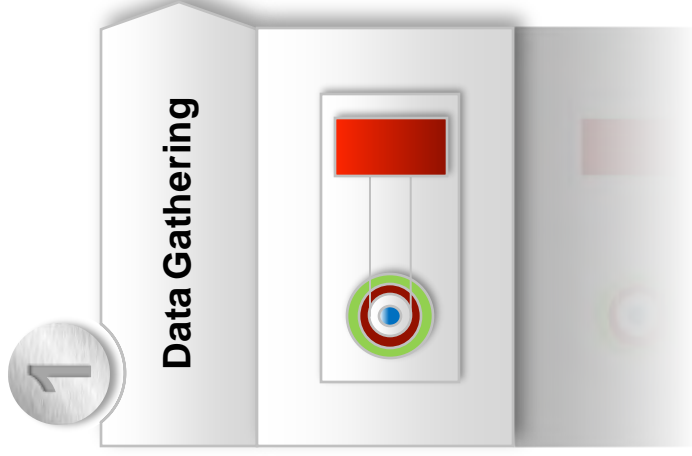
- RWA and AAC completed the following tasks in preparation for this report:
  - Creation of a Project Charter
  - Creation of a Project Plan
  - Documented and weighted CIS Functional Requirements
  - Discussed Business and Technical Requirements
  - Completed a Budgetary Assessment
  - Completed an Organizational Readiness Assessment



# NavigateOne Methodology

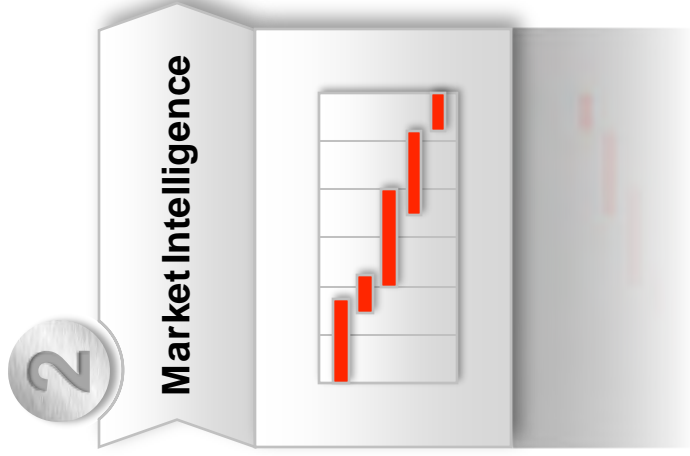


# AAC Methodology



- On-site interviews and meetings
- “Scope” discovery
- Project Charter and Schedule
- Education of Core Team
- Functional weighting
- Fact gathering and assimilation of data and other relevant information

# AAC Methodology

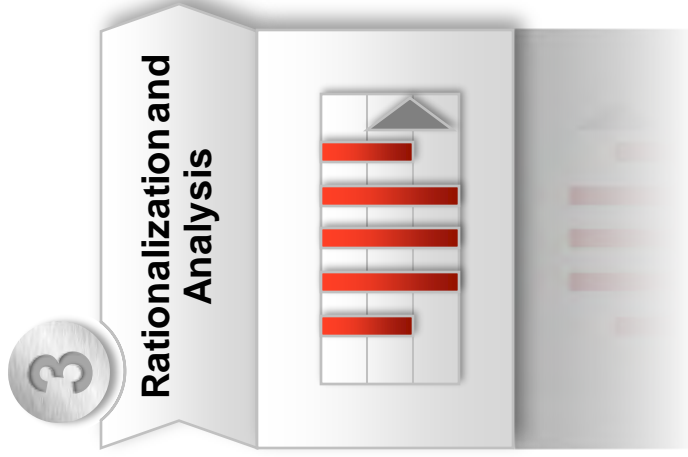


- Collect and analyze AAC's extensive vendor / market data from organizations of similar size and scope as RWA.



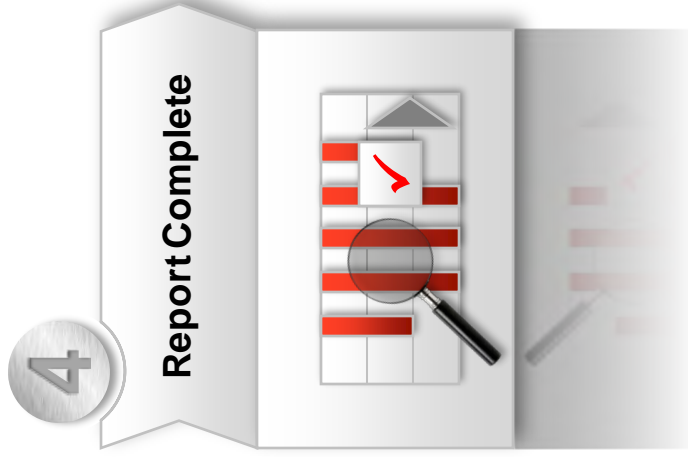


# AAC Methodology



- Internal AAC meetings to examine initial findings
- Forensic review of scope, functionality, cost, and timeline
- Validation against current marketplace vendors
- Assessments of initial, secondary and tertiary results

# AAC Methodology



- Validate results within AAC's data base of current vendor and market database
- Assemble report package
- Formalize report for RWA
- Present findings



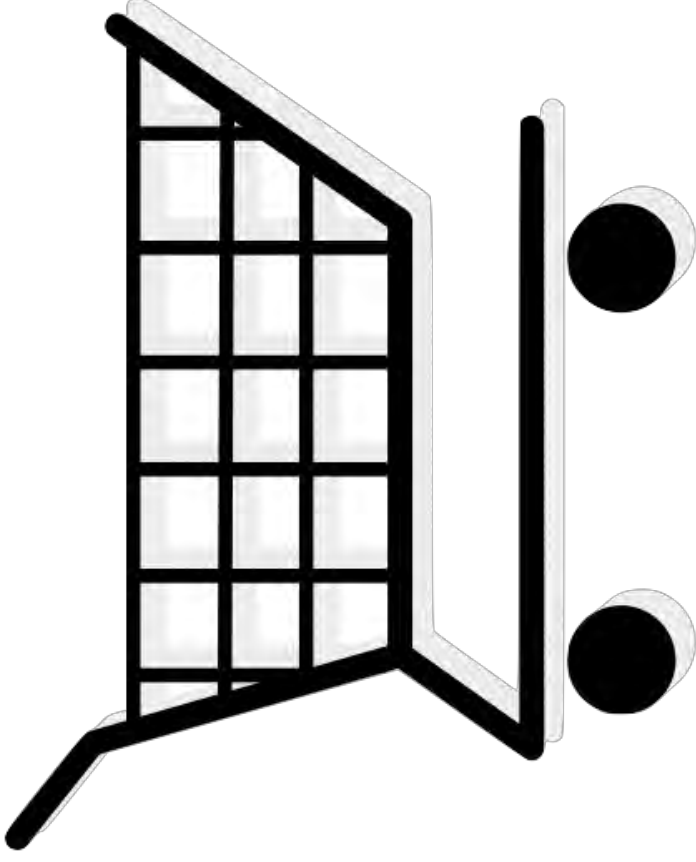
# Primary Scope



# Shopping Cart Analogy

To determine the scope of our assessment we conducted:

- Onsite interviews
- Core Team analysis, discussion & debate
- Analysis of existing infrastructure
- Assessments of needs
  - Functionality
  - Future Business Drivers
  - Customer Initiatives
  - Must Have's



**Note:** The Shopping Cart is subject to review before "check out" based on functionality/cost



# Mandatory Modules





# CLS Areas of Concentration

The Core Team reviewed the following functionality:

System Navigation	Search Criteria	Primary CSR Screen	General Billing
Bill Initiation	Bill Proration	Billing Process	Security
Adjustments	Master / Sub Billing	Budget Billing	GL Structure
Estimation	Misc. AR Billing	Bill Production	Account Management
Account Data	Product & Services	Memos & Notes	Customer Contact
Account Display	System Administration	Auditing	KPIs
Meter Inventory	Meter Documentation	Meter Search	Rate Management
Rates	A/R Processing	A/R Adjustments	Mobile Work Management
Credit & Collections	Cashiering	Delinquent Processing	Credit Rating
Deposits	Payment Processing	Payment Arrangements	Delinquent Processing
Social Media	Customer Self-Service	Conservation	Bill Print
Reporting	Ad-hoc Reporting	Dashboards	Smart Devices



# Gap Analysis





# Functional Assessment



# Functional Requirements

Veri

15

Key Business Drivers

5

Essential  
Requirements. Work  
Arounds Possible.

3

Potential  
Requirements

1

Non-Essential

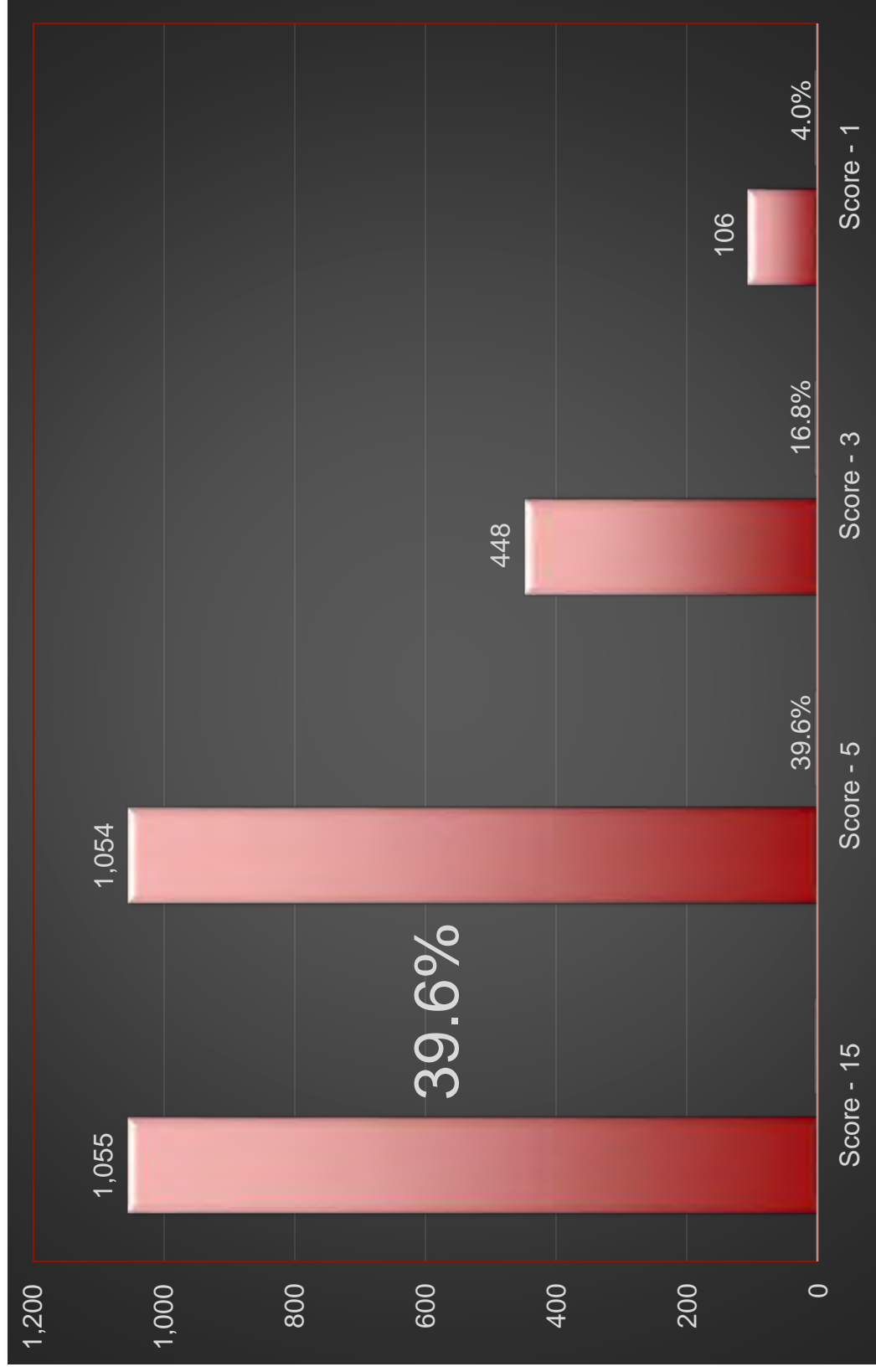
# Functional Requirements

Weight	Response	Description	Number of items
15	Key Business Driver	Functionality which is cause for transformation and/or mandatory for future strategic business requirements.	1,055
5	Current	Functionality that is required. New system may provide different options. Could be done with a manual work-around.	1,054
3	Desirable Future	Functionality that may be utilized in the future to address industry changes. Accommodated in a future system release.	448
1	Unnecessary	Functionality that is nice to have or nice to have in the new solution.	106
		<b>Total</b>	<b>2,663</b>



# Functional Requirements

Requirements Weighting



# Requirements – Overall Thoughts

What we learned from your management, subject matter experts and other RWA staff that use the system:

- Current CIS system provides basic-to-average functionality
- RWA can benefit from ~40% *more* functionality - *today*
- Future requirements add ~17% to the overall functionality
- End-user acceptance and attitude towards the product is low.
- Without change, RWA will fall further behind its functional and technological needs necessary to provide an improved customer experience (internal/external).



# Functional Reasons for Change

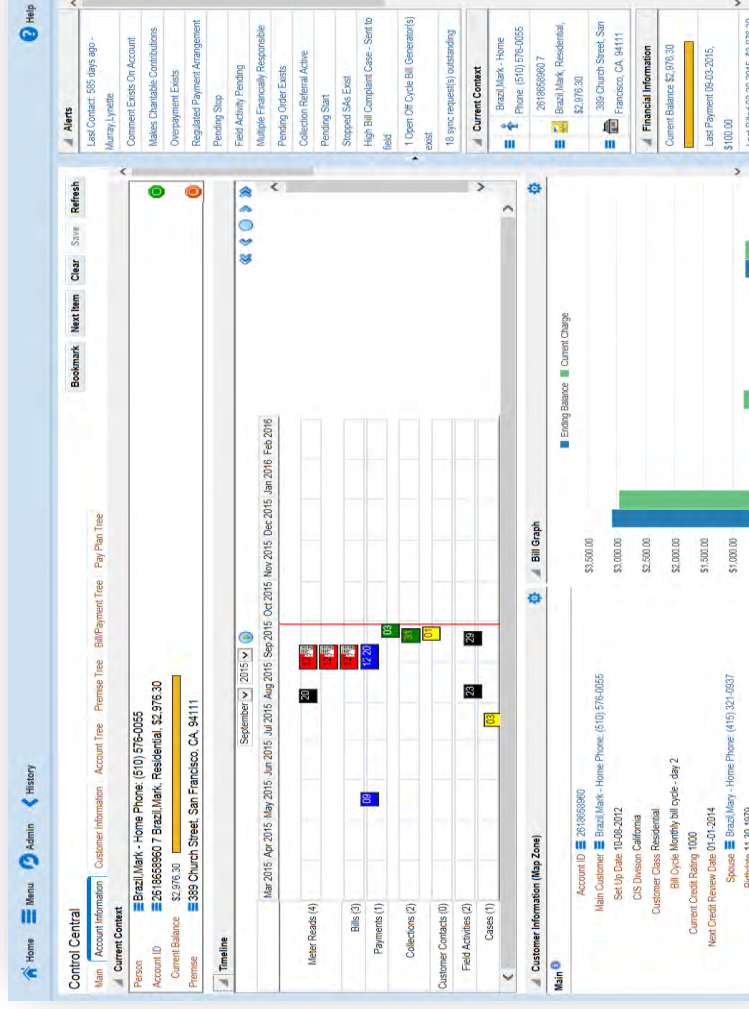
- Improve internal and external customer experience



“... Communicate to the customer the way they want to be communicated with...”

# Functional Reasons for Change

- Enhance CIS and related system functionality... that benefits the entire RWA ecosystem
- Redesign business processes
- Need to address the amount of current system customization





# Functional Reasons for Change

- Improve overall employee productivity and morale through individual and company-wide integrated workflow
- Automation of daily tasks



# Functional Reasons for Change



RWA Lab Services



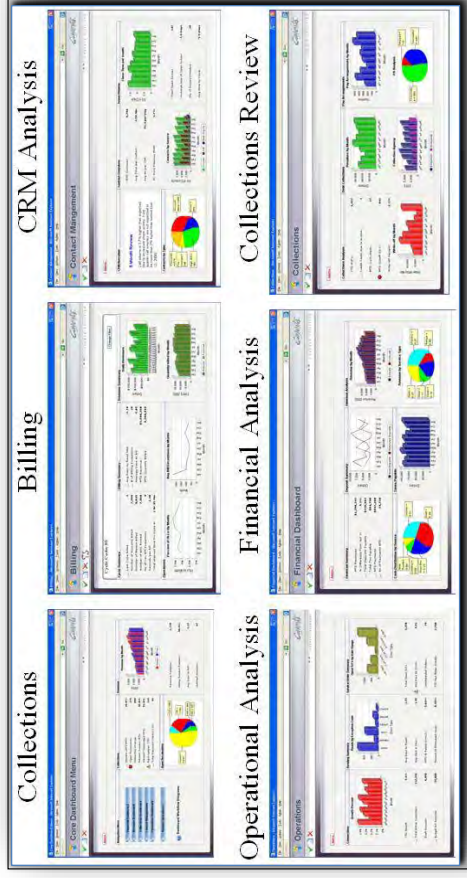
Others?

- Manage and introduce rate changes and new services through faster, less complex configurations.
- Flexibility for increased customer focus and programs.



# Functional Reasons for Change

- Improving accessibility and utilization of system data with query and reporting in addition to management level dashboards.



Example only

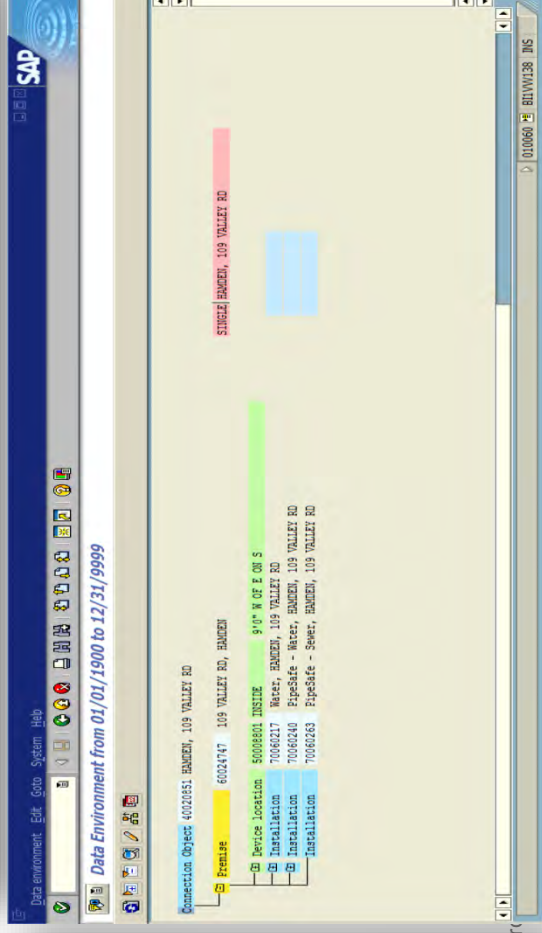
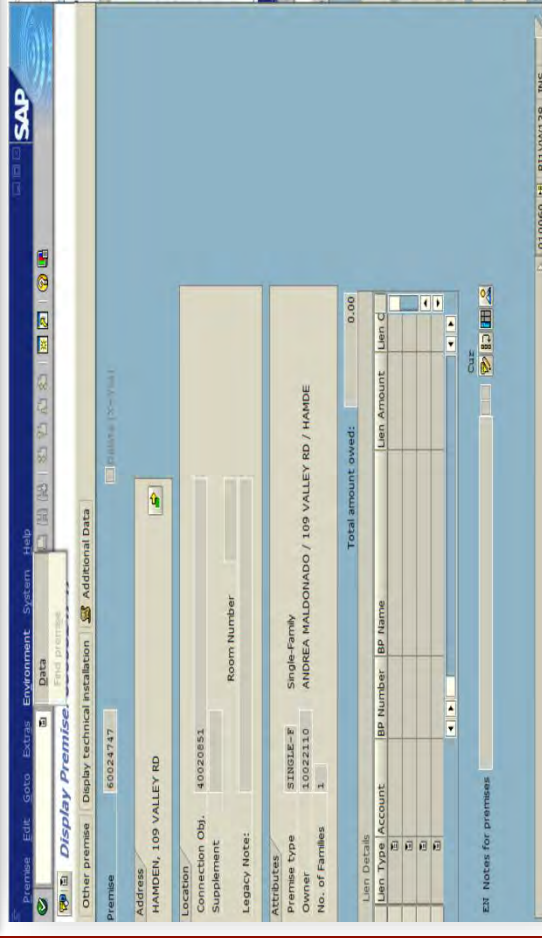
- RWA is faced with a number of mandated reporting needs. The standard reports that are available within the system do not meet the overall needs of the organization. Therefore, many departments are maintaining separate spreadsheets in order to meet the day-to-day informational needs of RWA and its departments.

- Streamline system corrections and end user request





- Inconsistent “Look and Feel” across the application



# Functional Reasons for Change

- Limited customer **self service** capabilities



### Make a Payment with Regional Water Authority's EZ-Pay

**Description**

Welcome to Regional Water Authority's EZ-Pay. EZ-Pay is a fast, easy and convenient payment service offered to Regional Water Authority customers. Please have a copy of your bill available to complete this payment transaction.

Payments made today will not be immediately reflected on the new balance of your account; Payments require a minimum of two business days for processing.

**Account Details**

Please enter the account number and 5-digit zip code printed on your bill for the account you would like to pay.

Account Number:

ZIP Code:

**Validation**

Please enter the characters you see in the picture into the Validation Code box below.



Can't read the code?  
 Get a new code  Play the code

Validation Code:



# Additional Reasons for Change

- Original implementation attempted to mimic how the legacy system operated
- Data standardization
- Reduction of desktop paperwork / notes / Post-its and other duplication of data
- Fewer screens to get to data items – can improve Average Handle Time in the Call Center
- Master billing simplification
- Simplified transaction reversal and adjustments
- Configurable alerts and customer-based CSR notifications
- Ability to design views or workflow by user or role
- Single sign-on and security enhancements
- Reduced length of training and increased user proficiency





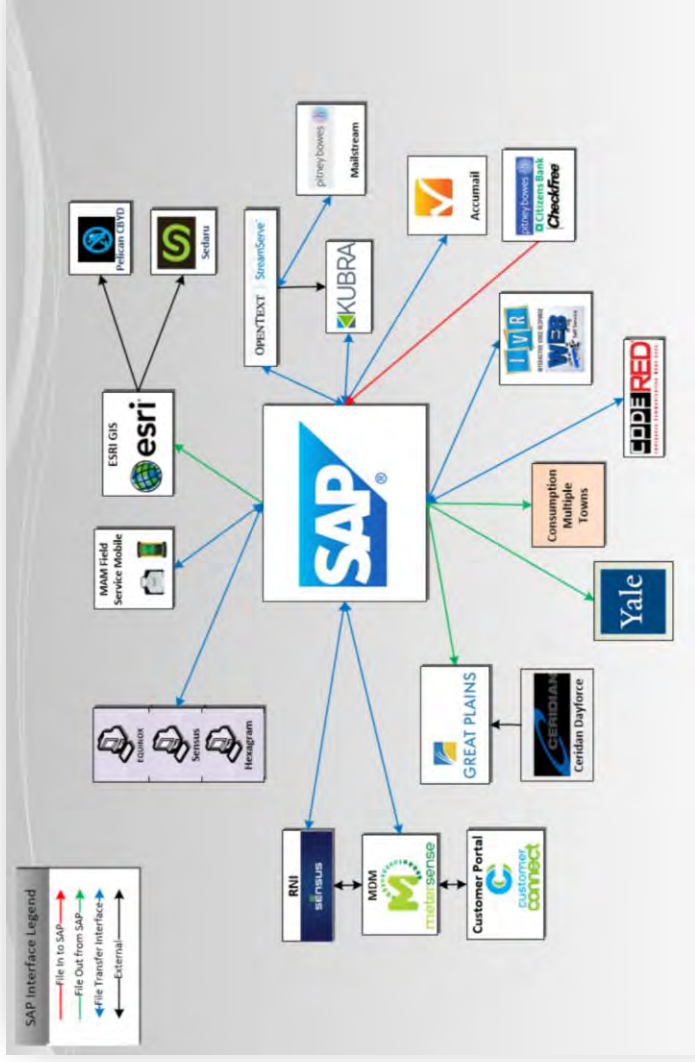
# Technical Assessment



# Technical Reasons for Change

- Further enhance data integration among key technology systems.
- New system integration
- Improved response times
- Financial visibility
- Better utilize IT staff
- Automation
- Standard APIs
- Alignment to RWA's Strategic Focus

CIS Current IT Architecture



# Technical Reasons for Change



- Costly management Contracts
- Time to problem resolution
- System response time
- Opportunity to clean up customer data



The chart displays the following projects and their durations:

- Finance Reports:** 2016 - 2017
- Finance Doc Mgt:** 2016 - 2017
- \* New LIMS:** 2016 - 2018
- Ceridian:** 2016 - 2017
- \* New Police App:** 2016 - 2017
- Phone System Upgrade:** 2016 - 2017
- \*GIS Upgrade:** 2016 - 2017
- \* Great Plains Upgrade:** 2016 - 2017
- Doc Mgt Upgrade:** 2016 - 2017
- Police App Upgrade:** 2016 - 2017
- \* Great Plains Upgrade:** 2016 - 2017
- \* GIS Upgrade:** 2016 - 2017
- \* SAP Upgrade:** 2016 - 2018
- PipeSafe Rate Increase:** 2016 - 2017
- \* Non Core Revenue ERP:** 2016 - 2018
- PipeSafe Septic:** 2016 - 2017
- \* Mobile:** 2016 - 2017
- \* Bill Presentment:** 2016 - 2018
- Monthly Billing:** 2016 - 2018
- Stabilize:** 2016 - 2018
- Process Engineering:** 2016 - 2021
- Planning:** 2016 - 2022
- Enterprise Solution:** 2016 - 2024

Key milestones are marked with stars on the timeline at the end of each project's duration.

- 



# Technical Reasons for Change



- SAP database upgrade will **net NO NEW** functionality
- High cost to upgrade
- High cost to maintain
- RWA will still need to upgrade to SAP ICWEB

# Additional Reasons for Change

- Data extraction limitations
- Information exchange between non-SAP applications
- Consistent and costly technology upgrades
- Specialized RWA resources needed to support the database
- Reporting and extraction knowledge
- Management of security roles and monitoring
- Complex contract arrangements with multiple entities
- Excessive amount of custom modifications that were done during the original implementation



# Business Assessment





# Customer Experience

# The Overall Customer Experience Needs Improvement



- Redesign / reimplementation of the CLS to take advantage of the applications design
- Slow to adapt to new services
- High complexity to change from quarterly billing to monthly
- Limited Web self service capabilities

# Productivity

- Manual work arounds are used extensively due to inefficient workflows in the system and poor processes
- End user acceptance of the system
- Time it takes to train new hires

Many broken processes due to internal silos

- Front office to Back office
- Front office to Field staff
- Reporting
- Business to Information Technology



The existence of multiple standalone systems and reliance on desktop applications like Excel inevitably results in inefficient business processes. Disparate information systems result in redundant data entry efforts because information is taken out of one system and manually entered into another.

The diagram shows a water utility bill from the Regional Water Authority. Red lines and boxes connect numbered callouts to specific parts of the bill:

- 1. Return Slip**: Points to the top left header area.
- 2. Billing Address**: Points to the customer address: JAMES D. HANSEN, 100 ANY STREET, NEW HAVEN, CT 06511-0009.
- 3. Account Number**: Points to the meter number: 00000000129.
- 4. Current Billing Information**: Points to the current meter reading: 1207015, with a range from 090415 to 1207012.
- 5. Payment History and Terms**: Points to the 'LAST PAYMENT RECEIVED' section showing a payment of \$178.22 on 08/15/12.
- 6. Payment Due Date**: Points to the 'DUE DATE' section showing a due date of 09/15/12.
- 7. Customer Information**: Points to the 'CUSTOMER INFORMATION' section, which includes a note about the water meter and a warning about unauthorized use.
- 8. RWA Contact Information**: Points to the bottom right contact information for the Regional Water Authority.
- 9. Voluntary Contribution to The Watershed Fund**: Points to the 'WATERSHED FUND' section with checkboxes for \$10, \$5, or Other.
- 10. Amount Due**: Points to the 'TOTAL DUE' amount of \$148.09.
- 11. Remittance Address**: Points to the 'REGIONAL WATER AUTHORITY' address: P.O. BOX 881102, BOSTON, MA 02268-1102.
- 12. Service Address**: Points to the 'SERVICE ADDRESS' which is the same as the billing address.
- 13. Charges and Credits**: Points to the 'CHARGES' section, which includes a balance forward, service charge, and various meter charges.
- 14. Payment Locations**: Points to the 'PAY THIS AMOUNT' section, which lists various locations where the bill can be paid.



# Improved Reporting Needed

- Internal reporting features are limited and time consuming
- Not all data is accessible when querying and creating reports
- Confidence in what is contained in system generated reports is low
- Complex reporting tools that are not user friendly



# Assessment Findings

- A reimplementation of SAP will need to take place to take advantage of the base configuration
- SAP technology is outdated and is not up to the standards of a modern system - security and operability are a concern
- End user acceptance of the current system is low which equals manual workarounds that are outside of the system
- Tools for easy and confident reporting are needed
- Without change, RWA will have difficulties billing new non-core products in a reasonable amount of time. RWA will not be able to keep current with industry trends that include; enhance web self service, Customer Relationship Management (CRM) and true meter to cash functionality.





Status Quo Won't Do

# We Need a Transformation

# Moving Forward





# Options Moving Forward

Staying the course is NOT an option



**SAP**  
Reimplementation



**CIS**  
Replacement



# Reimplementation



# Reimplementation

## Pro's

- Familiarity with the solution
- IT / Technical staff and 3<sup>rd</sup> party partners are familiar with the product
- Process improvements with new workflows
- Addresses design problems inherent with the current configuration that should increase productivity
- Enhanced interface and integration capabilities
- Improved customer focused capabilities
- Modernized front end technology
- Opportunity to clean up customer data



# Reimplementation

## Con's

- Overall technology stack requires specific skill sets
- Database upgrade will be costly and time consuming with **No Net New** functional capabilities
- End user buy in / acceptance will be difficult to change
- Lack of standardized screens throughout the system
- Costly and time consuming project
- Short term – will not meet the needs of RWA's desire to quickly add non-core services and change from quarterly billing to monthly billing
- There will be redesign of interfaces and integrations
- Will have to do a conversion



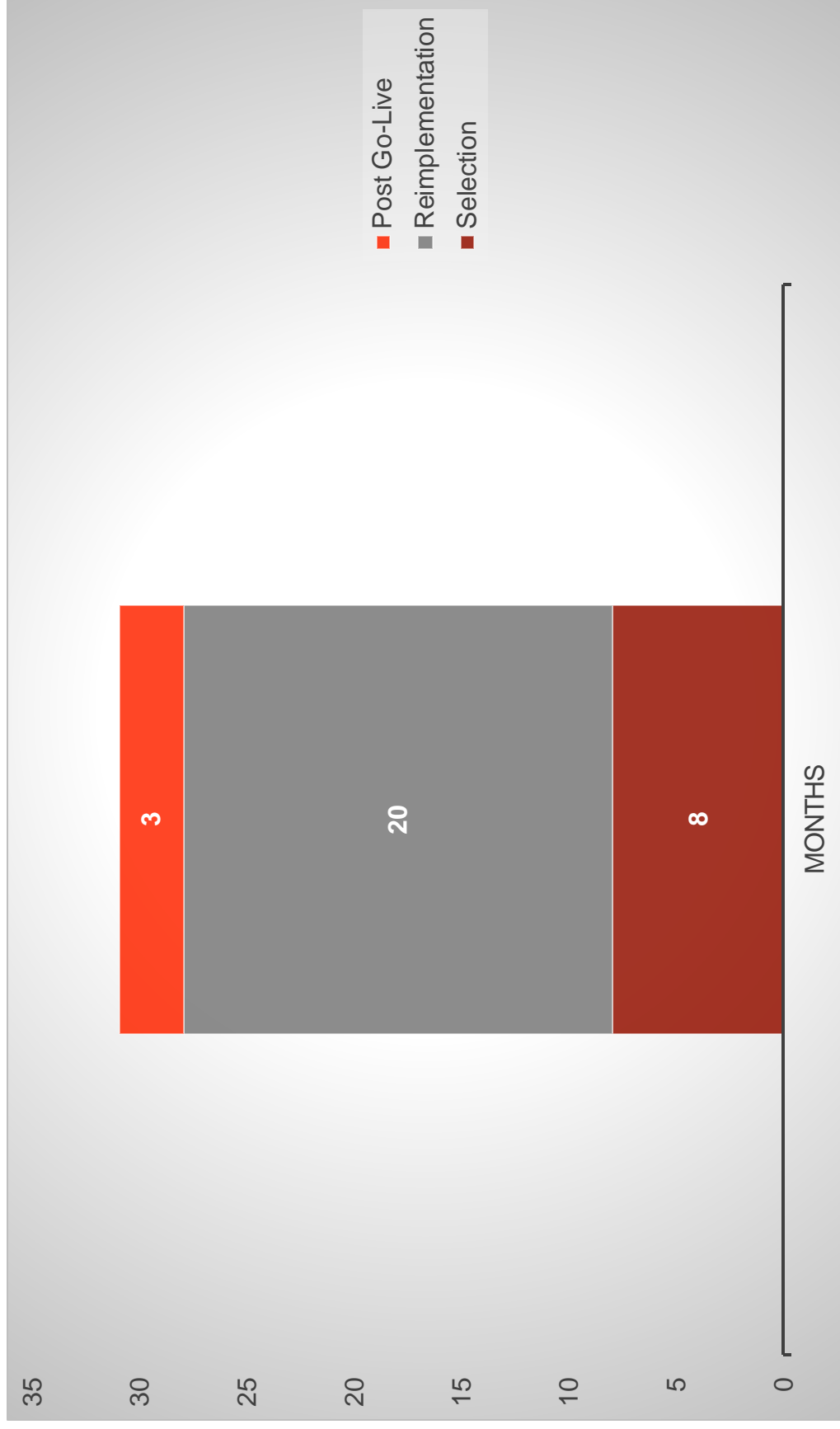
# Reimplementation

## Risks

- Involvement of KPIT, IBM and SAP
- IBM wants to changes data centers during the re-implementenation
- RWA's ability to staff and support both a lengthy database upgrade and a reimplementation of the SAP CRM7 CIS solution
- RWA will need to issue and RFP for a systems integration firm to provide upgrade services
- Data conversion
- Existing contracts need to be reevaluated
- SAP licensing concerns
- HANA knowledge and quality SAP programming skills are scarce and costly



# Reimplementation



# Replacement





# Replacement

## Pros

- Streamline business end-to-end workflow processes
- Greatly enhanced internal business end-to-end processes
- Addresses design problems inherent with the current solution that will significantly increase productivity
- System technology is easier to maintain
- Enhanced interface and integration capabilities
- Ability to quickly add and change rates and other system configurations
- “Fresh Implementation” with end-user buy in with the focus on ZERO modifications
- Flexibility in implementation and support options (On-premise, Platform As A Service **PaaS** and Software As A Services **SaaS**)



# Replacement

## Con's

- Change will cause business impacts
- Extensive re-training of staff is required
- Possible increase in technical staff hours or 3<sup>rd</sup> party providers
- All new training, workflow, and procedures
- Much more complex of an implementation (thus more emphasis on all levels of management to support change)
- Application integration/interfaces will be a significant effort
- Data conversion will be challenging
- All new business process flows – horizontal change across the entire organization means many senior management decisions



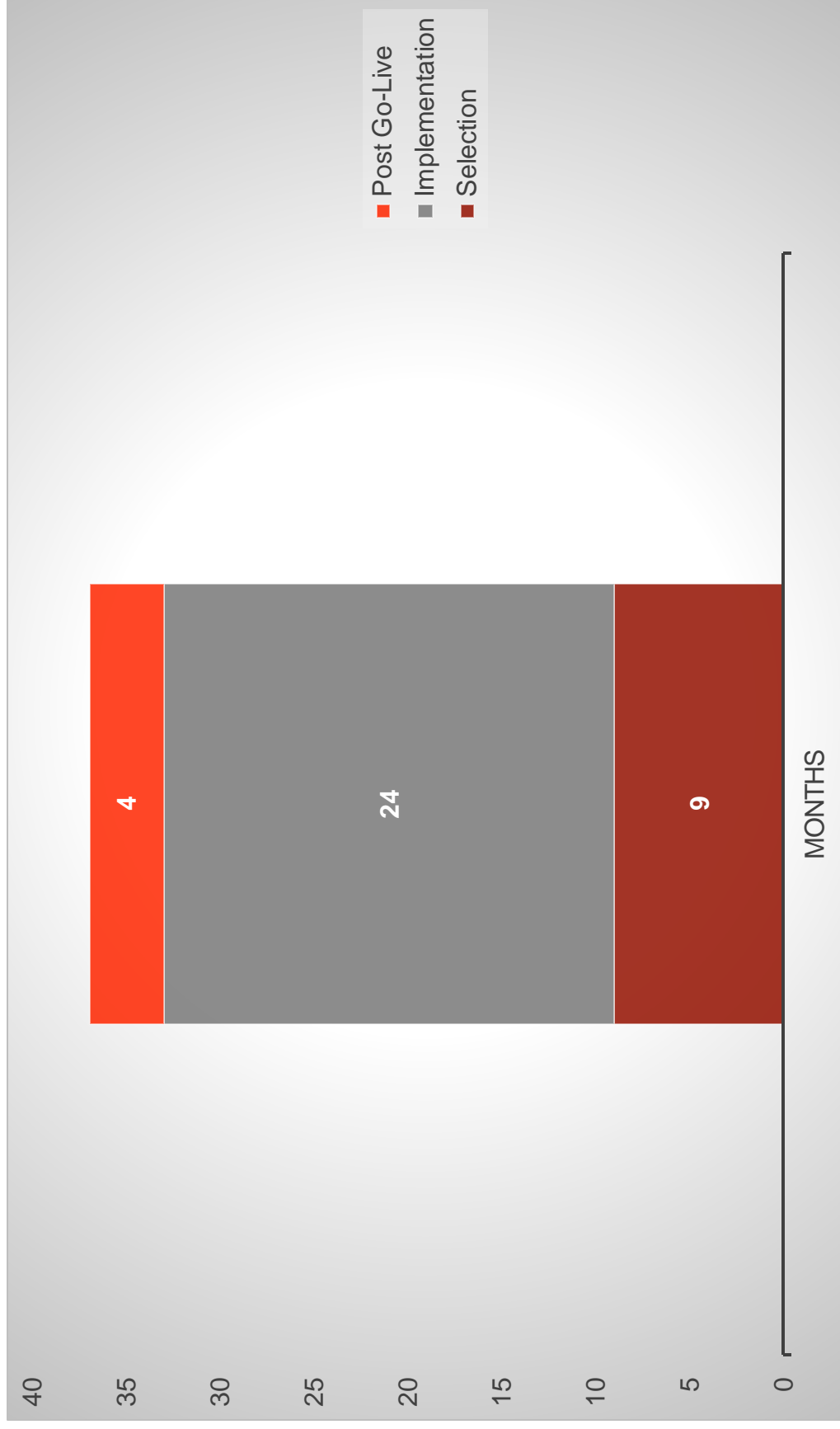
# Replacement

## Risks

- Funding may be reduced or denied
- Competing corporate initiatives could cause resource constraints
- End users may resist the change
- Short term loss of productivity, after go-live, utilizing the new system
- Late delivery of modifications by the vendor can cause significant delays and/or require rework
- Commitment from the organization to force change and adoption of the software's best practices



# Replacement



# Market Intelligence



# Vendor Tiers

## Tiers Overview

AAC analysis suggests two “Tiers” of CIS Application providers

Customer count and average deal price determines range

Tier 1 – 150,000 – 10,000,000



Tier 2 – 50,000 – 350,000

Tier 3 – 5,000 – 50,000

“Vendor Tiers” aid AAC in determining Sample Pricing

There are more vendors in the marketplace (Tier 4's+) but few with the required functionality. For the purposes of this study Tier-4 vendors are not referenced.

# Active CIS Vendors

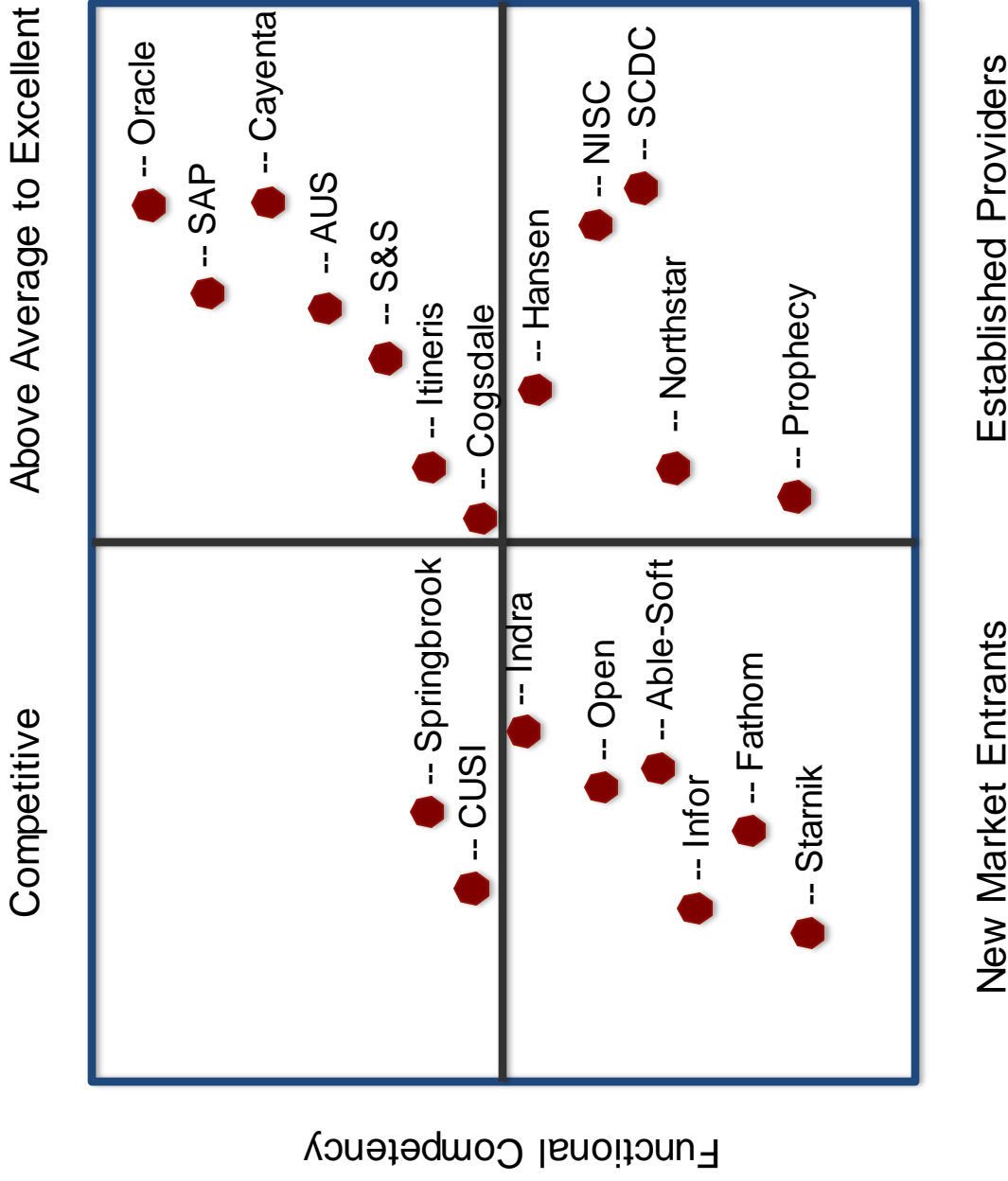




# Active System Integrators



# AAC Assessment of Functional Competency



# Vendors

## TIER

1



ORACLE



2



vertex



itineris  
excellence in utilities



ADVANCED  
UTILITY SYSTEMS

HANSEN

FATHOM

These are the majority of vendors that could meet RWA's functional capabilities and also offer some form of **SaaS** or **PaaS** solutions



# Functional Comparison

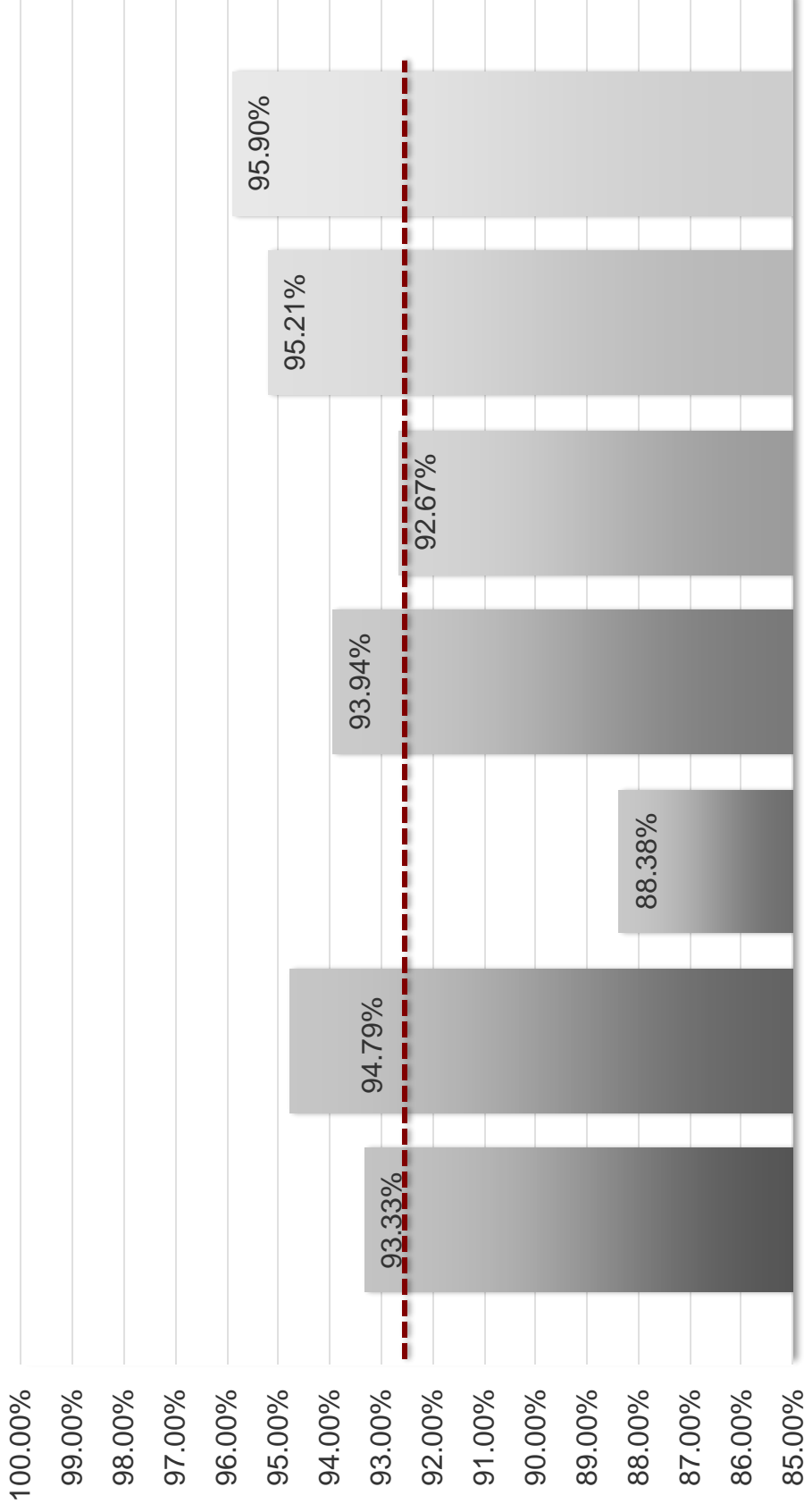
Proposer Functional Matrix Responses		
25	Provided as part of base system	No Modification is required. Desired functionality is achieved through configuration and is part of base Code. Cost of configuration is part of solution implementation.
20	Provided in base of next release	No modification is required. Future release will include desired requirements at no cost.
15	Base will require some enhancements	Enhancements are classified as minor coding utilizing system defined user exits with costing between \$1,000 - 15,000
10	Base will require minor software coding	Enhancements or modifications using established user exits or minor custom coding costing between \$15,001 - 35,000
5	Base Code will have to be modified	Modifications that require substantial development and coding costing between \$35,001 - \$75,000
1	Extensive modification to base code	Extensive development effort is required resulting in development and coding costs from \$75,001 - over \$100,000
0	Software cannot be enhanced or modified	The development of this function is not possible with this application

RWA's functional requirements were taken and compared to 7 industry CIS solution providers. The responses were for like sized and serviced utilities.

The comparison was done by multiplying RWA's value weighting for each functional item against the vendors individual scoring.

# CLS Functional Comparison

Functionality Match “Out of the Box”



# Marketplace Summary

## What did we learn from scored requirements?

There are many solutions available that match RWA's Functionality

There are viable options for both SaaS and PaaS

It's a buyers market to replace the System

They are aware that you are shopping!

RWA will receive a high-degree of functionality "out of the box"

A few new vendor entrants in the U.S. market

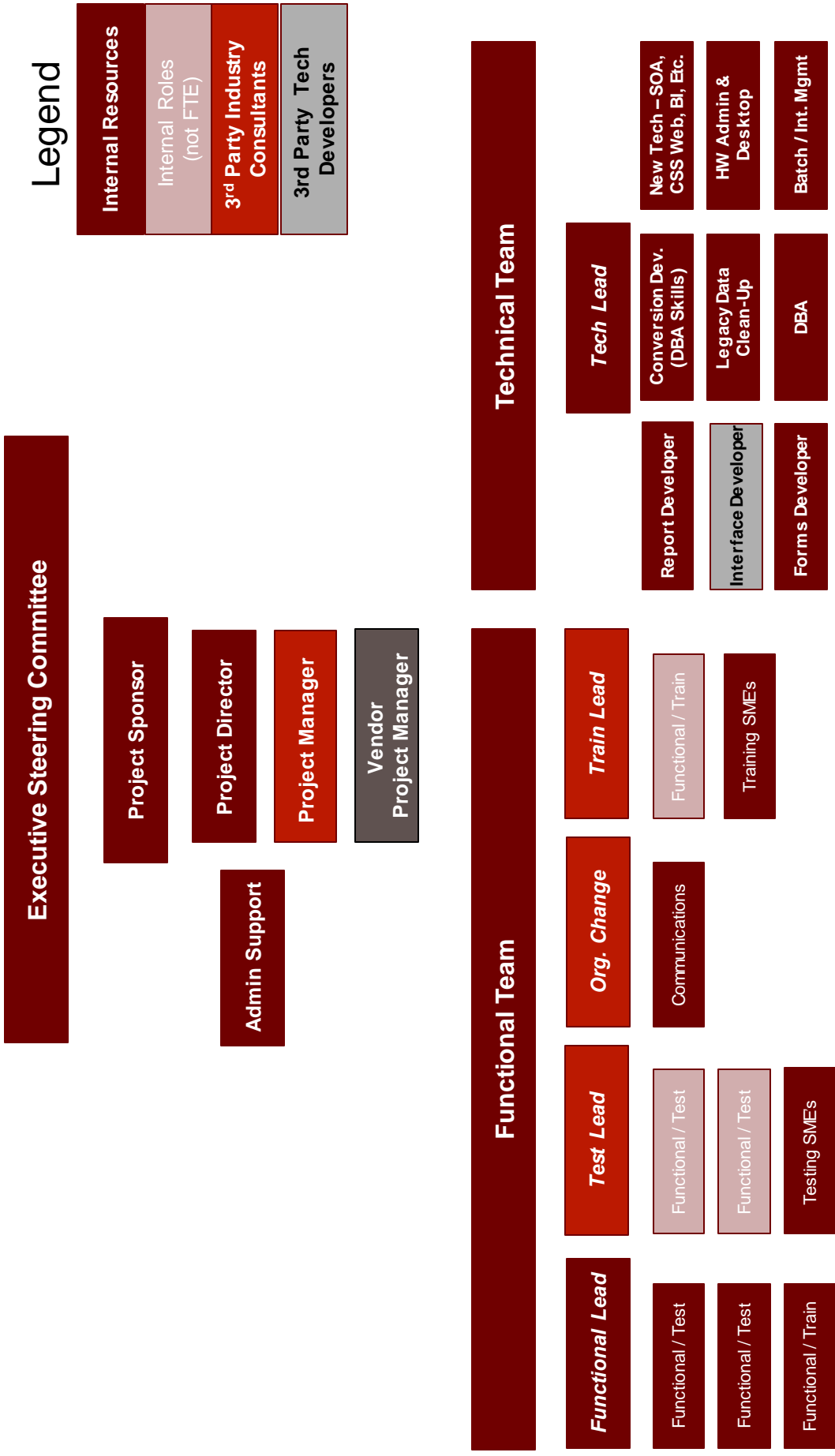


# Project Staffing





# Project Organization Structure



# Schedule

- Reimplementation
  - Schedule dependent on staffing levels
  - Data conversion or incremental version upgrades and validations
  - Technical or full business review upgrade
  - ***Timeframe Estimates – 18 to 20 Months+3 Post Go-Live (PGL)***
- New CLS Implementation
  - Schedule dependent on scope
  - Schedule dependent on level of modifications & interfaces
  - Schedule dependent on staffing levels
  - ***Timeframe Estimates – 24 Months+4 PGL***

## ***Implementation Approaches***

- On Premise
- Platform As A Service (PaaS)
- Software As A Service (SaaS)

# High Level RWA Staffing Comparison

## Reimplementation

- Technical and Functional upgrade
- Direct target conversion
- Migration of modifications or update business processes?
- Update interfaces to real-time – API vs. batch?
- End user training is minimal change
- Staffing Estimates
- 11-16 (average) to FTE's – Heavy Testing Required\*

## Replacement

- Functional and technical refresh – substantial new features
- Incremental upgrades – data migration
- Multiple interfaces
- Low number modifications
- Changes to UI and processes requiring substantial end user training design and delivery
- Ancillary products
- Staffing Estimates
- 15-17 FTE (average)

Please note: Comments within this document are AAC's opinion and are based on our experiences with other clients legacy CIS applications. Specific legacy systems may vary.

# Costs



# Estimated Costs

The following slides are meant to assist RWA in determining estimated costs for the options included in this Assessment. AAC has provided information on the following project related activities

- Hardware
- Software
- Implementation
- Travel
- Contingency
- Annual Maintenance/Hosting Costs

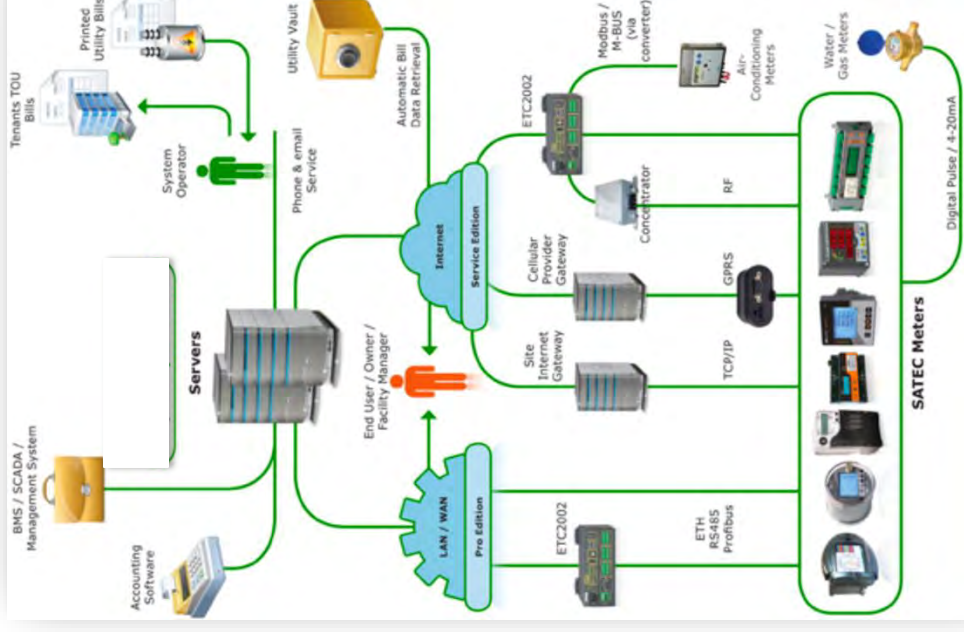
*Please Note:* The following costs are not included in our estimations

- Third party costs such as bill printing or payment processing



# Costs: Hardware

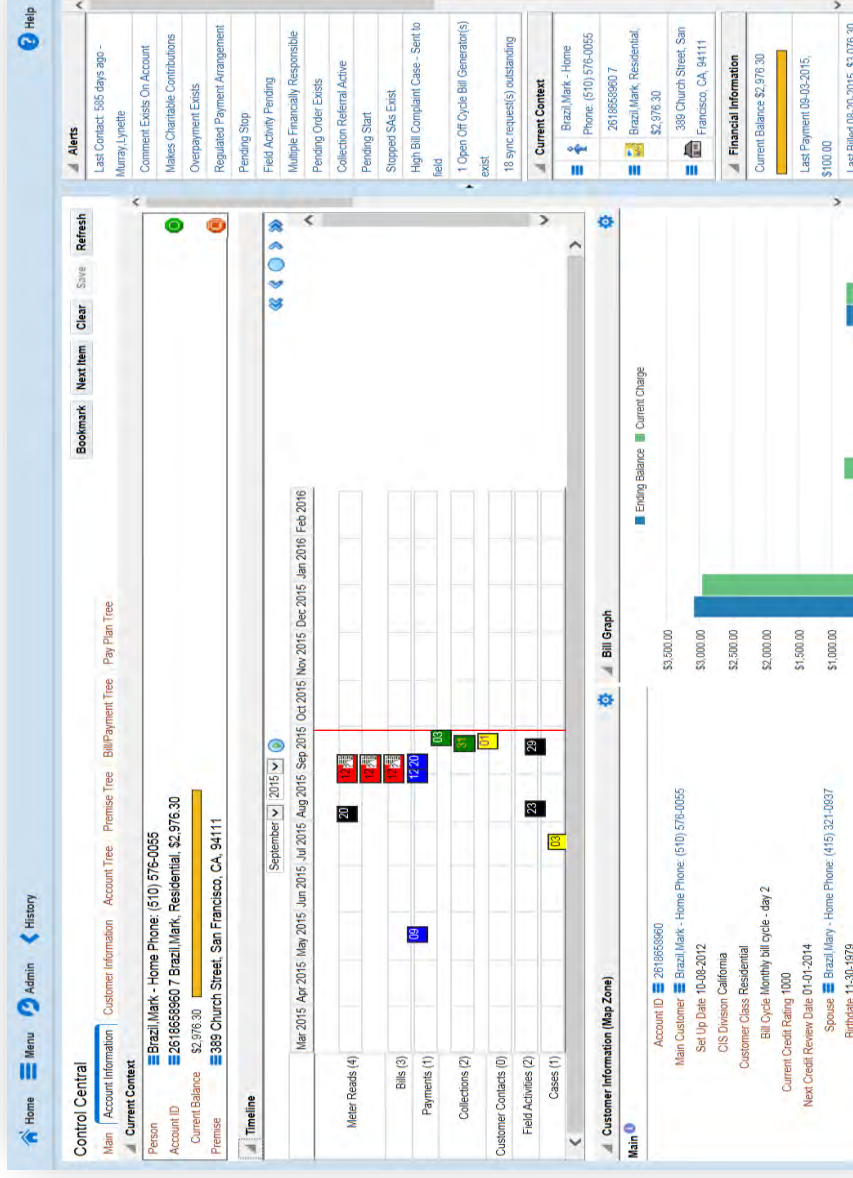
- Server(s)
  - Application(s)
  - Reporting
  - Database
  - Customer Information System
  - Customer Self-Service
  - Mobile Work Management
- Other Equipment



Example only

# Costs: Software

- License
  - Application(s)
    - CIS
    - Customer Self Service
    - Mobile
    - Etc.
  - Batch Scheduler
  - Vendor tools





# Costs: Implementation

- Project Management
- Interfaces
- Modifications
- Configuration
- Training
- Testing
- QA / PQM
- Third-Party Services

Year Number		Month												1											
Customer Information System																									
		</																							

# Additional Costs

- Travel
  - Airfare
  - Lodging
  - Car rental
  - Meals
  - Etc.
- Other
  - Optional solutions
  - Optional services



# Contingency

- Useful tool for a project of this size and scope
- There may be small dollar changes
  - Unknown modifications
  - Unknown interfaces
  - Added functionality
  - Additional hardware
- Usually 10 – 20% of total cost



# CLS Project Cost Comparison

Description	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023	FY 2024	FY 2025	FY 2026
Stay The Course	\$2,945,800	\$4,243,800	\$1,626,000	\$3,351,000	\$3,351,000	\$4,726,000	\$4,726,000	\$1,851,000	\$1,851,000
Reimplement SAP		\$3,052,000	\$6,000,000	\$6,500,000	\$4,000,000	\$2,500,000	\$2,500,000	\$2,500,000	\$2,500,000
<div> <div>Budgeted</div> <div>Validate HANA migration</div> </div>									
New Implementation		\$1,768,450	\$6,333,591	\$7,238,501	\$2,422,221	\$298,243	\$1,200,000	\$298,243	\$298,243
<div> <div>Selection</div> <div>Implementation</div> <div>Upgrade</div> </div> <div>License Purchase</div>									

FY 2019 – FY 2026			
	Capital	O&M	Total
Stay The Course	\$15,717,800	\$10,008,000	\$25,725,800
Reimplement SAP	\$19,552,000	\$10,000,000	\$29,552,000
<b>New Implementation</b>	<b>\$18,664,520</b>	<b>\$1,192,972</b>	<b>\$19,857,492</b>

Note: Support is based on 20% maintenance fees. No incremental yearly costs are included  
Estimated costs for scheduled upgrade to include new release and hardware refresh

**RWA can not risk Staying The Course**



# CLS Project Cost Comparison

Description	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022	FY 2023	FY 2024	FY 2025	FY 2026
Stay The Course	\$2,945,800	\$4,243,800	\$1,626,000	\$3,351,000	\$3,351,000	\$4,726,000	\$4,726,000	\$1,851,000	\$1,851,000
Reimplement SAP		\$3,052,000	\$6,000,000	\$6,500,000	\$4,000,000	\$2,500,000	\$2,500,000	\$2,500,000	\$2,500,000
<div> <div>Budgeted</div> <div>Validate HANA migration</div> </div>									
New Implementation		\$1,768,450	\$6,333,591	\$7,238,501	2,422,221	\$298,243	\$1,200,000	\$298,243	\$298,243

Selection      Implementation      Upgrade  
License Purchase

RWA ~ 8 Year Costs FY 2019 – FY 2026				FY 2019 – FY 2022
Stay The Course		Reimplement SAP	New Implementation	SAP Keep The Lights On
Capital	\$15,717,800	\$19,552,000	\$18,962,763	\$400,000
O&M	\$10,008,000	\$10,000,000	\$894,729	\$4,194,500
Total	\$25,725,800	\$29,552,000	\$19,857,492	\$4,594,500

Note: Support is based on 20% maintenance fees. No incremental yearly costs are included  
Estimated costs for scheduled upgrade to include new release and hardware refresh

**RWA can not risk Staying The Course**



# Fixed Costs During Projects

Description	FY 2019	FY 2020	FY 2021	FY 2022
-------------	---------	---------	---------	---------

SAP Keep The Lights On	\$1,836,000	\$1,226,000	\$1,226,000	\$306,500
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FY 2019 – FY 2026				
	Capital	O&M	Total	SAP Keep Lights On*
Stay The Course	\$15,717,800	\$10,008,000	\$25,725,800	included
Reimplement SAP	\$19,552,000	\$10,000,000	\$29,552,000	\$4,594,500
<b>New Implementation</b>	<b>\$18,664,520</b>	<b>\$1,192,972</b>	<b>\$19,857,492</b>	<b>\$4,594,500</b>
				<b>\$25,725,800</b>
				<b>\$34,146,500</b>
				<b>\$24,451,992</b>

\*FY19- FY22

Note: Support is based on 20% maintenance fees. No incremental yearly costs are included  
Estimated costs for scheduled upgrade to include new release and hardware refresh





# RWA Strategic CIS Recommendation

**Re-implement**  
**Estimate: \$29,552,000**



**Stay the course**  
**Estimate : \$25,725,800**






**Other CIS Options**  
**Estimate : \$19,857,492**





# Staying The Course Is NOT An Option

- \$25M required to keep  functional and compliant
  - ✓ Required upgrade, critical security timeline, & cost
  - ✓  Platform required upgrade & cost
  - ✓  License audit & proposed fees
- Inability to quickly add non-core services
- Net **No New** functional capabilities
- \$1.8M annual costs

Stay the course includes:

- Monthly Billing
- Outsource Bill Presentment
- Non-Core Hybris (CRM, Pricing ability).



# AAC Recommendations



# AAC Recommendations

- Issue a Transformational RFP
  - Focus on selection of a **New Solution** evaluating PaaS and SaaS offerings
  - SAP will have the ability to bid in a competitive market so RWA can fully assess their value proposition
- RWA to assign a dedicated team for both the selection and project
- Reevaluate required SAP changes



# Questions and Answer Slide

Description	Reimplement	Replace
Costs	\$29,552,000	\$19,857,492
Go-Live Date	April 2021	June 2021
Increased Functionality	Above Average	Very High
Risk Exposure	Moderate	Low
Meets Internal Needs	Medium	Very High
Customer - Focused	Medium	Very High
Technology Improvement	Medium	High
Change Impact	Moderate	High
Recommendation		



# Summary & Recommendation

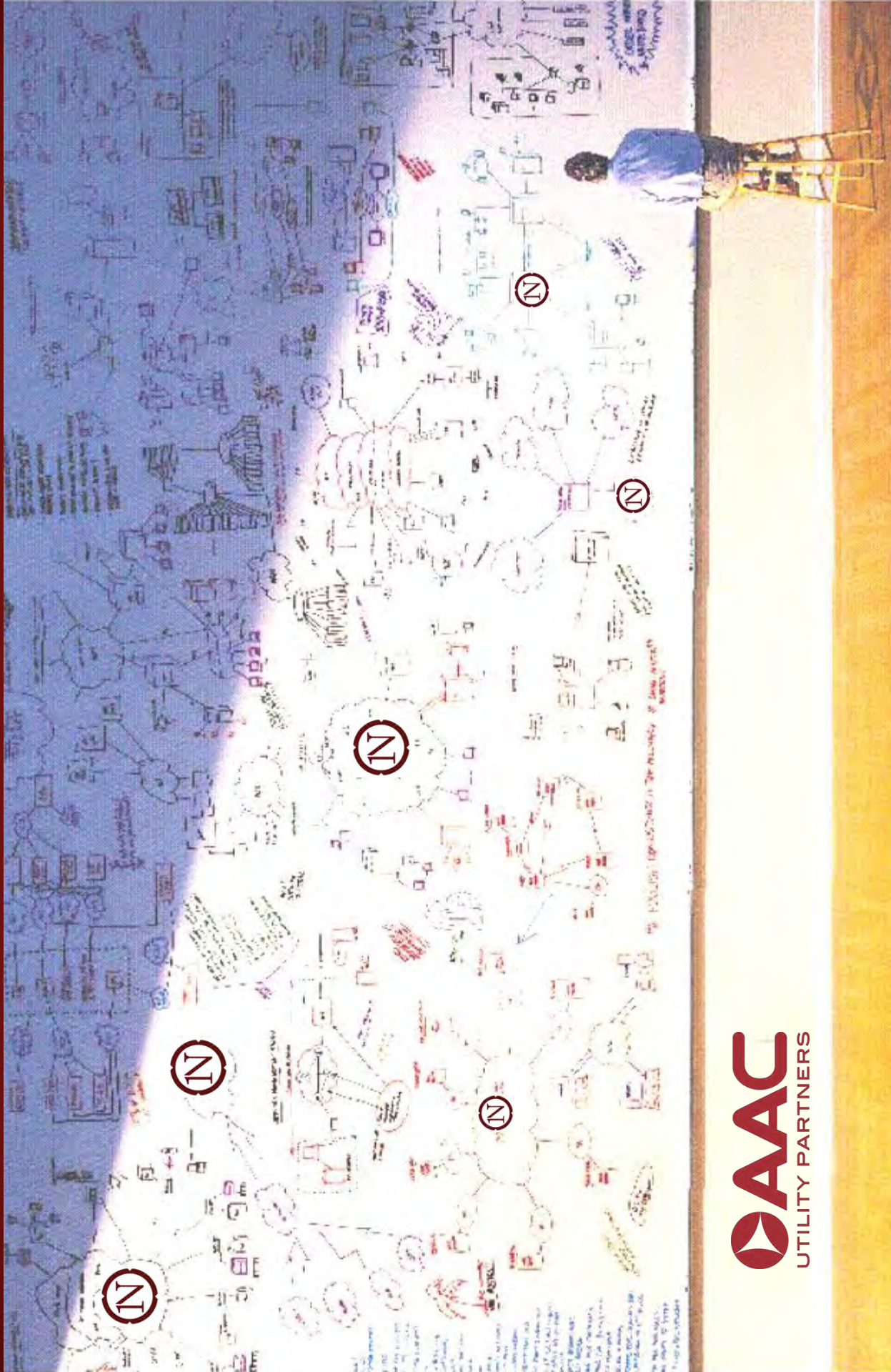
Description	Stay The Course	Reimplement SAP	New Implementation
Project Capital Costs	\$15.7M	\$19.5M	\$17.5M
Concurrent System Production Costs (~36 months)	Included	\$4.6M	\$4.6M
Avg Annual O&M	\$1.2M	\$2.5M	\$0.3M
Increased Functionality	Low	Above Average	Very High
Risk Exposure	High	Moderate	Low
Meets Internal Needs	Medium	Medium	Very High
Customer Focused	Low	Medium	Very High
Technology Improvement	Low	Medium	High
Change Impact	Moderate	Moderate	High
Recommendation			

# Conclusions & Next Steps

- Business needs are not being met by the current system
- Annual operations and maintenance costs of current system are extremely expensive - **above industry norms**
- Requesting consensus to proceed with RPB Application



# Thank You





## **Appendix J**

**Introduction to SCCRWA's Business Case Evaluation, April 2018,  
prepared by RWA**





## INTRODUCTION TO SCCRWA'S BUSINESS CASE EVALUATION

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The purpose of the Business Case Evaluation (BCE) is to evaluate the existing situation and determine the best alternative that provides our customers the most value. A BCE is utilized in order to ensure that the business meets its most pressing needs and makes improvements with the right priorities in mind. Commonly, the BCE uses a Triple Bottom Line perspective to analyze the economic, social, and environmental costs and benefits for a variety of alternative solutions.

Summarized here are the major components of the BCE tool.

### Budget Input Form

The Budget Input form is the input sheet for the BCE tool. It defines the project need; identifies the service area and number of customers affected by the project; defines the alternative solutions that will be evaluated; and summarizes capital costs and other input values. The baseline for evaluating different alternatives is the status quo. The status quo represents the current situation, as it will continue unless other action is taken. In the case of the Brushy Plains Water System Improvements, the status quo includes actions that regular business practices would take (such as repainting a storage tank when the coating is at the end of its life, or replacing a pump at failure).

### Life Cycle Cost Projection (LCCP) Tool

The initial capital costs of the project are only a portion of the costs over an asset's life cycle, all of which need to be considered in making the right choice for asset investment. The LCCP component of the tool allows a user to define the cost components of the BCE for each alternative and calculates the costs over time, including maintenance and operational costs. This is the sum of all costs associated with the ownership and operation of the infrastructure installed or constructed through the project.

The life cycle costs are then converted to the annuitized cost stream and can be compared against the status quo or other alternatives.

### Risk Reduction Tool – Consequence of Failure & Probability of Failure

The Risk Reduction tool is used to quantify the consequence of failure (CoF) of each of the alternatives being evaluated. The CoF is expressed in Triple Bottom Line terms (economic, social, and environmental) and is monetized. The monetized CoF is then multiplied by the Probability of Failure (PoF) for each of the alternatives resulting in a monetized risk score (or cost).

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<sup>1</sup> Revised April 10, 2018; TL

The risk reduction component of the tool defines the current state of risk (for the status quo), in terms of the number of years to failure and considers redundancy levels. Each alternative will result in a different timing to a potential future failure, and thus will have different PoFs. The tool calculates the residual risk for each alternative, as compared to the status quo, and determines the Risk Reduction Effectiveness Factor, which is an expression representing the ratio of the amount of risk reduced (\$) divided by the annuitized cost (\$) for each of the alternatives. When comparing alternatives, the larger the Risk Reduction Effectiveness Factor is, the greater the return on risk reduction versus the investment required.

#### Benefit/Cost Tool

The Benefit/Cost tool allows a user to assign the LCCP components and risk reduction to the alternative as either a benefit or a cost. A benefit is something that improves upon the status quo in some way, such as an improvement to water quality or an increase in real revenue. A cost is something that diminishes the status quo in some way, such as destruction of habitat or travel delays. The Benefit/Cost tool also includes other non-direct potential benefits and costs associated with an alternative that are not included in the LCCP where applicable.

The result is a ratio of the benefit value over the cost value. A result of 1.0 demonstrates that the benefits of the project are equal to the costs of the project. Any result over 1.0 is an indication of a higher value project, in which the benefits of the project outweigh the costs.

#### Summary of the BCE

This table summarizes the results of the evaluation for each alternative. Different alternatives may perform better in different categories, and the tool should be used to assist in the overall selection of project actions. Depending on the particular circumstances or project goals, an alternative may be selected on one or a combination of factors.

The BCE results give insight into the advantages and disadvantages of the evaluated alternatives, and can assist in demonstrating that taking action is in the best interest of the community.