State of West Virginia
Department of Administration Purchasing Division

PEP No. DMV130055 Sh Management System August 27, 2013

08/26/13 09:37:50 AM West Virginia Purchasing Division 3M Company Technical ORIGINAL



## Submitted By:

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## Submitted To:

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August 22, 2013

Connie Oswald, Senior Buyer West Virginia Department of Administration Purchasing Division 2019 Washington St. East P.O. Box 50130 Charleston, WV 25305

RE:

Title Page

RFP Subject:

Cash Management System (CMS) Solution

RFP Number:

DMV130055

Vendor Name:

3M Motor Vehicle Systems and Services

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Dear Ms. Oswald:

With the release of RFP DMV130055 for a Cash Management System (CMS) solution, the West Virginia Division of Motor Vehicles (WVDMV) takes a significant step forward on its path to modernization, clearly establishing itself as a customer-focused DMV. With particular emphasis on improved operations, increased customer service, and reduced long term costs, the WVDMV is seeking a comprehensive CMS solution that:

- Efficiently handles daily WVDMV transactions through a comprehensive point-of sale
- Streamlines daily reconciliation operations
- Increases supply chain efficiencies and reduces inventory with print-on-demand digital license plates and registration forms
- Reduces enterprise operational and material costs on an annual basis through the incorporation of a fulfillment center
- Provides a platform and delivery channel for future expansion of citizen services and capabilities

3M Motor Vehicle Systems and Services (MVSS) understands the WVDMV's goals. We recognize that many of the processes and tasks performed in West Virginia's regional offices are manually executed, and that these include issuance of vehicle credentials, daily reconciliation, and investigations of transactions at the headquarters level. Like DMVs across the United States, the WVDMV handles transactions in a particular manner because their mainframe and IT systems demand a particular work flow. And like other DMVs across the United States, the WVDMV is ready to transition to a modernized enterprise system.

The 3M MVSS team has one main intent — to improve the operational efficiency of DMVs. We do this by providing innovative products and solutions that address the specific needs of each customer. We gained this expertise from successfully completing modernization programs, in addition to deploying complete end to end fulfillment services for close to 15 years.

To help West Virginia realize its stated CMS project objectives, we leverage our proven 3M Accounting Transaction Money Manager (ATMM). 3M ATMM is one of the modules that comprise the 3M Motor Vehicle Systems (MVS) Enterprise Software Suite, 3M's flagship DMV modernization package.

We are proposing additional industry-leading systems, including our Digital License Plate system (3M DLP), print-on-demand Registration Fulfillment Services (3M RFS), and Branch Fulfillment Services (3M BFS). These proven and deployed solutions, coupled with the breadth and depth of the 3M team's expertise, offer the WVDMV the ability to meet its imminent program goals. Further, they position West Virginia to address tomorrow's challenges with the lowest possible program risk.

The WVDMV outlined a truly innovative approach to solving the critical issues it is facing today, while keeping an eye on tomorrow. The 3M team understands your objectives, shares your vision, and is aligned with your goals.

3M's proposal remains valid for 120 days from submission.

Thank you for this opportunity. We look forward to next steps in the WVDMV procurement process. Should you have any questions regarding this submittal, please contact Craig Lorence, Proposal Manager, at (651)737-9011 or via email cslorence@mmm.com.

Sincerely,

John R. Houle

Vice President and General Manager Traffic Safety and Security Division

Joh A Horle

# **Department of Administration Purchasing Division**RFP No. DMV130055 / August 27, 2013 Cash Management System



## **Table of Contents**

A	ttachment A: Vendor Response Sheet	7
	Firm Qualifications	7
	Experience in Completing Similar Projects	7
	Project Experience Descriptions	10
	Section 4, Subsection 4.1	22
	Section 4, Subsection 4.2	44
	Section 4, Subsection 4.3	50
	Section 4, Subsection 4.4	59
A	ttachment B: Mandatory Specification Checklist	. 65
	Section 4, Subsection 5.1	65
	Section 4, Subsection 5.2	65
	Section 4, Subsection 5.3	69
	Section 4, Subsection 5.4	73
	Section 4, Subsection 5.5	75
	Section 4, Subsection 5.6	76
	Section 4, Subsection 5.7	78
	Section 4, Subsection 5.8	82
	Section 4, Subsection 5.9	83
	Section 4, Subsection 5.10	84
	Section 4, Subsection 5.11	86
	Section 4, Subsection 5.12	87
	Section 4, Subsection 5.13	92
A	ttachment B: Mandatory Requirements Signature Page	.117
3	M Comments and Clarifications	.119
3	M Software License Agreement	.123
A	ttachments	.127





**Department of Administration Purchasing Division** RFP No.DMV130055 / August 27, 2013 Cash Management System

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RFP No. DMV130055 / August 27, 2013 Cash Management System



## **Attachment A: Vendor Response Sheet**

## Firm Qualifications

3M Company (3M), formerly known as Minnesota Mining and Manufacturing Company, was founded in Two Harbors, Minnesota in 1902 and was incorporated in Delaware on June 25, 1929. A leading technology company with more than 80,000 employees worldwide, 3M operates in more than 60 countries and serves customers in nearly 200. 3M has business relationships with all 50 U.S. state agencies operating in the motor vehicle industry, as well as with motor vehicle agencies around the world.

3M Motor Vehicle Systems and Services (MVSS) focuses on providing innovative products, systems, and solutions for transportation and motor vehicle agencies. Beginning with the first retroreflective traffic signs and license plates, 3M has served the needs of these agencies for over 50 years.

Our success is built on delivering proven motor vehicle solutions that solve our customers' unique needs. We take the time to understand specific challenges, including operational parameters and applicable constraints. We also seek to understand how our solution integrates with our customers' larger vision. By taking this approach, we will not only lay the groundwork for this Cash Management System project's success, but we will assist the West Virginia Division of Motor Vehicles (hereafter the Agency) in maximizing its short and long term project investments. 3M delivers customer-focused solutions, based on the tenets of technology, team, and a total state view.

## **Experience in Completing Similar Projects**

The success of our motor vehicle modernization solutions began in 1999 with a team of employees who worked closely with the State of Iowa to design, develop, and implement what was then the United States' only modern, in production vehicle titling, registration, and driver licensing solution. Since then, we have been awarded contracts by — and implemented modernized solutions for — a number of other DMVs.

Our expertise is in understanding DMV business processes. Our proven solution for the Agency consists of four primary 3M offerings:

- A Cash Management System, which aligns with our current 3M ATMM solution (3M ATMM is a component of the 3M Motor Vehicle System Enterprise Software Suite)
- Print-on-demand, also called Branch Fulfillment Services (BFS), to be provided by ITI
- Flat Plate Technology, for which 3M proposes our Digital License Plate (DLP) system
- License Plate and Registration Fulfillment, for which 3M proposes our License Plate and Fulfillment Services system (RFS)

3M MVSS has a history of delivering systems, services, and products in support of customer's requirements. For example, 3M MVSS:

• Introduced and implemented the 3M DLP production system in 2000. Currently, over twenty-five states have their plates manufactured with the 3M DLP system.





RFP No.DMV130055 / August 27, 2013 Cash Management System

- Delivered license plate fulfillment systems for the manufacture, distribution, and issuance of license plates to motorists. The first implementation was for the South Carolina DMV in 2008, which entailed reissuing all of its general issue license plates within a 12-month period. 3M MVSS has since completed additional projects for Indiana and Georgia.
- Is a world leader in the manufacture and distribution of license plate sheeting and materials. 3M MVSS invented reflective sheeting in 1939 and has continued to innovate ever since, with new capabilities such as directional security images for reflective plates in 1984 and 3D laser security images in 2004. 3M MVSS innovation continues with the development of new camera-readable license plate technology to enable a significant improvement in the automated reading of license plates.

Our dedicated focus is on motor vehicle agencies. In addition, we utilize industry best practices and our own internal process methodologies, leveraging key lessons learned from our current customers for the benefit and support of our new customers.

### 3M's DMV Modernization Project Experience

The 3M Motor Vehicle System (MVS) Enterprise Software Suite was developed with DMVs for DMVs. We developed this product by addressing DMVs' core business challenges, and then refining our solution to meet the business imperatives critical to each specific DMV.

3M's MVS Enterprise Software Suite includes the following unique components that can operate as standalone systems or as an integrated enterprise solution.

- 3M Accounting Transaction Money Manager (ATMM): A cash drawer and financial management application that collects payment for services provided by the 3M MVS Enterprise Software Suite.
- 3M Motor Vehicle Registration Solution (MOVRS): A complete vehicle registration and titling system that shares vehicle and customer information with the other modules of the 3M MVS Enterprise Software Suite.
- 3M Driver Record and Issuance Verification Solution (DRIVS): A complete driver license system including verification motorists meet driver requirements, sanction management, driver record management and other driver license management functions that also shares customer information with the other modules of the 3M MVS Enterprise Software Suite.
- 3M Dealer Licensing and Registration Solution (DLRS): A complete records management and credentialing tool. It helps motor vehicle departments manage dealer licensing, permitting, records, revocations, audits, and reporting.
- 3M Commercial Transportation Management Solution (CTRAMS): A complete motor carrier services application that provides IRP, IFTA, Motor Fuels (bulk/wholesale distribution), PRISM/CVISN, and permitting services; 3M CTRAMS shares vehicle and customer information with the 3M MVS Enterprise Software Suite.



RFP No. DMV130055 / August 27, 2013 Cash Management System



### 3M's Registration Fulfillment Services Experience

3M Registration Fulfillment Services (RFS) provide states with a proven system for fulfilling the production and distribution of license plate and registration certificates. 3M RFS has been successfully installed and is currently operational in three states: South Carolina, Indiana, and Georgia. Additional components of the 3M RFS include our Digital Validation and Registration System (DVRS) for central fulfillment of registration forms and an enhanced inventory management system, which is used to support the management of license plate and registration forms throughout the supply chain, from manufacturing to issuance.

3M RFS supports a number of options for license plate and registration fulfillment. One of those options is to centralize distribution and fulfillment. Central fulfillment aligns well with many agencies' goals in that motorists are served more efficiently. With central fulfillment, 3M is responsible for:

- · Providing all raw materials
- · Manufacturing and providing finished license plates, registration forms, and stickers
- Managing the inventory of raw and finished license plates, registration forms, and stickers
- · Distributing license plates, registration forms, and stickers on time

With the centralized approach, 3M's RFS process is further streamlined in that we mail plates, registration forms, and stickers directly to motorists. License plates are manufactured strictly to order and on-demand, eliminating the need for regular inventory build-up or budget line item spend-down. Payment from the state is on a transactional basis (issuance of a finished plate or registration form), improving state cash flows and avoiding tying up dollars in inventory-related costs.

Another 3M RFS approach is the centralized/branch fulfillment model. In this model, certain license plate and registration transactions are processed at a central fulfillment center, while others are processed at branch or remote locations. 3M assists the state in managing the inventory of license plates and registration forms at both the central fulfillment center and the branch locations.

Both of these approaches require significant interaction between 3M systems and a state's current motor vehicle system.

## 3M's Branch Fulfillment Services Experience

3M offers 3M Branch Fulfillment Services (BFS), a turnkey print-on-demand decal solution for vehicle registration forms and validation decals. 3M BFS supports decentralized printing of registration forms at branch offices. In addition, 3M BFS can be integrated with the 3M MVS Enterprise Software Suite as another value-add option. Implementing a BFS solution enables the state to delegate registration renewal fulfillment to 3M, and eliminates the state's ownership of registration form inventory management and production of the finished registration forms at the branch locations.

3M BFS supports a transaction pricing model, with the state only paying for registration forms that are printed successfully.





RFP No.DMV130055 / August 27, 2013 Cash Management System

## **Project Experience Descriptions**

The 3M Cash Management System (CMS) set forth in this proposal includes several 3M MVSS products. Below, we describe relevant project experience with these various systems.

## 3M's MVS Enterprise Software Suite Past Projects

In this section, we provide descriptions of two projects in which 3M delivered modernization through its motor vehicle solutions. While 3M has many years of experience spanning every motor vehicle agency in the United States, we focus our experience in software modernization in this proposal on implementations in Montana and Iowa.

#### **Montana Motor Vehicle Division**

3M implemented its motor vehicle and driver system modernization and was a subcontractor to Deloitte Consulting's motor vehicle practice (formerly BearingPoint).

The scope of the modernization included:

- Cash/Financial 3M ATMM, the accounting solution, provides the following functionality in Montana:
  - Calculates the taxes and fees that are owed for a service
  - Stores the financial transaction
  - Balances cash drawers
  - Uses standard accounting techniques for posting and tracking
- Inventory 3M's solution in Montana includes inventory functionality for serialized and non-serialized items.
- Reporting Montana uses 3M's solution for pre-defined reporting. 3M's solution also manages reporting of all MVD revenue and statistical reporting for frontline clerks.
- Correspondence/Printing the 3M solution's integrated correspondence module supports internal and external communications, and single or batch printing.
- Security Montana uses Active Directory to manage security, in addition to features inherent in Microsoft-based solutions.
- Interfaces to External Entities— 3M's solution in Montana includes interfaces to the following:
  - VINA
  - NMVTIS
  - License plate suppliers and manufacturers, such as the Montana State Prison
  - Primedia
  - County Treasurer MVD offices
  - Montana Title and Registration Bureau (TRB)





RFP No. DMV130055 / August 27, 2013 Cash Management System



#### Related Activities:

- End User Training 3M assisted the prime vendor in the development of a training plan for the end users.
- Data Migration/Conversion 3M assisted the prime vendor in the data conversion activities.
- Communication 3M assisted the prime vendor in the development of a communications plan and project communications.
- Vehicle Titling and Registration 3M implemented its motor vehicle (3M MOVRS) and dealer management (3M DLRS) solutions.
- Violations and Suspension the 3M DRIVS solution will provide functionality to support violations and suspensions in Montana, not yet implemented.

#### **Iowa Motor Vehicle Division Office of Vehicle Services**

The Iowa Motor Vehicle Division (MVD) Office of Vehicle Services (OVS) needed a new financial system that could immediately provide cash drawer and cash management functions. 3M implemented a limited version of 3M ATMM in OVS to provide this service. By implementing first in OVS, 3M staff was able to become fully trained with the use of a cash management system prior to implementing the full system in each of the 99 county locations.

For the full implementation of 3M ATMM, which occurred in January 2005, OVS and the counties wanted even more from the system so they could meet their main goals:

- · Eliminate manual data entry
- · Eliminate redundant reconciliations
- Easily disseminate hard copy documents
- Reduce postage costs

The new 3M ATMM system resulted in a solution that saves taxpayers money and resources, and also expedites the distribution of funds across county and state governments. The systems features and functionality include the capacity to:

- · Accept multiple payments from one or more customers on a single statement
- Combine transactions into a single statement
- Accept multiple payment types
- Generate check reports, activity logs, and statement logs
- General cash drawer functionality
- Create and manage product and revenue distribution
- Manage escrow accounts and EFT
- · Create and export journal entries





RFP No.DMV130055 / August 27, 2013 Cash Management System

- Generate sophisticated financial reports
- Manage fines and refunds
- Manage all aspects of month end (including consolidation and reporting)
- · Configure chart of accounts, GL, product revenue distribution rules

3M provided full life cycle support, including project management, analysis, development, testing, training, and technical consulting.

### **3M's RFS Past Projects**

### **South Carolina Department of Motor Vehicles**

In 2007, the South Carolina Department of Motor Vehicles awarded a contract to 3M MVSS for a turnkey solution to produce and distribute license plates. Nearly three million plates were produced in 2008, with two million being mailed directly to motorists during the license plate reissue period. For those plates that were mailed, a registration form and decal were also included. The remaining plates were distributed to local DMV offices where 3M MVSS monitored and managed the inventory with 3M's Inventory Management System (IMS). 3M continued to manage this process after the license plate reissue period and the contract remains in effect through 2013.

The transformational impact of this project for South Carolina has been significant:

- Just-in-time production of license plates and registration documents
- 3M management of inventory throughout the supply chain
- Fulfilling orders within five business days to motorists via the US Postal System
- · A reduction in warehouse cost
- South Carolina no longer owns or leases equipment for production

3M technology employed for these achievements include the 3M Digital License Plate System, 3M Inventory Management System (IMS), and 3M Vehicle Information Management System (VIMS). These systems are housed at the 3M fulfillment center located in Columbia, South Carolina. The South Carolina DMV provides orders for plates to be mailed to motorists. Printed rolls of license plate sheeting are sent to the South Carolina Department of Corrections, where inmates finish the plates before sending them back to the 3M fulfillment center. There, they are either paired with a registration form and mailed to a motorist, or bulk shipped to a DMV branch office.

#### **Indiana Bureau of Motor Vehicles**

In 2009, the Indiana Bureau of Motor Vehicles (BMV) awarded a contract to 3M for a turnkey solution to produce and distribute specialty, trailer, and other low volume plates. All of these plates were reissued in 2009 and all were mailed directly to motorists with registration forms and decals. At the end of 2010, the Indiana BMV extended the contract through 2014 to include all license plates, which includes mailing all license plates with a registration form and decal. In other words, there is no longer any license plate or



RFP No. DMV130055 / August 27, 2013 Cash Management System



validation sticker inventory at BMV branch offices. The license plate reissue began in 2012 (approximately 7 million plates). Options also exist to renew this contract through 2017.

The impact of this project for Indiana has been transformational. Results include a complete elimination of inventory of license plates and stickers at all BMV branch offices. Warehouse space for license plates and shipping costs to branch offices has been eliminated. The cost associated with physical inventories has been eliminated. One hundred percent of license plates, validation stickers, and registration forms are mailed directly to motorists within five business days. The Indiana BMV has successfully altered customer behavior by encouraging motorists to order and renew their license plates and registration online. If a motorist feels compelled to visit a branch office for this purpose, that branch collects fees, but the plates and registrations are still delivered by mail. This results in shorter wait times at branch offices. Finally, the BMV estimates this modernized approach to license plate and registration fulfillment has reduced the total delivered cost of each transaction by \$1.20 on average.

3M utilizes PEN Products for license plate manufacturing using the 3M Digital License Plate System. PEN receives the plate order from 3M, produces the plates, and ships them to the 3M fulfillment center in Indianapolis. In addition, 3M produces the registration sticker and form and matches these documents to the proper license plate at the 3M fulfillment center. The finished packages are then presented to a subcontractor for zip code presorting and then mailed to the motorist. Zip code pre-sorting can normally reduce the first class postage rate.

#### Georgia Department of Revenue

The Georgia Department of Revenue (DOR) became the third jurisdiction in the U.S. to implement 3M Registration Fulfillment Services. This implementation became operational on March 21, 2012. To date, over 1,000,000 plates have been produced.

The DOR was looking for a solution for the production and statewide delivery of motor vehicle license plates and registration renewal decals for over 9,500,000 vehicle registrations annually. The DOR also was interested in a solution that could reduce costs to Georgia's 159 counties via a reduction in the number of customers being required to come into the county tax commissioner's office.

The DOR signed a contract with 3M to manage activities concerning license plates, validation stickers, registration forms, IFTA stickers, boat stickers, and temporary tags. All of the production and fulfillment center activities take place at a facility in Atlanta, Georgia, owned by the DOR and operated by 3M. 3M hired and trained staff to perform work at the fulfillment center, where 3M produces license plates, registration forms, and stickers, then mails them directly to motorists or ships them to local branch offices. Future phases may include mailing other documents and notices, production of other documents for other agencies such as the Department of Natural Resources, and Department of Motor Vehicle enterprise system software.

The DOR has achieved savings by eliminating warehouse and distribution functions. The DOR has also eliminated inventory management function and their related costs, since 3M has assumed responsibility for managing the inventory and ensuring that the right product is produced and delivered at the right time. Finally, the DOR pays for this service on a transactional basis, streamlining burdened costs and the billing process.





RFP No.DMV130055 / August 27, 2013 Cash Management System

As with many motor vehicle agencies across the country, the Georgia DOR was interested in improving service to taxpayers, reducing operational costs, and streamlining their processes and supply chain. 3M is helping them to do just that.

#### **3M's BFS Past Projects**

#### State of Arkansas Office of Motor Vehicles

The Arkansas Office of Motor Vehicles (OMV) administers over three million vehicle registration transactions each year at 135 Revenue Office locations serving the public in 75 counties, as well as a central fulfillment location for mail, phone, and online transactions. A vehicle registration document with a secure decal is issued for each transaction and is applied to the vehicle license plate. Revenue collected from vehicle registrations in Arkansas totals millions of dollars annually. This revenue is critical for maintaining both state and county operations and public services. In 2007, the OMV determined that their inefficient, manual process represented an opportunity for significant savings and improved customer service. All vehicle registration decals in Arkansas were pre-printed centrally in large volume and sent out to the revenue offices for issuance to motorists. This required each office to hold a significant inventory of pre-printed decals and enforce strict fraud-reduction handling controls and accounting for all stickers. In addition, the process of issuing and inventorying stickers was manual and labor intensive, requiring many hours of work within the offices every month to reconcile their books of decals.

In 2007, the Arkansas OMV solicited proposals for a print-on-demand registration renewal solution including automated auditing and inventory management. A contract was awarded to 3M, in conjunction with Intellectual Technologies Inc. (ITI), for Branch Fulfillment Services, a solution for managing all materials, equipment, software, and printing registration forms with integrated decals on demand at county office locations throughout the state. The 3M BFS is a total registration printing solution for the Arkansas OMV. Benefits to the Arkansas OMV include:

- Validation decals printed at the time of sale eliminating pre-printed decal inventory
- · Automated audit system
- Enhanced security and fraud prevention real-time monitoring of every transaction with the vehicle license plate number printed on the decal
- Payment made only for successfully produced registrations no upfront costs, and no expensive end-of-year waste

The 3M BFS saves time for the Arkansas OMV and Revenue Offices by handling the entire registration form and validation supply chain, including production, packaging, shipping and tracking, inventory management, and auditing. 3M, in conjunction with ITI, provides a BFS solution that meets the needs and requirements for validation and sticker issuance for the Arkansas OMV.

Because 3M now manages all forms and sticker inventory for Arkansas, there is no waste at the end of the year. The move to BFS resulted in inventory control savings, improved customer service with faster transaction times and reduced wait times for motorists, and reduced fraud for the Revenue Offices and the OMV. By creating an integrated registration form/sticker, fewer steps are required to print the registration. In addition, having blank



RFP No. DMV130055 / August 27, 2013 Cash Management System



forms at each office has eliminated the daily and monthly logging and tracking of the pre-printed forms that was previously required. The 3M BFS system has met all of the Arkansas' requirements for cost savings and efficiency improvements

#### Louisiana Office of Motor Vehicles

The Louisiana Office of Motor Vehicles (OMV) administers over three million vehicle registration transactions annually at 88 OMV locations, serving the public in 64 parishes, as well as a providing central fulfillment location for mail, phone, and online transactions. A vehicle registration document with a secure decal is issued for each transaction and is applied to the vehicle license plate. In 2001, the Louisiana OMV was among the first states to engage in a public-private partnership to deliver the savings and efficiencies of a secure distributed print-on-demand vehicle registration solution using thermal transfer printers. All vehicle registration decals in Louisiana were pre-printed centrally in large volume and sent out to the OMV offices for issuance to motorists. Each office was required to hold five months of inventory of pre-printed decals and enforce strict fraud-reduction handling controls and accounting for all stickers. In addition, the manual process of issuing and inventorying stickers was time consuming and labor intensive. Many hours of work were required within the offices every month to reconcile inventory, which caused significant registration renewal wait times for motorists.

For over ten years, the Louisiana OMV has contracted to use the 3M Branch Fulfillment Services (BFS), a solution for managing all materials, equipment, and software, and for printing registration decals on demand at OMV locations throughout the state.

The 3M BFS is a total registration printing solution for the Louisiana OMV. Benefits to the Louisiana OMV include:

- Validation decals printed at the time of sale eliminating pre-printed decal inventory
- · Automated audit system
- Enhanced security and fraud prevention real-time monitoring of every transaction with the vehicle license plate number printed on the decal
- Payment made only for successfully produced registrations no upfront costs, and no expensive end-of-year waste

The 3M BFS saves time for the Louisiana OMV and parish offices by handling the entire registration form and validation supply chain including production, packaging, shipping and tracking, inventory management, and auditing. 3M, in conjunction with ITI, provides a BFS solution that meets the needs and requirements for validation and sticker issuance for the Louisiana OMV. This solution is similar to the 3M BFS system in Ohio.

Because 3M now manages all forms and sticker inventory for Louisiana, there is no waste at the end of the year. This results in inventory control savings and improved customer service. By creating an integrated registration form and sticker, fewer steps are required to print the registration, which results in less wait time for the motorist. In addition, having blank forms at each office eliminates the previously required daily and monthly logging and tracking of the pre-printed forms. Because the 3M BFS system meets all of Louisiana's requirements for cost savings and efficiency improvements, the OMV has re-awarded the contract every year since the initial implementation in 2001.





RFP No.DMV130055 / August 27, 2013 Cash Management System

### Mississippi Department of Revenue

The Mississippi Department of Revenue (DOR) supports county offices that administer millions of vehicle registration transactions each year. These occur at 104 county office locations serving the public in 82 counties. A vehicle registration document with one or more secure validation decals is issued for each transaction and decals are applied to the vehicle license plate. Revenue collected from vehicle registrations in Mississippi totals more than \$300 million annually. This revenue is critical for maintaining both state and county operations and public services. In 2010, the DOR determined that their inefficient, manual process represented an opportunity for significant savings and customer service improvements.

All vehicle registration decals in Mississippi were pre-printed centrally in large volume and sent out to the county offices for issuance to motorists. This required each office to maintain a significant inventory of pre-printed decals. To reduce fraud, it was necessary to enforce strict accounting and handling controls and accounting for all stickers. In addition, the process of issuing and inventorying stickers was manual and labor intensive, requiring many hours of work within the counties every month to reconcile their inventories of decals.

In 2010, the Mississippi DOR solicited proposals for a print-on-demand registration renewal solution including automated auditing and inventory management. A contract was awarded to 3M for Branch Fulfillment Services, a solution for managing all materials, equipment, software, and printing registration forms with integrated decals printed on demand at county office locations throughout the state. This solution is very similar to the 3M BFS implementation in Ohio.

The 3M BFS is a total registration printing solution for the Mississippi DOR. Benefits to the Mississippi DOR include:

- Validation forms with decals printed at the time of sale eliminating pre-printed decal inventory
- Automated audit system
- Enhanced security and fraud prevention real-time monitoring of every transaction
- Payment made only for successfully produced registrations no upfront costs, and no expensive end-of-year waste

The 3M BFS saves time for the Mississippi DOR and county offices by handling the entire registration form and validation supply chain including production, packaging, shipping and tracking, inventory management, and auditing. 3M, in conjunction with ITI, provides a BFS solution that meets the needs and requirements for validation and sticker issuance for the Mississippi DOR.

3M manages forms and sticker inventory for Mississippi distributing blank forms with decals directly to county offices. Since the DOR only pays for successful transactions, there is no waste at the end of the year. This has resulted in inventory control savings, improved customer service with faster transaction times and reduced wait times for motorists, and reduced fraud for the county offices and DOR. Barbara Ford, Director of Motor Vehicle Licensing Mississippi DOR says, "The problems have been solved. There are no pre-printed stickers in the county offices. No worries about locking up stickers. If someone steals the blank form, they can't do anything with that, unless they can steal all the software and systems too, and I don't think anyone is going to do that. We have a lot more real-time

RFP No. DMV130055 / August 27, 2013 Cash Management System



information than we used to." The 3M BFS has made significant efficiency improvements and reduced fraud for the Mississippi DOR and county offices.

### **3M Experience Summary**

Across 3M's portfolio of DMV modernization and fulfillment programs, the experienced 3M team has had the opportunity to work side-by-side with front line agents, back office staff, IT resources, department chiefs, and the many additional agencies, individuals, and offices with which a state DMV interfaces on a daily basis. These interactions have allowed 3M to better understand the issues that DMVs face and the goals and vision that West Virginia has outlined.

Because of our experience and focus on DMV systems and operations, we speak the language, we understand the issues, and we share the vision. 3M's expertise allows us to listen as our customers describe the problems they are facing, the services they would like to provide, and their functional requirements. As the following proposed staffing plan illustrates, we are uniquely equipped to translate those words into the appropriate solution.

### **Proposed WV Staffing Plan**

3M recognizes that this project is about more than software, license plates, and registration forms. It is also about people. When we refer to our past success with DMV modernization and fulfillment solutions, we are showcasing an outstanding 3M team with years of experience in developing and implementing solutions that have delivered success across the United States.

In addition to providing a highly experienced and qualified staff, we recognize the importance of consistency throughout the life cycle of a project. The 3M team will be assigned to the various phases of the project. We match the right resources with the right skills to the right tasks at the right time so that the project has the best possible team throughout its duration.

For this project, we have assigned our senior advisors to support the critical functional and management aspects of each project. These advisors provide the following:

- Support for the overall vision for the project. 3M team members who are in this role have all been involved in multiple installations of the 3M MVS, BFS, DLP and RFS products, and bring the highest level of experience to each team. Their job is to work with the Agency's administrative team to ensure that the project meets its goals. The project advisory team is there to help Agency staff understand the big picture impact of project decisions such as scope changes, deadline issues, and change requests. Project advisors also work with Agency executive staff to resolve any project issues that are elevated beyond the capabilities of the day-to-day project staff.
- Support for the 3M team members who are onsite for each phase of the project.
   Product advisors are senior-level managers who have implemented the modules of the proposed 3M solution. They bring this experience and knowledge of implementations in other jurisdictions to assist the onsite team members by providing subject matter expertise and oversight.





RFP No.DMV130055 / August 27, 2013 Cash Management System

3M has a large pool of technical and support personnel available to perform other roles on the project, and will assign this staff as needed to match the right skills for each task. Specific roles for this project are described below.

#### **Project Management Team**

Each member of the 3M project management team brings a unique skill set, and these team members are selected specifically to achieve the desired results of both the Agency and 3M. In assembling a project management team, 3M considers all the elements involved in managing a project of this magnitude.

The 3M team includes an executive manager whose responsibility is to provide high-level direction and for the entire program. The executive manager ensures that the appropriate resources are provided to the project, communicates with Agency executive management regarding the project, monitors project progress and milestone completion, and works with the Agency to resolve escalated project issues.

A 3M project manager has the primary responsibility of ensuring that the project produces the required products, to the required standard of quality, and within the specified constraints of time and cost. The 3M project manager is also responsible for the project producing a result that achieves the benefits defined in the RFP.

The project management team includes a 3M project implementation manager whose role is to:

- Provide expertise on implementing the 3M MVS Enterprise Software Suite, 3M BFS, 3M DLP, and 3M RFS.
- Manage the software development life cycle.
- Manage the implementation of entire system including hardware and equipment
- Log and monitor issues, risks, and potential change management issues.
- Escalate issues and change management items to the 3M Executive Manager as needed.

Other pertinent team and individual roles are as follows:

- A 3M business functional team lead whose responsibilities are to provide functional expertise on the 3M solutions and lead requirements definition and design sessions
- A 3M application development team lead whose responsibilities are to lead the
  product configuration efforts; create and review design deliverable documents; ensure
  consistent technical interfaces; oversee data conversion, integration, and quality
  assurance tasks; and track and resolve technical issues
- A 3M trainer whose responsibilities are to design training courses and materials, deliver user training sessions, and deliver or assist with technical training sessions
- 3M documentation specialists whose responsibilities are to oversee completion of all documentation and to develop and modify electronic and printed system, user, and technical documentation





RFP No. DMV130055 / August 27, 2013 Cash Management System



- A 3M system architect whose responsibilities are to develop overall system
  architecture views (functional, logical, technical, deployment), identify major
  components of system and interfaces, and support technical design and development
  of modifications and assigned interfaces
- 3M developers whose responsibilities are to develop and modify code for unique customizations, develop interface code, develop data conversion programs, and perform unit test of developed code
- A 3M database administrator whose responsibilities are to develop and validate database code, support the build and release process, and support data conversion tasks
- A 3M testing lead whose responsibilities are to be accountable for completion of all
  testing tasks, work with the 3M development team to resolve system anomalies and
  other bugs identified in testing, prepare and execute test plans, test scenarios and test
  scripts, and report results of the system test and performance test
- A 3M data conversion team whose responsibilities are to identify the content, structure, and format of legacy data to be converted to new system; validate data quality for conversion; design data extraction, transformation, and load processes; test data conversion scripts; report data quality issues to the Agency; oversee data conversion as part of system cutover; and review data conversion deliverable documents for accuracy and completeness
- A 3M infrastructure team lead whose responsibilities are to identify deployment configuration of the system, facilitate infrastructure implementation efforts for all environments, manage and support the development and testing environments, and work with Agency infrastructure personnel in the proper implementation of all required infrastructure
- A 3M DLP technician for implementation of the 3M DLP
- A 3M DVRS technician for implement of the 3M DVRS

Successful staffing occurs through the application of proven human resource management best practices. Our application of these processes will bring the right people and skills to West Virginia at the right time. Our approach reduces risk to enable project success.

#### **Staff Qualifications and Certifications**

3M proposes the following personnel for this project:

Jason Stack, Senior Technical Architect, will oversee the implementation of all products being proposed to the Agency, including, 3M ATMM, 3M DLP, 3M BFS, and 3M RFS. Jason has a Bachelor of Science in Business Administration and Management Information Systems from the University of Arizona, Tucson. Jason has extensive experience in analysis, design, and development for large-scale projects focused on n-tier systems with Microsoft and Web technologies. These include n-tier architecture, Microsoft .NET Framework, C#, WinForms, Web Services, SQL Server, TSQL, LINQ, and ADO.NET. Jason has 12 years of experience in information systems and software development, and nine years of experience in the motor vehicle industry.



RFP No.DMV130055 / August 27, 2013 Cash Management System

**Glenn Dawson, Software Architect for 3M ATMM,** has more than 15 years of experience as a software solutions architect. He develops Motor Vehicle Systems software in C#, using SQL Server. Glenn led a team of 20 developers on the implementation of 3M DRIVS for the State of Kansas. Additionally, while serving on the MVSS research and development team, he assisted in the design and creation of a mobile Web-based prototype for DMV customer service solutions.

**Tom Cheesebrow, Technical Specialist,** will oversee the implementation of the 3M DLP, 3M BFS, and 3M RFS products. For the Georgia RFS Project, Tom served as Hardware Services Manager, where he designed the plant layout, coordinated plate design and conversion to a digital production system, assisted in hiring, and oversaw implementation efforts and equipment installation. Tom has an associate degree in Commercial Art from the St. Paul Technical Vocational Institute, St. Paul, Minn.

Tim Skogland, Technical Services Engineer, will assist in the implementation of the 3M DLP. He has provided DLP implementation and training in Georgia and South Carolina. Additionally, Tim has provided technical support and maintenance for 3M DLP projects. Tim has a diploma as an Industrial Lab Technician from Century College in White Bear Lake, Minn., and a Bachelor of Science from Augsburg College in Minneapolis, Minn.

**Tom Powers, DLP Blanking Line Technician,** has an associate degree in Electrical Engineering from St. Paul College, St. Paul, Minn. He has completed biannual 16-hour continuing education courses for electrical licensing. Tom performed DLP blanking line installation for 3M's Georgia, Indiana, and South Carolina RFS projects.

Mike Schwartz, DLP Blanking Line Technician, has an associate degree in Electrical Engineering from St. Paul College, St. Paul, Minn. He has completed biannual 16-hour continuing education courses for electrical licensing, in addition to completing an electrician apprenticeship at St. Paul JATC, St. Paul, Minn. Mike assisted with DLP blanking line installation for 3M's Georgia, Indiana, and South Carolina RFS projects.

4.3.1 Subcontractors — Identify all subcontractors that will be involved in the development, implementation and training, as well as on-going system support.

3M has chosen an experienced subcontractor to collaborate with on major aspects of the project. Intellectual Technology, Inc. (ITI) provides innovative hardware and software system integration, as well as printing and delivery solutions to motor vehicle agencies throughout North America. ITI has over 20 years of experience in developing self-service and other on-demand solutions focusing on motor vehicle agencies. ITI is based in Carlsbad, California, with a logistics and operations office located in Fort Wayne, Indiana. ITI will be involved in the development, implementation, and training, as well as on-going system support for the print-on-demand solution for printing registration cards and decals.



RFP No. DMV130055 / August 27, 2013 Cash Management System



4.3.2 References — Provide a minimum of two (2) references for similar CMS installation of similar size and scope. The vendor should also provide contact information for the primary individual involved with the project. This should include name, telephone number, address and e-mail address.

### State of Montana, Motor Vehicle Division, Department of Justice

In 2005, the State of Montana awarded a contract to replace their systems for vehicle title and registration, driver licensing and control, and dealer licensing and permitting. As a subcontractor to a systems integrator, 3M provided the 3M MVS Enterprise Software Suite of products supporting accounting, vehicle services, driver services, and dealer credentialing.

Contact Information:
Brenda Nordlund, Director, Motor Vehicle Division
Department of Justice
Scott Hart Building, Second Floor
303 North Roberts, P.O. Box 201430, Helena, MT 59620-1430
(406) 444-3933
bnordlund@mt.gov

#### **Iowa Motor Vehicle Division**

In 2005, the Iowa Motor Vehicle Division (MVD) Office of Vehicle Services (OVS) needed a new financial system that could immediately provide cash drawer and cash management functions. A limited version of 3M ATMM was implemented in OVS to provide this service. By implementing first in OVS, the staff was able to become fully trained with the use of a cash management system prior to implementing the full system in each of the 99 county locations.

Contact Information:

Tina Hargis, Director of Vehicle Services Iowa Department of Transportation 6310 Convenience Blvd, Ankeny, IA 50021 (515) 237-3175 Tina.Hargis@dot.state.ia.us

4.3.3 Documentation from Previous Clients — Supply written documentation from previous clients (on their letterhead) outlining experience with complex modular system implementation. The contact supplying this information must have been part of the system implementation team.

In the attachments section of our response, 3M provides written documentation from two previous clients, the States of Iowa and Montana, where we have installed the 3M MVS Enterprise Software Suite in response to legacy system modernization needs.

4.3.4 Audited Financial Statements — Submit audited financials for the previous three (3) years.

3M Company is a publicly traded, Fortune 500 Company with over 85,000 employees worldwide, global presence in over 200 countries, approximately \$29 billion in sales in 2012, and over 40 business units. To view our most recent financial information contained in our annual reports, please go to the following link:

http://phx.corporate-ir.net/phoenix.zhtml?c=80574&p=irol-reportsannual





RFP No.DMV130055 / August 27, 2013 Cash Management System

## Section 4, Subsection 4.1

### 4.4.1 Replacement of the Cash Register System

4.4.1.1 The vendor should outline in detail their understanding of the project and its objectives.

The West Virginia Division of Motor Vehicles (hereafter the Agency) is seeking to improve customer service and reduce costs by applying new technology and streamlining business processes. Cost savings are likely to be realized in the following areas:

- Electronic flow improvement (automating manual order processing)
- · Inventory management
- Labor efficiencies

The Agency has issued RFP DMV130055, requesting four subsystems that will provide the Agency with the desired improvements:

- Print-on-Demand Decals and Registration Cards
- Flat Plate Technology
- Vendor-based License Plate Information Management Center, which will handle mailing of all license plate, decals, and registration cards
- Cash Management System (CMS) that will contain DMV business rules and fee charts, which will be provided to the successful vendor

Implementation of these subsystems by 3M Motor Vehicle Systems and Services (MVSS) will enable the Agency to reach its desired goals. 3M MVSS has successfully implemented systems in all four areas; we leverage our experience and expertise to assist the Agency in improving customer service and reducing costs.

3M MVSS offers a cash management system called Accounting Transaction Money Manager (ATMM). 3M ATMM provides the means to accept and track various types of payments, and then distribute the revenue to the appropriate products or services. It is a complete asset and revenue management software solution that provides financial control, reporting, and auditing. 3M ATMM is designed to support and work seamlessly with the other applications in the 3M MVS Enterprise Software Suite.

The Agency requests a new Cash Management System (CMS) via the current RFP. 3M MVSS responds to this request and will design, develop, and implement a CMS for the Agency that will utilize various components of our 3M ATMM product, along with components of our Inventory Management System (IMS). Using this approach, 3M MVSS will provide the Agency with a CMS that meets the requirements of this RFP and that will be built from a core of already existing components. This provides the Agency a new 3M CMS that it is implemented on a system already in use throughout a number of other states.

Replacing the current CMS with 3M CMS provides new capabilities for the Agency to collect vehicle and driver's license transactional fees. Implementation of 3M CMS provides the Agency with many benefits, such as:



RFP No. DMV130055 / August 27, 2013 Cash Management System



- Improved customer service
- Increased operational efficiency through standardized fee collection practices
- A foundation for a new technology platform that can be used for future modernization projects

Currently, due to the mainframe-based system, the Agency experiences a limited ability to reconcile customer transactions quickly, easily, and efficiently with the appropriate fee and inventory item, including license plates, annual registration stickers, and titles. This limitation results in the Agency expending a significant amount of funds to cover the expenses associated with labor-intensive daily reconciliation efforts that occur in the Agency's branch locations. Addressing and eliminating these problems is the goal and business driver behind the implementation of 3M CMS.

With 3M CMS, the Agency envisions a customer transaction that is handled with speed, accuracy, and end-to-end audit capability for financial and transactional data. We propose various interfaces to the current Agency mainframe and the other systems as listed in the RFP. Together, these systems provide the Agency with a solution that addresses its cash management objectives.

Inventory management is a key component of 3M CMS at the regional offices and the DMV warehouse. Currently, the regional offices process inventory items (e.g., registration plates, registration stickers, and titles) manually. 3M CMS integrates inventory management functions with current business practices to help reduce manual reconciliation and tracking of inventory. Inventory items will be stored and tracked in the CMS, so that when inventory items are issued to a customer, those items will be decremented from inventory and associated with the customer record.

3M CMS automates inventory control and transaction integration, thereby providing accuracy and efficiency in daily reconciliation. These capabilities are applicable whether the Agency is leveraging barcode readers to scan a license plate, a registration decal, and a title, or using the 3M CMS Inventory Management feature directly. The accuracy of daily reconciliations rolls up from the regional offices to the Agency "headquarters" level, and eventually to the state level. More importantly, this functionality offers the Agency immediate savings by reducing expenses associated with inaccurate inventory and asset control.

While meeting today's requirements is essential, the CMS project represents a first step, the foundational step, toward several significant programs that support future modernization projects. 3M MVSS has a DMV suite of products, and since 3M CMS will be built on the core of our 3M ATMM product, we are able to offer our compatible 3M Motor Vehicle System (MVS) Enterprise Software Suite of products to the Agency in the future. Implementation of other MVSs products would provide additional improvements for West Virginia's citizens, automotive dealerships, DMV operations, and other State initiatives in a cost effective manner.





RFP No.DMV130055 / August 27, 2013 Cash Management System

4.4.1.2 The vendor should describe, in general terms, how the CMS will perform transactions outlined in 4.5.2.10. The vendor should also provide a step-by-step example of how a CMS would process a transaction from start to finish.

3M MVSS envisions that the Agency's mainframe will provide 3M CMS with the vehicle and customer information to complete the collection of money. The following outlines high-level steps for processing standard business transactions:

- 1. Users initiate a cash management transaction, such as vehicle registration or driver's license issuance, from the 3M CMS.
- 2. The user selects the type of transaction from the list as shown in Appendix B of the RFP.
- 3. The user enters all of the necessary data for the selected transaction.
- 4. 3M CMS queries the vehicle or driver mainframe system and checks for any stops on the either the vehicle or driver. Note the lookup is accomplished through a DB2 interface to the current vehicle system and another interface to the current driver system.
- 5. The CMS system calculates the associated fees, and once a transaction satisfies all of the business rules and edits, a fee is calculated.
- 6. Once the vehicle, driver, and fee data is verified, a payment screen appears for collecting payment.
- 7. Users then collect payment from customers and issue inventory, such as plates, when appropriate.
- 8. Upon collection of payment, 3M CMS commits the data to the database, updates inventory and customer information, and communicates back to the mainframe via a DB2 interface (if necessary).
- 4.4.1.3 The vendor should describe the method for adding or removing transaction types from the CMS.

The 3M CMS solution will include all transactions outlined in Appendix B of the RFP. The 3M CMS supports updating fees using standard configuration functionality. However, adding and removing complex transactions will require changes to application code.

4.4.1.4 The vendor should describe the process for cash drawer reconciliation.

Using 3M CMS' cash drawer Reconciliation function, authorized users can review, adjust, reconcile, and sweep cash drawers. Reconciliation requires users to verify that the funds collected (assets) match the transactional totals recorded in the system. The system provides users with multiple reports to assist in the process of verification. The Reconciliation function can be used to adjust transactions that are incorrect due to errors. Once a cash drawer is balanced, a user can issue a final reconciliation statement or sweep the cash drawer's contents into another cash drawer or location.

4.4.1.5 The vendor should provide examples of summary reports that the CMS will be capable of producing. These reports should show transaction payments by tender type and service transactions for the reconciliation period.

3M CMS will provide multiple inquiries through the Cash Drawer component. Cash Drawer allows users to view daily transactions, including collections by payment type, transaction totals, and transaction details. Additional functionality, through the Reconciliation function,





RFP No. DMV130055 / August 27, 2013 Cash Management System



enables users to request payment and service transaction information for a reconciliation period. Four additional summary reports will be provided to the Agency.

4.4.1.6 The vendor should provide examples of reports based on: Calendar Year, State Fiscal Year (July 1 - June 30), and Federal Fiscal Year (October 1 - September 30). The vendor should also provide details concerning the process for creating reports with various beginning/ending (date range), source of revenue, and/or collection point.

3M CMS will provide multiple inquiries and reports throughout the Cash Management and Financial components. Inquiries and reports include period-based aggregate and summary information, including fiscal and calendar-year financial data (revenue), as well as operational information (collections). In addition, numerous other inquiries are available in 3M CMS for reporting financial data. We will use the CMS reporting tool to provide four formatted reports for the Agency.

4.4.1.7 The vendor should list, in detail, the steps required to produce a bank deposit report.

Using the Bank Deposit Inquiry function of 3M CMS, users can produce bank deposits based on collections from cash drawers and locations. Users generate a bank deposit report with the Deposit Slip Inquiry screen. Users are able to filter criteria, such as cash drawer location and date range, to request the deposit information.

4.4.1.8 The vendor should provide a detailed description of the ad hoc reporting capabilities in the proposed CMS system. The vendor should also provide examples of some ad hoc reports.

3M CMS contains many reports and inquiries, which we have found meet most of the reporting requirements of motor vehicle departments. Ad hoc reporting is provided in 3M CMS by leveraging Microsoft SQL Server Reporting Services (SSRS) to extend the system's functionality beyond those of the core reporting solution. SSRS provides a complete, server-based platform designed to support a wide variety of reporting needs, enabling the Agency to deliver relevant information where and when needed.

To accommodate potentially large volumes of ad hoc reporting without affecting the production transaction system, 3M CMS provides for a replica of the production transaction database on a separate server specifically to handle ad hoc and other reporting requirements. The implementation of a reporting database (replica) and services are not included in the cost of the proposal and would require work beyond the scope of the proposed solution.

The Agency will be responsible for procuring the necessary Microsoft SSRS training and documentation from Microsoft for the use of this ad hoc reporting tool.

4.4.1.9 The vendor should outline the steps involved with assigning inventory items to a register.

Authorized users can assign inventory to a location (e.g., regional office) and a CSR window (register). Once an order of items is received into a location, an authorized user assigns inventory to a CSR window through the Manage Inventory feature. The process for accomplishing this involves several steps: First, an inventory manager searches for inventory in the current regional office by selecting the location and inventory class. 3M CMS then presents a list of inventory in that location. Next, the inventory manager selects the inventory items to be moved to the register. Next, the user clicks "Move Inventory" to complete the transfer of the selected items to the register. Finally, the inventory manager physically moves the inventory that was just transferred in the system to the register location.





RFP No.DMV130055 / August 27, 2013 Cash Management System

4.4.1.10 The vendor should indicate how the CMS will prevent the issuance of inventory items not assigned to a cash drawer.

3M CMS requires that a location's orders are placed and received before they can become available for consumption or sale. The proposed interface with the Agency's mainframe systems will be a trigger to initiate a financial transaction and to pull an item from inventory. The interaction between the Agency's mainframe and 3M CMS is the first step of controlling inventory items.

We understand the primary goal of managing inventory is to reconcile items sold with the funds that are collected. With 3M CMS, an authorized user can manage inventory, including removing items from a location's inventory whether or not those items are assigned to a window. Authorized users are able tomanage inventory in exception situations, such as when items are damaged, missing, destroyed, or returned to vendor. In addition, 3M CMS includes controls and warnings to prevent invalid transfers. Through the user profile, 3M CMS controls a user's assignment to locations and windows.

4.4.1.11 The vendor should describe how the CMS will allow the CSR to review both inventory used and the reminder still available for sale.

3M CMS currently provides this information through the Manage Inventory function and the Used Inventory Report. The core functionality of Manage Inventory displays the inventory on hand at the time the user accesses it. The Used Inventory Report provides the used inventory by location through a query. The 3M team will work with the Agency to develop a report that presents the issued inventory and the remaining inventory in a single report.

4.4. 1.12 The vendor should describe the process involved with transferring inventory into the CMS from inventory in the existing system.

The process of transferring inventory data from the current inventory system to 3M CMS will be a data conversion process. 3M is experienced in converting data from a variety of legacy systems into new, modern 3M systems. The 3M team will work with the Agency team to define the data fields and contents in the current inventory system and map those to the 3M CMS data fields. A key aspect of the data conversion process is data cleansing. 3M recommends and will assist the Agency personnel in the process of cleansing the current inventory data so that once transferred to 3M CMS, it is ready to be used for managing inventory at each regional office.

4.4.1.13 The vendor should provide a detailed breakdown of the hardware (including miscellaneous ardware, number of servers, workstation requirements, and specifications) and software required for the proposed system (software components and licenses required).

Per our understanding of the RFP, the Agency will provide the necessary hardware and software to implement the 3M CMS solution and will directly license the non-3M license software from the vendors.



RFP No. DMV130055 / August 27, 2013 Cash Management System



Table 4.1-1. Hardware Specifications.

Hardware Component	Make/Model and Part Number	Quantity
Production		
Chassis (Enclosure) Installation	N/A	1
Cisco Blade Switch	Cisco Catalyst Blade Switch M 3130G; includes 5 yr Mission Critical Package + ProSupport for IT	4
Dell Server Rack	Dell 4220 42U Rack with Doors and Side Panels; includes 5 yr Basic support	1
Dell Blade Server Enclosure:	Dell M1000E, PowerEdge (223-3244); includes 5 yr Mission Critical Package + ProSupport for IT	1
Dell M620 Blade Server (24 GB RAM)	Dell M620 Blade Server, 24 GB, 2x300GB; includes 5 yr Mission Critical Package + ProSupport for IT	12
Dell M620 Blade Server (48 GB RAM)	Dell M620 Blade Server, 48 GB, 2x300GB with Broadcom 57810-k Dual Port GbE I/O Card; includes 5 yr Mission Critical Package + ProSupport for IT	3
Barcode Scanner	Wasp WLS9500 Wired Laser Barcode Scanner	
Check/ID Scanner	MagTek Excella MDX	
Credit Card Scanner	MagTek Javelin	
Laser Printer	Xerox Phaser 3600N	
Testing		
Chassis (Enclosure) Installation	N/A	1
Cisco Blade Switch	Cisco Catalyst Blade Switch M 3130G; includes 5 yr Mission Critical Package + ProSupport for IT	4
Dell Server Rack	Dell 4220 42U Rack with Doors and Side Panels; includes 5 yr Basic support	1
Dell Blade Server Enclosure:	Dell M1000E, PowerEdge (223-3244); includes 5 yr Mission Critical Package + ProSupport for IT	1
Dell M620 Blade Server (24 GB RAM)	Dell M620 Blade Server, 24 GB, 2x300GB; includes 5 yr Mission Critical Package + ProSupport for IT	6
Dell M620 Blade Server (48 GB RAM)	Dell M620 Blade Server, 48 GB, 2x300GB with Broadcom 57810-k Dual Port GbE I/O Card; includes 5 yr Mission Critical Package + ProSupport for IT	2
Virtual Host Server (Host for virtual machines representing the Quality Assurance, Development, and Sandbox environments.)		
Dell PowerEdge R910 Server (64 GB RAM)	Dell R910 Server,64 GB; includes 5 yr Mission Critical Package + ProSupport for IT	1
Desktop		
Dell Intel Pentium	Dell Intel Pentium, 2 GB RAM, 1x80GB	

# **Department of Administration Purchasing Division** RFP No.DMV130055 / August 27, 2013 Cash Management System



Table 4.1-2 Software Specifications

able 4.1-2. Software Specifications.	
System Software Description	Release/Level
Production	
3M ATMM	
Antenna House Site License	Site License
McAfee Anti-virus Software	Current version
McAfee file/folder disk encryption	Current version
Microsoft SQL Server 2012 64bit Enterprise per Core License	2012 Enterprise Edition
Microsoft SQL Server 2012 64bit Standard per Core License	2012 Standard Edition
Vindows Server 2012 Datacenter License	2012 Datacenter Edition
Windows Server 2012 Standard License	2012 Standard Edition
Systems Center Operation Manager Server License	2012 R2
Systems Center Operation Manager w/SQL Server Technology	2012 R2
Testing	
Microsoft SQL Server 2012 64bit Enterprise per Core License	2012 Enterprise Edition
Windows Server 2012 Datacenter License	2012 Datacenter Edition
Windows Server 2012 Standard License	2012 Standard Edition
McAfee Anti-virus Software	Current version
McAfee file/folder disk encryption	Current version
Quality Assurance	
Microsoft SQL Server 2012 64bit Enterprise per Core License	2012 Enterprise Edition
Windows Server 2012 Datacenter License	2012 Datacenter Edition
Windows Server 2012 Standard License	2012 Standard Edition
McAfee Anti-virus Software	Current version
McAfee file/folder disk encryption	Current version
Development	
Microsoft SQL Server 2012 64bit Enterprise per Core License	2012 Enterprise Edition
Windows Server 2012 Datacenter License	2012 Datacenter Edition
Windows Server 2012 Standard License	2012 Standard Edition
McAfee Anti-virus Software	Current version
McAfee file/folder disk encryption	Current version
Sandbox	
Microsoft SQL Server 2012 64bit Enterprise per Core License	2012 Enterprise Edition
Windows Server 2012 Datacenter License	2012 Datacenter Edition
Windows Server 2012 Standard License	2012 Standard Edition
McAfee Anti-virus Software	Current version



RFP No. DMV130055 / August 27, 2013 Cash Management System



System Software Description	Release/Level	
McAfee file/folder disk encryption	Current version	
Desktop		
Microsoft Windows 7 or greater operating system	7 or greater	
Microsoft .NET Framework 4.5	4.5	
Microsoft Office 2007 or greater	2007 or greater	

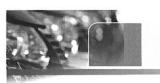
In addition, the following software and development tools will be used to develop and deliver the system (N.B.: versions below or higher):

- Visual Studio 2012
- .NET Framework 4.5
- Barcode component for PDF-417, 3 of 9, and postal barcodes
- Telerik DevCraft Complete
  - KendoUI Complete for ASP.NET MVC
  - WPF
  - Reporting
  - JustMock
  - Telerik Testing Framework
- Microsoft Unity 3
- Entity Framework 5
- TFS 2012
- Windows 7 Professional
- Windows Server 2012
- SQL Server 2012 Enterprise
- SQL Server Reporting Services
- IIS 8
- 4.4.1.14 The vendor should outline all installation requirements as well as any hardware configurations that may be necessary to install the system.

#### Server and Domain Requirements

3M CMS uses a standard Windows on Intel (WinTel) platform. The operating system is Windows Server 2012 or higher Enterprise Edition. The database management system is SQL Server 2012 or higher.





RFP No.DMV130055 / August 27, 2013 Cash Management System

3M MVSS selected server hardware based on a number of criteria, such as performance, price, and support. The number and speed of processors for each server has been determined based on comparisons with previous deployments.

Several software components are required for proper server implementation. 3M CMS requires a new or existing Microsoft Active Directory Domain to be provided by the Agency. The Microsoft .NET Framework 4.5 or higher must be installed on the Application/Web servers, as well as on the SQL servers. Table 4.1-1 shows the recommended hardware configuration of 3M CMS. To minimize costs, we propose a reporting database in place of the data warehouse.

#### **Desktop OS Requirements**

3M CMS' smart client will support Microsoft Windows operating systems capable of running the Microsoft .NET 4.5 or higher Framework. This includes 32-bit and 64-bit versions of both Microsoft Windows 7 or higher.

#### **Desktop Hardware Requirements**

3M CMS combines the performance of a thin-client application with the rich interface features of a fat-client with its smart-client desktop application. This approach also yields minimal software and hardware requirements from the Agency's client desktops. 3M MVSS recommends the following as minimum hardware requirements for client desktops:

- · Intel Pentium processor
- 2 GB RAM
- 80 GB Hard Drive

#### **Web Browser Requirements**

Administrative and management functions are accessible through the Web. 3M MVSS recommends using Microsoft Internet Explorer 8.0 or higher on any client machines accessing these features.

#### **Production**

The proposed production environment is a high availability solution. To achieve the desired availability, the proposed production environment relies on the following:

- Highly scalable component architecture
- · Redundant network devices and connections
- Redundant production Web and application servers
- · Load balanced connections for the production Web and application servers
- Clustered production database servers that use Microsoft Clustering Services
- Enterprise SAN
- Redundant SAN connections



RFP No. DMV130055 / August 27, 2013 Cash Management System



From a functional perspective, stress and load testing metrics drive network server requirements in the production environment. 3M MVSS has extensive experience sizing technology solutions for their respective clients. While over-sizing wastes precious state resources, under-sizing results in a poorly performing application and is time-consuming and expensive to correct. Solutions are "right sized" by combining prior project experience with the knowledge of hardware providers to meet the technology requirements efficiently.

To help properly size the infrastructure, we provide transaction, user, and organizational size data to the hardware vendors. The hardware vendors analyze the input and develop recommendations using tools based on customer experience and solution-provided benchmarks. These tools allow for modeling and testing for specific solutions and for evaluating proposed configuration and capacity changes.

We compare the recommendations of the hardware vendors to the results from our client history. Modeling is much more effective when compared to actual field experience.

During the design phase, 3M technical staff will collaborate with the Agency to confirm the production hardware infrastructure.

Given expected user load and processing considerations, a robust hardware solution for the production environment is required. The initial recommended baseline hardware and software requirements for the production environment would be as follows:

- Web/Application Servers (Load Balanced)
  - Dual quad core processors
  - 24 GB of system memory
  - Local storage of 300GB (2 x 300GB SAS drives, mirrored)
  - Windows Server 2012 (64-bit)
  - Existing network load balancing appliances, or Microsoft NLB configuration
  - Microsoft IIS 8.0
  - Microsoft .NET Framework
  - 3M MVS Enterprise Software Suite
  - Minimum of T1 network connectivity to the web/application server environment
- Directory Servers
  - Dual quad core processors
  - 24 GB of system memory
  - Local storage of 300GB (2 x 300GB SAS drives, mirrored)
  - Windows Server 2008 R2 (64-bit)
  - Microsoft Active Directory





RFP No.DMV130055 / August 27, 2013 Cash Management System

- Print/Batch Servers
  - Dual quad core processors
  - 24 GB of system memory
  - Local storage of 300GB (2 x 300GB SAS drives, mirrored)
  - Windows Server 2012 (64-bit)
- Reporting Database Server
  - Dual quad core processors
  - 48 GB of system memory
  - Local storage of 300GB (2 x 300GB SAS drives, mirrored)
  - Dedicated SQL Server hardware
  - Windows Server 2012 (64-bit)
  - Microsoft Clustering Services
  - Microsoft SQL Server 2012 (64-bit)
  - Application storage provided by storage blade
  - SQL Server Reporting Services
  - Microsoft IIS 8.0
- Transactional Database Servers (Cluster)
  - Dual quad core processors
  - 48 GB of system memory
  - Local storage of 300GB (2 x 300GB SAS drives, mirrored)
  - Dedicated SQL Server hardware
  - Windows Server 2012 (64-bit)
  - Microsoft Clustering Services
  - Microsoft SQL Server 2012 (64-bit)
  - Application storage provided by SAN infrastructure

#### **Test Environment**

This solution proposes establishing a separate infrastructure environment for preproduction and code staging use. This environment would be used to stage the tested and accepted application configuration and code changes prior to deployment to the production environment. Also, it would be used to conduct preliminary performance acceptance for the second stage of the solution deployment.



RFP No. DMV130055 / August 27, 2013 Cash Management System



The 3M team recommends the following test environment baseline hardware and software:

- · Dual quad core processors
- System memory of 48GB for the SQL Server nodes, 24GB for the remaining systems
- Local storage of 300GB (2 x 300GB SAS drives, mirrored)
- Microsoft .NET Framework
- Windows Server 2012
- Microsoft SQL Server 2012
- Microsoft Clustering Services
- Application database storage provided by SAN infrastructure
- Microsoft Active Directory
- Microsoft IIS 8.0

#### **Virtual Environments**

While production and test environments require dedicated physical hardware configurations, development, sandbox, and quality assurance (QA) will be virtualized. This provides a cost-effective approach for these lesser-used environments.

The development environment isolates developers and related code and configuration changes from the remaining lifecycle environments. Once code changes are readied and stabilized in the development environment, the code can begin testing with the administrators of the testing environment.

The QA environment is used to mirror production systems functionally for testing of code/configuration changes.

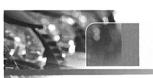
The sandbox environment provides dedicated resources for the development and delivery of training to end users. It also provides an environment in which users can practice without interfering with a production or lifecycle environment.

- Physical Host Server
  - Dual quad core processors
  - 64 GB of system memory
  - Windows Server 2012 (64-bit)

The composition of each virtual environment includes:

- Web/Application Server
  - Windows Server 2012 (64-bit)
  - Microsoft IIS 8.0





RFP No.DMV130055 / August 27, 2013 Cash Management System

- Microsoft .NET Framework
- 3M MVS application
- Directory Server
  - Windows Server 2008 R2 (64-bit)
  - Microsoft Active Directory
- Transactional Database Server
  - Windows Server 2012 (64-bit)
  - Microsoft SQL Server 2012 (64-bit)
  - Application storage provided by SAN infrastructure
- 4.4.1.15 The vendor should also provide a detailed description of the interface that will be proposed with this solution (is this a full desktop client or web-based solution).

Since 3M MVSS is developing 3M CMS for the Agency, the User Interface can be implemented either as windows client or a browser based solution.

Our desktop system approach would be to provide a composite (i.e., plugin-based) WPF application, which would allow the application to support more modules in the future. The user interface of the "shell" application would consist of several regions, each of which is capable of hosting one or more screens or components of the application. As additional modules are installed, the desktop application menus would show new items and choosing them would display the provided functionality in the regions of the shell application.

Our web-based approach would provide an ASP.NET MVC application. The user interface would consist of a set of HTML 5 pages and offer a rich client experience through the use of JavaScript.

4.4.1.16 The vendor should describe how it will work with the IT staff to resolve issues which may arise concerning the functionality of the proposed system.

A system implementation of this size and scope generally experiences the following two categories of issues: functional incidents, in which the system's functionality does not meet the client's business expectations; and system performance incidents, which affect the system's ability to operate as expected.

3M MVSS has found that the best way to mitigate both types of issues is to develop a detailed work plan that incorporates planning, communication, and issue resolution processes. For example, during the Plan phase of the project, the 3M team will perform a gap analysis to identify gaps in the functionality between 3M CMS and the business requirements of the Agency. Functionality issues that arise after this phase are addressed through the change management process, as described in Section 4, sub-section 5.13, System Implementation and Testing.

For system performance incidents, the 3M team works closely with the IT staff for the duration of the project to communicate expectations and issues. For example, the 3M team will work closely with the Agency's IT staff when ordering hardware, to verify



RFP No. DMV130055 / August 27, 2013 Cash Management System



that minimum specifications are met. This includes verifying that regularly distributed Microsoft updates are tested and compatible with the system.

For system performance issues that arise unexpectedly, 3M MVSS follows a three-part Incident Tracking and Change Control Process. This process documents reported incidents, problems, and uncertainties in the production environment. First, incidents that arise from use of the solution are identified and recorded. Second, the incidents are reviewed and analyzed to determine whether escalation is required to resolve the problem. The final step involves tracking of incidents that have been escalated to ensure correction actions have been completed.

An Issues Control Matrix will be used to:

- Collect, organize, sort, and view reported application issues and their characteristics
- Enter new issues, find a specific issue, or print out issue records
- Filter the issues to view only issues that contain specified characteristics
- Store the complete history of each issue, including the issue's status and all actions taken on the issue

Issues are recorded on Detailed Issue Reports, which are distributed to the individuals assigned to work on the problem. Issues that are escalated follow the project governance process, which will be determined after contract award.

4.4.1.17 The vendor should provide minimum specifications including bandwidth requirement and any other network infrastructure requirements for the proposed system.

The 3M MVS Enterprise Software Suite on which 3M CMS is based has been certified utilizing T1 network circuits and higher. While smaller capacity network connections may provide varying results, the recommended approach is to operate 3M CMS on T1 or greater circuits. We have included time in our work plan to determine a baseline "application footprint" for 3M CMS. At the conclusion of this analysis, we will work with the Agency's technical staff to provide a network recommendation.

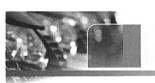
The purpose of the application footprint is to accurately baseline the CMS implementation's throughput (bandwidth) requirements. The application footprint represents the total number of bytes transferred to complete requests specific to 3M CMS. Initially, application footprints are created for a few representative transactions that typify those conducted at the remote offices. By comparing the sample footprints, bandwidth requirement estimates can be extrapolated and WAN requirements determined early in the pre-deployment process.

3M CMS will rely on West Virginia's existing infrastructure (i.e., LAN / WAN) for connectivity and security to internal and remote work locations.

4.4.1.18 The vendor should outline the procedure that should be followed to report technical issues.

The standard process to report a problem starts with a customer call to the 3M Contact Center of Excellence (CCE). The 3M CCE is designed to be a central focal point and repository for all customer contact and problem resolution. To support the Agency, the 3M CCE staff will be trained on this solution to assist in troubleshooting and problem resolution. If the problem cannot be resolved at that level, the 3M CCE staff has direct access to the necessary resources to solve the problem.





RFP No.DMV130055 / August 27, 2013 Cash Management System

This team is responsible for managing and ensuring that the Agency's end-to-end concerns or issues are effectively handled in a timely fashion. 3M defines standard response times based on a severity from 1-4, with Severity 1 being the most critical (i.e., production down) and Severity 4 being the least (i.e., system is functional with minor impact). Our response time for a Severity 1 issue is one hour for an initial response. For a Severity 4 issue, the standard response time is two business days. Our standards ensure all issues are handled consistently, escalated appropriately, and tracked so that all calls and responses are available for root cause and trend analysis and review.

4.4.1.19 The vendor should describe the process for installing system modifications and/or upgrades.

After the Go Live of the 3M CMS, any enhancements requested by the Agency will be routed through the change management process and use a portion of the maintenance and support hours as defined in section 4.5.12. Installing any system modifications or enhancements will follow a prescribed process that may include testing software changes in the Development and QA environments. Once the QA or testing team has certified the changes, the software modifications or upgrades will migrate to the Pre-Production environment. Users will then certify and approve modifications or enhancements in the Pre-Production environment prior to final release. Upon final certification and approval from the users, the software modifications or upgrades will be migrated to Production. In the event the Agency requests an upgrade to a newer version of the 3M CMS after the Go Live and assuming an upgrade becomes available from 3M, a time and materials charge will be negotiated between 3M and the Agency to implement the upgrade.

4.4.1.20 The vendor should provide a description of the system training and documentation, including the controls set by developing different levels of access. This documentation should be in written and electronic format and the DMV shall be provided with the permission to reproduce this documentation as necessary.

This section describes the 3M MVSS approach to training and documentation for 3M CMS.

#### **User Training**

The goal of training is to facilitate a smooth transition to 3M CMS by creating users that are skilled, knowledgeable, and confident in using the new business processes and applications. Our approach enables the transfer of knowledge from the 3M team to the Agency team, to prepare customer service representatives (CSR) and other end users to do their jobs beginning on the first day of implementation.

A key factor in the success of 3M CMS is the ability of personnel to effectively perform the day-to-day activities for which they are responsible. The new CMS environment will require employees to perform tasks differently, learn new skills, and complete processes using a new system. The quality of the training and support materials provided to CSRs and end users will directly influence this ability. The key objectives of the training solution are as follows:

- Building critical, system-specific skills needed prior to the roll-out of the 3M CMS Solution
- Providing CSRs and end users with hands-on opportunities to perform tasks using a realistic, online training environment



RFP No. DMV130055 / August 27, 2013 Cash Management System



- Minimizing the amount of time personnel spend at training and away from their job by creating modular, user-specific training
- Creating 3M CMS experts and advanced users

There are two end-user classes that will be essential to the Agency. These are the Standard User Class and the Advanced User Class. The Standard User Class incorporates a number of topics, including the following:

- Basic Concepts: This part of the class provides an introduction to 3M CMS. The topics
  include identifying differences between the old and new systems, understanding
  changes that the new system will bring to the job, using pre-qualifier windows for
  searching, generating reports, using communication and notes features, and adding
  or editing customer information in the new customer database.
- 3M ATMM: This part of the course covers how to perform financial transactions, such as collecting payments for transactions, adjusting payment amounts, working with miscellaneous transactions, selecting payment types and split payments, reconciling cash drawers, performing end-of-day and end-of-month reconciliation, understanding general ledger account paths, adjusted journal entries, escrow accounts, and receipts.
- 3M Inventory: This part of the course covers the operation of the inventory module.
   Topics include adding inventory items, ordering inventory, dispensing/assigning/transferring inventory, inventory adjustments, supervisor overrides, reconciling inventory, and inventory reports.

The Advanced User Class is designed for system users at the CSR, supervisor, manager, help desk, and accounting staff levels who perform more advanced tasks. These users require advanced training on how to maintain and use the administration-level features of 3M CMS. The following topics are proposed for the Advanced User Class:

- Overrides and transaction approvals
- · Reports and system inquiries
- · Inventory management
- · Finance management
- End of month procedures
- · Basic user support with the new system
- System maintenance (user and access rights, fee configurations, system table maintenance and more)

#### Train-the-Trainer (TTT) Program

3M MVSS recommends a Train-the-Trainer approach in deploying end-user training for the Agency. This is the approach most often used by 3M for these types of projects. Our training plan incorporates this approach and is based on a clearly defined process that builds instructor proficiency in the training materials. We propose that 3M train Agency





RFP No.DMV130055 / August 27, 2013 Cash Management System

individuals for the Train-the-Trainer program, and then these Agency trainers will be responsible for delivering training to all business users of the system.

We have found that the TTT approach is successful for the following reasons:

- The Agency-selected trainers are motivated to learn the product thoroughly, because they will be required to teach it.
- The Agency's trainers become the resident product experts who are available to answer questions at each locale after Go Live.
- The Agency's trainers know both the legacy system and the new system, and can easily
  describe, compare, and contrast functions between the two systems to their learners.
- The Agency's trainers are more knowledgeable than an outside trainer would be about applicable laws, business rules, and historical background.
- The Agency's trainers have an instant credibility and rapport with the learners, and serve as personal proof that it is indeed possible to become proficient in the new system.

We recognize that good trainers require certain skills, abilities, and knowledge in order to transfer new information and skills in an effective manner. It is essential that those who deliver the training to the end users are themselves appropriately equipped to fulfill that role. Prior to delivering the end-user training, we expect that each trainer will be:

- Skilled in delivering instruction and managing a classroom
- Proficient with 3M CMS
- Proficient with the Agency's new business processes
- Familiar and comfortable with the end-user training materials and activities

The TTT program for 3M CMS includes TTT sessions for administering the standard and advanced user classes. These two sessions are delivered concurrently over four days. 3M has included a total of two, four day TTT sessions in our cost proposal. We recommend sessions small enough in size to accommodate interaction that is unique to participants who are preparing to deliver training.

The TTT program begins early in the Deployment phase of the project. It starts with the development of a training plan (see Training Plan, below). We begin the training of the Agency's trainers early to allow enough time for the training to be rolled out to users in advance of implementation. This gives users time to practice using the new system in the Sandbox environment (see Training Methods, below) prior to Go Live of the system.

As a value-add option, we can also deliver end-user training. Upon request, we can develop and price this value-add option including the total number of end users, training facilities available, travel requirements, and other logistical details during contract negotiations. Please note that this end-user training plan is not included as part of our Cost Proposal.

#### Training Methods

We recommend TTT for the Agency and we train the Agency trainers to deliver 3M MVSS training to the Agency end users. The 3M training is role-based, meaning each participant receives training based on the activities he or she needs to perform and the responsibilities



RFP No. DMV130055 / August 27, 2013 Cash Management System



he or she needs to fulfill. Our training, to be carried out by Agency trainers, employs blended training methods, which allows the Agency to tailor the training to the learning needs of the end users and minimize the amount of time spent away from work.

The types of training that 3M recommends the Agency employ, and that we have included in our cost proposal, include the following:

- Instructor-led training (ILT) by Agency trainers: The instructor presents key concepts, demonstrates functionality, and actively interacts with participants. The 3M team recommends that the Agency's end users be trained via the Train-the-Trainer approach.
- Sandbox: The Sandbox is one of the most crucial aspects of the 3M Training Program. The Sandbox is a duplicate of the User Acceptance Test (UAT) environment that provides a risk-free production-like environment for end users to practice exercises or scenarios at any time during or after attending ILT training. It will be important to formally set the expectation with supervisors and management concerning the amount of time employees should dedicate to learning the application by using the Sandbox. For example, during Go Lives in other jurisdictions, there are significantly fewer support calls from the offices that require mandatory Sandbox practice for their staff than those offices that do not.
- Web-based tutorials: Tutorials demonstrate how certain activities are performed.
   These tutorials are a valuable support resource for end users once they are in their jobs using the new tools and processes. A tutorial serves as an online refresher, allowing users in real time to review the piece of functionality or process they are trying to use. 3M has included two web based tutorials in our cost proposal

Once the CSRs and other end users are trained, additional support mechanisms will be in place to assist with learning and using the system. These support mechanisms include the documentation described under Documentation.

#### **Ongoing Training**

Our approach is to transition the maintenance for ongoing learning documentation and delivery to the Agency's training team so that the Agency team is able to become self-sufficient in user readiness activities at the point of implementation. We work closely with the Agency training team to address the following:

- · Updating the employee orientation processes to include training content
- Assigning instructors or mentors to conduct formal or informal training (including back-ups)
- Reinforcing training and ensuring that it takes place in a timely manner
- Communicating changes to employees as they occur
- · Monitoring understanding and use of processes
- Coordinating timely sharing of information with primary and secondary audiences
- Updating the training material and documentation when system enhancements occur





RFP No.DMV130055 / August 27, 2013 Cash Management System

### **Participant and Instructor Guides**

3M offers two training guides for use by the Agency trainers and end-users. The agency is free to use, updated and reproduce these materials once the system is productive and in use be the Agency.

- User Guide: The user guide is used by students for the duration of a class. The guides include class exercises and instructions, and provide an area in which students can write notes. Participants keep their guides after the class is complete, and can use them as points of reference when they are completing transactions in the Sandbox or in the live environment. The primary sections of the user guide include PowerPoint slide notes pages, labs and activity pages, office simulations, and case studies.
- Instructor Guide: This instructor guide is the centralized reference point for instructing the class. This guide mirrors the user guide. It contains 100 percent of the entire user guide, but with additional instructor notes, schedule information, and teaching tips.

#### **Documentation**

Documentation is essential to providing a clear, test-based system representation that can be used by various people who interact with the system, including operations and support staff, front and back office personnel, administrators, and external trusted-party agents.

The 3M MVSS approach to system documentation is to develop manuals, guides, and other tools that provide a valuable resource to system users in the operation, training, and general support of the system. In order for these tools to be truly useful, they must document the specific functions and processes that are unique to the Agency, and therefore, these tools are not a simple rebranding of another jurisdiction's documentation.

The 3M team will develop and customize several types of user and system documentation manuals for the Agency's CMS project. The documentation developers write the documentation based on system requirements, test scripts, and system functions, including testing the user documentation against the system to ensure accuracy.

For 3M CMS, we will provide the original source files in Adobe® FrameMaker®, and one copy in PDF. The FrameMaker source files can be edited and upgraded as the system evolves over time, and then republished to PDF for general distribution. The documentation supports keyword searching.

During the life of the project, updates may be required for the documentation. The 3M team will make updates to the documentation to incorporate any changes resulting from the implementation of 3M CMS. Following implementation, we will turn over the documentation to the Agency for maintenance and updates. Because the documentation is provided in FrameMaker — the industry standard for software documentation — it is easy for the Agency to update, if needed.

If the Agency would prefer that 3M MVSS maintains responsibility for documentation updates, we can propose a value-add option for extended training. We would work with the Agency to determine the Agency's needs and to develop an extended training service plan. Please note that this extended training service plan is not included as part of our Cost Proposal.



RFP No. DMV130055 / August 27, 2013 Cash Management System



3M MVSS will provide the following types of documentation for the Agency's CMS project:

#### **System Documentation**

Administration and Tools Guide: This guide supports database administrators, system
administrators, and application administrators in installing, configuring, monitoring,
and maintaining the system. Figure 4.1-1 shows an example of instructions in the
guide for managing system access by trusted parties.

Contents of the administration guide include the following: configuration tables, inventory management setup, security permissions, table management, system monitoring, user and group management, password management, exception case management, customer management, profile management, and special processing.

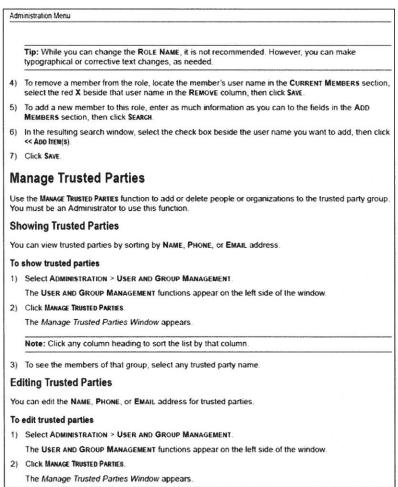


Figure 4.1-1. The Administration and Tools Guide provides procedures that are used by staff in system administration and technical roles.

 Batch Processing Guide: The batch processing guide provides information on all batch jobs in the solution. The batch processing guide includes:





RFP No.DMV130055 / August 27, 2013 Cash Management System

- The purpose of the batch job
- Daily, weekly, monthly, quarterly, and annual batch schedules
- Triggers (what causes the batch job to run)
- Dependencies that are required in order for the batch job to run properly
- Agencies and stakeholders
- How to run batch jobs manually on demand
- Statuses and runtimes of the batch jobs
- Descriptions of data going to external databases
- Descriptions of data coming into the 3M solution

#### **User Documentation**

- User Guides: User guides help agents and supervisors effectively use the application to
  complete their job functions. User guides include overview information, procedures,
  a glossary, and an index. The guides are process-based and assist users with the steps
  needed to complete a task. User guides for the Agency will include the information
  about the following topics as required:
  - System overview
  - Procedures for various types of transactions
  - Reports and queries
  - Error processing
  - Supplemental user help for specific end users
  - Workflow processes
  - FAQs
- Reference Guides: Reference guides help users understand how to use specific
  windows and fields in the application. The reference guides include a description
  of each window's purpose, the navigational path, and a detailed description of each
  element on the window. The reference guide provides details on every window and
  element in the application.
- Quick Reference Guide: The Quick Reference Guide is a reminder tool for the most common tasks performed in the application. It can also be used to supplement the user documentation or other manuals. Figure 4.1-2 shows an example of a Quick Reference Guide (the formatting of the QRG might be slightly different).



RFP No. DMV130055 / August 27, 2013 Cash Management System



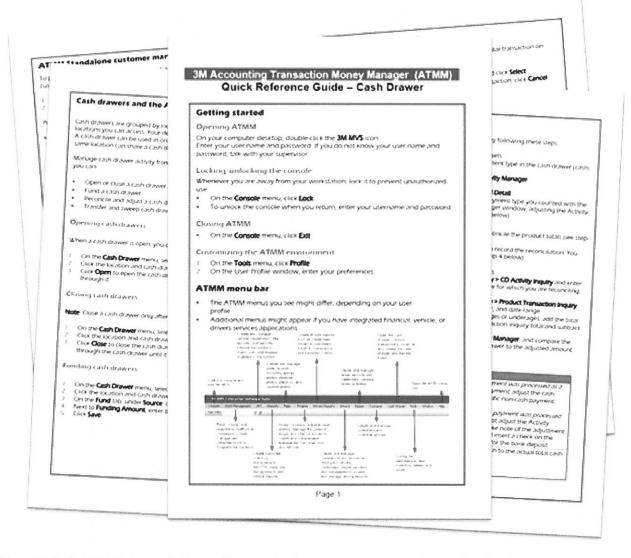


Figure 4.1-2. The Quick Reference Guide provides steps for the most common transactions as a handy reference.

- Frequently Asked Questions (FAQ): The 3M team will provide FAQs as part of the user guide. Users can use this guide to find answers for common questions. FAQs provide a quick reference to answers presented in logical groupings.
- Training Manuals: Training manuals include an instructor guide and a corresponding
  user guide. The instructor guide is the central reference point for instructors providing
  solution training. This guide mirrors the user guide. It includes the contents of the
  entire user guide, but also includes instructor notes, teaching tips, and module
  schedules. The user guide is the book that the students work with throughout a class.
  Students keep their user guide and may take notes in it.





RFP No.DMV130055 / August 27, 2013 Cash Management System

4.4.1.21 The vendor should provide examples of documentation and training materials that will be provided for the proposed system. These training manuals should become the property of the Division with the permission to reproduce when necessary.

We provide samples of 3M's documentation and training materials in the Attachments section of this proposal response.

4.4.1.22 In the event that system changes are made, the vendor should update all training manuals accordingly.

3M MVSS develops content for the training materials in standard authoring tools, such as Adobe FrameMaker and Microsoft Word. These tools provide an easy way to update and republish the training manuals as changes are made to the system. 3M MVSS provides the updated manuals in electronic format and the Agency can distribute them to the appropriate personnel. Training manual updates for system changes made prior to implementation will be performed by 3M MVSS. The 3M team proposes post implementation updates be prepared by the Agency, unless the Agency elects to exercise the value add option for extended training.

### Section 4, Subsection 4.2

### 4.4.2 Produce print-on-demand registration cards and decals

4.4.2.1 The vendor should outline in detail their understanding of the project and its objectives.

3M Motor Vehicle Systems and Services (MVSS), in conjunction with its subcontractor Intellectual Technology, Inc., proposes a comprehensive print-on-demand registration cards and decals solution for the Agency. 3M MVSS will provide to the Agency a completely operational print-on-demand (POD) solution for printing integrated registration forms and decals at its office locations. These integrated registration forms and decals will be printed at the time of sale; this solution is designed to eliminate the necessity of maintaining large quantities of pre-printed registration decals.

3M MVSS is responsible for integrating the proposed solution with current and future Agency computer and network infrastructure. We will provide the hardware and software requirements necessary for successful integration of the proposed solution, which will print the required information on the registration forms and decals according to current requirements and future legislative action.

3M MVSS will thoroughly train the affected agencies and personnel in the proper use and maintenance of the solution provided. We will maintain the software and hardware furnished as a component of the solution for the tenure of the contract, and will also maintain distribution and accountability of registration document stock to the issuing agencies, providing monthly reports displaying distribution data, issuing agency performance, and identifying discrepancies in form inventories.

The 3M MVSS team has designed a turnkey solution to meet the Agency's desire for print-on-demand registration forms. This robust solution accommodates the high volume of transactions, while remaining straightforward in operation and maintenance. Our solution is designed for stability and reliability in day-to-day operations, incorporating numerous safeguard features to ensure high availability. This will be accomplished by making architectural changes to the current system, as outlined below.



RFP No. DMV130055 / August 27, 2013 Cash Management System



Project Management Methodology — 3M MVSS has extensive experience managing large, complex projects in the public sector. We will utilize the Project Management Institute (PMI) management policies and practices supported by the Body of Knowledge (BOK) principles and standards. In addition, we will integrate the Agency's project standards as identified during the requirements registration phase of the project. Our ability to plan and execute effectively comes from substantial experience on a variety of large projects of a size equal to, or greater than, that of the Agency. The development and utilization of properly employed management tools provides the implementation management professionals a foundation that is essential to our combined success. This foundation provides the necessary level of detail within plans for the program, an open communications process, and the rapid understanding and mitigation of risks and issues.

Distribution and Inventory — 3M MVSS will manage the inventories of each office through a combination of efforts, allowing each office to maintain a 90-day supply of each form. Our Inventory Management System (IMS) will track all shipments from our central warehouse in Fort Wayne, Indiana to the respective offices. The IMS system will track the sales and usage of each office via reports from the intranet (see "Intranet Management" in section 4.4.2.4) and compare them against the distributed supplies. Field engineers then perform actual counts on their quarterly preventative maintenance calls and send the data to the IMS system. This allows us to manage the inventory and analyze it for waste or other discrepancies. The IMS system will analyze past records supplied by the Agency and continue to analyze future usage to create a forecasting model for office consumption; it will be especially important for us to manage the form inventory for the forms that are being phased out each year to minimize waste and cost. Office managers will be trained to collect all wasted, damaged, or excess forms if necessary and store them for retrieval by field engineers. Field engineers will then provide counts of forms to the IMS system. We will maintain a statewide inventory of three months in our Fort Wayne warehouse, and all shipments will be tracked and signatures will be stored acknowledging receipt at the respective offices. Field offices will also be able to request forms at any time via the help desk. Upon each request, we will analyze the office consumption versus inventory and shipments to determine if any discrepancies exist. The same distribution and inventory process will apply to the thermal transfer ribbons.

4.4.2.2 The vendor should provide a detailed breakdown of the hardware (including miscellaneous hardware, number of servers, workstation requirements and specifications) and software required for the proposed system (software components and licenses required).

Printing Technology — We propose DataMax E-Class Mark III Thermal Transfer printers for their durability and reliability. With their 3-inch per second print speed, 300 DPI resolution, and native ability to print bar codes, these printers have established themselves in the motor vehicle marketplace, with numerous states having already deployed them for years. Thermal Transfer ribbons are clean to handle and do not leave residue, which makes the printer environment more sterile. The DataMax printers are simple to maintain because they require only minor periodic maintenance and they have been proven to last for many years, even in less than favorable environments. We utilize the "smart" features of these printers. which gives us the ability to query them for different state of health conditions such as ribbon low, print status, and media presented. This allows our software an extra layer of service by enabling us to determine whether print jobs succeeded, making us more proactive in addressing potential service issues.





RFP No.DMV130055 / August 27, 2013 Cash Management System

Field Office Systems — Each Agency office will receive a suite of printers dependent upon their size, volume, and need (as determined through communication with the Agency). Each printer requires a standard 110V electrical outlet and a standard Ethernet jack (the printers require an Ethernet connection because they are driven by centralized servers). Each printer utilizes a desktop space of 10 inches in width, 7 inches in height, and 12 inches in depth. Every field office will be supplied with one extra DataMax E-4304 Thermal Transfer printer as a spare in the event of a printer malfunction. The printers will be configured to print differing expiration years as well as different transaction types if necessary, and since all printing is on demand, numerous formats can be generated. The printers shall be configured for failover printing; this ensures that each print job prints successfully and does not require an Agency operator to stop in the middle of a busy time to change paper or media.

Print Server System — The solution requires placement of a server bank, firewall, gigabit switch, and tape library within the Agency network, together acting as a print server. The 3M MVSS team will consult with Agency network personnel to isolate the server system behind the firewall. This will help prevent issues that can occur between Agency network servers and vendor-supplied servers. This topology is effective in avoiding network issues with Windows-based server networks that were not specifically designed to interoperate. The firewall will be programmed to only accept packets on certain ports, which will be determined in conjunction with Agency personnel to be routed to either the application servers or the intranet server. These packets will be notifications sent by the Agency for processing, web requests for reporting or administration on the intranet server, or remote management requests to the servers for maintenance or updates. The firewall will also be programmed to allow only internally initiated requests to be routed to our printers. Examples of internally initiated requests are processed Agency notifications sent via port 3001 to team printers and email alerts to key personnel notifying of system conditions.

Print Server Application — The print server application will be developed in Visual Studio .NET 2010 with a database backend of SQL Server 2008. The application will listen on Agency specified ports for notifications being sent via the mainframe. While there are numerous methods for integrating, we have found that agencies operating a mainframe environment normally can change all of the printer PIDs to a single IP address, in this case the ITI servers. The application will then parse these retrieved files and place the parsed information in the database. A routine will then be initiated to extract and format the data to be sent to the proper printer via port 3001. Immediately upon sending the data to the printer, the system will query the printer to determine if the decal was printed. If for any reason it was not, the system will then reroute the job to the next available printer in that field office. A rerouted print job will be set up on a per user basis according to local preference. Upon successful print, the database will be updated and a transaction log will be written for future audit and management purposes.

Network — We propose installation of a server bank within the Agency network as designated by the Agency. The server bank will consist of a combination of two Dell PowerEdge dual processor application and database servers as well as one Dell PowerEdge dual processor management server. All servers will be standard 2U rack configuration models and will be connected via a Dell PowerConnect gigabit switch. It is our intention to place the servers on their own network behind a Cisco ASA 5510 firewall to protect the servers and the Agency network from possible unintended interaction. The server bank will receive the data from the Agency on predetermined ports as set forth by the Agency, and



RFP No. DMV130055 / August 27, 2013 Cash Management System



will communicate with the remote printers on port 3001 using TCP socket connection. The firewall will also allow port 443 in to the server network for Intranet and reporting purposes. 3M MVSS will request of the Agency the ability to access the Internet for application updates, virus updates, and email delivery for alerting. The application servers will be network load balanced to allow the volume to be equally distributed and protect the system from failing in the event of a server failure. The database servers will utilize SQL replication and database consistency checks performed nightly to ensure database congruency.

Software Applications — All software will be developed using common industry standards in Visual Studio .NET 2010. The print server application and the state of health application will be written with flexibility and robustness in mind. It is our intention that all variables within the application environment will be stored in a database to allow for quick and easy application modification by either the Agency or 3M MVSS. We will also construct a full test program and set of test plans to be performed upon any application change. All development will be thoroughly documented and properly versioned for development control. Visual Source Safe will be utilized as a software repository and will be made available to the Agency. All production software is custom developed for the Agency and its licensing is included during the contract period.

System Security — 3M MVSS will implement data security using generally accepted industry standards and best practices applicable to the service and technology components. All data residing on the servers will be owned and will be the sole property of the Agency. Said data will be physically and virtually secure from all unauthorized access using the strictest of accepted principles adhering to the (ISC)2 Certified Information Systems Body of Knowledge, and will not be released to anyone, private or public, without the express written consent of the Agency. Absolutely no third parties or personnel from vendors not directly involved with the development will be allowed information relating to statistics or demographics of the Agency. Our team members will execute confidentiality and non-disclosure agreements, and data access will be limited to those who have a need to know. We will supply the Agency with a comprehensive System Security Plan written to the established guidelines of the DMV, NIST, and PCI DSS.

4.4.2.3 The vendor should outline all installation requirements as well as any hardware configurations that may be necessary to install the system.

Installation of New Field Office Systems — Team field engineers will install the Agency offices according to the schedule determined in cooperation with the Agency and documented in the project plan. This installation period will only occur after a successful trial period has been completed and acceptance has been given by the Agency. Field engineers will coordinate with team network and software personnel to determine IP assignments to be given to each printer and to determine the failover printer. Software configuration personnel will identify printers by office number, POD ID, and decal color. Field Engineers will be scheduled to an office only after proper appointments are made with branch personnel to ensure availability for on-site training and installation. Field engineers will begin by assessing the layout, electrical requirements, and network availability. Each POD station will be assigned a predetermined number of printers; each printer will be clearly labeled with network address and decal color. Field engineers will install a surge protected power strip at each POD station. Next, they will neatly run an Ethernet cable to each of the printers and the network jack. Software engineers will then confirm the printer's availability on the network and run tests to verify proper





RFP No.DMV130055 / August 27, 2013 Cash Management System

performance. Once all is complete and certified as operational, the training program will begin for that office. Each deployed field office will be initially stocked with a three-month supply of forms and ribbons. Actual quantities issued will be determined through an analysis of historical volume levels per office and with pre-approval of the Agency.

Personnel Training — Our training approach begins with a high-level "as-is" "to-be" assessment of the current processes to establish the "what is going to change" baseline. Our team has the opportunity in the trial phase to validate the baseline, to determine what gap areas exist in the developed training, and to refine the training presentation and materials prior to full roll-out. We have a dedicated training manager who will be responsible for defining the detailed training processes so that the processes are successfully followed. This data, detailing the training requirements for Agency personnel, management, and contractor support personnel, will be captured in the training plan and presented for Agency approval prior to implementation. The training plan will detail who is to be trained, which components of the training package are needed for which audiences, and where, when, and how training will be conducted.

4.4.2.4 The vendor should also provide a detailed description of the interface that will be proposed with this solution (is this a full desktop client or web-based solution).

The 3M proposed solution leverages the familiarity of the existing methodology and interfaces for producing registration forms. The operators will continue to utilize the same POS system that they have been using. This solution operates in the background and is responsible for delivering the print jobs, auditing the records, monitoring reprints, and managing inventory.

Intranet Management — We will build a web-based intranet designed to be an information portal for the Agency and 3M MVSS to monitor real time system performance. The intranet will consist of a reporting module, state of health module, and administration module. This intranet will be password protected and only available to network segments as designated by the Agency. All login attempts will be logged and after three unsuccessful attempts, a lockout will occur and remain for a period of one hour. The site will require industry standard password complexity and will operate via a SSL connection.

- Reporting Module This module will contain reports that will allow management
  to assess system performance, system and printer information, and inventory
  information. The module will collect transaction data and make use of the audit logs
  in a real time environment. Specialized reports for the Agency will also be developed
  upon request.
- System State of Health Module This module will allow management to assess the status of the POD network, printers, and servers. The management server has numerous routines that run specifically to assess the event logs of the servers and check network availability, printer availability, printer state of health, and more. These routines place the data collected in the database, then reports are created for each of the components. The State of Health application will look for events and assign event levels to them. If certain event levels that can be system degrading are found, the system will send out emails to designated staff as alerts.
- Administration Module The administrative module will allow management to set up user accounts and provide user access levels to the intranet server. It will also allow



RFP No. DMV130055 / August 27, 2013 Cash Management System



both 3M MVSS and the Agency an area for storage of system specific documentation, notes, and logs. The administrative module will grant management the ability to make specific changes to the print server application. These include alert levels, alert contacts, escalation order of alerts, office codes, POD station codes, printer failover assignments, printer IP assignments, inventory levels, and reorder levels.

4.4.2.5 The vendor should describe how it will work with the IT staff to resolve issues which may arise concerning the functionality of the proposed system.

Equipment Troubleshooting and Replacement — If any of the offices experience difficulty with equipment, they can simply replace a problematic printer with the spare printer maintained at each office. Where multiple PODs apply, if a printer fails during production, it automatically fails over to the corresponding printer of the same form in the other POD station until the original printer is replaced. Upon replacement of the printer, the office can call the help desk and a new printer will be shipped overnight with instructions for return shipment of the damaged printer at no cost to the Agency. The system tracks each printer and associated service records by the serial number of the printer. This allows us to analyze equipment issues to determine defective components, issues with training, or location-specific issues. These service records will be available to the Agency on the intranet. If we determine that certain offices are experiencing more difficulty consistently, we will contact the Agency to discuss the availability of the office staff for optional supplemental training.

System Maintenance — Our proposed solution includes maintenance involving system hardware, software, integration, and programming. We will require VPN access only to the Agency's server banks to allow our network personnel to monitor and maintain the systems on a weekly basis at time periods discussed and accepted by the Agency. If any issues are detected that involve on-site service, we will arrange with both the Agency and a field engineer to resolve the issue locally. 3M MVSS will provide the Agency with a single toll-free number and an online system to contact technical support for assistance with server issues, maintenance issues, consults, and necessary software upgrades. The help desk is trained to escalate all calls immediately if an issue presents a system-down status. At this point, a system-down service call will take precedence over all other service issues and resolution will be obtained as quickly as possible. We will provide the Agency with a complete maintenance plan encompassing servers, network, software, and printers. The maintenance plan will detail preventative maintenance procedures, service personnel, issue procedures, service level expectations, tracing, auditing, timelines, and reporting. If the Agency requests software upgrades, a formal procedure will be outlined wherein the issue will be presented to a change control board. Once all the deliverables, risks, testing procedures, and timelines have been established and approved, we will perform such upgrades at no cost to the Agency. Additionally, through the change management process, 3M MVSS will make its technical staff available at Agency's request for out of scope consultation on issues. It is our intention to provide a smooth system operation.

4.4.2.6 The vendor should provide minimum specifications including bandwidth requirement and any other network infrastructure requirements for the proposed system.

In most cases, the proposed solution generates a decrease in Agency bandwidth requirements for registration printing. The data streams from the server to the printers



RFP No.DMV130055 / August 27, 2013 Cash Management System

are character based, not file based, resulting in data streams around  $10-20\,$  kb, as opposed to file based jobs, which can range from  $100-300\,$  kb. Our solution requires a bank of servers consisting of three servers, a switch, a firewall, and a backup appliance. This bank of servers normally resides within the Agency NOC and is completely segregated by a Cisco ASA 5510 firewall. The firewall only allows mainframe print requests or intranet report requests into the servers and only allows print jobs to the printers within the Agency network outbound. We will require a secure VPN to have access to the servers from its facility in Fort Wayne, Indiana. The VPN will only need access to the ITI server bank, and not to the individual printers.

4.4.2.7 The vendor should outline the procedure that should be followed to report technical issues.

Help Desk — We will provide the Agency with a technical support system, including a single toll-free number and an online system. Technical support will be available to the Agency Monday through Saturday from 6 a.m. to midnight Eastern Time and on Sunday from 7 a.m. to 4 p.m. Eastern Time, with the exception of Agency holidays. Our team will respond in one hour to address technical support issues with full resolution within 24 hours. All technical support requests will be logged and tracked online to ensure resolution in a timely manner. The Agency will have real-time access to all service requests (both active and closed tickets). We will supply the Agency with performance reports that can be accessed via the intranet that we supply.

### Section 4, Subsection 4.3

### 4.4.3 Manufacture and distribution of license plates using flat-plate technology

4.4.3.1 The vendor should outline in detail their understanding of the project and its objectives.

3M Motor Vehicle Systems and Services (MVSS) understands that the West Virginia Division of Motor Vehicles is seeks a license plate solution that can be used by prison industries to produce flat plates for issuance to motorists and Agency regional offices.

3M MVSS proposes its 3M™ Digital License Plate (DLP) system, 3M™ Vehicle Information System (VIMS), and 3M™ DLP Matched Component System™ materials to meet the Agency's license plate assembly and manufacturing requirements. Digital printing of license plates provides the Agency with maximum flexibility and capability in license plate production. The 3M DLP system provides flexible license plate design and manufacturing processes to meet the Agency's needs, including general issue plates, specialty plates (including specialty design), motorcycle plates, and special requirement license plates as needed.

3M MVSS is an accomplished and experienced solution provider, ready and able to meet the Agency's goal to manufacture and distribute license plates using flat-plate technology while providing legibility, reflectivity, durability, and performance requirements as outlined in the Agency's RFP.

#### **Background**

3M MVSS is well equipped to implement a new DLP system for the Agency. 3M MVSS has installed and implemented 30 3M DLP systems in 21 locations, beginning with our first implementation in 1999 in the state of Iowa. We have been producing license plate sheeting



RFP No. DMV130055 / August 27, 2013 Cash Management System



for more than 50 years. Leveraging our vast manufacturing experience, we will take the Agency's requirements into account to deliver a system that meets its specific needs.

A proven, high speed processing and printing solution, the robust 3M DLP system is capable of fulfilling the Agency's requirements for issuing all license plates using flat-plate technology.

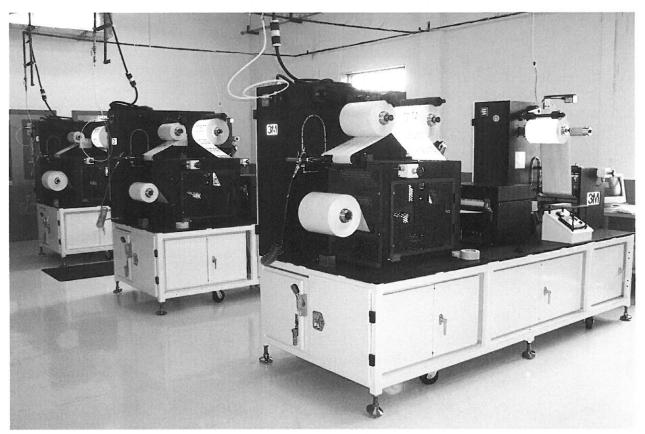


Figure 4.3-1. 3M's DLP System. A high-speed, robust solution for printing license plates stands ready to meet West Virginia's license plate production needs.

4.4.3.2 The vendor should provide a detailed breakdown of the hardware (including miscellaneous hardware, number of servers, workstation requirements and specifications) and software required for the proposed system (software components and licenses required).

#### **Overview**

The 3M DLP system, as proposed to the Agency, includes a graphic design workstation, the 3M™ 1530 Plate Making Workstation, the DLP printer, a roll handling unit, a cooling system, and the 3M DLP Blanking Line System.

Included in the proposed solution is the 3M Vehicle Information Management System (VIMS), a software application suite that provides license plate order entry, production management functionality, and a shipping utility. 3M VIMS streamlines the fulfillment process as it processes the plate manufacturing orders.



RFP No.DMV130055 / August 27, 2013 Cash Management System

Also included are 3M Matched Component System (MCS™) materials, which include license plate sheeting, clear protective film, and DLP thermal transfer ribbons. As an industry leader in license plate development and production, we meet federal and industry specifications by utilizing 3M's MCS. This compliance is covered in greater detail in our response to section 4.6, License Plate Specifications.

It is 3M MVSS' intent to utilize the Department of Correction's facility in Mount Olive, its staff, and its inmates for producing the license plates required by this RFP. 3M MVSS supplies equipment and materials to meet production requirements and uses the inmates and staff to operate the equipment, as well as to inspect and package the plates.

#### 3M Digital License Plate (DLP) System

The 3M DLP system is a complete solution for managing the license plate production operation from order entry to shipping.

The comprehensive 3M DLP system is comprised of the following components:

- Graphic design workstation
- DLP printer (4-station thermal transfer license plate printer)
- 3M 1530 Plate Making Workstation
- Roll handling unit, which laminates the clear protective film in-line during printing
- Cooling system
- Blanking line components that adhere the sheeting to a substrate and create the finished plate
- 3M Vehicle Information Management System (VIMS)
- 3M Matched Component System (MCS) materials
- 3M Spare Parts Kit: spare print heads, platen rollers, belts, and cleaning supplies
- Surge protectors for computers

#### **Graphic Design Workstation**

3M MVSS provides a graphic design workstation for creating new license plate designs, with the flexibility to allow for future redesigns.

The graphic design workstation is a Microsoft-based PC loaded with Adobe Illustrator, Adobe Photoshop, and CorelDRAW graphic software programs.

#### **Printing Station Capabilities**

The 3M DLP system printing station includes the DLP printer — an industrial grade, high-speed, four-color process thermal transfer printer — combined with a 3M-designed roll handling unit.

The DLP printer operates at a print speed of up to three inches per second and yields up to 1800 plates per hour at a resolution of 300 dpi. In certain modes, the DLP printer is capable of operating at up to 4.5 inches per second for up to 2,700 plates per hour at the same 300 dpi resolution.



RFP No. DMV130055 / August 27, 2013 Cash Management System



The printer processes nominal 12 inch wide sheeting and protective clear film for standard license plates and nominal 7 inch wide sheeting and protective clear film for motorcycle plates. The sheeting can be either preprinted graphic or plain white. For all plate types, 12 inch wide ribbons are used. Immediately upon printing, the printing station applies a protective clear overlaminate to the sheeting.

Constantly monitoring the production materials quantities being processed, the 3M DLP system automatically pauses the printer and displays a warning message to inform the operator about which material or materials need to be reloaded. When restarted, the printer automatically resumes production from the point at which it was paused.

The 3M DLP printer is capable of printing a completely mixed batch of plate designs and text field information concurrently, with no reduction in output.

#### 1530 Plate Making Workstation

Feeding the plate designs and variable information to the DLP printer, the 1530 Plate Making Workstation combines basic elements from a custom palette of fonts, graphics, sheeting, and colors to produce plate layouts and spot colors. Up to 400 graphic backgrounds, plate designs, and run lists can be stored on a 1530 Plate Making Workstation.

The 1530 Plate Making Workstation enables multiple text fields with variable position, size, font, and color. A background graphic and as many as ten text fields, including a barcode field, can be printed on each plate, with a per plate maximum of 50 variable text characters.

For maximum flexibility, the DLP print station can print graphics simultaneously with text, or it can print text only onto pre-printed graphical sheeting to economize when printing a large volume of specific plate types.

The 1530 Plate Making Workstation can be used in manual mode to create print orders or connected to VIMS to process plate orders electronically.

#### **Blanking Line**

3M MVSS will utilize the Agency's current blanking line, but equipment updates will be required in order to blank flat plates. Please see the detailed list below for 3M's proposed blanking updates.

#### 3M Vehicle Information Management System

The 3M Vehicle Information Management System (VIMS) is a software application suite designed specifically to work with the 3M DLP system to automate the production process. 3M VIMS will receive license plate order files from the Agency's systems. In addition, 3M VIMS has the ability to identify prohibited letter and number combinations, assign plates to packages, manually enter series orders based on the starting series value, and provide numerous predefined production reports.

3M VIMS provides the ability to accept electronic plate orders as well as manually entered plate orders.





RFP No.DMV130055 / August 27, 2013 Cash Management System

### 3M MCS (Matched Component System) Materials

3M MCS materials includes 3M 9250T Digital License Plate Sheeting, 3M 9097 Digital License Plate Clear Protective Film, and 3M TTR 1300 Series Digital License Plate Thermal Transfer Ribbons.

#### Specifically:

- DLP Hardware and Software
  - Graphic design workstation
    - · Adobe Illustrator
    - Adobe Photoshop
    - CorelDRAW
  - DLP printer (four-station thermal transfer license plate printer)
  - 3M™ 1530 Plate Making Workstation
  - Roll handling unit, which laminates the clear protective film in-line during printing
  - Cooling system
- · Blanking line equipment
  - 3M passenger rimming die
  - Spare set of steel and punches for passenger die
  - Motorcycle rimming die
  - Spare set of steel and punches for motorcycle die
  - Bolster plate
  - Slug chute for scrap
  - Blanking Press (45 ton)
  - DLP-01 conveyor 7" MC plate
  - DLP-016 corner collector vac tub 12" passenger plate
  - DLP-016 corner collector vac tube 7" MC plate
  - DLP-017 vacuum collector
  - Blanking die guard
  - McMaster-Carr (#24485t22) die cart
  - New 3M ERF Mechanical parts only



RFP No. DMV130055 / August 27, 2013 Cash Management System



- Blanking line assembly parts
- DLP-24 LP tunnel 16" for 3M applicator
- Blanking Dies
  - Passenger blanking die for 6 inch by 12 inch plates with four holes, four radiused corners, and a debossed rim
  - · Spare cutting steels and punches for passenger die
  - Motorcycle blanking die for 4 inch by 7 inch plates with four holes, four radiused corners, and a debossed rim
  - · Spare cutting steels and punches for motorcycle die
- 3M MCS materials
- 3M Spare Parts Kit: spare print heads, platen rollers, belts, and cleaning supplies
- Surge protectors for computers
- Server Hardware and Software
  - One Database server
  - One Server
  - Server Monitor
  - Microsoft SQL Server software
  - Microsoft SQL Server CALs
  - Microsoft Windows Server Operating System
  - Microsoft Server CALs
  - Mouse & Keyboard
  - Server rack
  - Gigabit network switch
  - Diskeeper Server
  - Symantec Backup
  - Norton AntiVirus
  - WinZip
- 3M VIMS Workstation Hardware and Software
  - Laser printer for 3M VIMS production reports
  - Thermal printer for 3M VIMS package labels
  - Norton Ghost





RFP No.DMV130055 / August 27, 2013 Cash Management System

- Norton Anti-Virus
- Microsoft Windows Operation System
- Microsoft Office
- Adobe PDF Reader
- Wired Barcode Scanner
- Wireless Barcode Scanner and cradle
- Four to five workstation PCs
- 4.4.3.3 The vendor should outline all installation requirements as well as any hardware configurations that may be necessary to install the system.

Upon award of the contract, the 3M team will order all equipment required to implement the 3M DLP system at the Mount Olive Correctional Complex. In addition, the 3M team will assess and advise prison personnel of changes needed at the facility to accommodate a 3M DLP system.

All equipment ordered for the project will be shipped to a 3M facility, where it will be installed and set up for testing. All hardware and software configurations will be made to the system while at the 3M facility. Upon successful completion of the DLP system testing, the entire system will be shipped to the Mount Olive Correctional Complex where it will be installed and made ready to produce flat license plates. The 3M team will make any updates to the hardware setup and configuration that are required once the equipment is on site at the Mount Olive Correctional Complex.

Figure 4.3-2 shows a typical DLP room layout, along with power requirements.

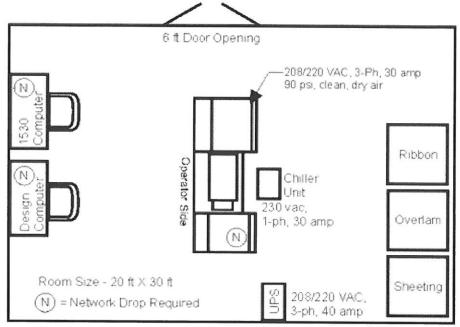


Figure 4.3-2. Typical room layout for 3M's DLP processing.

RFP No. DMV130055 / August 27, 2013 Cash Management System



4.4.3.4 The vendor should also provide a detailed description of the interface that will be proposed with this solution (is this a full desktop client or web-based solution).

### 3M's Approach to Producing License Plates

#### Overview

The 3M team expects the license plate orders to arrive from the Agency via a daily order file. We utilize 3M VIMS to receive the order file and create the required production run information for producing the plate on the DLP system. 3M VIMS can accept or assign which plates go to each DMV office based on the order provided by the Agency.

#### The Process

Once the plate orders are entered into the 3M VIMS database, they are prepared for production and submitted using the production management application. Enabling the operator to regulate and organize the print jobs sent to production, the 3M VIMS production management application provides information about all plates not yet processed. This allows the operator to choose which plates to produce. These plates are organized based on common attributes related to production method (embossed or digital), materials (ribbon set and sheeting), distribution location, and equipment configuration. The user can select which plates to send to production.

#### **Production Management**

The production management application in 3M VIMS provides the capability to:

- Efficiently manage the production process by allowing for the selection and ondemand processing of partial orders
- Manage the efficient use of materials, rapid turnaround of orders, or a balance of both
- Print detailed production reports listing every plate in an efficient order for flat plate production
- Print summary production reports for digital plate production
- Manage plate remakes

#### **Packaging**

Finished plates are placed into prepared packages. Series (bulk order) plates are assigned to packages by 3M VIMS and contain one plate type per package. Two methods are available for packaging series plates — gap packaging and fill packaging. Gap packaged plates are separated according to series range boundaries (e.g., if a package can hold a maximum of 100 plates, and there is one plate per set, then each package would contain plates in the range X00-X99). Fill packaged plates are not separated according to a series range boundaries. For example, a package always contains 100 plates.

Non-series plates are assigned one destination and plate type per package.





RFP No.DMV130055 / August 27, 2013 Cash Management System

### Labeling

3M VIMS provides the ability to print labels for plate sets, packages, pallets, and shipment. Labels will include summary information of the container contents, with a one dimensional barcode identifying the container. Labels include:

- Shipping address
- · Package contents summary
- Detailed contents (lists every plate in package)
- Pallet (8 ½ x 11)
- Shipment (8 ½ x 11)
- Plate

#### **Tracking**

3M VIMS provides utilities to specify that a package or plate set has been shipped. 3M VIMS also identifies both the manufacturing site and the location to which the package or plate set is being shipped. The 3M team will pre-load VIMS with destination data provided by the Agency. 3M VIMS allows an operator to select a destination from a list and assign a package to the selected destination.

3M VIMS also provides a tool to check the current status of plate sets. The information can be located by specifying the plate number, order number, package number, shipment number, pallet number, or batch number.

#### **Barcodes**

Digital printing of license plates allows the use of barcode technology to track and identify individual plates. Plate identifiers are cross-referenced in the 3M VIMS database to access production information such as order number, package number, production status, and destination. Currently, 3M VIMS uses Code 30 barcodes.

The 3M VIMS barcode workstation uses code readers to read barcodes on individual plates, and logs plates in the 3M VIMS database as they are completed.

#### **Preventative Maintenance**

With 30 3M DLP systems in 21 locations over the past 13 years, producing more than 180 million license plates, 3M has the experience and skilled staff to keep the 3M DLP systems operational. To achieve this kind of success, we have a defined preventive maintenance program that will be utilized for the 3M DLP located at the Mount Olive Correctional Complex. 3M understands that scheduled and event-driven preventative maintenance (such as printing a specific quantity of digital license plate sheeting) is critical to ensuring that the system remains operational and performs without incident.

Specifically, a 3M Tech Service Representative will perform preventative maintenance visits for the 3M DLP Print System once per year or after every two million linear inches of material processed through the printer, whichever occurs first. Preventative maintenance visits for the 3M equipment installed at the Mount Olive Correctional Complex will occur on an annual basis. 3M maintains an inventory of stocked replacement parts for all



RFP No. DMV130055 / August 27, 2013 Cash Management System



installed equipment. This preventative maintenance schedule is utilized in our 3M DLP contracts in other states to fulfill the required DLP services.

### **Inventory Methodology**

3M MVSS uses best practices in managing the raw materials inventory and finished license plates within the manufacturing facility. 3M's site coordinator will be trained in 3M inventory management best practices. This coordinator will oversee all incoming and in-process material throughout the manufacturing process, as well as shipment of finished plates to the Agency's offices.

4.4.3.5 The vendor should describe how it will work with the WVDOC staff to resolve issues which may arise concerning the functionality of the proposed system.

#### See our response in section 4.4.3.7

4.4.3.6 The vendor should provide minimum specifications including bandwidth requirement and any other network infrastructure requirements for the proposed system.

3M MVSS requires a network connection using Gigabit switches for server to server and server to workstation communications. The 3M team would prefer internet service with 10 Mbps download and 10Mbps upload speed for order file retrieval, update file upload, and off-site software backup.

4.4.3.7 The vendor should outline the procedure that should be followed to report technical issues.

The standard process to report a problem begins with a customer call to the 3M Contact Center of Excellence (CCE). The 3M CCE is designed to be a central focal point and repository for all customer contact and problem resolution. To support the Agency, the 3M CCE staff will be trained on this solution to assist in troubleshooting and problem resolution. If the problem cannot be resolved at that level, the 3M CCE staff has direct access to the necessary resources to solve the problem. This team is responsible for managing and ensuring that the Agency's end-to-end concerns or issues are effectively handled in a timely fashion.

3M MVSS defines standard response times based on a severity range from 1–4, with Severity 1 being the most critical (i.e., production down) and Severity 4 being the least (i.e., system is functional with minor impact). Our response time for receiving an initial response on a Severity 1 issue is one hour. For a Severity 4 issue, the standard response time is two business days. Our standards ensure that all issues are handled consistently, escalated appropriately, and tracked faithfully so that all calls and responses are available for later analysis and review.

# Section 4, Subsection 4.4

# 4.4.4 Provide a vendor-based License Plate Information Management Center

4.4.4.1 The vendor should outline in detail their understanding of the project and its objectives.

3M MVSS understands that the Agency seeks to implement a vendor-based License Plate Information Management Center (LPIMC) that will produce and mail registration cards and license plates to customers who have mailed their paperwork in to be processed. The





RFP No.DMV130055 / August 27, 2013 Cash Management System

fulfillment center will receive registration and plate order information from the Agency, print the license plates on the 3M DLP located at the LPIMC, print the registration forms using the 3M Digital Validation Registration System (DVRS), match the registrations with the appropriate license plates, and mail the paired plate and registration to an individual motorist.

3M MVSS is well positioned to implement the Agency's LPIMC system, as the 3M team has implemented three other such systems in South Carolina, Indiana, and Georgia. Additional information on each of these implementations was previously described in this section.

4.4.4.2 The vendor should also provide a detailed description of the interface with our current mainframe system that will be proposed with this solution.

A successful LPIMC implementation requires data from the Agency's mainframe system. An interface process is required by the Agency, to order license plates and registration forms mailed to a motorist. We call this an On-Demand Plate and Registration Fulfillment process. To order license plates and registration forms for mailing to motorists, the data for both the license plates and registration forms are extracted from the Agency's mainframe and sent to the 3M system at the LPIMC. This file is typically sent on a daily basis. The 3M team receives the data file, loads it into our system, and prints the registration forms using the 3M Digital Validation Registration System (DVRS). 3M then sends the plate information to the 3M LPIMC for printing of the license plate sheeting. The sheeting is sent to the Mount Olive Correctional Complex to adhere sheeting to aluminum, blank our plates, and return them to the LPIMC.

The direct mailing of license plates and registration forms can be performed for various transactions and is not limited only to mailed-in registration renewals. Any transaction completed online, by phone, or at a regional office can have the registration form and license plate fulfilled from the LPIMC. The data necessary to print and mail the registration form and license plate is a requirement of the Agency's system.

The following are details of that process:

#### **On-Demand Plate Fulfillment**

- Receive a daily order file from the Agency containing plate and registration data
  - File is transferred to 3M via SFTP
- 3M batch job retrieves order file and parses file into two places
  - Job parses plate data and creates a license plate order file for 3M VIMS to consume, allowing for 3M VIMS to produce plates on the 3M DLP
  - Job parses registration data and creates print jobs for each registration within 3M DVRS
- 3M VIMS accepts plate order file
  - Creates run list
  - Run list sent to DLP and plates are printed onto sheeting
  - Package labels are printed



RFP No. DMV130055 / August 27, 2013 Cash Management System



- Printed sheeting and package labels are shipped from License Plate Information Management center to Mount Olive Correctional Complex for plate blanking
- DOC receives printed sheeting
  - Sheeting is adhered to aluminum
  - Individual plates are blanked out
  - Boxes are prepared with package labels
  - DOC marks plates finished within 3M VIMS (Provided there is connectivity)
  - Finished plates are packaged in boxes according to package labels
- · DOC ships packaged plates back to LPIMC
- 3M Receives finished plates
  - Finished plates are loaded into 3M IMS to track production and issuance
    - · Location entered in is LPIMC
- 3M prints registration print jobs in 3M DVRS
- Registrations are printed in same order as plates packaged
- · 3M initially pairs plate with registration
- 3M Quality Checks (QC) the plate and registration match using 3M DVRS scanning module
- 3M packages approved plate and registration into envelope
- 3M mails paired plate and registration to motorist
- 3M creates and sends update file back to WV DMV
  - File sent via SFTP
  - File contains plates and registration mailed for the day
  - Plates mailed for the day are updated in 3M IMS and removed from inventory at the LPIMC with a reason of Mailed to Motorist
- WC DMV retrieves update file
- WC DMV updates mainframe with new plate and registration information
- This ensures the motorist is a valid motorist on the road

In addition, the LPIMC provides license plates to the regional offices using the inventory management component of 3M CMS. Personnel at the LPIMC access the various inventory management screens to order and ship license plates to regional offices. Based on previous 3M Registration Fulfillment implementations, a mainframe interface is required to be provided by the Agency. The 3M IMS utilizes data generated from 3M CMS to fulfill plates as indicated, when additional license plates need to be shipped to a regional office. Detail on the Inventory Replenishment Process follows:





RFP No.DMV130055 / August 27, 2013 Cash Management System

### **Inventory Replenishment at Agency Regional Offices**

#### 1. In 3M IMS

- User opens 3M IMS and logs in
- User selects reports menu and selects Inventory Quantity Report
  - · The user selects a start date and end date
  - The report fetches inventory types for each location that has hit its reorder
    point and highlights that information for the user. The report displays each
    location, followed by each inventory type for that location, the current
    quantity on hand, number of items on order, number of items currently being
    shipped, the reorder quantity and reorder threshold.
- The user prints out the Inventory Quantity Report using Excel
- The user creates an Inventory Request in 3M IMS for the location(s) and inventory items requiring replenishment
  - An order of the license plates needed for a location is created once the Inventory Request is approved
  - All orders have a destination location of 3M Fulfillment Center

#### 2. In 3M VIMS

- At the 3M VIMS workstation, the user processes the electronic order file from 3M IMS
- C. Since 3M VIMS records the last message printed, the user selects the next available plate messages
  - The plate messages are created and a run list is created for printing on the 3M DLP
  - Plates are printed onto sheeting using the 3M DLP
  - Once plates are printed onto sheeting, the sheeting, along with 3M VIMS Package Labels, are shipped to Mount Olive Correctional Complex for blanking.
  - 4. At Mount Olive Correctional Complex
    - DOC receives in printed sheeting
      - · Sheeting is adhered to aluminum
      - Individual plates are blanked out
      - Boxes are prepared with package labels
      - DOC marks plates finished within 3M VIMS (Provided there is connectivity)
      - Finished plates are packaged in boxes according to package labels
    - DOC ships packaged plates back to License Plate Information Management Center

#### 5. In 3M IMS

- 3M Receives finished plates



RFP No. DMV130055 / August 27, 2013 Cash Management System



- Finished plates are loaded into 3M IMS to track production and issuance
- User Selects to Ship Inventory
- Shipments are created
  - User looks at previously printed Inventory Quantity Report and determines which shipments to create for locations needing inventory
- User selects plates from LMIC Inventory in 3M IMS and assigns to shipment
- Packing Slip is Printed
- Plates are physically pulled from inventory and put together based on Packing Slip
- User ships shipment in 3M IMS
  - · Packages/Pallets are physically shipped to Agency Branch Offices
- 3M IMS creates and sends Plates Shipped file to the Agency
  - · File sent via SFTP
  - · File contains plates shipped to branch offices for the day
  - · Plates shipped for the day are updated in 3M IMS to Shipped
- 6. In Agency Branch Office
  - Plates are physically received
- 7. In 3M IMS
  - Branch Office logs into 3M IMS and receives plates into their inventory
    - Plates are updated in 3M IMS to Available (meaning available for issuance)
- 8. In Branch Office
  - Plates are issued to motorists and recorded in 3M CMS
    - In 3M CMS/IMS
  - Once plates are issued to motorists, they are removed from inventory at that Branch Office in 3M IMS with a status of Issued.

Note: Once an Agency Branch office runs low on inventory for a given plate type, this entire process repeats.





RFP No.DMV130055 / August 27, 2013 Cash Management System

4.4.4.3 The vendor should outline the procedure that should be followed to report application/technical issues.

The standard process to report a problem starts with a customer call to the 3M Contact Center of Excellence (CCE). The 3M CCE is designed to be a central focal point and repository for all customer contact and problem resolution. To support the Agency, the 3M CCE staff will be trained on this solution to assist in troubleshooting and problem resolution. If the problem cannot be resolved at that level, the 3M CCE staff has direct access to the necessary resources to solve the problem.

3M MVSS defines standard response times based on a severity from 1–4, with Severity 1 being the most critical (i.e., production down) and Severity 4 being the least (i.e., system is functional with minor impact). Our response time for a Severity 1 issue is one hour for an initial response. For a Severity 4 issue, the standard response time is two business days. Our standards provide a process that handles issues consistently, provides appropriate escalation, and tracking so that all calls and responses are available for root cause and trend analysis and review.



RFP No. DMV130055 / August 27, 2013 Cash Management System



# **Attachment B: Mandatory Specification Checklist**

### Section 4, Subsection 5.1

### 4.5.1 Enterprise Resource Planning System (ERP) (WVOASIS)

The State (WV) is in the process of implementing an Enterprise Resource Planning (ERP) system. The vendor must demonstrate the ability to integrate and/or interface with complex modular systems such as those commonly found in Enterprise Resource Planning Systems (ERPs). The vendor must demonstrate previous experience with complex modular systems as part of their response to the reference requirements, Section 4.3.

3M CMS is based on industry-standard operating principles such as service oriented architecture (SOA). A well-implemented SOA will improve the West Virginia Division of Motor Vehicles' (the Agency's) ability to leverage new technologies, like interfacing with the future Enterprise Resource Planning (ERP) system.

The statewide ERP program will manage the financial resources of each State agency. The revenue generated, collected, and reported by the Agency represents a significant portion of West Virginia's highway fund. 3M CMS can help the Agency with the accurate and timely collection of financial information, which may be reported to the ERP system in the future.

The 3M MVSS team has proven experience integrating our solutions with other modular systems. For example, the 3M Accounting Transaction Money Manager (3M ATMM), which is the primary component on which 3M CMS is based, is integrated with the State of Montana's State Accounting Budget and Human Resources System (SABHRS). SABHRS is a PeopleSoft-based central accounting system.

# Section 4, Subsection 5.2

## 4.5.2 Cash Management System Functionality

4.5.2.1 The CMS must have the ability to maintain the accounting transaction detail necessary for the allocation of the fees to the proper revenue accounts.

Authorized users can configure financial information, including fees, products, general ledger accounts, revenue object codes, and many other financial codes in 3M CMS' extensive configuration function. Configuration values are related to products and transactions, which provide detailed account posting information for each transaction processed through the application. Furthermore, configuration values are driven by effective dates.

4.5.2.2 The CMS must have the functionality to encrypt data transmitted and stored by the application. Encryption levels must meet or exceed the industry standard for the chosen solution.

3M CMS is built on the SQL Server database framework, which contains highly robust security features for keeping data protected. This, along with a secured network, will help secure data. 3M Motor Vehicle Systems and Services (MVSS) will work with the Agency to determine additional data encryption needs beyond those provided by 3M CMS' security functions.





RFP No.DMV130055 / August 27, 2013 Cash Management System

4.5.2.3 The CMS must be flexible enough to accept multiple forms of payment for services provided to DMV's customers. At a minimum, this shall include: cash, check, credit, and debit cards. The successful vendor will be required to utilize the payment processing options provided by the West Virginia State Treasurer's Office.

3M CMS is based on a framework that provides extensive functionality for managing payments. This includes the ability to configure individual cash drawers to accept multiple forms of payment and to accept one or multiple forms of payment for a single transaction.

4.5.2.4 The CMS must be able to report/audit by tender type, as well as user ID, location, date range, over/under amounts for the purpose of daily reconciliation and general compliance accounting.

3M CMS will be implemented to support the ability to report and audit data by tender type, user ID, the location associated with that user ID, the date of the transaction and any over or under amounts of money that were received for the given transaction. The reporting tool will support inquiry of these items by a date range.

4.5.2.5 At a minimum, the CMS must be capable of performing and recording the type of transactions outlined in Appendix B.

3M CMS will be implemented to perform and record the transactions outlined in Appendix B of the RFP.

4.5.2.6 The vendor must provide the DMV a method for the addition or removal of transaction types as business processes change.

3M CMS allows for the addition and removal of certain simple transaction types. Those transactions involving additional data entry or enhanced business rules requirements will require changes to programming code. Fee updates will be managed through the standard configuration functionality.

4.5.2.7 Cash Drawer Options the following functions must be present for both dealer online and regular customer transactions.

3M CMS will be implemented to support the transactions as listed in RFP section 4.5.2.7.

4.5.2.8 The CMS will provide workstation totals for display on the terminal, as needed, as well as printed report for use in closing out a CSR at the end of the shift.

3M CMS accommodates different types of operational controls for closing out cash drawers. These include controls that allow users to reconcile, adjust, and sweep their own cash drawers as well as controls that require different users (or managers) to close other users' cash drawers. Controls also include Active Directory (AD) permissions, which allow or restrict users' access to certain functionality such as reconciling or sweeping.

4.5.2.9 The CMS must produce a printed receipt detailing the services provided to a customer for each individual transaction. At the same time the CMS should also generate a cover sheet for each title transaction.

3M CMS prints receipts after a CSR receives funds from a customer. In addition, 3M CMS has a reprint feature so that receipts can be printed as needed without affecting transactional information.



RFP No. DMV130055 / August 27, 2013 Cash Management System



Receipts include information about the transactions, tender types used by the customer, and any cash given back to the customer. For example, if a customer paid for three transactions with multiple tender types, the receipt will print each of the three transactions along with the methods of payment.

3M CMS will be customized to allow for the printing of a cover sheet for each title transaction.

4.5.2.10 The CMS must validate supporting documentation. The validation must include: date, machine number, user ID, transaction type, transaction number, office location, document number (title or driver's license) and amount. The title number or driver's license number must be printed on each piece of backup documentation.

The validation data listed in this requirement will either be entered into a CMS screen, calculated as part of the fee processing, or queried from another system from 3M CMS. These data items can then be used once the transaction is completed and the data recorded in 3M CMS. The data will include a Title number for vehicle transactions and a Driver License number for driver license transactions. These data items can be printed on the supporting documentation as identified by the Agency.

4.5.2.11 The CMS must provide a customer signature-pad-card-reader to use when processing a credit card payment. The CMS must provide a way for DMV personnel to swipe a credit card or enter manually, in the event that the customer signature pad-card-reader is not working. The system must be able to process electronic signatures as well as a manual signature if necessary.

3M MVSS assumes that the Agency either already has or will procure credit card signature-pad-card-reader equipment, including the ability to print a receipt for a customer signature should the signature pad equipment not be available. 3M CMS will not store credit card information, but will pass credit card data through to the credit card processor. The authorization number returned from the credit card processer will be stored for future reference.

4.5.2.12 The CMS must be able to inquire by VIN from the vehicle Valuation System.

A new interface will be developed for 3M CMS to interface with the Vehicle Valuation System. The 3M team will work with the Agency to identify specific requirements related to this interface.

4.5.2.13 The CMS must have the ability to override the values obtained from a vehicle valuation system in order to comply with established DMV business rules.

3M MVSS will design a new feature for 3M CMS to allow override capabilities from the Vehicle Valuation System. The 3M team will work with the Agency to identify specific requirements related to this requirement.

4.5.2.14 The CMS must check the stop codes in the Vehicles System for all title and registration transactions. A stop code is a code which indicates that a transaction cannot be completed due to one of the following: stolen plate, lost plate, stolen vehicle, insurance, vehicle opt-in, vehicle sold, levy, plate returned, bad check or refund. If the vehicle record has one or more stop codes, the CMS must display a message and not allow the transaction to be completed. The stop codes are stored in a VSAM file. Stored procedures must be developed by the vendor and WVDOT Information Services to allow connectivity to the State mainframe.





RFP No.DMV130055 / August 27, 2013 Cash Management System

3M CMS will obtain stop codes from the Agency's Vehicle System through the interface between the mainframe and 3M CMS. Stop codes from the mainframe will be associated with the customer and vehicle records in 3M CMS. The system will flag customers who have Vehicle System stops by using the Exception Management functionality that will be included in 3M CMS. Prior to completion of transactions, users will be able to see the stops, which provide a warning of customer and vehicle issues.

4.5.2.15 The CMS must check the DL/ID status in the Drivers System for all DL/ID transactions. If the status is not valid, the CMS must display a message and not allow the transaction to be completed. The status code is stored in a DB2 database. Stored procedures must be developed by the vendor and WVDOT Information Services to allow connectivity to the State mainframe.

3M CMS will obtain the DL/ID status from the current mainframe Driver system using the stored procedure jointly developed between the 3M and Agency teams. The Agency will need to provide the criteria for a valid or invalid DL/ID status. This status can be displayed within 3M CMS. 3M CMS will flag customers who have invalid DL/IDs by using the Exception Management functionality that will be included in 3M CMS.

4.5.2.16 The CMS must provide the ability to search using wild card characters and partial searching using customer name, DL/ID number, revenue account code or ID, title number, registration number, VIN and decal number.

3M CMS will provide search functionality through standard search functions. Users can search for various data records using partial or full value searches on text fields and identification numbers such as driver license, customer number, and mainframe ID numbers.

4.5.2.17 The CMS shall ensure that duplicate title numbers are not issued at any location.

3M MVSS envisions that users will enter title numbers, when required, through the Enhanced Miscellaneous transaction. The title numbers will be stored in 3M CMS. 3M CMS will then use the stored title numbers to check for duplicates.

4.5.2.18 The CMS must be compatible with credit card software. The DMV is required to use the system which is provided by the West Virginia State Treasurer's Office. The current system is Global. The CMS must be flexible enough to work with Global or any subsequent payment processing software packages.

3M MVSS envisions that a new interface will be developed to enable compatibility between 3M CMS and the credit card processing software provided by the Office of the West Virginia State Treasurer. The 3M team will develop this new interface by working with the Agency to define the detailed requirements. Credit card information will not be stored in 3M CMS. All credit card data that are produced when a card is swiped through a credit card reader will be passed to the Global system for processing. Only the authorization or approval code returned from Global once the credit card transaction is approved will be stored in 3M CMS.

If the Agency selects a new credit card processing vendor and the credit card interface changes, the 3M team will update the interface to support the new credit card processor, but a time and material charge will apply for the interface upgrade work.



RFP No. DMV130055 / August 27, 2013 Cash Management System



4.5.2.19 The CMS must allow for the exchange of registration plates and account for inventory changes and the fees associated with these plates. Example: A customer with a Class "A" plate may exchange for a Class "B" plate. In this situation there is a difference in fees due to the weight associated with the Class "B" plates as well as varying expiration dates.

3M CMS will include the capability to exchange registration plates and manage the fees for both the retuned plate and the new plate that is issued to the motorist. The 3M team will work with the Agency to fully understand and define this type of transaction.

### Section 4, Subsection 5.3

### 4.5.3 Management Functions

4.5.3.1 The CMS must provide a segregation of duties between management and CSR for the purposes of cashier reconciliation, review and approval activities. The CMS must provide software to go on the management staff computers so that this function can be performed at their workstations.

3M Motor Vehicle Systems and Services (MVSS) understands that managers and CSRs have unique job responsibilities. While CSRs are responsible for the daily activities of their cash drawers, managers have many duties, including overrides, reports, reconciliations, and more. In 3M CMS, standard functionality in the 3M Framework will handle the segregation of duties.

This standard functionality includes the use of Active Directory (AD) for managing users and groups of users. AD can limit users' access to functions depending on their role (e.g., manager or CSR) and user group. This allows system administrators to restrict functionality to individual users based on the functions they perform.

In addition to AD, 3M CMS will provide cash management functions for reconciling cash drawers. These management functions can be limited to individual users, as determined by the West Virginia Division of Motor Vehicles (hereafter the Agency). The 3M team will work with the Agency to define roles, groups, and system permissions to meet its needs. By applying business process requirements with system configuration values, 3M CMS can be configured to meet the Agency's needs for separation of duties.

4.5.3.2 The fee code matrix utilized by the CMS must be effective date driven.

The Agency will be able to manage effective dates with the user-friendly configuration tool of 3M CMS. This provides comprehensive fee management capabilities, including the functionality to create fees with future dates. Fee-related transactions use fees that are active for the effective date of the transaction; therefore, future-dated fees become active when the transaction's effective date is within the effective date of the fee. Authorized users can manage these in configuration tables. A user will be able to modify fee values by accessing the Table Maintenance and Configuration functions in 3M CMS.

4.5.3.3 The CMS must provide the capability to search and sort reports by fee code or tender type.

3M CMS will provide extensive data grid views, allowing dynamic filtering and sorting. Users can sort inquiry information, such as fees and tender types, by different column values. In addition to fees and tender types, 3M CMS will extend sort functionality to other values of inquiry results, which will include statement and transactional inquiries.





RFP No.DMV130055 / August 27, 2013 Cash Management System

4.5.3.4 The CMS must allow management to review a breakdown of transactions for the day by CSR. This must include, but is not limited to, a detailed breakdown of inventory items sold.

The reporting capability of 3M CMS will allow for the managers to perform an inquiry of all transactions performed by a CSR on a given day. In addition, the inventory management component of 3M CMS will allow for an inquiry of all inventory items sold during a user-specified time period.

4.5.3.5 The CMS must provide a solution for reporting the itemized accounting breakdown for all monies collected for a variety of time intervals (hourly, daily, weekly, monthly and yearly) by user in the event of a power failure, emergency, etc.

3M CMS reporting within the console limits records being returned to ensure high system performance. Depending on search criteria, that threshold may be crossed. More robust reporting may need to be created to pull a larger number of results (weekly, monthly, yearly), and reports can be run using the provided ad hoc reporting tool, which operates on a reporting database that is separate from the transaction database.

4.5.3.6 The CMS shall provide an override feature that will allow for finalization of a transaction when payment amount is less than or greater than the amount due. The DMV has a policy to accept fees that are within \$10.00 of the required amount.

3M CMS will support the ability to add an overage or underage of a pre-determined amount.

4.5.3.7 The CMS must provide a line item override feature that will allow the CSR to adjust the fee amount collected. The reason for this adjustment should appear in a drop-down list that will allow the CSR to select the justification for changing the fee amount calculated by the CMS. These adjustments and justifications must be tracked in the transaction history.

3M CMS will be implemented to accept payments in amounts less than or greater than the transaction amount. This feature can be configured and applied to a specific cash drawer or group of cash drawers. This feature will be implemented to include a drop down list that allows the CSR to select a reason for changing the fee amount and the adjustment information captured in the transactions history.

4.5.3.8 The CMS shall provide a mechanism to alert the CSR not to finalize the transaction in the event that a stop code exists. The CMS shall also provide an override function for management to allow the processing of the transaction after further review of the circumstances surrounding the stop code.

3M CMS will utilize the interfaces to the current Vehicle and Drivers systems to retrieve a stop code if one exists. The stop code provided by the legacy systems will be an indication to the CSR processing the transaction that he or she cannot finalize the transaction and will need management approval to proceed.

4.5.3.9 The CMS shall provide a drop-down list that would allow the CSR to pick a reason for using the "misc" category and provide the agency with an audit trail.

3M CMS' Configuration Manager will make it easy for users to add reasons or values in existing drop-down lists. 3M MVSS recommends that all configuration changes that are entered through the Configuration Manager be tested to ensure the configuration change performs as expected.



RFP No. DMV130055 / August 27, 2013 Cash Management System



4.5.3.10 The CMS shall provide a method to generate a total of both plates and decals sold by year and class. This total shall be by workstation and location.

3M CMS' Inventory Management module will track plates, decals, and other inventory that CSRs dispense or sell to customers. The Agency will be able to report and inquire on inventory consumption by location (e.g., work station, cash register, and office). The Agency will likewise be able to perform additional inquiries. The product inquiry, for example, will provide summary and detail information on products sold by location, cash drawers, and users.

In 3M CMS, cash registers can be assigned to CSRs for tracking inventory consumption for each CSR.

4.5.3.11 The CMS shall provide built in system logic, based on business rules, to ensure that the correct decal was sold during a transaction.

3M CMS will meet this requirement by incorporating business rules that will include a check that the correct decal was sold. The 3M team will work with the Agency to fully understand the business rules associated with this requirement.

4.5.3.12 The CMS shall provide built in system logic that would ensure that the correct license plate was issued based on the plate class entered by the operator.

3M MVSS will meet this requirement by incorporating new business rules in 3M CMS and by using existing functionality in the Inventory Management module. The 3M team will collaborate with the Agency to fully understand the business rules associated with this requirement.

4.5.3.13 The CMS shall detail monies collected and presented for deposit. The bank deposit detail report will serve as an aide to help in preparing the official, bank¬ required deposit slip.

The deposit functionality of 3M CMS will be implemented to provide full bank deposit information based on detailed feedback from the Agency. Note that the Deposit Inquiry is based on what 3M CMS believes is in the cash drawer, not what is actually in the cash drawer. Deposit slips should therefore reflect physical counts.

4.5.3.14 The CMS will automatically prorate fees in accordance with established business rules.

3M MVSS will meet this requirement by incorporating new business rules in 3M CMS and by using existing functionality in the Inventory Management component. The 3M team, in collaboration with the Agency, will identify specific business logic that needs to be incorporated into 3M CMS in order to implement prorating of fees.

4.5.3.15 The CMS will provide for, and maintain, an "audit trail" that tracks user access regardless of any changes made to the information housed within the system. For compliance purposes, the "audit trail" must be keyed to the user ID. The "audit trail" must detail the date and time of access, change, the user making the change, and the nature and impact of the change that has been made.

3M CMS will assign a session ID to each logged-in individual, allowing the system to maintain an audit trail for each individual. The session ID links the user to various pieces of information, such as when the session started, whether the session completed or timed out, the individual's IP address, what roles or functions were assigned to the individual at the time of the session, and various other attributes. Along with the session information,





RFP No.DMV130055 / August 27, 2013 Cash Management System

each transaction or data entered, modified, and deleted (logical) within the database is recorded to the individual's username.

Data maintained through this audit capability may include transactional data (e.g., payments and adjustments) and configuration data (e.g., reason codes). The 3M team will work with the Agency to determine additional data audit needs.

3M CMS will be designed and built with an extensive audit and transactional traceability backbone. Capturing and reporting audit information is a critical function for motor vehicle agencies, and 3M CMS will provide enhanced audit capabilities to render authorized users with audit and historical data, including transaction types, user and date information, and data type updates.

The system will generate logs and reports for monitoring user productivity and activities by individual or group users. Logs record access path, account or customer number, date and time of access, and transaction number. Count or sum activities and fees collected by user-selected parameters are also collected and reported. 3M CMS uses the following log types:

- · Audit logs (indicates who changed what)
- Error logs (indicates application errors)
- Database logs (indicates database errors)

The 3M team will work with the Agency to identify data values, beyond those already maintained, needing audit functionality.

Data retention is driven by requirements specific to the jurisdiction. Additionally, the Agency can maintain data in 3M CMS' production environment as long as required. The 3M team will work with the Agency to determine data archive requirements for production data.

4.5.3.16 The CMS shall provide a method for electronically processing payments made by check so that the money amount is automatically processed against the customer's account. The associating check information, i.e. routing number and bank account numbers, with each transaction must be electronically captured.

3M CMS will allow transactions and payments to be associated with check information such as routing numbers and bank accounts. The Payment Manager and Configuration Management functions will provide this capability.

3M CMS will not store routing numbers and bank account numbers. 3M will pass that information to the ACH processor, who will provide an approval code back to the 3M system that allows the completion of the transaction. 3M will only store the ACH approval number in its system.

In addition, 3M MVSS assumes that the Agency will provide the necessary check scanning equipment to automatically read the routing number and bank account number from the check.



RFP No. DMV130055 / August 27, 2013 Cash Management System



4.5.3.17 The CMS shall prepare deposit information for review and eventual electronic transmission to the State's accounting system, currently WVFIMS to be changed to WVOASIS. The deposit shall specify the allocation of revenue collected for distribution into the appropriate funds.

Using its Bank Deposit Slip function, 3M CMS will be able to produce bank deposit information for reviewing and printing purposes. This function will allow authorized users to prepare bank deposits for individual cash drawers, locations, or both. Transmission of revenue information to external systems, such as WVFIMS, will be handled through the Consolidation function, which will enable authorized users to transmit revenue collections and to request Electronic Funds Transfers (EFT).

4.5.3.18 The CMS shall process refunds then prepare and transmit electronically the necessary account entries to WVFIMS or any successor program.

The Refund Manager is a highly configurable and customizable function. It includes the ability to configure refund statuses, types, and reasons. Status changes are tracked throughout the life of the requests. Once approved, refunds can be transmitted to an accounts payable system such as WVFIMS.

Refund Manager enables authorized users to request refunds for customers. Users can select the refund reason from a pull-down menu, because refund types are already defined and configured in the system. In addition, refunds may be requested on an ad hoc basis.

The Refund Manager integrates with revenue management so that corresponding journal entries are created upon a refund request. This includes debiting revenue accounts and crediting asset accounts (or credit loss). An interface to WVFIMS or WVOASIS will be implemented to provide the necessary account entries to that system.

4.5.3.19 The CMS must provide the ability to pull fee breakdown information from our IRP system (currently Xerox) so that all transactions will be recorded in the CMS and communicate back to the IRP system when the transaction has been completed.

An interface to the current IRP system will be implemented to support the exchange of data between 3M CMS and the Xerox IRP system.

# Section 4, Subsection 5.4

### 4.5.4 Inventory Requirements

4.5.4.1 The CMS must maintain a Division-wide (master) inventory beginning with receipt and verification of inventory being transferred from the License Plate Information Management Center to the DMV locations.

3M CMS will provide a consolidated inventory solution to manage the master list of inventory items for the Agency. It will allow the user to receive inventory into his or her authorized location, as well as move inventory from one location to another for authorized users. For example, a user assigned to the DMV warehouse can receive inventory from a supplier and ship and move inventory to a regional office. License plates produced in the License Plate Information Management Center will have their location set as the Management Center until shipped to a regional office or direct mailed to a motorist. Inventory shipments for regional offices can be based on a reorder quantity so that once the on-hand quantity falls below the reorder quantity, the appropriate Agency personnel can be notified to ship additional plates to the regional office.



# 7

# **Department of Administration Purchasing Division**

RFP No.DMV130055 / August 27, 2013 Cash Management System

4.5.4.2 The CMS must provide a method for accounting for plates issued to replace Temp Tags issued by a dealer. These transactions will not have a corresponding monetary receipt.

3M CMS provides a means to reduce inventory without a financial transaction or money exchange. Inventory at a regional office can be reduced through 3M CMS' user interface to the Inventory Manager.

4.5.4.3 The CMS must provide a detailed breakdown of all inventory items sold for the day. This report must show Beginning Balances, Additions, Usage and Ending Balance.

The Inventory Management component of 3M CMS provides for a variety of reports. A report that shows the detailed breakdown of all inventory items sold for a given day, along with beginning balances, additions, usage, and the ending balance, can be added as a standard report.

4.5.4.4 After authorized personnel have verified and approved inventory usage reports, the CMS must automatically deduct the items from the office inventory.

The Inventory Management component of 3M CMS will support a variety of inventory statuses for each inventory item. Additionally, it will feature an approval process that allows a manager to approve a change in the inventory status. This approval process will be used to support an authorized person updating the inventory status of a selected set of inventory items. Once approved, the status within the database is updated and the items are no longer considered to be in the location's inventory.

4.5.4.5 The CMS must provide a method for supervisory override to correct inventory errors as defined in the DMV business rules.

Using Active Directory, the Agency will be able to define which users have access to each function based on their job duties and responsibilities. The Agency will be able to give specific supervisors the authority to access the Manage Inventory function, enabling them to correct inventory errors through the adjustment process.

4.5.4.6 The inventory component must allow for the tracking of items that are not issued directly through the CMS. This currently includes secured paper used in issuing titles.

In 3M CMS, title stock will be managed using the Inventory Manage function, which will manage and control other assets such as plates, decals, and placards. The title will be tracked through the inventory title control number, which will uniquely identify each piece of controlled stock. Just as described with other inventory class types, the title stock with this inventory control number will be managed in series and the inventory will be decreased as the stock is consumed through the interface with the mainframe or through 3M CMS.

3M CMS will also be able to track bulk items that are not serially identified, allowing authorized personnel to move bulk items from location to location. The 3M team will work with the Agency to identify the requirements related to tracking inventory that is issued outside of 3M CMS, including secured paper.



RFP No. DMV130055 / August 27, 2013 Cash Management System



4.5.4.7 The CMS must provide a method for printing title numbers that have been assigned on the associated paperwork. This must be printed a minimum of two times on each backup page.

Printing title documentation will be managed through standard title printing functionality in 3M CMS. The 3M team will work with the Agency to define and configure documents that need to be printed as part of a title transaction. Configuration of documents will include title information such as title numbers.

4.5.4.8 The CMS shall allow the DMV to designate the unit of measure for each inventory item.

3M CMS will include the ability to indicate a unit of measure for each inventory item type.

4.5.4.9 The CMS must be capable of importing completed transactions from a file generated from the mainframe. As this data is received the CMS must prepare the appropriate accounting entries.

3M CMS will support the transactions as listed in Appendix B of the RFP response. These transactions will be processed within 3M CMS using the data elements as listed in Appendix B. If those vehicle transactions need additional processing on the Vehicle legacy mainframe system at a later time, as well as a corresponding status update sent back to 3M CMS, then an interface format will need to be defined and data rules associated with each data field. The 3M MVSS team will work with the Agency to complete this work once the contract is awarded to 3M.

4.5.4.10 The CMS must be capable of importing transactions from a RFT file received from the State Treasurer's Office. When this data is received the CMS must prepare the appropriate accounting entries.

The 3M MVSS team and Agency personnel will need to define an interface format for the RFT file. This includes the data fields and the associated data and business rules that need to be defined for each data field and its contents. This work will be done once a contract is awarded to 3M.

# Section 4, Subsection 5.5

# 4.5.5 Bar Coding Requirements

4.5.5.1 Must support the creation and reading of 2D PDF-417 which is the current AAMVA standard, 3 of 9, and postal barcodes. The system must adapt to any changes in AAMVA standards.

3M CMS is based on the 3M MVS Enterprise Software Suite, which provides the robustness and flexibility to interface with external systems. 3M CMS can read barcode data with approved barcode readers. An example of this is reading data from barcodes printed on documents and populating data fields on the 3M CMS application, which reduces the data entry workload and the potential for manual data entry errors.

The capability to read various barcode types, such as the 2D PDF-417, 3 of 9, and postal barcodes, is included in the barcode reader. 3M MVSS assumes that the Agency will procure barcode readers that can read the current standard barcodes. As long as the AAMVA barcode standards conform to industry standard barcodes, the approved barcode readers should be able to read AAMVA standard barcodes.

3M CMS supports the creation of the barcode types listed above. Should the AAMVA standard deviate from these types, 3M will upgrade its system, which may result in the Agency incurring a change fee to implement the functionality.



RFP No.DMV130055 / August 27, 2013 Cash Management System

4.5.5.2 The CMS must provide a method of capturing information incorporated in the bar code located on titles, registration and driver license renewals.

The capability to read various barcode types, such as the 2D PDF-417, 3 of 9, and postal barcodes, is included in the barcode reader. 3M MVSS assumes that the Agency will procure barcode readers that can read current standard barcodes. As long as the AAMVA barcode standards conform to industry standard barcodes, the approved barcode readers should be able to read AAMVA standard barcodes. This would include reading barcodes that are printed on titles, registrations, and driver license renewals.

# Section 4, Subsection 5.6

# 4.5.6 Reporting

4.5.6.1 The system shall provide an easy to use (one that requires little or no training) customized report writing feature.

3M CMS contains many reporting features that meet most of the reporting requirements for motor vehicle departments. Additionally, 3M CMS provides ad hoc reporting by leveraging Microsoft SQL Server 2008 or higher Reporting Services (SSRS) to extend the system's functionality beyond those of the core reporting solution. SSRS provides a complete server-based platform designed to support a wide variety of reporting needs, enabling the Agency to deliver relevant information where and when needed. To accommodate potentially large volumes of ad hoc reporting without affecting the production transaction system, 3M CMS provides for a replica of the production transaction database on a separate server specifically to handle ad hoc and other reporting requirements. The reporting database is typically a copy of the transactional database and the copy process is performed nightly so the reporting database is current at the start of the business day after the copy was made.

The reports and inquires included in 3M CMS operate in very similar ways. Inventory reports and financial reports provide selection and filter options, and are architected to run on demand. To produce reports or inquiries, a user navigates to the desired report or inquiry, enters the selection and filter criteria, clicks search, and runs the query or report.

4.5.6.2 The CMS must produce the following reports: Productivity Report, by location (daily, weekly, monthly and yearly); Office Total Report, covering all locations (daily, weekly, monthly and yearly): Cashier Report, by individual and location (daily); and Master Cashier Report, by location (daily). Examples of these reports are located in Appendix C & D.

The 3M team will utilize the report examples as shown in Appendices C and D to develop reports for 3M CMS. 3M MVSS proposes reviewing the format and layout upon award and confirming these with Agency personnel.

4.5.6.3 The CMS must be able to produce the following Management Reports for any location for any selected period of time:

3M CMS will incorporate Activity Manager and Statement Management features. These will support management in generating different types of cash drawer information. To generate this information in 3M CMS, a manager will be able to select the Cash Drawer function and the Activity Manager or Statement Inquiry functions. At this point, 3M CMS will display the



RFP No. DMV130055 / August 27, 2013 Cash Management System



activity for a particular work location and CSR. Based on user authorization, any location could be examined.

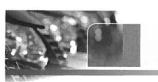
The Activity Manager will show details of the cash drawers for the selected location, which include total balance and cash available in each cash drawer, as well as totals by tender type.

When a CSR clicks the Reconcile link on the Activity Manager function, the system will navigate to the Reconcile feature. Within the Reconcile feature, the CSR can view adjustments or errors for the selected cash drawer.

3M MVSS proposes reviewing each of the reports listed below and discussing the potential for redesigning the report format and layout for the Agency. This work would commence upon award to 3M.

- Summary Office Activity Report This report allows the management section
  to produce a report that lists number of transactions, total cash, total check, total
  credit, total per credit card type, over/under, voids, and error corrects per CSR. (See
  Appendix E)
- Transaction Report by Cashier (Reprint) This report allows the management section to reproduce the activity of any selected CSR for a selected period of time. This report will contain ALL transaction detail. (See Appendix F)
- Consolidated Totals by Office This report allows the management section to produce a summary report that lists transaction, cash, check, credit slip, amount per each type of credit card, over/under, voids and error corrects, deposit total, credit card total, and total collected. (See Appendix G)
- Consolidated Regional Office Report (Reprint) This report allows the management section to reproduce the consolidated activity for a specific Regional Office by day. (See Appendix H)
- Consolidated Statewide Activity Report This report allows the management section to produce a report that details all collections received and processed through all registers on a statewide basis. (See Appendix I)
- 4.5.6.4 The successful vendor must provide five (5) additional CMS related reports per year at no additional cost upon request by the agency representative.
  - 3M CMS will provide reporting capability. 3M will provide five additional reports for the first year of the contract. In subsequent years, 3M and the Agency will review additional report requests and 3M will provide the five reports via the maintenance and support agreement, or the Agency can develop reports using the ad hoc reporting tool being provided with 3M CMS.
- 4.5.6.5 The CMS must provide for and maintain an "audit trail" that tracks user access regardless of any changes made to the information housed within the system.
  - 3M CMS will be designed and built with an extensive audit traceability engine. Capturing audit information is a critical function of motor vehicle agencies and 3M CMS provides enhanced audit capabilities to track the date, time, and user ID of the CSR performing the transaction. Three categories of audit logs are available in 3M CMS:





RFP No.DMV130055 / August 27, 2013 Cash Management System

- Audit logs Indicate who changed data and when it was changed. These logs can be used to show before and after views.
- Error logs Indicate application errors.
- Database logs Indicate database errors.

This combination of audit logs will support the Agency in monitoring and managing systems environments.

# Section 4, Subsection 5.7

# 4.5.7 System Requirements

4.5.7.1 The CMS shall allow the DMV staff to make modifications to the fees and fund distribution as necessary.

This would include the addition of new fees and the deletion of old fees as legislation changes.

3M CMS contains extensive configuration options for the addition, modification, and subtraction of fees and their associated financial distribution parameters. Additionally, fees and associated parameters can be customized for the invoking source system or business and each work location. Financial distribution parameters can be customized for each chart of accounts. These configurable options are handled through secure administrative management tools.

The process of making additions or modifications to the fee and fund distribution tables occurs within the Configuration functionality of 3M CMS. Within this function, products (or fees) are "registered" in the system; a new product can be registered or an existing product can be modified. Users can query existing products for modification or select the action for a new product, which will link directly to the Product Registration page. When a user queries an existing product, the system presents a list of results from which he or she can select the product.

All information pertaining to a product is entered into the Product Registration page. This includes specifying the location(s) where this product can be used. Once a product is registered, its distributions can be defined in the same configuration area of 3M CMS. Users create the product or fee distribution to the general ledger accounts in this Configuration function.

Similar to the Product Registration process, users query the financial distribution configurations by product. If the user wants a new product distribution, 3M CMS will proceed directly to the Revenue Distribution page.

Users enter all information pertaining to a product distribution in the Revenue Distribution window. Also, users can manage general ledger accounts and rules for distribution in this window. A single product associated to a specific chart of accounts can be distributed to multiple general ledger accounts based on dollar amount, percentage, or a combination of these.

4.5.7.2 System modifications resulting from Legislative changes will be required as part of on-going maintenance.

3M MVSS has extensive experience related to software development, implementation, maintenance, and support of motor vehicle and financial solutions. If legislative changes occur during the development cycle, then making the programming changes to support



RFP No. DMV130055 / August 27, 2013 Cash Management System



those legislative changes will need to flow though the change management process and be considered by the Change Management Board. During the maintenance and support phase of the project, legislative changes will be provided per our response in Section 4, subsection 5.12 — System Warranty, Maintenance, and Support.

4.5.7.3 In the event that business rules are changed, the Vendor will be required to perform the necessary programming to modify the system accordingly. All non-legislative changes will be charged on a per hour basis. The vendor will be required to provide an hourly rate to accommodate these modifications.

3M CMS may require programming for certain types of business rule changes. For non-legislative changes, 3M MVSS will charge \$168 per hour to perform these changes. 3M MVSS and the Agency will define the criteria for identifying non-legislative changes and the process that will be followed to implement those changes, including quality assurance and testing to confirm that the changes function as planned.

4.5.7.4 Employee access to the CMS must be controlled by Active Directory. The successful vendor must work with the Office of Technology to set up this interface.

3M CMS builds on the proven Microsoft Active Directory technology for authentication and authorization functionality. Taking advantage of this standardized security platform provides centralized credential management that is persistent throughout the entire Microsoft application stack.

3M CMS stores user accounts and security groups in Active Directory, which is the central repository for identities. Active Directory supports extensive password policies for complexity and expiration for these user accounts. Users have the ability to change their password through the application interface with these password policies enforced.

3M MVSS will work with the appropriate Office of Technology personnel to configure Active Directory to work with 3M CMS.

4.5.7.5 The CMS must provide DMV the ability to manage user specific permissions and access to all functionalities of the system.

3M CMS utilizes Active Directory to manage access and security of the system. Access to menu items and screens is determined by the role to which each user is assigned in Active Directory. Agency personnel will have the ability to modify the role to which a user is assigned in order to change their access to the system.

4.5.7.6 The system must be able to accommodate an unlimited number of users located at various locations across the state.

On page 26 of the RFP, the Agency indicates there are currently 350 workstations accessing the cash register system. 3M MVSS is proposing hardware and software to support up to at least 400 workstations accessing the new CMS. If the Agency's network is not able to support that number of users, the Agency will be responsible for upgrading the network so that it will not hinder those users in their use of the system.



RFP No.DMV130055 / August 27, 2013 Cash Management System

4.5.7.7 The CMS must track user access and any changes that the user makes to system (i.e. fee changes, plate class, user permissions, etc.) These changes must be tracked regardless of the level of access established with that user ID.

Please see our response to requirement 4.5.3.15, which specifies the audit capabilities of 3M CMS.

4.5.7.8 Must provide an n-tier, supporting web functionality and utilizing relational database technology.

3M MVSS designed the platform of our proposed solution's modules to take advantage of technological innovations such as n-tier and layered enterprise architecture and Service-Oriented Architecture (SOA) principles. These are based around Microsoft standards and best practices for software design and development.

An n-tier architecture consists of at least three physical tiers within an application, each being deployed on separate hardware and each interacting with only the tier directly below or directly above. This allows flexibility in physical deployment as well as enhanced performance, reliability, scalability, and security.

3M CMS deploys an n-tier architecture in three separate physical tiers (i.e., presentation, business, and database). The presentation tier communicates with the business tier, which in turn communicates with the database tier. Integrated within the physical tier structure, 3M CMS uses a logical layered architecture for application components. The layers are separated into presentation, services, business, and data. These distinct logical layers allow the application to achieve a separation of concerns between presentation logic, services logic, business logic, and data access logic. Figure 5.7-1 shows a logical representation of 3M CMS' layered architecture.





RFP No. DMV130055 / August 27, 2013 Cash Management System



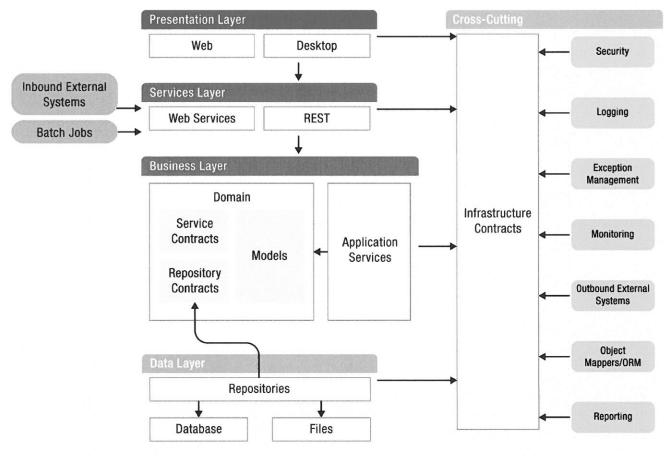


Figure 5.7-1. 3M's solution uses a multi-layered logical design to separate the concerns of the application to provide for a more robust, extensible, and maintainable application.

The use of a physical n-tier architecture and a layered logical architecture allows for modularity and the flexibility to tailor the application to meet the Agency's unique requirements. This architecture is easily adaptable to new technological advances, minimizing obsolescence, and enhancing maintainability and extensibility.

### **Service-Oriented Architecture**

While 3M CMS has been designed and developed using object-oriented techniques, it employs a Web services layer that provides business services centered on business processes using the principles of SOA. 3M CMS provides the ability to compose additional reusable, stateless, and loosely coupled business services to meet the needs of the Agency's business processes.

A well-implemented SOA solution will improve the Agency's ability to adapt to business and regulatory changes and to leverage new technologies, providing the Agency with a consistent base upon which to build new business functionality.

In the context of an SOA, 3M CMS services are business-oriented services that provide by themselves (or in combination with other services) a unique and complete execution of a given business process. Shared Services in an SOA are built as coarse-grained Web services



RFP No.DMV130055 / August 27, 2013 Cash Management System

wrapped around service interfaces. XML schemas and service descriptions (Web Services Description Language (WSDL)) contain the location, service functions, protocols, and data necessary to invoke a service.

4.5.7.9 The Vendor shall provide a Test Environment that will be used by DMV personnel to test modifications to the system before these changes are made effective.

A dedicated testing environment would be used to mirror the functional aspects of the production system closely. The test environment will be designed to support User Acceptance Testing (UAT) and code or configuration change testing.

Please refer to Section 4, subsection 5.8 — Hardware/Software Requirements for specific hardware and software specifications of the test environment.

# Section 4, Subsection 5.8

# 4.5.8 Hardware/Software Requirements

4.5.8.1 The successful vendor must utilize the existing contracts as prescribed by Statewide Office of Technology guidelines and provide a listing of all specialized equipment and or hardware or software in Part 4.

3M Motor Vehicle Systems and Services (MVSS) will work with the Statewide Office of Technology to identify the equipment that is currently on the state contract. 3M MVSS assumes the state will purchase the equipment based on the recommendations outlined in the RFP response and provide it for implementation of 3M CMS. See our response to section 4.4.2.13 for details on the hardware required to support the proposed system.

4.5.8.2 The successful vendor must work directly with the Agency IT staff, Office of Technology staff and hardware vendors to ensure system functionality.

In the implementation phase of the project, 3M MVSS will have a project team working to develop and deliver a system to the Agency. This team will work closely with the Agency team in implementing the solution. Once the contract is awarded, the 3M MVSS and Agency teams will meet for a week or two of in-depth requirement meetings to understand the RFP requirements in more detail and to confirm our understanding of Agency expectations. The outcome of this meeting will be documented and a detailed project plan will be developed and presented to Agency personnel for mutual agreement on the scope and delivery dates for 3M CMS. The project schedule will be reviewed frequently and updated as needed.

Throughout the implementation and delivery of 3M CMS, the Agency will have the opportunity to review the functionality of the system. This includes demonstrations of the system to key Agency personnel, as well as the implementation of a sandbox environment that will allow Agency personnel to use the system while it is in development.

3M MVSS will employ a change management process to manage issues as they arise during the implementation phase of the project. This includes a change management board made up of 3M MVSS and Agency personnel. Changes that arise out of the review of the system during the implementation phase will be documented and presented to the change management board. The board will decide the best approach for resolving the change request with the understanding that not all changes requested will be implemented. This is because scheduling and cost of any potential change will need to be analyzed.



RFP No. DMV130055 / August 27, 2013 Cash Management System



Performance issues may arise once 3M CMS is in production. These issues will be identified and the 3M MVSS and Agency teams will meet to determine the best course of action to resolve any performance issues.

4.5.8.3 The proposed system must function on the DOT/DMV workstations.

Given that Agency workstations are replaced on a three-year cycle, 3M does not envision an issue with 3M CMS running on the current workstations.

4.5.8.4 The successful vendor must work with WV Office of Technology and the agency IT to resolve all issues that might arise as a result of Microsoft updates which are distributed to the workstations connected to the network.

3M MVSS will coordinate with the West Virginia Office of Technology regarding the Microsoft upgrades scheduled for the Agency workstations. 3M MVSS assumes that once the system is implemented, the Agency will have a test workstation and server available that will be used to test the compatibility of 3M CMS with the planned updated version of the Microsoft product.

The work by 3M MVSS to perform this testing would be included as part of a maintenance and support contract agreed to and included in the cost of the system for the Agency.

4.5.8.5 The successful vendor must provide minimum specifications required for all workstations and servers to ensure system compatibility with the Vendor's proposed solution. In the event the Agency is required to purchase hardware from a statewide contract, the Vendor must work directly with contract vendors to resolve operational issues.

Please see the hardware and software listed in our response to section 4.4.2.13. 3M MVSS will coordinate with the Agency to work with any hardware or software vendors that provide equipment from the statewide contract.

# Section 4, Subsection 5.9

# 4.5.9 System Performance Specifications

4.5.9.1 The system must be capable of restoring a prior day's workstation and office totals with specific date of restoration selectable by the authorized DMV site management team member.

3M CMS stores all prior workstation and office totals. In the rare event that the Agency needs to rollback the system to a prior day's totals, it can use the Adjustment function to modify the current day's entries. In order to fully understand this requirement, the 3M team will work with the Agency upon award of the contract.

3M CMS also allows for the restoration of database backups. This capability enables the restoration of entire databases and is dependent upon the timing and frequency of backups.

4.5.9.2 The system must prevent alterations to the previous day's totals with the exception of voids for incomplete transactions handled by authorized DMV management.

3M CMS is driven by assigning a user to a role or group in Active Directory. Using this approach, management personnel can be granted access to a menu item for handling voids for incomplete transactions. The 3M team will work with the Agency to fully understand this requirement and implement the handling of voids within 3M CMS.



RFP No.DMV130055 / August 27, 2013 Cash Management System

# Section 4, Subsection 5.10

# 4.5.10 Security and Controls

4.5.10.1 The CMS must also provide for confidentiality of customer data and secure from entry by unauthorized users.

It is 3M MVSS policy to take the appropriate steps to secure information technology resources and sensitive information. All systems include security safeguards that reflect the importance of the information processed on the system, in addition to the system's components. 3M MVSS security policy governs the following security domains:

- Computer system security: CPU, peripherals, operating system. This includes data security.
- Physical security: The premises occupied by IT personnel and equipment.
- Operational security: Environment control, power equipment, operation activities.
- Procedural security: Procedures observed by IT, vendor, management personnel, as well as ordinary users.
- Communications security: Communications equipment, personnel, transmission paths, and adjacent areas.

Sensitive information or data refers to any confidential or critical information for which loss, misuse, unauthorized access or modification, or improper disclosure could adversely affect the privacy to which individuals are entitled.

Personal information is information about an individual whose identity is apparent, or can reasonably be ascertained from the information.

3M MVSS is committed to taking reasonable efforts to secure the sensitive and personal data provided to us. To protect the privacy of any personal information, 3M MVSS employs industry-standard controls, including physical access controls, Internet firewalls, intrusion detection, and network monitoring. In addition, access to sensitive data, as defined in this statement, is limited to those individuals and agents having a need to know. Sensitive and personal information collected from website connections is encrypted and securely transmitted to 3M MVSS servers.

Only employees who need sensitive and personal information to perform a specific job are granted access to that information. Our employees must use a password to gain access to personal information. Employees are kept up-to-date on our security and privacy practices. When new policies are added, our employees are notified and reminded about the importance we place on privacy, and what they can do to ensure that sensitive information is protected. The computers and servers in which 3M MVSS stores personally identifiable information are kept in a secure environment.

4.5.10.2 The CMS must be compliant with the established State enterprise security processes, including overall system access, violation reports, audit trails and system logs.

As part of the detailed requirements sessions performed upon award of the contract, the 3M team and the Agency will review the state's enterprise security process and work jointly to meet those security processes with 3M CMS.



RFP No. DMV130055 / August 27, 2013 Cash Management System



4.5.10.3 Access to data and system software will be controlled by an individual's network user ID. The CMS must prompt for these credentials prior to allowing access. The system shall use the individual's current network password for access to the system. The State uses Microsoft Active Directory for logon and password control.

All access to 3M CMS requires user authentication through Active Directory (AD) and through a combination of AD user accounts and passwords. AD supports extensive password policies that dictate complexity and expiration. Users have the ability to change their password through 3M CMS' interface with these password policies enforced.

4.5.10.4 The CMS solution must provide the ability to configure permissions by user/role/group, which shall include discretionary edits as well as general functions.

Active Directory allows for configuring permissions as user, role, and group. The permissions assigned to a specific user allow restrictions to specific menu items and screens within 3M CMS.

4.5.10.5 The CMS must provide a method for the CSR to lock and unlock the cash drawer session (during breaks, lunch, and middle of transaction). The system must record the date and time when the system was locked and unlocked. The system must also provide for an automatic locking feature after 10 minutes of inactivity.

3M CMS will be customized to include a lock and unlock feature that can be selected by the CSR to manually lock or unlock the cash drawer. In addition, 3M CMS also provides a "Lock Console" feature, which enables individuals to lock and unlock the system. The application also invokes this locking feature automatically after a period of inactivity that can be defined by the Agency. Once unlocked, the user's work that was in progress is restored.

Additionally, Microsoft Windows offers the ability to lock a workstation, requiring a username and password to unlock that workstation. This provides the greatest level of security of an individual workstation.

3M CMS has the ability to log authentication activity and authentication history. The session activity function will allow an administrator to view all users who are currently logged onto the system. When a user logs into the system, 3M CMS creates a record in the User Session History table. This record is end-dated when that user logs out. Therefore, the record would no longer be displayed in a report showing currently active users. In addition, 3M CMS will be customized so that a logging record is added when the cash drawer is locked or unlocked.

The session history function enables an administrator to view both active and historical session data. When a user logs into the system, 3M CMS creates a record in the User Session History table. The initial record contains the start time of the session and the username. When a user logs out, locks, or is disconnected from the system, 3M CMS marks the record as completed and updates the last activity time. This report can be printed and used as a validation slip for all system users.

4.5.10.6 The CMS must maintain credit card information in encrypted format. This information will only be accessible by users with the appropriate level of security. Complete credit card numbers should not be warehoused in any state systems and comply with PCI standards.

3M MVSS proposes to not store credit card information in 3M CMS. When a credit card is used to pay for a transaction, 3M CMS will pass the credit card information to the credit card



RFP No.DMV130055 / August 27, 2013 Cash Management System

payment processor, Global. Global will send back an authorization code for the transaction (if it is approved), which will be stored in 3M CMS. The authorization code can be used to reference the transaction should the payment need adjusting in the future. The 3M team will take steps to attain the requisite level of PCI compliance before 3M CMS is implemented.

# Section 4, Subsection 5.11

# 4.5.11 Backup and Recovery

4.5.11.1 In the event of a disaster, DMV business operations must not be suspended for more than twenty-four (24) hours. (Assuming all power and network connectivity are available).

3M MVSS understands that continuity of operations is an essential ingredient for the Agency's success. The impact and resolution of business disruption varies depending on the nature of the disrupting event. A one-size-fits-all disaster recovery approach is unlikely to provide the most beneficial or cost effective method of managing business continuity. Application-level contingency planning addresses infrastructure components not shared with other applications. Enterprise-level contingency planning addresses business continuity risks, including, but not limited to, shared-application component interruption. A business continuity plan (BCP) typically includes planning for non-IT related aspects such as key personnel, facilities, crisis communication, and reputation protection. The BCP refers to the disaster recovery plan (DRP) for IT-related infrastructure recovery and continuity.

3M MVSS's approach calls for planned, tested, and documented procedures and processes to restore mission-critical business functions within 3M CMS and avert unacceptable business interruptions in the event of an unplanned outage. Our strategy places emphasis on the business functions that are critically impacted, focusing on the exposure or potential loss areas in the event of a disaster, the timing and responsibility for immediate action, the key contacts for notification, the specific recovery procedures that must be used for continuous operations, and the testing necessary for continuous readiness.

Identification of backup and recovery requirements early in the project provide the opportunity to develop options that minimize cost and increase flexibility by leveraging the Agency's existing capabilities. Upon project initiation, the 3M team will work with the Agency's IT staff to understand their current disaster recovery capabilities. Where feasible, the 3M team will support the IT staff in incorporating 3M CMS within the overall disaster recovery plan. Thus, in the event of a disaster, 3M CMS will be able to adhere to existing Agency processes for recovery. This may also include the use of offsite backup storage of databases and potential failover to a secondary location.

Specifically, 3M CMS will be protected using existing backup procedures. These procedures must include a mechanism to offload data from 3M CMS' servers to a secure location. To protect against a disaster, 3M MVSS recommends using a combination of a storage area network (SAN) and tape drives to store the data initially and an offsite storage service for long-term storage.

If the Agency needs to restore data from a server, it can retrieve the appropriate backup from the SAN, tape drive, or offsite storage facility. Then, the Agency can invoke the restore function in the existing recovery mechanism or Microsoft SQL Server 2008 or higher Management Studio.



RFP No. DMV130055 / August 27, 2013 Cash Management System



4.5.11.2 Capabilities of recovering data from processes that are in-progress must be provided in the event of a power outage and/or network disruption.

3M CMS leverages load-balancing for server clusters and clustering for database servers. This will allow the system to recover from some network interruptions with little to no impact to the end user. In the event of a power outage or other network disruption, transactions that were in progress will be rolled back to a stable state to prevent any data corruption in the database. CSRs can restart transactions once the system and its components have been fully restored.

4.5.11.3 The CMS must resume in-process transactions within five (5) minutes once connections to the appropriate servers have been restored.

In the event of a connection failure to the server, or any other error, a transaction will be retained locally within the console on the individual workstation. An error message will be displayed pertaining to the failure; however, the transaction will remain waiting for additional input. A user can continue the transaction as soon as the connection to the server is restored.

Additionally, 3M CMS includes a Work in Process feature, which can hold transactional information in the database. At certain points in the source systems, data will be stored within Work in Process. When a critical network failure occurs and an individual closes the console application, information may exist within Work in Process, which that individual can resume after restarting the console. Thus, business transactions can typically be reinitiated from the point of failure without having to re-enter required data.

4.5.11.4 Backup and recovery exercise must be performed annually or as required by the Office of Technology.

The 3M team will coordinate the backup and recovery exercise with the appropriate Agency and Office of Technology staff in order to test the backup and recovery system and process.

# Section 4, Subsection 5.12

# 4.5.12 System Warranty, Maintenance and Support

4.5.12.1 The Vendor shall be responsible for State-wide support, delivery, installation and maintenance of the system resulting from this RFP.

3M Motor Vehicle Systems and Services (MVSS) will develop, deliver, install, and maintain 3M CMS as outlined in this RFP. Please see the sections below for details on our warranty, maintenance, and support processes and agreements. Note — we define the "system" in this section as the CMS system.

We propose the following maintenance and support process and information as an option for the West Virginia Division of Motor Vehicles (hereafter the Agency) and 3M MVSS to provide maintenance and support during the warranty, maintenance, and support period:

# **Tiered Help Desk Support**

During the warranty, maintenance, and support period, the Agency's help desk will be the





RFP No.DMV130055 / August 27, 2013 Cash Management System

primary point of contact for all end-user requests. We recommend creating a three tier escalation model:

- Tier 1 agents provide the entry point into the help desk process, record the requests, and provide initial support. The help desk can receive customer service problems by phone or e-mail. Using tracking system tools, Tier 1 agents will generate a trouble ticket and enter customer and issue information. The Tier 1 agent who receives the call should become the owner of the ticket. This provides a single point of contact with responsibility for the life of the trouble ticket. Tier 1 agents verify user data and provide the initial triage of the problem. Their goal is to resolve the problem before it escalates to the next tier. Tier 1 agents could perform activities such as user account management (e.g., new accounts, account deletion, permissions, and passwords), preliminary troubleshooting, providing policy and procedure knowledge, monitoring system performance, logs, and other activities that support daily operations. Tier 1 agents will transfer problems requiring escalation to the appropriate Tier 2 support organization for resolution.
- Tier 2 is for problems requiring in-depth analysis, onsite support, or other support outside the capabilities of the Tier 1 agent. Tier 2 agents provide support for configuration, interfaces, problems requiring root cause analysis or further diagnosis, and complex problems within the Agency's ability to resolve.
- Tier 3 support involves support at the 3M MVSS or other vendor level. This support
  could include complex configuration changes, system enhancements, programming
  changes, and critical fixes. Other vendor support might include support for hardware
  or software that is outside the scope of 3M CMS.

Under the proposed model, the Agency's help desk is responsible for all support calls until they are resolved, regardless of the level (tier) of support assigned. Help desk resources should be made available throughout 3M CMS' lifecycle, and should participate in its enduser training.

# Trouble Ticket — Severity Levels

Trouble tickets created by the Agency help desk would be assigned a severity level. The help desk support staff would then use the assigned severity to troubleshoot and resolve the issue, according to its priority. Table 5.12-1 represents the standard severity levels used in this model.

Table 5.12-1. Standard Security Levels

Severity Level	Description	Target Response Time
1	Issue has a critical impact on end users, rendering critical functionality of the 3M product unavailable, inaccessible, or inoperable.  Catastrophic equipment or system failures effecting the 3M product rendering critical functionality of the 3M product unavailable, inaccessible, or inoperable and resulting in loss of revenue or production.	1 business hour



RFP No. DMV130055 / August 27, 2013 Cash Management System



Severity Level	Description	Target Response Time
2	Issue affects end users in a manner that has a substantially limiting impact on productivity, performance, functionality, or operation of the 3M product.	4 business hours
3	Issue affects end users in a manner that has a moderate limiting impact on productivity, performance, functionality, or operation of the 3M product.	1 business day
4	Issue has a minor impact on end users, minimally limiting the availability, accessibility, or operation of the 3M product.	2 business days
Change Request	Issue is a change to the existing capabilities of the 3M product.	2 business days

# **Customer Support Contacts**

The standard process to report a problem starts with a call to the 3M Contact Center of Excellence (CCE). All requests for support from the 3M Contact Center of Excellence (CCE) shall be initiated either by telephone or via self service request.

- 1. By Telephone at (877) 777-3571: An Automatic Call Distribution System will prompt the caller to select appropriate options. After the caller is directed to a Support Services representative, the caller must identify him or herself by name and location. Once the caller is verified as a designated contact and the account has a valid support contract, 3M Support Services will gather information about the issue and create a service request in the 3M database.
- 2. By Self Service Request at the User Center: A customer logs into the Customer Portal User Center at the provided URL, then completes the request form with all of the appropriate information about the issue and submits the request. A Service Request will be generated in the 3M database. Severity 1 or critical priority requests may not be requested via the self service system. In that case, the customer should contact Support Services by telephone as described above
- 3. By Email: 3M MVSS does not allow opening a service request via email. All requests should be opened by Telephone or by web request.

# **Support Availability**

3M Support Services at the CCE are available:

- For routine or non-production stopped issues, we are available from 7 a.m. to 6 p.m.
   CST Monday through Friday, excepting standard 3M business holidays. A listing of 3M business holidays for the calendar year is available by contacting the CCE.
- For Emergency or Production Stoppage, we are available for contact on a 24/7 basis.
- 24/7 web availability via a self service customer portal and knowledge base.



RFP No.DMV130055 / August 27, 2013 Cash Management System

Support calls will be answered, during standard 3M business hours, within the following Service Levels:

- 80% of all calls answered within 60 seconds
- 80% of all self service cases acknowledged within 30 minutes

It may not be possible for an initial acknowledgement to provide a complete fix to the issue; however the initial acknowledgement will confirm that 3M resources are actively engaged in resolving the issue.

Reports can be requested on a weekly basis. If requested, a monthly summary will be sent to a designated customer list or be posted to a shared site no later than the 15th of the following month.

### **Customer Portal**

3M MVSS will provide the customer with access to a Self Service Customer Portal for the Key Contacts. This portal will include:

- Case Management: Customers may create and view case history related to their past requests. Cases viewed in this manner will include all of the Customer's cases in the system.
- Reporting Functionality: Customers may request reports to be sent on a weekly basis.
   If a customer wishes to be able to run reports on a more frequent basis, reporting level licenses are available in the service catalog.
- 4.5.12.2 The system shall be provided with a one (1) year maintenance period. During this time the Vendor will be required to provide software upgrades and services necessary to keep the system operational. After the maintenance period has expired, the State will require four (4), one (1) year maintenance renewal options.

In this proposal, 3M offers one year of maintenance and support on 3M CMS and proposes that additional years be negotiated prior to the conclusion of the first year of maintenance and support. This allows both 3M and the Agency to better understand the extent of service needed in the subsequent years. For the first year of maintenance and support which commences at the Agency's acceptance of the 3M CMS, 3M proposes to provide a maximum of 3,000 hours of support for software upgrades, enhancements, and other support services requested by the Agency. For the subsequent four, one year maintenance and support periods, 3M proposes that the Agency and 3M negotiate a certain number of monthly work hours at a certain rate for 3M to perform maintenance, support, and enhancements. During the maintenance and support periods, the Agency will make enhancement requests, 3M will estimate the work effort to implement, and the Agency will approve 3M to do the work. If the monthly hours of approved work exceed the average monthly maintenance and support hours, those overage hours will be charged at an agreed upon rate.

In addition to maintenance and support, 3M proposes a 90 day software warranty period (see our response in section 4.5.12.4 for details).

4.5.12.3 The Vendor shall ensure that the original software, source code, object code and all modifications, throughout the life of any agreement resulting from the release of this RFP, will be held in escrow, to be released to the Agency upon termination of said Agreement. It is further understood that the State will retain a perpetual license to the object code.



RFP No. DMV130055 / August 27, 2013 Cash Management System



3M will deposit the enumerated escrow materials with a mutually acceptable third-party escrow agent subject to a mutually acceptable three-party escrow agreement between the escrow agent, 3M (as depositor), and the Agent (as beneficiary). 3M prefers to use Iron Mountain as its escrow agent and can provide the Agency with a copy of its master escrow agreement with Iron Mountain upon request. 3M will pay the costs of the escrow during the term of any contract or maintenance agreement resulting from the RFP. Thereafter, if the Agency wishes to maintain the escrow, the Agency will be responsible for such costs. The escrow materials will be released to the Agency if (i) 3M abandons commercial support of the software; (ii) 3M becomes the subject of a bankruptcy proceeding and such proceeding is not stayed or dismissed within ninety (90) days, or makes a general assignment for the benefit of creditors, or (iii) 3M ceases to operate as a going concern. Upon release, the terms and conditions of 3M's Software License Agreement will apply to the escrow materials.

4.5.12.4 The state will require the Vendor to extend the system warranty period if identified deficiencies have not been corrected.

3M will warrant its software for a period of 90 days in accordance with the terms of 3M's Software License Agreement, which is attached hereto and incorporated herein by reference. The warranty period is not extendable; however, 3M will offer additional maintenance and support pursuant to Section 4.5.12.2 running contemporaneously with the warranty period and in accordance with terms agreed to by the parties. The warranty period shall begin upon acceptance of the software pursuant to Section 4.5.13 (System Implementation and Testing) and is bounded by a maximum of 1,200 hours. Warranty claims shall be limited to deficiencies that cause the software to fail one or more tests identified in the Comprehensive Test Plan agreed by the parties. Passage of such tests will be deemed conclusive evidence that the software conforms with all specifications and requirements. All third party hardware and software will be subject to the manufacturers' warranties, and 3M will have no duty or obligation with respect thereto.

Non-software related products, including license plates and print on demand decals are subject to 3M's standard product warranties.

4.5.12.5 In the event that the Vendor and/or subsequent contractors are unable to remedy identified deficiencies, the State reserves the right to hire another Vendor to remedy the situation. This will be at the contracted Vendor's expense.

The Agency's remedies for software deficiencies identified and reported to 3M during the warranty period shall be as set forth in 3M's Software License Agreement. 3M cannot agree to pay for the work of another vendor under 3M's warranty coverage.

4.5.12.6 Any changes to the production CMS shall be approved in writing, not by email, by the DMV prior to rollout to workstations and servers attached to the system. The authorizing authority for system modifications will be identified during project meetings.

The 3M team will provide the Agency with the procedures, forms, and documents to report technical issues during maintenance and support. The Agency staff will have access to 3M's support staff through a toll free number (see our response to 4.5.12.1). Procedures for reporting technical issues may require providing the 3M team with appropriate documentation, which may include pre-defined forms and other types of documentation, such as error logs, print screens, and others.





RFP No.DMV130055 / August 27, 2013 Cash Management System

4.5.12.7 Modifications to the CMS will be tested and approved by DMV management. Once approved, the vendor will be responsible for distribution.

Installing system modifications will follow a predetermined process that may include testing software changes in the Development and QA environments. Once the QA or testing team has certified the changes, the software modifications or upgrades will migrate to the Pre-Production environment. Users will then certify and approve modifications or upgrades in the Pre-Production environment prior to final release. Upon final certification and approval from the users, the software modifications or upgrades will be migrated to Production.

# Section 4, Subsection 5.13

# 4.5.13 System Implementation and Testing

4.5.13.1 The successful vendor shall be responsible for complete system installation and implementation for all system components provided as part of this RFP.

3M MVSS recognizes that a proven implementation and project management methodology are critical for a successful modernization project. Throughout other jurisdictions, we have successfully implemented the framework and components on which our proposed solution is based. As a result, we have used our experience to refine our methodology for motor vehicle projects such as the West Virginia Division of Motor Vehicles (hereafter the Agency) CMS Project. Figure 5.13-1 provides an organization chart representing the 3M MVSS project team. This organization chart includes State staff members and 3M resources.

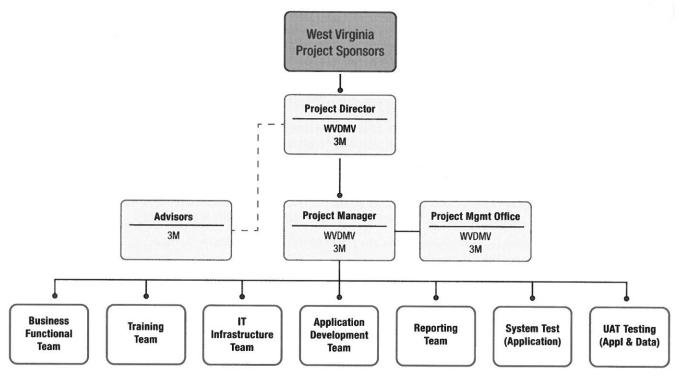


Figure 5.13-1. Project Team.



RFP No. DMV130055 / August 27, 2013 Cash Management System



3M's approach to building a successful project team includes a Project Management Office (PMO) to manage the project. The PMO delivers business and implementation leadership, project controls and procedures, and executive level investment in a single core group. In a project of this size and scope, in which a single manager might be stretched across many responsibilities, sharing of these responsibilities allows managers to focus on their specific areas of expertise. The PMO facilitates this sharing of responsibilities, and is also effective at reducing project risks by providing backup and redundancy for critical program management tasks.

4.5.13.2 The successful vendor shall provide the DMV with a full implementation plan and schedule with well-defined action dates and milestones 30 days after the award of the contract. This schedule shall be reviewed by both parties and must be approved by the DMV. The vendor shall submit weekly implementation status reports in writing. Subsequent issues concerning implementation will be discussed via conference call. Status reports shall continue until thirty (30) days after the last site has been successfully brought into production.

Per the System Development Life Cycle (SDLC) described below, 3M MVSS provides our Project Management (PM) Plan and schedule describing the full WVDMV implementation within sixty (60) days after contract award. This PM Plan and schedule are completed during our SDLC Initiation Phase, and they include:

- The WVDMV project schedule with defined action dates, milestones and work breakdown structure (WBS)
- Weekly implementation status and other project status reporting throughout the full WVDMV implementation and 30 days after all sites are in production
- The implementation issue management approach including communication between WVDMV and 3M MVSS

The project schedule is reviewed by WVDMV and 3M MVSS for mutual agreement and approval. The following text provides an overview of 3M's system development process

## **System Development**

3M MVSS follows a Software Development Life Cycle (or SDLC) approach to system development (See Figure 5.13-2). With our experience as a prime vendor implementing solutions of similar size and functionality, we've refined our methods over time and have found that this approach is the best and fastest for completing a project on time and within budget. This methodology outlines the six major phases of system development: Initiation, Analyze, Design, Build, Test, and Deploy.





RFP No.DMV130055 / August 27, 2013 Cash Management System

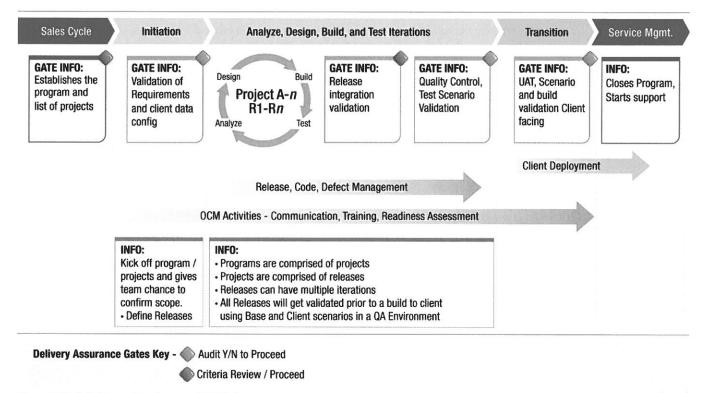


Figure 5.13-2. Software Development Life Cycle.

### **Initiation Phase**

The first phase in our proposed system development methodology is the Initiation phase. Figure 5.13-3 illustrates the major components of our methodology's Initiation phase. These are confirming project goals, validating project scope, completing project plan, identifying and managing project stakeholders, performing project kick-off, and establishing governance structure. The intent of the Initiation phase is to confirm the project's purpose with the stakeholders, resulting in a focus on the desired end-result.

RFP No. DMV130055 / August 27, 2013 Cash Management System



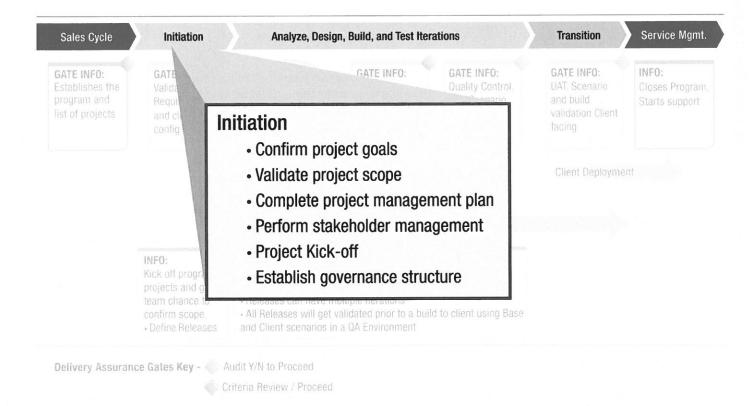


Figure 5.13-3. Initiation Phase.

The Initiation phase starts with a project kick-off session between Agency and 3M MVSS project team members. The project kick-off session serves the purpose of introducing team members, defining roles and responsibilities, and reviewing the project plan and tools. After the project kickoff, 3M showcases an environment with one of the 3M products in order to work with the Agency's project sponsors and directors. Together, we verify, refine, and document 3M CMS' functional requirements, along with the Agency's goals and expectations. We turn these into the high-level requirements that drive the rest of the project.

The Initiation phase also confirms the project scope and delivery strategy. We complete the project management plan and subsidiary plans, then perform stakeholder management and formalize the project governance structure.

During the Initiation phase, 3M MVSS collaborates with the Agency's project manager to develop and refine a detailed Work Breakdown Structure (WBS) project plan. 3M uses Microsoft Project for development and maintenance of project work plans.

The project plan is reviewed and updated in the weekly status report meetings throughout the project. In addition, 3M MVSS reviews and revises, with agreement from the Agency, the WBS prior to the start of each new phase of the project.





RFP No.DMV130055 / August 27, 2013 Cash Management System

During the Initiation phase and in collaboration with the Agency, the 3M team verifies the high level requirements and finalizes the project plan, at which point these become part of the final contract.

At the conclusion of the Initiation phase, determine if the project scope is in line with our assumptions based on data and information provided by Agency at the time of our proposal submission. Modifications to the budget and schedule may be required at this time, depending on the information received from Agency for input into 3M CMS.

# **Analyze Phase**

During the Analyze phase, the 3M team examines the Agency's current business processes to determine the scope of the OCM activities, as well as to define the detailed requirement specification for elements requiring development and customization. Figure 5.13-4 illustrates the major components of our methodology's Analyze phase. The major components are examining current functionality and processes; eliciting, capturing, and analyzing requirements; establishing requirements traceability; designing solution specification; defining development approach, and planning training and testing.

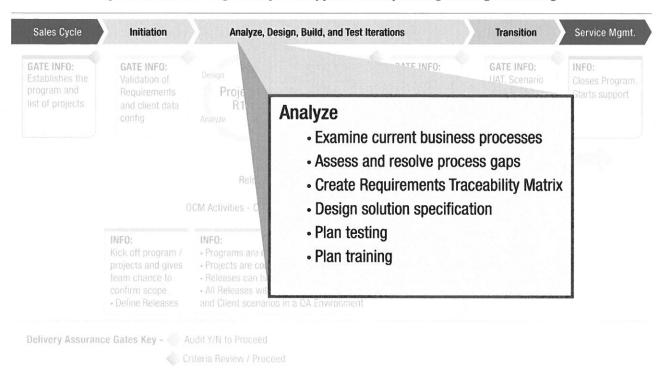


Figure 5.13-4. Analyze Phase.

As part of this effort, the 3M team initiates detailed requirements activities (See Figure 5.13-5). We map the business process analysis and Agency requirements to the 3M application's capabilities across different functions. This identifies process gaps in the current application and areas of development needed to fulfill specific requirements. Using the high-level requirements, scope analysis, and gap analysis, we produce the "to-be" process definitions. The goal is to align the Agency's business practices with prevailing



RFP No. DMV130055 / August 27, 2013 Cash Management System



leading practices and confirm that 3M CMS' functionality meets Agency requirements. In collaborative sessions with Agency staff, the 3M team analyzes gap resolution alternatives and prioritizes gaps based on their level of importance to operations.

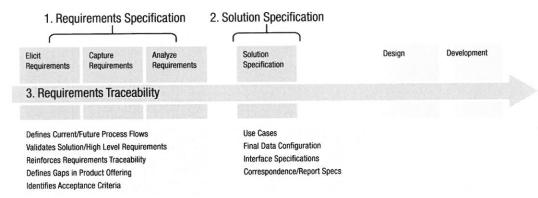


Figure 5.13-5. Detailed Requirements Activities.

The analysis of the development and customization requirements results in further defining our development plan and deployment approach. We deliver the requirements traceability documents that are used to verify solution functionality throughout the phases of the project. Functionality, user acceptance criteria, system requirements, technical architecture, detail design, and test coverage are some of the areas considered for verification (See Figure 5.13-6).

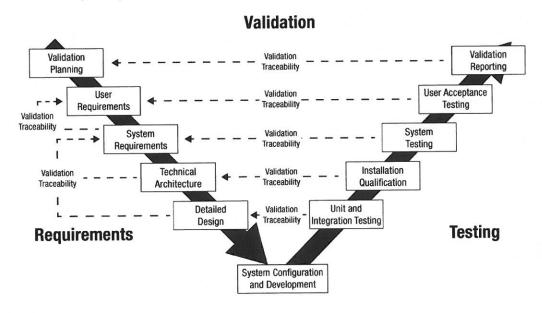


Figure 5.13-6. "V Model" for Traceability.

RFP No.DMV130055 / August 27, 2013 Cash Management System

Finally, the 3M team works with the Agency to create the optimal test approach. We use the business requirements to begin development of the test conditions and expected results that we use throughout the Test phase.

At the conclusion of the Analysis phase, we will have a detailed understanding of the project scope. All project management and technical planning are refined, updated, and communicated to establish the project baseline with all stakeholders.

## **Design Phase**

During the Design phase, the 3M team converts the high-level scope into a detail design, which we validate against the Agency's business requirements. Figure 5.13-7 illustrates the major components of our methodology's Design phase. The major components are verifying the system requirements, creating functional designs, creating the technical design, and installing development environments.

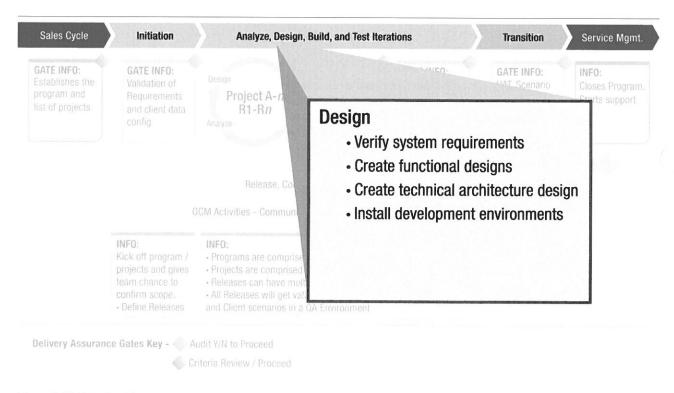


Figure 5.13-7. Design Phase.

After verifying and documenting the project requirements, we create the functional designs. Functional designs describe the business rules, test conditions, and development approach so that the Agency subject matter experts (SMEs) can review and approve the designs. During the Build phase, we add technical detail to the designs.

### **Build Phase**

The Build phase produces a developed, configured, and working application, which is tested against the functionality validation plan. Figure 5.13-8 illustrates the major



RFP No. DMV130055 / August 27, 2013 Cash Management System



components of our methodology's Build phase. These are detailed design creation; system building and configuration; unit tests; maintenance and building of system environments; data analysis; and development of training material and documentation.

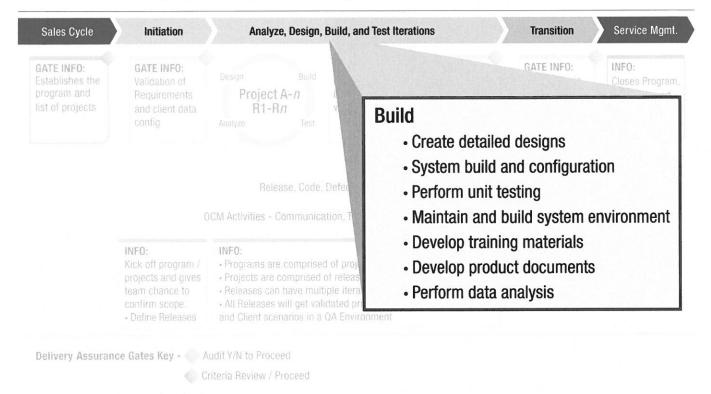


Figure 5.13-8. Build Phase.

### **Test Phase**

The Test phase validates that 3M CMS meets the Agency's business and user requirements. Figure 5.13-8 illustrates the major components of our methodology's Test phase. The major components are executing system test, preparing for and executing user acceptance test, performing mock conversions, conducting Train the Trainer sessions.



RFP No.DMV130055 / August 27, 2013 Cash Management System

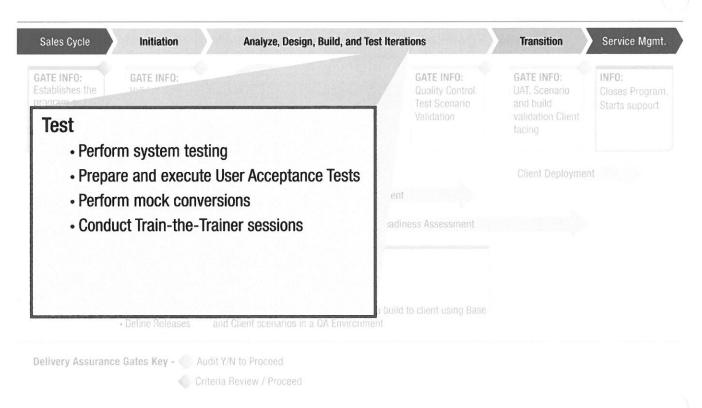


Figure 5.13-8. Test Phase.

During the Test phase, the 3M team collaborates with the Agency to conduct several formal testing efforts to verify that 3M CMS performs as expected and meets the Agency's end-to-end business goals. These testing efforts include system testing and user acceptance testing. In addition, they include test conditions for each transaction outlined in the fee code matrix and production of system reports and management functions. The 3M team will log, track, and correct functional or configuration defects found during this phase.

The training team focuses on testing and reviewing the training and support materials. In addition, the training team conducts Train-the-Trainer sessions for Agency trainers. The Agency would prepare and distribute communications regarding training and register users for training.

Please see our response in 4.5.13.5 below for details on the range of testing that is performed for an implementation.

### **Deploy Phase**

The Deploy phase requires considerable coordination between the teams. Figure 5.13-9 illustrates the major components of our methodology's Deploy phase. The major components are prepare and deploy Go-Live communications, conduct end-user training, conduct readiness assessment, conduct final conversion, and transition application to maintenance mode.



RFP No. DMV130055 / August 27, 2013 Cash Management System



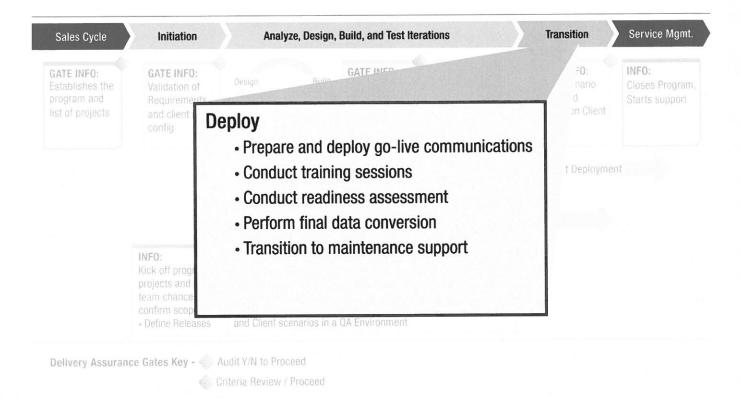


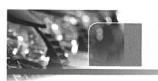
Figure 5.13-9. Deploy Phase.

Having completed the Train-the-Trainer program, the Agency's trainers will be ready and confident to deliver the end-user training program. The 3M team can provide support to the trainers during this phase and help with capturing, analyzing, and summarizing training effectiveness results and recommendations.

3M MVSS, in conjunction with the Agency, performs the operational readiness test during the Deploy phase with the assistance of the application and technical architecture teams. This test verifies that we can successfully deploy the system to the production environment. We also conduct this test at regional offices to verify operational readiness.

The Agency's conversion team, with assistance from the 3M team, conducts the final conversion. The technical team stages the system into the production environment and verifies its operational readiness.

The project management team conducts a final readiness review to establish that the system, the users, the Agency support organization, and the procedures are in place for cutover. We document the final readiness assessment and communicate the results to the Agency's project sponsors. Project management makes a recommendation to the project sponsors as to the readiness to proceed with deployment. Upon written approval from the Agency's contract administrator, the team will deploy 3M CMS.



RFP No.DMV130055 / August 27, 2013 Cash Management System

After the successful 3M CMS implementation, we will formally transition to a 90 day warranty period for software. If software support and maintenance is desired by the Agency, 3M will propose a value add option for support and maintenance that will commence upon completion of implementation.

### Installation

3M MVSS combines practical experience with a proven methodology regarding deployment and support. 3M MVSS brings the experience of having implemented the 3M MVS Enterprise Software Suite in other states.

# **Deployment Approach**

The 3M MVSS team works with the Agency's project management to determine acceptance criteria for transitioning from the legacy system to the new system. The 3M team prepares a detailed implementation plan that lists transition tasks and metrics in sequential order by date and by time, with resources assigned. We review the plan with cutover participants prior to deployment. This lets the team confirm that the plan includes the team's tasks, identifies issues and key dependencies, and allows the team to take corrective action without jeopardizing the cutover schedule or accounting operations.

3M MVSS provides an onsite software engineer during implementation at the headquarters office. This software engineer will have been involved in the development of 3M CMS.

Many factors go into the creation of the implementation plan. These factors include:

- Verification of user readiness through training
- · Preparation of legacy system disablement
- Communications to end users about planned activities
- Documented and communicated channels for production support

These factors are addressed in the completion and sign-off of the implementation plan and serve as a checklist for deciding on the readiness for deployment. The 3M team works with Agency team members to obtain approval for the plan from key stakeholders. We use the approved plan to monitor and track the status of cutover and transition activities.

Next, the 3M team works with cutover participants and key stakeholders to perform system readiness reviews. We work with key stakeholders to determine the entry criteria and schedule for the reviews. These reviews confirm that core, interface, and legacy components are ready for cutover. The review results also support sound and objective "go/no-go" decision-making. Conducting these reviews further reduces the implementation risk for the Agency. Since the reviews occur well in advance of the actual cutover, we will have sufficient time to address any remaining issues before they could delay the cutover and transition schedule.

We work with the resources listed in the Implementation plan to develop and execute a practice deployment run for operational readiness. While executing the practice run, we measure the timing of each step in the process. We revise the schedule based on the times recorded. Lastly, we meet with participants to discuss the results of the practice run. We revise the transition and cutover plan based on their observations and conduct multiple practice runs as needed.



RFP No. DMV130055 / August 27, 2013 Cash Management System



In conjunction with the operational readiness activity, a sandbox environment is established. The sandbox environment is a training environment that allows users to "play" with the application well before implementation. The sandbox environment allows us to test smart-client deployment, connectivity, security, and general usability for remote sites. The sandbox environment closely matches the production environment to provide additional information for the operational readiness results.

Once the practice run is complete, the 3M team prepares the target environment for the final transition according to the steps listed in the plan. Planning the timing of the rollout is a critical step in the process. 3M recognizes that the Agency has many rolling calendar events, as well as times of the month and weeks when business activities peak. 3M works with the Agency to determine the rollout schedule in order to minimize any disruption to end users. With a confirmed rollout date, we execute the steps listed in the plan to complete the transition and cutover.

# Deployment Verification and Backout/Recovery Contingency

As the project team transitions system components to the production environment, the 3M team works with key users to validate system functionality in the new environment. Post-cutover validation would reinforce prior training. It confirms that the new system components function as expected.

After deployment verification occurs, the Agency and 3M MVSS review any resultant issues. In the unlikely event that 3M CMS needs to be backed-out, the backout/recovery portion of the Implementation plan can be executed if the issues are not quickly correctable and present operational roadblocks to necessary business functions. The backout/recovery procedures reinstate access to the legacy systems, while disabling access to 3M CMS.

Upon execution of the backout/recovery portion of the Implementation plan, the Agency and the 3M team would review the roadblock issues and develop a timeline and plan to correct them. The Implementation plan is modified with the correction of these items. This refactoring could result in additional checkpoints for a "go/no-go" decision. Once the required checkpoints are met and a new "go" decision is made, the Deploy phase is executed again.

### **Implementation**

3M CMS is based on the framework and modules of the 3M MVS Enterprise Software Suite. These modules are developed and tailored specifically to the Agency's business requirements, rules, and processes. This highly configurable solution framework incorporates table-driven business rules, configurable business processes, and an extensible data model implemented in a service-oriented architecture (SOA) construct. 3M MVSS leverages the latest development methods to deliver a flexible system that includes configuring tables and interfaces to implement the Agency's business rules.

### Implementation Plan Methodology

The 3M team's proposed work plan includes multiple phases and builds in iterative cycles to facilitate collaboration with the Agency and to deliver project value early and often, with frequent testing to prove product quality.





RFP No.DMV130055 / August 27, 2013 Cash Management System

3M MVSS organizes our project management team for success and will be ready to enable the Agency to achieve its objectives. We provide the Agency with a successful project management approach; a carefully selected and experienced leadership team; an integrated methodology and tool set; and straightforward project, quality, risk, and issue management processes to achieve this project's objectives.

# **Project Management**

For project support in areas of contracts, subcontracts, procurement, and human resources, our project management office (PMO) coordinates requirements and supports needs with corresponding 3M staff. These professionals apply 3M standard processes and procedures to support the PMO in successfully performing the Agency's project.

# Establishing and Updating an Integrated Project Plan and Related Project Documentation

The 3M project manager assists with establishing and updating our integrated project plan and related project documentation. In the following subsections, we describe our approach to establishing and updating the project plan and related documents. Our proposal represents a summary of our project plan. It describes how the project manager applies the methods below to update the project plan after contract negotiations. The project manager likewise updates that plan weekly throughout the project, so that it is accurate and reflects the actual project status. All updates to the project plan are developed and prepared collaboratively with the Agency that the plan accurately represents approved project requirements and scope.

*Project Charter.* Our project manager prepares the project charter to authorize formally the work of the project. We revise and update the charter for the phased development and implemen¬tation phases. The project charter includes descriptions of areas such as project purpose, objectives, organization, and scope, as well as management review and financial and personnel resources.

Project Scope Statement. In coordination with the Agency, the 3M project manager prepares the scope statement that defines project deliverables, their frequency, and recipients; Agency solution processes and technologies; organizational responsibilities; work location and schedule; and Agency customer information regarding timing and location of solution delivery. We work with the Agency to update the project scope state¬ment periodically so that it reflects changes to contract scope or delivery requirements. This includes an update associ¬ated with final negotiation of the phased development and implementation effort.

Detailed Work Breakdown Structure. The 3M team develops a WBS that represents the proposed tasks, subtasks, activities, services, and products that comprise our plan for performing all phases of development and implementation. We incorporate this WBS into our Microsoft Project work plan and schedule. Following contract negotiations, and weekly throughout execu¬tion of the project, the 3M project manager reviews the approved project scope and any recently approved scope changes, and updates the WBS accordingly.

Project Work Plan. The 3M project manager develops the detailed project performance plan in collaboration with the Agency. Our performance plan includes weekly and monthly performance monitoring and tracking, and weekly performance metric status reporting. Our performance plan incorporates metrics that reflect both overall project performance and performance on specific tasks or deliverables, as shown in Table 5.13-1. The performance



RFP No. DMV130055 / August 27, 2013 Cash Management System



plan also defines acceptance criteria for project gateways, such as design reviews. Following contract negotiation and as approved project requirements or scope changes occur throughout the project, our project manager updates the project performance plan.

Table 5.13-1. Performance Metrics.

Project Phase	Performance Metrics
Overall Project	<ul> <li>Actual costs versus budget. Our project controller tracks and monitors actual costs throughout the project. Also during phased development and implementation, we use earned value tracking and reporting for iterative build life-cycle tasks and system-level deliverables.</li> <li>Actual work accomplished versus schedule. The project manager monitors percent complete for all tasks weekly and monthly, including the use of earned value parameters during phased development and implementation.</li> <li>On-time milestone completion rate.</li> </ul>
Analyze Phase (Solution Validation)	<ul> <li>Approval of preliminary and final design reviews.</li> <li>Acceptance of proof of concept demonstration.</li> </ul>
Design Phase	<ul> <li>WVDMV approval of iterative requirements assessments and validations during the inception and analysis phase of each release and build cycle.</li> <li>Level of success in unit tests, integration tests, and user acceptance tests for delivered system and software components associated with each release and build cycle.</li> <li>System and data migration metrics (e.g., data accuracy, data cleansing rate, etc,).</li> </ul>

The primary measures relate to schedule, scope, and cost management, including earned value management (EVM) reporting based upon ANSI and PMI standards. We also measure team performance, productivity, staffing, and customer satisfaction. Risk and issue management includes the number, priority, and time to resolution of project risks and issues.

If any project performance metric falls below the acceptable level agreed upon by the Agency and the 3M team, our project manager leads an assessment of, or assigns a team to assess, the root cause of the performance issue. Based on the identified root cause, we plan, schedule, and assign the necessary resources to implement approved corrective actions to resolve the performance issue. The project manager monitors and controls these corrective-action efforts weekly to provide prompt, effective performance reso-lution.

Project Resource Plan. The 3M team's project resource plan addresses personnel, workspace, IT tools, equipment, and facilities (e.g., development and test environments), and procured or subcontracted items and services. Our proposal documents the existing resource plan. The project manager updates the resource plan following contract negotiations, as well as when approved changes alter the project requirements or scope. In concert with weekly work plan and schedule updates, our project manager reviews and updates the resource plan to achieve proper alignment of project resources with the existing work plan and schedule.



RFP No.DMV130055 / August 27, 2013 Cash Management System

Project Schedule. We based our project schedule on our WBS and document it in Microsoft Project. The project manager, in coordination with our technical leads, assesses duration, skill levels, and resource levels required for each task, subtask, and activity. The project manager also identifies milestones and networks the tasks together through predecessor relationships. We iterate task schedules, resource skills and levels, and predecessor relationships so that the schedule is effective and efficient. Our project manager reviews and updates the schedule following contract negotiations, as well as weekly throughout project execution to incorporate project changes or to adjust tasks and resources to accomplish the project on schedule.

Risk Management Plan. The 3M project manager prepares our risk management plan, which includes our standard risk management process presented in Figure 5.13-10. Our team continually identifies and evaluates project risks as part of ongoing project activities, and we include risk management updates in our weekly and monthly project status reports. As the Design phase proceeds and we clearly define the design requirements, the 3M team conducts a complete risk management plan review and update to identify and mitigate risks associated with phased development and implementation.

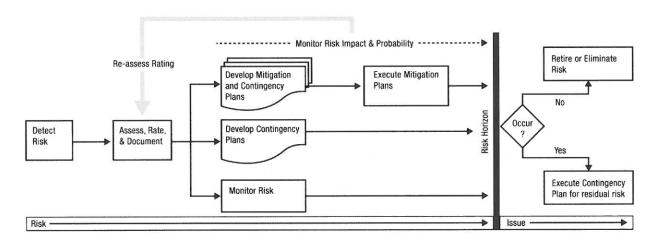


Figure 5.13-10. Risk Management. 3M applies a standard process to identify, analyze and mitigate project risks.

*Communications Plan.* The 3M project manager prepares a formal communication plan that includes the following information:

- Project customers and stakeholders, their role or interest in the project, their potential influence or impact on the project, and their information needs to ensure the most effective support
- Deliverables, such as weekly and monthly status reports and descriptions of the required information content, format, required delivery times, and frequencies, as well as assignments of responsibilities for collect-ing and reporting the information
- Our approach to conducting meetings, such as using well-planned agendas and meeting objectives, recording and distributing meeting minutes, and assigning and tracking action items



RFP No. DMV130055 / August 27, 2013 Cash Management System



 Our approach to distributing information, including the use of our SharePoint website for providing electronic access to reports and information

Change Management (CM) Plan. The 3M team's CM approach uses a Change Control Board (CCB) as a method of monitoring and evaluating all changes occurring on the project to identified control documents, such as technical requirements, approved software design documents, and legacy system interface documents. The CCB is a proactive management tool that we combine with our effective configuration management process and tool. Co-chaired by Agency personnel and the 3M team, the CCB is a critical component in the development of our collaborative working relationship by sharing risks, progress, issues, action items, and any other points of discussion necessary to ensure delivery of a high-quality product on schedule and within cost.

We maintain minutes of CCB meetings to document recommended changes and submit them to the Agency for review and approval. Once the Agency approves the changes, we update the CM database to document the updated baseline used to perform the work. This allows the Agency to have high-quality performance and visibility into the project at all times. We schedule CCB meetings monthly, or more frequently if needed, to address progress to date, discuss any schedule and technical issues, and set priorities for the next period. The program manager facilitates CCB meetings. The 3M representative acting as the contractor change-control authority exercises approval authority — in coordination with our project manager and the Agency — over in-scope changes based on contractual requirements. This representative also reviews proposed out-of-scope changes and requests to waive or deviate from existing requirements, before forwarding recommended items for disposition by the project manager and Agency.

4.5.13.3 The implementation and development schedule shall become part of the resulting contract. Any deviation from the proposed schedule shall require approval by the DMV.

3M MVSS provides an implementation and development schedule within 60 days of the signing of the final agreement between 3M MVSS and the Agency. The implementation and development schedule are updated on a regular basis during the implementation of 3M CMS. All changes to the schedule are reviewed and agreed to by 3M MVSS and Agency personnel.

4.5.13.4 The Vendor shall have one software engineer that worked on the development of the WV CMS to be onsite during the implementation at the Headquarters' Office.

3M MVSS will provide one software engineer that worked on the development of 3M CMS to be onsite at the headquarters office during implementation.

4.5.13.5 The Vendor shall perform a complete system test of all CMS system components. At a minimum the test shall include processing of each transaction outlined in the fee code matrix as well as production of system reports and management functions.

### **Testing Overview**

The 3M team works side-by-side with the Agency's project team, applying proven testing methods and tools to meet the needs of the Agency. A comprehensive testing approach is critical to delivery of a quality solution. With 3M's implementation experience, reusable assets, and proven methodologies, our team provides a solution that minimizes risk while enabling accelerated testing and cutover.



RFP No.DMV130055 / August 27, 2013 Cash Management System

Software testing is defined as the validation of a software product to verify that system and user-defined requirements are satisfied. The intent of testing is to exercise the software and confirm the desired outcome between the expected behaviors and actual results. Testing validates that the final developed, configured, and delivered software is a quality product that meets the technical design criteria and functional requirements established for the product. The goal is to prove the functionality and stability of the system prior to implementation.

Building systems requires three specifications: the functional specification, which the DMV defines; the technical specification, which the 3M team's developers define; and the certification specification, which the testers define to confirm that the developers' product is equal to expectations.

# **Testing Methodology**

At the beginning of this project, the 3M team develops a Master Test Plan (MTP) as the starting deliverable describing and detailing all testing activities. The plan defines the how, who, what, and when of each test phase and function, so that the team knows what is to be tested and that all required testing has been addressed. When each tester understands what is to be tested and who is responsible for that testing, the MTP facilitates the development of more effective tests. This occurs while testers work toward minimizing duplication and redundancy in test cases and scenarios, and increasing the total test coverage of the product critical to ensuring the delivery of the right system.

Each test phase has its own test plan that documents test conditions and expected results. This verifies the implementation of the specification in the corresponding testing activity. In addition, it drives the detail to lower levels appropriate to the testing activity and specifies the objectives of each test activity and how they will be satisfied. Early development of these test plans, during the Analysis and Design phases, enables corresponding test cases and scenarios to be defined by the people who best understand the requirements and specifications (See Figure 5.13-11).



RFP No. DMV130055 / August 27, 2013 Cash Management System



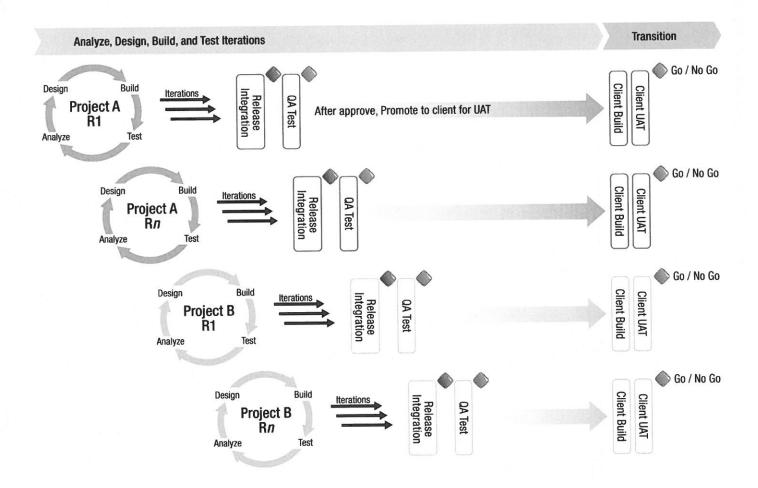


Figure 5.13-11. Test Phases.

The 3M team's testing methodology provides several components for success, including requirements traceability and phase containment of defects.

At project start-up, our team maintains the requirements in a Requirements Traceability Matrix (RTM). As part of this effort, the 3M team uses the matrix to track individual business requirements throughout the life of the project. We trace high-level requirements to lower-level functional and technical requirements. These requirements are traced to the designs that address the functional and technical requirements. The designs are tracked to the corresponding code module or unit. Finally, we document the tests that we use to validate the requirement. This ensures complete and comprehensive coverage of all defined system requirements.

Phase containment entails identifying and correcting a defect within a phase to lower the costs associated with resolution of the defect. 3M's methodology requires verification and validation at key points so that we can detect and address issues as early as possible in the development life cycle. Early defect detection is critical because phase containment of errors has proven to have a significant effect on cost and schedule savings.



RFP No.DMV130055 / August 27, 2013 Cash Management System

#### **Testing Process**

The 3M team's development effort begins with analysis and design activities. Decisions are made at progressively more detailed levels during each new stage. When the design is complete, the development activities begin. The product then moves through the validation and testing processes.

During the earlier stages of testing, the focus is on the individual components. As the system progresses to successive levels of development and integration, the testing focuses on the larger assemblies. Test plans and test cases are developed using the Microsoft© Test Manager Tool. They are then executed to validate that the 3M CMS solution satisfies the Agency's business requirements during each cycle of the iterative build process. We work side-by-side with the Agency to perform the testing.

One goal of testing is to find and fix the most severe bugs early in the testing process to provide a more stable application through each phase of testing. At each level, issues, bugs, and enhancements are recorded in Microsoft's Visual Studio® Team Foundation Server (TFS), triaged and prioritized, fixed, re-tested, and assigned for the next logical move date. 3M's project implementation manager works with the Agency's project manager to decide the next logical move date.

Through our experience using these testing techniques and processes, we have seen fewer defects and minimized re-testing. These key results reduce testing time, effort, and costs for our clients. We expect to achieve similar results for the Agency. Additionally, clear, concise, and easy-to-understand mapping from test conditions to business requirements leads to an efficient testing process that delivers high customer confidence in test results and system operation.

#### **Test Plans and Schedule Summary**

For each phase, we develop test plans and schedule formal deliverables. The test plans and schedules include details on the testing phases, timeframes, roles and responsibilities, facility requirements, and defect tracking. The test plans also address testing procedures and test reporting and remediation.

#### **Test Cases and Results**

The 3M team writes specific test conditions that validate each requirement in a release, and then group these conditions into test cases to maximize efficiency. After the test conditions and scenarios are defined and executed, these test cases are made available to the Agency's team for User Acceptance Testing (UAT). Together, the 3M team and the Agency will inventory scenarios for reuse. The 3M team provides test results to the Agency throughout the project.

#### Quality Assurance (QA) and Verification

The 3M team's quality assurance process incorporates the Agency's involvement throughout the life cycle of the project. The team involves the Agency's resources during each phase of the QA process. By using 3M's process, the team identifies potential problems at the earliest stage, thus mitigating risk. We have entry and exit criteria and points defined for each phase of the project. The team does not allow progression to the next phase until completion of each exit criteria from the previous phase and entrance



RFP No. DMV130055 / August 27, 2013 Cash Management System



criteria to the next. This process minimizes risk by building quality into each deliverable and work product.

We conduct inspections throughout the project life cycle so we can validate the availability and quality of delivered equipment, certifications, and documentation, as well as identify issues early and make corrections before affecting future phases of development.

#### **Testing Types and Phases**

As part of the 3M team's testing methodology and approach, we perform the following types of testing:

- Unit
- Functional
- Integration
- Regression
- · Performance (load)
- Operational readiness

3M testing includes the specific test phase areas for development, QA, UAT, interface, performance testing, environment configuration certification, and AAMVA certification. Following, we provide additional discussion of each type of test.

#### **Unit Testing**

The unit test stage is essential in detecting and correcting any problems early in the development life cycle. The earlier we can identify problems, the faster we can fix them. Unit tests focus on the operation of a single function and verify that detailed design specifications are translated properly into code. We identify the conditions for each unit test during the detailed design for each program that is tested. Unit tests verify that individual code functions operate as designed.

#### **Functional Testing**

Functional testing verifies the system meets functional and technical requirements. The 3M team tests incrementally, in stages, from simple to complex, using an iterative approach. Once a set of specified conditions in a given stage are satisfied, we move on to the next. For example, we start by testing configuration scripts. Once they are tested and validated, we move to the next step and begin testing simple processes.



RFP No.DMV130055 / August 27, 2013 Cash Management System

#### **Integration Testing**

Integration testing involves testing a complete application environment that mimics real-world use (i.e., network communications and interaction with other applications or hardware, including data exchange between the solution and systems managed by the federal government, AAMVA, and systems within the Agency). This phase is executed after the functional test cases have been executed with acceptable results.

The purpose of the integration test (see Figure 5.13-12) is to:

- Validate that the application(s) and technical architecture supports the end-to-end business processes
- Execute tests in an integrated production-like environment, that while functionally identical, does not need to be to scale
- Pass real data between applications and then validate that data in downstream applications
- Ensure that entire end-user experience meets expectations, including exception and negative tests

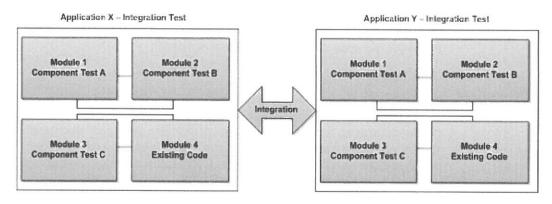


Figure 5.13-12. 3M's integration test mimics a real-world environment.

#### **Regression Testing**

Regression testing verifies that new releases or changes have not affected the functionality of the entire system. Regression testing is software testing that seeks to uncover software regressions. Such regressions occur whenever previously working software functionality stops working as intended. Typically, regressions occur as an unintended consequence of program changes.

Common methods of regression testing include re-running previously run tests and checking whether previously fixed faults have re-emerged. We create a repository of reusable test scripts and a data repository of test data on which we would execute the test scripts.

RFP No. DMV130055 / August 27, 2013 Cash Management System



#### Performance (Load) Testing

Performance (load) testing (also known as stress or benchmarking testing) helps reduce system implementation risks by executing programs under simulated user loads and data volumes before Go Live. It focuses on high-volume and high-visibility online and batch transactions. The ultimate goal of performance testing is to evaluate the ability of the configured and tested 3M CMS solution and technical infrastructure to perform in the Agency's production environment.

We perform tests for low network traffic, moderate or normal network traffic, and peak network traffic, based on the characteristics of the Agency's environment. We prepare and execute the performance test to confirm that the application meets each of the performance-related metrics, such as response time, availability, throughput, and reliability.

Figure 5.13-13 illustrates the cyclic process of running a test, measuring its performance, and tuning the system for optimal performance.



Figure 5.13-13. 3M's performance test cycle.

The optimum software and hardware solution for each implementation is determined based on the specific enterprise application needs, application complexity, security requirements, number of transactions and users, availability requirements, data capacity requirements, and future needs. These metrics are essential for the success of any enterprise application architecture. With this process, the application and the supporting software and hardware can meet or exceed the Agency's requirements and provide a framework that can survive current and future needs.



RFP No.DMV130055 / August 27, 2013 Cash Management System

#### **User Acceptance Testing**

Each Release of 3M CMS shall be subject to evaluation and User Acceptance Testing ("UAT") by the Agency to verify that the Release satisfies the Specifications mutually agreed to by the Agency and 3M. UAT shall be conducted in accordance with the following process:

- A. Comprehensive Test Plan (CTP). The CTP is the written document to be developed by the Agency, with assistance and support from the 3M that describes the criteria, steps, and content of each acceptance test. The CTP will be developed in accordance with the schedule agreed to in the work breakdown structure in the Project Plan (WBS). A draft CTP shall be developed by the Agency. Unless otherwise agreed in the WBS, a draft CTP shall be delivered to 3M within fifteen (15) days after the Agency final requirements analysis and design approval. With respect to 3M software, the CTP shall include scripts under which the UAT process shall be conducted. These scripts shall be based upon the Agency's requirements as set forth in the specifications and shall be agreed upon and verified by the signatures of the Agency Project Director (or his or her designee) and 3M's Project Director (or his or her designee). Each CTP shall include references to all Specifications agreed to for the applicable Release, reports verifying each transaction or action, review of system logs, and any additional items that the Agency Project Director and 3M's Project Director deem appropriate, and the procedures under which the test will be performed. Each CTP shall include a signature page which provides for verification of the pass/fail status of the UAT.
- B. Modification of CTP. Following receipt of the draft CTP, 3M shall have ten (10) days to (i) approve the contents in writing; or (ii) return the draft CTP to the Agency with requests for changes to be made. In the event the draft CTP is returned by 3M, the Agency shall have ten (10) days to modify and return an updated draft to 3M to review in accordance herewith. The preceding process shall be repeated until the parties agree on the contents of the CTP, provided that, if the parties are unable to agree to the contents of the CTP within forty (40) days of 3M's receipt of the Agency's original CTP draft, one senior employee from the Agency and the 3M shall work together to finalize the document.
- **C. UAT Process.** UAT for each Release shall commence within five (5) days after approval of the applicable CTP. The Agency shall administer UAT, with the assistance of 3M, as set forth below:
  - At a mutually agreed upon time and location, 3M shall provide Agency representatives selected by the Agency Project Director, who shall have knowledge and understanding of Agency business processes, technical processes and systems, a briefing on the CTP, testing methodologies, and processes to ensure Agency personnel are familiar with and can complete UAT tasks.
  - Designated Agency and 3M personnel shall participate jointly in each UAT, which shall follow the agreed CTP.
  - The Agency shall provide 3M with a written pass/fail determination within five (5) business days of completion of UAT for each Release. Each notice of a failed UAT shall include all relevant information concerning any deficiency as outlined in the CTP ("Notice of Nonconformity").
  - Any deficiencies not identified in a Notice of Nonconformity as set forth above shall be deemed waived for the purposes of UAT.



RFP No. DMV130055 / August 27, 2013 Cash Management System



- D. Correction of Deficiencies. 3M shall, at no cost to the Agency, promptly correct any deficiencies identified in a Notice of Nonconformity that prevent the Release from passing a test performed in accordance with the CTP.
- E. Repeat Testing. Upon completion of any corrective actions by 3M, 3M shall notify the Agency, in writing, that the Release is ready for repeat testing. Such repeat testing shall be performed in accordance with the process set forth above, and shall be commenced within five (5) business days of 3M's notice of readiness. UAT shall be repeated until 3M's proprietary software passes all tests identified in the CTP, upon which UAT shall be deemed complete.
- F. Release Acceptance. Upon completion of UAT, the subject Release shall be deemed accepted by the Agency and the Agency shall provide 3M with a written acknowledgement of such acceptance within ten (10) days. A Release shall not be installed or used in a production environment, or used for any purpose other than testing and acceptance, unless and until the software has been accepted by the Agency in accordance herewith. Without limiting the above, the Agency acknowledges and agrees that a Release shall not be used to perform any business or administrative function of the Agency prior to such acceptance. Subsequent to acceptance, 3M shall have no obligation to correct deficiencies in an accepted Release except to the extent that they give rise to valid warranty claims under Section 4.5.12.4.
- **G. Delivery of Software.** A "golden master" object-code version of each software Release shall be delivered to the Agency within ten (10) business days of acceptance as provided herein.

#### **Operational Readiness Testing**

The 3M team performs operational readiness testing during the deployment phase. This testing verifies that the application can be correctly deployed, maintained, and supported in a production environment. This operational readiness test demonstrates the full operability of all integrated components in a production environment. Another result of this test is the validation of the associated user and maintenance documentation by the testers. It also facilitates a process of creating awareness and coordinating the start of new operations among involved staff.

4.5.13.6 DMV personnel will then conduct a complete system test which will consist of processing each transaction outlined in the fee code matrix as well as production of system reports and management functions.

Please see our response to subsection 4.5.13.5.

4.5.13.7 The Vendor will not implement any system or component thereof until all phases of system testing has been successfully completed and approved in writing (not bye mail).

Please see our response to subsection 4.5.13.5.

4.5.13.8 The production of CMS system shall not be rolled out to the DMV offices until all phases of the system testing have been completed successfully and results have been approved by DMV contract administrator in writing (not by e-mail).

Please see our response to subsection 4.5.13.5.





# **Department of Administration Purchasing Division** RFP No.DMV130055 / August 27, 2013

Cash Management System



## **REQUEST FOR PROPOSAL**

(DIVISION OF MOTOR VEHICLES RFP DMV130055)

By signing below, I certify that I have reviewed this Request for Proposal in its entirety; understand the requirements, terms and conditions, and other information contained herein; that I am submitting this proposal for review and consideration; that I am authorized by the bidder to execute this bid or any documents related thereto on bidder's behalf; that I am authorized to bind the bidder in a contractual relationship; and that, to the best of my knowledge, the bidder has properly registered with any State agency that may require registration.

3M Company	
(Company)	
photology, 3M VP TSSA	Vice President and General Manager
(Representative Name, Title)	
(651) 737 - 8804/(651) 733 - 5012	
(Contact Phone/Fax Number)	
August 22, 2013	
(Date)	

RFP No. DMV130055 / August 27, 2013 Cash Management System



## State of West Virginia Department of Administration, Purchasing Division

RFP No. DMV130055

#### 3M Comments and Clarifications

3M respectfully requests the State of West Virginia's consideration of the following proposed clarifying and/or supplemental language regarding certain Contract and RFP provisions. We welcome further discussion and negotiation with the State around our proposed comments. 3M wishes to remain responsive to the RFP and should any of our comments put our responsiveness at risk, we would request the opportunity to modify or withdraw any such comments. Thank you.

- **Page 1, Section One: General Information. 2.** By signing and submitting its proposal, 3M agrees to the terms of this RFP as they may be modified by 3M's proposed offering.
- **Page 9, Section Three: General Terms and Conditions. 1. Contractual Agreement.** 3M agrees to be bound by and accepts the terms and conditions contained in this Contract subject to 3M's proposed comments contained herein.
- **Page 14, Section Three: General Terms and Conditions. 13. Acceptance/Rejection.** 3M agrees to be bound by and accepts the terms and conditions contained in the Solicitation and in the Contract subject to 3M's proposal and its clarifying or supplemental language contained therein.
- Page 15, Section Three: General Terms and Conditions. 24. Cancellation. We would request written notice of default and a cure period of at least thirty (30) days prior to cancellation of the Contract. Both parties should have the right to terminate the Contract for the other party's default, i.e., breach of Contract. Default should be further defined. We propose that it be a material noncompliance or nonconformance with a Contract requirement (such as specifications). Software, however, that does not conform to 3M specifications would be addressed through 3M's warranty offering set forth in the attached 3M Software License Agreement which shall be made part of this Contract.
- Page 15, Section Three: General Terms and Conditions. 26. Time. We request deletion of Item 26 in its entirety.
- **Page 15, Section Three: General Terms and Conditions. 28. Compliance.** 3M agrees to comply with all applicable federal, state, and local laws, regulations and ordinances. But given the volume of possible laws that could be relevant, we cannot, however, make the statement that we have, in fact, reviewed all applicable law.
- **Page 16, Section Three: General Terms and Conditions. 35. Warranty.** 3M will warrant delivered software in accordance with the terms of the attached Software License Agreement which shall be made part of this Contract. 3M's warranty for other deliverables, including services, shall be as otherwise provided in our RFP response.
- **Page 17, Section Three: General Terms and Conditions. 42. Antitrust.** We would request deletion of this provision in its entirety. If the provision cannot be deleted, we would request its modification to say "relating to the particular software or services purchased or acquired from 3M by the State under this Contract."



RFP No.DMV130055 / August 27, 2013 Cash Management System

Page 17, Section Three: General Terms and Conditions. 39. Confidentiality. 3M agrees to keep confidential the confidential information gained from the Agency related to the performance of the Contract. 3M will work with the Agency to fully finalize its Contract confidentiality policies and procedures as the Parties finalize and implement the agreed upon Project Plan.

**Page 18, Section Three: General Terms and Conditions. 43. Vendor Certifications.** 3M Company is a global, publicly traded company with almost \$30B in sales in 2012 and over 87,000 employees worldwide. Given its size 3M is unable to state with certainty whether or not 3M or any 3M representative has a direct or indirect interest that would compromise the performance of 3M's services hereunder. However, that said, to the best of our knowledge, 3M is not presently aware of any such interests.

## Pages 18-19, Section Three: General Terms and Conditions. 46. Indemnification. 3M requests revision of Section 46 so that it read as follows:

The Vendor agrees to indemnify, defend and hold harmless the State and the Agency and their respective officers and employees (collectively, the "Indemnitee(s)") from and against third party claims of loss or damage arising solely and directly out of Vendor's acts of negligence or intentional fault in Vendor's performance under this Contract where such negligence or intentional fault: (i) causes personal injury, including death, or damage to property; or (ii) constitutes a violation by Vendor of State and Federal data privacy laws or labor and wage laws.

An Indemnitee seeking to claim indemnification under this section shall promptly notify Vendor in writing of any loss or damage in respect of which the Indemnitee intends to claim such indemnification. The Indemnitee shall permit, and shall cause its officers and employees to permit, Vendor to settle any claim or action and agrees to the control of such defense by Vendor; provided, however, that no claim or action shall be settled without the prior written consent of the Indemnitee to the extent that the Indemnitee has responsibility or liability for any portion of such settlement. The Indemnitee and its officers and employees shall cooperate fully with Vendor and Vendor's legal representatives in the investigation and defense of any claim or action covered by this indemnification. The Indemnitee shall have the right but not the obligation to be represented by counsel of its own selection at its own expense.

**Page 19, Section Three: General Terms and Conditions. 49. Conflict of Interest.** 3M Company is a global, publicly traded company with almost \$30B in sales in 2012 and over 87,000 employees worldwide. Given its size, 3M is unable to state with certainty whether or not 3M or any 3M officer, member or employee has direct or indirect interest that would conflict with or compromise the performance of 3M's obligations hereunder. However, that said, to the best of our knowledge, 3M is not presently aware of any such interests. To the extent applicable to this Contract, 3M will disclose material conflicts of interest that may arise that would conflict with or compromise 3M's performance under this Contract.

#### We also request the addition of the following concepts and language:

**Force Majeure:** Neither party shall be liable for any delays or nonperformance resulting from circumstances or causes beyond its reasonable control and without its fault, including, but not limited to, fire, epidemic or other casualty; act of God; strike or labor dispute; war or other violence; or any law, order, or requirement of any governmental agency or authority.

**Limitation of Liability:** To the fullest extent permitted by applicable law, 3M shall not under any circumstances be liable to the State or the State's officers, directors, employees or agents, for any special, incidental, indirect or consequential damages (including, without limitation, loss of revenues) in any way related to this Contract or to software or other products or services provided under this Contract, regardless of the legal theory asserted, including but not limited to breach of warranty, breach of contract, strict liability, indemnity, or negligence, even if 3M has been advised of the possibility of such damages;



RFP No. DMV130055 / August 27, 2013 Cash Management System



and 3M's aggregate and cumulative liability for rescission and/or damages to the State and the State's employees and agents, whether in contract or tort shall be limited to actual direct money damages in an amount not to exceed the fees paid to 3M by the State under this Contract for the specific software or other products or services causing the damages.

3M's Software License Agreement is attached.



# **Department of Administration Purchasing Division** RFP No.DMV130055 / August 27, 2013

Cash Management System



## 3M MOTOR VEHICLE SYSTEMS AND SERVICES SOFTWARE LICENSE AGREEMENT

#### 1. Definitions.

- 1.1. "<u>Licensee</u>" means the State of West Virginia, by and through its Division of Motor Vehicles, its employees and agents.
- "3M" means 3M Company, by and through its Traffic Safety and Security Division, Motor Vehicle Systems and Services (MVSS).
- 1.3. "3M Software" means the MVSS Software identified in Exhibit A hereto and delivered to Licensee subsequent to Licensee's testing and acceptance thereof, related software documentation, and any enhancements, modifications, customizations and derivative works thereof. To the extent that Licensee is entitled to receive Source Code of the 3M Software pursuant to a separate written escrow agreement, such Software shall be deemed 3M Software for the purposes of this SLA. 3M Software does not include any third-party software.
- 1.4. "Source Code" means the human-readable computer code, instructions and related files that constitute the 3M Software in uncompiled form.
- 1.5. "SLA" means this Software License Agreement.

#### 2. License Grants.

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Linda M. Gondringer | Contracts and Agreements Manager Traffic Safety and Security Division Building 0235-03-A-09, 3M Center | St. Paul, MN 55144-1000 lmgondringer@mmm.com

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[LICENSEE]	3M COMPANY	
Ву:	By:	
Print Name:	Print Name:	
Title:	Title:	
Date:	Date:	

#### EXHIBIT A

# 3M MOTOR VEHICLE SYSTEMS SOFTWARE LICENSE AGREEMENT

3M Software:

3M Accounting Transaction Money Manager (3M ATMM)



Purchasing Affidavit
Certification and Signature Page
Addendum Acknowledgement
Sample Documentation and Training Materials
Iowa Reference Letter 2013
Montana Reference Letter 2013
Bid Bond





# **Department of Administration Purchasing Division** RFP No.DMV130055 / August 27, 2013

Cash Management System





**Purchasing Affidavit** 



# **Department of Administration Purchasing Division** RFP No.DMV130055 / August 27, 2013

Cash Management System

RFQ No.	DMV130055
111 0 140.	

## STATE OF WEST VIRGINIA Purchasing Division

## **PURCHASING AFFIDAVIT**

**MANDATE:** Under W. Va. Code §5A-3-10a, no contract or renewal of any contract may be awarded by the state or any of its political subdivisions to any vendor or prospective vendor when the vendor or prospective vendor or a related party to the vendor or prospective vendor is a debtor and: (1) the debt owed is an amount greater than one thousand dollars in the aggregate; or (2) the debtor is in employer default.

**EXCEPTION:** The prohibition listed above does not apply where a vendor has contested any tax administered pursuant to chapter eleven of the W. Va. Code, workers' compensation premium, permit fee or environmental fee or assessment and the matter has not become final or where the vendor has entered into a payment plan or agreement and the vendor is not in default of any of the provisions of such plan or agreement.

#### **DEFINITIONS:**

"Debt" means any assessment, premium, penalty, fine, tax or other amount of money owed to the state or any of its political subdivisions because of a judgment, fine, permit violation, license assessment, defaulted workers' compensation premium, penalty or other assessment presently delinquent or due and required to be paid to the state or any of its political subdivisions, including any interest or additional penalties accrued thereon.

"Employer default" means having an outstanding balance or liability to the old fund or to the uninsured employers' fund or being in policy default, as defined in W. Va. Code § 23-2c-2, failure to maintain mandatory workers' compensation coverage, or failure to fully meet its obligations as a workers' compensation self-insured employer. An employer is not in employer default if it has entered into a repayment agreement with the Insurance Commissioner and remains in compliance with the obligations under the repayment agreement.

"Related party" means a party, whether an individual, corporation, partnership, association, limited liability company or any other form or business association or other entity whatsoever, related to any vendor by blood, marriage, ownership or contract through which the party has a relationship of ownership or other interest with the vendor so that the party will actually or by effect receive or control a portion of the benefit, profit or other consideration from performance of a vendor contract with the party receiving an amount that meets or exceed five percent of the total contract amount.

AFFIRMATION: By signing this form, the vendor's authorized signer affirms and acknowledges under penalty of law for false swearing (W. Va. Code §61-5-3) that neither vendor nor any related party owe a debt as defined above and that neither vendor nor any related party are in employer default as defined above, unless the debt or employer default is permitted under the exception above.

#### WITNESS THE FOLLOWING SIGNATURE:

3M Company is a global, publicly traded company with almost \$30B in sales in 2012 and over 87,000 employees worldwide. Given its size, it is not possible for 3M to state with certainty whether or not a 3M related party has an outstanding debt as defined above. However, that said, 3M is not presently aware of any such debt owed by 3M Company.

Vendor's Name: 3M	1 Company	
Authorized Signature	11/1/1/1/1/1/1/1/1/1/1/1/1/1/1/1/1/1/1/1	Date: August 22, 2013
. 4 *	0,	
State of	25017	
County of Wast	hin afon, to-wit:	$\vdash$
Taken, subscribed, a	and sworn to before me this 22 day of	, 20/3.
My Commission expi	ires	6
	0 0	1-0-07/
AFFIX SEAL HERE		7/9-4
	Notary Public Minnesota	Purchasing Affidavit (Revised 07/01/2012)

My Commission Expires January 31, 2016



**Certification and Signature Page** 





# **Department of Administration Purchasing Division** RFP No.DMV130055 / August 27, 2013

Cash Management System

## CERTIFICATION AND SIGNATURE PAGE

By signing below, I certify that I have reviewed this Solicitation in its entirety; understand the requirements, terms and conditions, and other information contained herein; that I am submitting this bid or proposal for review and consideration; that I am authorized by the bidder to execute this bid or any documents related thereto on bidder's behalf; that I am authorized to bind the bidder in a contractual relationship; and that to the best of my knowledge, the bidder has properly registered with any State agency that may require registration.

2
d General Manager
1) 733 - 5012
ax Number)



Addendum Acknowledgement



RFP No.DMV130055 / August 27, 2013 Cash Management System





# ADDENDUM ACKNOWLEDGEMENT FORM SOLICITATION NO.: DMV130055

**Instructions:** Please acknowledge receipt of all addenda issued with this solicitation by completing this addendum acknowledgment form. Check the box next to each addendum received and sign below. Failure to acknowledge addenda may result in bid disqualification.

**Acknowledgment:** I hereby acknowledge receipt of the following addenda and have made the necessary revisions to my proposal, plans and/or specification, etc.

# (Check the box next to each addendum received) [X] Addendum No. 1 [ ] Addendum No. 6 [X] Addendum No. 2 [ ] Addendum No. 7 [X] Addendum No. 3 [ ] Addendum No. 8 [X] Addendum No. 4 [ ] Addendum No. 9 [ Addendum No. 5 [ ] Addendum No. 10

**Addendum Numbers Received:** 

I understand that failure to confirm the receipt of addenda may be cause for rejection of this bid. I further understand that any verbal representation made or assumed to be made during any oral discussion held between Vendor's representatives and any state personnel is not binding. Only the information issued in writing and added to the specifications by an official addendum is binding.

Company
Company
Authorized Signature
August 22, 2013
Date

NOTE: This addendum acknowledgement should be submitted with the bid to expedite document processing.



Sample Documentation and Training Materials





**Department of Administration Purchasing Division**RFP No.DMV130055 / August 27, 2013
Cash Management System

RFP No. DMV130055 / August 27, 2013 Cash Management System



## Sample Documentation and Training Materials

The following pages include samples of 3M MVSS' documentation and training materials for projects similar to that of the West Virginia Division of Motor Vehicles. As described in section 4.4.1.22, 3M MVSS will customize documentation and training materials for 3M CMS.

The samples in this section include elements of the following:

- ATMM User Guide, which includes overviews and procedures for using 3M CMS.
- ATMM Windows Reference Guide, which provides detailed descriptions of the Windows elements in 3M CMS.
- ATMM Instructor Training Guide, which includes the contents of the User Guide, as well as tips and instructions specifically aimed at trainers.





# **Department of Administration Purchasing Division**RFP No.DMV130055 / August 27, 2013

Cash Management System

# **ATMM User Guide**



3M™ Motor Vehicle Accounting Transaction Money Manager Solution (ATMM)

Document release date: 2/10/2012

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3M Company 3M Center St. Paul, MN 55144 USA (651) 733–7915

## TABLE OF CONTENTS

1
1
2
2
3
3
4
4
4
5
6
6
6
7
8
9
9
10
10
11
11
12
12
13
13
14
14
14
15
18
18 19
20
20
24
24
25
26
27
27
28
29
29

Printable User Documentation	29
Online Help	
Opening the Online Help	
Viewing the Online Help Next to the 3M Console	
Setting Up Your Browser	
Technical Support	
Customer Management	
Customer Record Contents	
Customer Record Management	
Creating a Customer Record	
Adding a Customer	
Adding an Alias or DBA to a Customer	
Finding and Updating a Customer	
Merging Customer Records	
Approving Customer Records for Merge	
Removing a Customer Record from a Merge Candidates Group	
Removing a Group from the Merge Customer Candidates	
Skipping a Group	41
Processing Options for Warnings	42
Reviewing Approved Groups	
Viewing Reports for Merge Customers	
Customer Groups	
Creating a Customer Group	
Adding a Customer to a Group	
Removing a Customer from a Group	
Updating a Customer Group	
Deactivating a Customer Group	
Customer Lists	
Creating a Customer List	49
Adding a Customer to a List	50
Removing a Customer from a List	
Updating a Customer List	52
Deactivating a Customer List	52
Correspondence	53
Logging Customer Correspondence	53
Generating Customer Correspondence	
Searching for, Viewing, or Printing Past Customer Correspondence	54
Cash Drawer Functions	
Cash Drawer Management	
Opening a Cash Drawer	
Setting Up Cash Drawer Preferences	
Funding a Cash Drawer	
Viewing the Payment Type Amounts in a Cash Drawer	
Reconciling a Cash Drawer	

#### CHAPTER 3

### **Cash Drawer Functions**

This chapter provides information specific to the cash drawer functions for the product you use in the 3M MVS Suite. If your office uses the entire 3M MVS Suite, payment for products sold are processed through the ATMM cash drawer.

A cash drawer is similar to an account into which payments are processed. Cash drawers are grouped by location. You can use the *Activity Manager Window* to view all available cash drawers for a location.

Each location has one or more cash drawers. Multiple cash drawers can be in use in one location at time. For example, Cash Drawer 1, Cash Drawer 2, and Cash Drawer 3 could all be open and available in your Primary Office.

Multiple users at the same location can use the same cash drawer at one time. For example on Mondays, the user who issues dealer licenses and permits can share Cash Drawer 1 with the user who issues driver instructor certificates.

A single cash drawer can be used in multiple locations, but it can be open and available in only one location at a time. For example, you might start using Cash Drawer 1 in the Primary Office on Monday. Then later in the week on Thursday, you might use Cash Drawer 1 in a Satellite Office.

Users are assigned to work in a distinct location, which is determined by their user profile when they log on. An administrator sets user access levels at each location. The access level limits the types of transactions a user may conduct. Each transaction handled by a user is processed through a distinct location.

### **Cash Drawer Management**

This section includes basic cash drawer activities. The activities you can perform depend on your user permissions.

### **Opening a Cash Drawer**

When a cash drawer is open, transactions can be processed through it. You can open a cash drawer only if its current status is closed.

#### To open a cash drawer

- On the Cash Drawer menu, select ACTIVITY MANAGER.
   The Activity Manager Window appears with your default location selected.
- 2) (Optional) Select a different location from the **Location** list, and then refresh the window by clicking the **Go** icon.

The cash drawers for the selected location are listed. The status of each cash drawer is either Open or Closed.

- To open a closed cash drawer, change the status to OPEN.
- 4) Click SAVE.

The cash drawer is opened and can be used to process transactions.

5) Click CANCEL to close the window.

### **Setting Up Cash Drawer Preferences**

You can set up default preferences for a cash drawer. If needed, you can change your default options to process an individual payment through the cash drawer.

#### To set up cash drawer preferences

- 1) On the Cash Drawer menu, select ACTIVITY MANAGER.
  - The Activity Manager Window appears with your default location selected.
- 2) (Optional) Select a different location from the **Location** list, and then refresh the window by clicking the **Go** icon.

The cash drawers for the selected location are listed. The status of each cash drawer is either Open or Closed.

- 3) Select the cash drawer you for which you want to set preferences.
- 4) At the top of the window, click PREFERENCE.
  - The Cash Drawer Preference Window appears.
- Select the default cash drawer preferences you want.
- 6) Click SAVE.
  - The Cash Drawer Preference Window closes and the cash drawer preferences are set.
- 7) Click CANCEL to close the Activity Manager Window.

### **Funding a Cash Drawer**

Fund a cash drawer when you need to put a balance of cash into it.

#### To fund a cash drawer

- 1) On the Cash Drawer menu, select Activity Manager.
  - The Activity Manager Window appears with your default location selected.
- 2) (Optional) Select a different location from the **Location** list, and then refresh the window by clicking the **Go** icon.

The cash drawers for the selected location are listed. The status of each cash drawer is either Open or Closed.

- Select the cash drawer you want to fund.
- 4) At the top of the window, click FUND.
  - The Cash Drawer Fund Window appears.
- 5) Do one of the following:
  - To fund the cash drawer from a bank account, select the Account option and select the source bank account from the Source drop-down list.

- To fund the cash drawer from another cash drawer, select the CASH DRAWER option and select the source cash drawer from the Source drop-down list.
- 6) Type the funding amount in the AMOUNT text box.
- To view or print a receipt, select QUEUE RECEIPT.

A receipt is saved in the queue. To open the queue and generate the receipt, click the CLIPBOARD icon.



Double-click a row in the print queue to open an item for printing.

**Note:** When a document has been opened, it is removed from the print queue. *Do not* close the window without printing the document or you may lose your opportunity to print it. Also, when you log off the system, all items are removed from the print queue. *Do not* log off without printing your documents or you may lose your opportunity to print them.

8) Click SAVE.

The Cash Drawer - Fund Window closes and funds are added to the cash drawer. The updated totals appear on the Activity Manager Window.

9) Click CANCEL to close the Activity Manager Window.

### Viewing the Payment Type Amounts in a Cash Drawer

You can view the amounts of each payment type in a cash drawer at any time.

#### To view the payment type amounts in a cash drawer

- On the Cash Drawer menu, select ACTIVITY MANAGER.
   The Activity Manager Window appears with your default location selected.
- 2) (Optional) Select a different location from the **Location** list, and then refresh the window by clicking the **Go** icon.

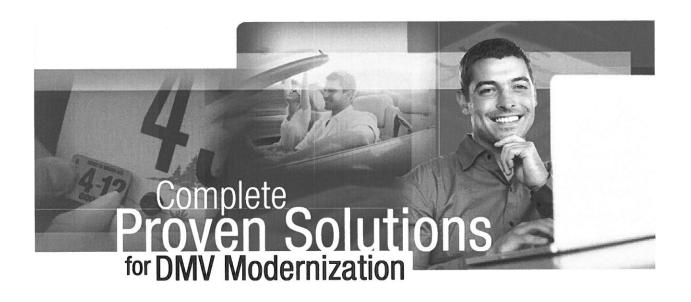
The cash drawers for the selected location are listed. The status of each cash drawer is either Open or Closed.

- Select the cash drawer you want to view.
- 4) At the top of the window, click SUMMARY.

The Cash Drawer - Payment Summary Window appears.

- 5) Do one of the following:
  - · Click Print to print the summary.
  - Click to close the Cash Drawer Payment Summary Window.
- 6) Click CANCEL to close the Activity Manager Window.

# **ATMM Windows Reference Guide**



3M<sup>™</sup> Accounting Transaction Money Manager (ATMM)

Document release date: 1/4/2012

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### TABLE OF CONTENTS

Welcome	
Documentation Typographical Conventions	
Detailed ATMM Window Descriptions	
Account Group Inquiry - Detail Window	
Account Group Inquiry - Results Window	
Account Group - Search Window	
Activity Inquiry - Detail Window	
Activity Inquiry - Results Window	
Activity Inquiry - Search Window	
Activity Manager Window	
Add Correspondence Log Window	
Add Customers to Group Window	
Common Area	
Customer Tab	
Results Tab	
Add Customers to List Window	
Common Area	
Customer TabResults Tab	
Adjusted Journal Entry Window	
Append Note Window	
Approval Request Window	
Approval Request Authorization Window	
Bank Account Management Window	
Common Area	
Bank Account Tab	
Account Group Tab	
Cash Drawer Tab	
Bank Account Management (New) Window	27
Common Area	
Bank Account Tab	
Account Group Tab Cash Drawer Tab	
Bank Account Management - Results Window	
Bank Account Management - Search Window	
Bank Account Summary Window	
Cash Drawer - Adjustment Window	
Cash Drawer - Fund Window	
VOSI DIOVEL I UTU VVITUUVV	

#### CHAPTER 2

# **Detailed ATMM Window Descriptions**

The following section includes a detailed description of each window in ATMM in alphabetical order.

### **Account Group Inquiry - Detail Window**

### **Purpose**

Use the Account Group Inquiry - Detail window to view the details of a specific journal entry.

### **Navigation**

To open the Account Group Inquiry - Detail window:

- 1) On the FINANCE menu, select INQUIRY > ACCOUNT GROUP INQUIRY.
  - The Account Group Search Window appears.
- 2) Enter search parameters, and then click SEARCH.
  - The Account Group Inquiry Results Window appears.
- 3) Do one of the following:
  - Highlight the journal entry row you want to view and click SELECT.
  - Double-click the journal entry you want to view; double-click anywhere except on the JOURNAL #
    and STATEMENT # links.

### **Detailed Description**

Account Group Inquiry - Detail window element descriptions

Window element	Usage	
ACCOUNT GROUP	Displays the name of the account group to which the journal entry was posted.	
PARENT ACCOUNT GROUP	Displays the name of the parent account group.	
LAST CONSOLIDATED	Displays the date on which the account group was last consolidated.	
ТҮРЕ	Displays the account group type.	
COUNTY	Displays the county in which the account group is used.	
CONSOLIDATED BY	Displays the name of the user who last consolidated the account group.	
LOCATION	Displays the location in which the account group is used.	
ORGANIZATION	Displays the organization in which the account group is used.	
DESCRIPTION	Displays a description of the account group.	
BUSINESS UNIT	Inactive.	
GL ACCOUNT #	Inactive.	
FUND	Inactive.	
ORGANIZATION	Inactive.	
PROGRAM	Inactive.	
SUBCLASS	Inactive.	
PROJECT	Inactive.	
DEBIT	Displays the debits to the account group.	
CREDIT	Displays the credits to the account group.	
INQUIRY SUMMARY	RECORDS—Total number of entries shown on the inquiry request.	
	<ul> <li>DEBITS—Sum of the total number of debits for the entries shown on the inquiry request.</li> </ul>	
	<ul> <li>CREDITS—Sum of the total number of credits for the entries shown on the inquiry request.</li> </ul>	
EXPORT	Click to export the results to a comma-delimited text file, which you can open in a text reader, such as Notepad, in a spreadsheet application such as Microsoft® Excel®, or in any product that supports comma-delimited files.	
PRINT	Click to open the results in a browser window from which you can print.	
CANCEL	Click to close the window.	

# **Account Group Inquiry - Results Window**

### **Purpose**

Use the Account Group Inquiry - Results window to view a summary of transaction postings for an account group.

### **Navigation**

To open the Account Group Inquiry - Results window:

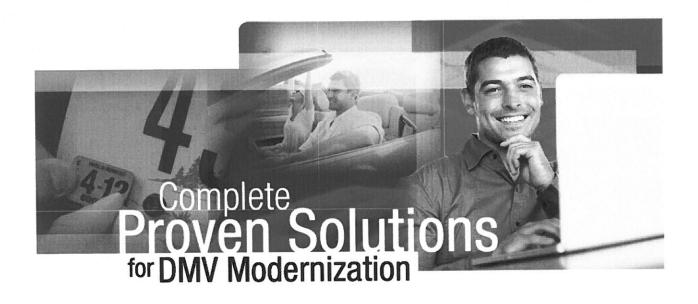
- On the FINANCE menu, select INQUIRY > ACCOUNT GROUP INQUIRY.
   The Account Group Search Window appears.
- 2) Enter search parameters, and then click SEARCH.

### **Detailed Description**

Account Group Inquiry - Results window element descriptions

statement or try, click the - Detail window.	
Detail Williauw.	
ent, click the nt History	
ntry debits and	
ntry debits and	
corded as oyees process mail might be previous e the last day stem r the credit to ses.	
The date the journal entry was posted.	
y.	
ne inquiry	
or the entries	
ne inquiry	
Click to export the results to a comma-delimited text file, which you can open in a text reader, such as Notepad, in a spreadsheet application such as Microsoft® Excel®, or in any product that supports comma-delimited files.	
w and view the	
Click to open the results in a browser window from which you can print.	

# Instructor Training Guide ATMM Training



3M Motor Vehicle Registration Solution (MOVRS)

Document release date: 4/19/2013



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**3M Company** 

3M Center St. Paul, MN 55144 USA (651) 733–7915

Welcome to ATMM Training	1
Introduction	1
Learning Objectives	
Training Guide Conventions	
Instructor Notes — Module Preparation	
Instructor Notes — Introductions	
Instructor Notes — Housekeeping	4
Instructor Notes — Why Take ATMM Training?	5
Module 1 —Finance	9
Lating divisting	0
Introduction	
Learning Objectives	
Instructor Notes — Module Preparation	
Instructor Notes — Module Lecture	
Instructor Notes — Review of Basic Cash Drawer Procedures	
Review of Basic Cash Drawer Procedures	15
Consolidation	16
Instructor Notes — Month End	29
Instructor Notes — Review	36
Instructor Notes — NSF	47
Instructor Notes — Exporting Results	64
Instructor Notes — Module Review	

# **Welcome to ATMM Training**

### Introduction

Welcome to the ATMM training class. You have been selected as a representative of your location to attain a higher level of skill with the 3M MVS Suite. This additional training time will teach you about the functionality you need to do your job.

### **Learning Objectives**

After completion of this module, you will be able to:

- Plan your time in the training location according to the class schedule.
- Participate positively in the classroom learning environment.
- Identify the tools needed for successful class.

# **Training Guide Conventions**

This guide uses the following graphical conventions in the labs.

Table 1. Training guide conventions

lcon	Meaning
	This icon indicates the estimated duration of a lesson.
	A lesson may be a demo presented by the instructor, a walk-through lab presented by the instructor, or a practice lab that participants are to complete on their own.
?	This icon appears when an Online Help topic (and its search path) is presented to the participant so that they may practice using the Online Help system to find information specific to the topic being taught during the current lesson.
	This icon appears when a tip is presented.

### **Instructor Notes** — **Module Preparation**

### **Before You Begin**

- · PowerPoint prepared on projector.
- · Flip Chart "Welcome to Training" precharted.
- Flip Chart "What do you want to get out of this class?" precharted.
- · Flip Chart "Parking Lot" precharted.
- · Handout "Map of local area" ready.
- Handout "Name Tent" ready.

#### **Module Summary**

The purpose of this module is to allow students to introduce themselves and for you to set expectations for the class. As an instructor, this module allows you to identify student strengths and weaknesses before lab work begins so that classrooms can be arranged for maximum effectiveness.



30 minutes		
10 minutes	Lecture	Welcome
10 minutes	Demo	Introduction
15 minutes	Lab	Housekeeping overview, outline
n/a	n/a	Module end

### **Instructor Notes** — **Introductions**



- Welcome to the 3M MVS ATMM training class. We have a great deal of information to cover over the next two days, so let's get started immediately.
- · (Briefly introduce yourself.)
- On your desk please locate the materials named 3M MVS ATMM Training Manual. This is your workbook that you will be using throughout the class.
   Open your manual to the page with the Introductions slide. We are going to take a few minutes to find out a little bit about each other.
- Introductions Review slide and select someone to begin. Work around the room until all students have introduced themselves.
- (Indicate the chart.)
- Now that we have all learned a little bit about one another, please take a few
  moments to fold your name tent in half and put your first name on it big
  enough so that I can see if from the front of the classroom.
- be learning partners for the class. Because of our PC to student ratio, we will need to work in pairs for the hands on portions of this class. If you identified yourself as a person who "never used" a PC, and you are sitting at a computer with someone that also has "never used" or "rarely use" a computer, we are going to move you around so that every pair in the class has someone that is comfortable using a computer. This will ensure that everyone has the opportunity to succeed in this class. Take a moment to find your learning partner now and move around if you need to.
- What do you want to get out of class?
   (Document any student responses to this question as they are doing introductions. Avoid answering any of the questions at this time unless the answer is brief and requires no additional explanation.)

Keep students focused on the task at hand. This type of activity can easily get lost in social conversation.





Ask one of the SMEs to notice who identifies themselves as a "Frequent user" and those that identify themselves as "Never used." When learning partners are selected, these people should be teamed together if possible. "Never used" students should never be paired together.



### Instructor Notes — Housekeeping



Just a few more things need to get taken care of before we get started learning about ATMM. Throughout the day we will take breaks so that you can rest your brain.

- · Discuss break policy.
- Discuss travel information if necessary.
- There will be many questions asked during the duration of this class. Because we have so much information to give you in a certain time frame, there may be some questions we do not have time to answer during class. If something gets asked that is really more of a state policy question than actually a software question, or if something comes up that we will be covering later in class, or possibly something that just pertains to you and not the entire class, I might ask you to "Parking Lot" the question. That means I want you to write it down on a post-it note and put it on this board so that I make sure to get an answer to your question at a more appropriate time.
- Discuss computer lab protocol Login info, internet restrictions, lab time, sharing.



Map of local area.

Parking Lot - Locate a central point to reference this chart. Post it so it is available for both days.

### **Lab 1-3 Instructor Notes**



As a supervisor, it is important for you to help agents determine reasons why cash drawers are short or other troubleshoot other errors that may occur during the end of the day process. Some of the tools available are the inquiries and reports in cash drawer.



Show students how to navigate to the cash drawer inquiries. Allow them to process through the labs before going into detail about usefulness of the reports fields.



What questions do you have about opening and verifying a cash drawer?

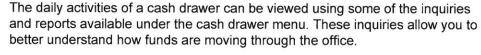
Allow students 20 minutes to complete the viewing cash drawer information lab.

Debrief the questions in the lab with students. Ask them to share situations where they feel those reports would be best used.

Some examples of situations where these reports could be used are:

- To assist in reconciling the cash drawer
- · To conduct general research
- To determine how much work someone is doing
- · To determine which items have been paid for
- · To determine which agents are making adjustments.
- To determine the total type of any given item a person has sold.

### Lab 1-3: Viewing Cash Drawer Information



This lab teaches you how to discover information about a cash drawer.

Follow these steps to reconcile funds at the end of the day:

- 1. On the Cash Drawer menu, select Inquiry > Activity Inquiry.
- If not already populated, select your location and cash drawer from the dropdown menus.
- The Activity Type and User Name fields can be used to narrow your search. Leave these blank for now.
- 4. Adjust the Activity Date From and Through fields to include the previous month.
- 5. Click Search.

What type of information is available from the Activity Inquiry report? When would it be helpful to run this report?

- Close the window.
- 7. On the Cash Drawer menu, select Inquiry > Product Inquiry.
- If not already populated, select your location and cash drawer from the dropdown menus.
- The Source System and User Name fields can be used to narrow your search. Leave these blank for now.
- 10. Select the Product(s) check box to select all the products in the list.
- 11. Adjust the Activity Date From and Through fields to include the previous month.
- 12. Click Search

What types of	f information are available from the Product I	nquiry report?
When would y	you run the Product Inquiry report versus the	Activity Inquiry

- 13. On the Cash Drawer menu, select Inquiry > Statement Inquiry.
- If not already populated, select your location and cash drawer from the dropdown menus.
- 15. On the Tx Type drop-down list, select Title and Registration.
- 16. The Payment Type, User Name, Record Type, and Results all narrow or alter the results. Leave the fields with their default settings.



17.	Adjust the Activity Date From and Through fields to include the previous month.
18.	Click Search.
	What types of information are available from the Statement Inquiry report?
	What is a situation where it would be helpful to run this report?





**Iowa Reference Letter 2013** 





**Department of Administration Purchasing Division** RFP No.DMV130055 / August 27, 2013 Cash Management System

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Office of Vehicle and Motor Carrier Services PO Box 9278, Des Moines, IA 50306-9278

Email: vehser@dot.iowa.gov Web Page: http://www.iowadot.gov/mvd

FAX: 515-237-3056

August 14, 2013

#### To Whom it May Concern:

From 1999 to 2009, Archon Technologies, now 3M, worked with the Iowa Department of Transportation (DOT) to redesign and develop an integrated, Microsoft Windows-based and intelligent solution for motor vehicle and driver services, including finance/cash drawer, vehicle registration and titling, dealer management, driver licensing, records management, and accident processing. The new system was designed to replace a number of disparate software programs that were more than 24 years old.

3M worked in partnership with DOT, county treasurers and their staff on all aspects of the project, including analysis, design, development, testing, training, implementation and technical consulting. The 3M team, managing and working with state personnel, included the key agents for the re-development of this large-scale Client/Server and Web based application and its comprehensive deployment. As part of this effort, 3M performed a business process assessment, organizational assessment and staffing analysis.

The new system gives us many benefits including: a much more user-friendly system that eliminates the need for special coding and use of non-Windows applications; increased accuracy of data input; statewide continuity of vehicle registration and titling processes; ability to maintain historical customer and vehicle information; sophisticated search functions; and ability to make quick changes to ownership information for multiple vehicles owned by the same individual or business.

The Vehicle Registration and Title application was implemented on time on budget in January 2005. The Driver's Solution was implemented at a joint agreed to time of April 2007 and within budget. Upon its completion, we recognized many improvements, including:

- Implementation and conversion of 5 million vehicle records in one weekend.
- Installation of the new "Cash Drawer/Finance" accounting system which
  reconciles and consolidates funds quickly and accurately, reducing the
  time to do these important tasks from days to hours and in some cases
  minutes.
- Greatly improved audit capability provided via comprehensive reports and transaction histories.
- Eliminated multiple duplicative with all applications.
- Real time update of information.
- Shared common customer with all applications.
- Successful GO LIVE statewide weekend implementation with every county issuing titles and registrations every business day since go live.

In 2007, the 3M and DOT teams implemented 3M Drivs, a driver licensing, records management and accident processing solution.

#### Page 2

Our experience working with the 3M team was both successful and enduring. Based on our experience with them, we are happy to provide a reference to jurisdictions interested in learning more about our successes with the replacement of our motor vehicle, dealer and driver services systems.

We invite you to visit lowa and see first-hand how the system works at the state and county treasurer offices. We will share our lessons learned as we went through the redesign and implementation process.

Please do not hesitate to contact me with any questions.

Sincerely,

Tina Hargis, Director

Jina Hargin

Office of Vehicle and Motor Carrier Services

Motor Vehicle Division

TH: bjs



**Montana Reference Letter 2013** 



# **Department of Administration Purchasing Division** RFP No.DMV130055 / August 27, 2013

Cash Management System

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Tim Fox Attorney General

Brenda Nordlund Administrator 302 North Roberts Street P.O. Box 201430 Helena, MT 59620-1430

August 16, 2013

Reference: West Virginia

To Whom It May Concern:

The Montana Department of Justice, Motor Vehicle Division has been using 3M's ATMM, the Accounting Transaction Money Manager (ATMM) module (2005 code base) for several years. We went live with a standalone version in July 2006 and began using the integrated version when we went live with our MERLIN (Montana Enhanced Registration and License Information Network) modernization in April of 2009.

At present, MERLIN, including ATMM, is supported by internal department resources. We also have a current professional services contract with 3M to support design of the final phase of our modernization effort, driver licensing and records.

If you have any follow-up questions, I can be reached at 406-444-4548 or bnordlund@mt.gov.

Sincerely,



**Bid Bond** 



# **Department of Administration Purchasing Division** RFP No.DMV130055 / August 27, 2013

Cash Management System

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# **Document A310<sup>™</sup> – 2010**

#### Conforms with The American Institute of Architects AIA Document 310

#### Bid Bond

#### CONTRACTOR:

(Name, legal status and address)
3M Company
3M Center, Building 235-3A-09
St. Paul, MN 55144

#### OWNER:

(Name, legal status and address)
West Virginia Department of
Administration
Purchasing Division
2019 Washington Street East
Charleston, WV 25305

#### SURETY:

(Name, legal status and principal place of business)
Liberty Mutual Insurance Company
175 Berkeley St.
Boston, MA 02116

Mailing Address for Notices Liberty Mutual Insurance Company Attn: Surety Claims 1001 4<sup>th</sup> Avenue, Suite 1700 Seattle, WA 98185 This document has important legal consequences. Consultation with an attorney is encouraged with respect to its completion or modification.

Any singular reference to Contractor, Surety, Owner or other party shall be considered plural where applicable.

BOND AMOUNT: Seventy-Five Thousand and No/100----(\$ 75,000.00)-----

#### PROJECT:

(Name, location or address, and Project number, if any)

West Virginia Purchasing Division - Agency Wide CMS System Project

Bid Due Date: August 27, 2013

The Contractor and Surety are bound to the Owner in the amount set forth above, for the payment of which the Contractor and Surety bind themselves, their heirs, executors, administrators, successors and assigns, jointly and severally, as provided herein. The conditions of this Bond are such that if the Owner accepts the bid of the Contractor within the time specified in the bid documents, or within such time period as may be agreed to by the Owner and Contractor, and the Contractor either (1) enters into a contract with the Owner in accordance with the terms of such bid, and gives such bond or bonds as may be specified in the bidding or Contract Documents, with a surety admitted in the jurisdiction of the Project and otherwise acceptable to the Owner, for the faithful performance of such Contract and for the prompt payment of labor and material furnished in the prosecution thereof; or (2) pays to the Owner the difference, not to exceed the amount of this Bond, between the amount specified in said bid and such larger amount for which the Owner may in good faith contract with another party to perform the work covered by said bid, then this obligation shall be null and void, otherwise to remain in full force and effect. The Surety hereby waives any notice of an agreement between the Owner and Contractor to extend the time in which the Owner may accept the bid. Waiver of notice by the Surety shall not apply to any extension exceeding sixty (60) days in the aggregate beyond the time for acceptance of bids specified in the bid documents, and the Owner and Contractor shall obtain the Surety's consent for an extension beyond sixty (60) days.

If this Bond is issued in connection with a subcontractor's bid to a Contractor, the term Contractor in this Bond shall be deemed to be Subcontractor and the term Owner shall be deemed to be Contractor.

When this Bond has been furnished to comply with a statutory or other legal requirement in the location of the Project, any provision in this Bond conflicting with said statutory or legal requirement shall be deemed deleted herefrom and provisions conforming to such statutory or other legal requirement shall be deemed incorporated herein. When so furnished, the intent is that this Bond shall be construed as a statutory bond and not as a common law bond.

Signed and sealed this 20th day of August, 2013

. 1	3M Company	
May Theresa - hestone	(Principal)	(Seal)
(Withess)	illy four	
	(Title) Richard J. Laciair	
Alord O alan	Contract Administrator	
Still . Nothersen	(Surety) Liberty Mutual Insurance Company	(Seal)
(Witness)	Lunshia T. Chown	
	(Title) Cynthia L. Choren, Attorney-In-Fact	

			The second secon	
ACKNOWLEDGMENT BY SURETY				
STATE OF Missouri  County of St. Charles	SS.			
On this day of	August	, 2013	, before me personally	
appeared Cynthia L. Choren Liberty Mutual Insurance that executed the within instrument, and acknow	•		, the corporation	
IN WITNESS WHEREOF, I have hereunto so County, the day and year in this certificate first al	et my hand and affixed			
My Commission Expires: May 20, 2016  (Seal)  DEBRA C. SCHNEIDER Notary Public, Notary Seal State of Missouri St. Charles County Commission # 12419088 My Commission Expires May 20, 2016		Debra C. Schneider Notary Public in the County of St. Charles		

This Power of Attorney limits the acts of those named herein, and they have no authority to bind the Company except in the manner and to the extent herein stated.

Certificate No. 6193426

American Fire and Casualty Company The Ohio Casualty Insurance Company Liberty Mutual Insurance Company West American Insurance Company

#### POWER OF ATTORNEY

KNOWN ALL PERSONS BY THESE PRESENTS: That American Fire & Casualty Company and The Ohio Casualty Insurance Company are corporations duly organized under the laws of the State of New Hampshire, that Liberty Mutual Insurance Company is a corporation duly organized under the laws of the State of Massachusetts, and West American Insurance Company is a corporation duly organized under the laws of the State of Indiana (herein collectively called the "Companies"), pursuant to and by authority herein set forth, does hereby name, constitute and appoint, \_\_Cynthia L. Choren; Debra C. Schneider; Heidi A. Notheisen; JoAnn R. Frank; Karen L. Roider; Nancy L. Johnson; Pamela A. Beelman; Sandra L. Ham

all of the city of St. Louis \_\_\_, state of MO each individually if there be more than one named, its true and lawful attorney-in-fact to make, execute, seal, acknowledge and deliver, for and on its behalf as surety and as its act and deed, any and all undertakings, bonds, recognizances and other surety obligations, in pursuance of these presents and shall be as binding upon the Companies as if they have been duly signed by the president and attested by the secretary of the Companies in their own proper persons.

IN WITNESS WHEREOF, this Power of Attorney has been subscribed by an authorized officer or official of the Companies and the corporate seals of the Companies have been affixed thereto this 9th 2013 day of July



STATE OF WASHINGTON SS

COUNTY OF KING

idual value guarantees.

Not valid for mortgage, note, loan, letter of credit,

rate or

American Fire and Casualty Company The Ohio Casualty Insurance Company Liberty Mutual Insurance Company West American Insurance Company

On this 9th day of July 2013, before me personally appeared Gregory W. Davenport, who acknowledged himself to be the Assistant Secretary of American Fire and Casualty Company, Liberty Mutual Insurance Company, The Ohio Casualty Company, and West American Insurance Company, and that he, as such, being authorized so to do, execute the foregoing instrument for the purposes therein contained by signing on behalf of the corporations by himself as a duly authorized officer.

IN WITNESS WHEREOF, I have hereunto subscribed my name and affixed my notarial seal at Seattle, Washington, on the day and year first above written.



This Power of Attorney is made and executed pursuant to and by authority of the following By-laws and Authorizations of American Fire and Casualty Company. The Ohio Casualty Insurance Company, Liberty Mutual Insurance Company, and West American Insurance Company which resolutions are now in full force and effect reading as follows:

ARTICLE IV - OFFICERS - Section 12. Power of Attorney. Any officer or other official of the Corporation authorized for that purpose in writing by the Chairman or the President, and subject to such limitation as the Chairman or the President may prescribe, shall appoint such attorneys-in-fact, as may be necessary to act in behalf of the Corporation to make, execute, seal, acknowledge and deliver as surety any and all undertakings, bonds, recognizances and other surety obligations. Such attorneys-in-fact, subject to the limitations set forth in their respective powers of attorney, shall have full power to bind the Corporation by their signature and execution of any such instruments and to attach thereto the seal of the Corporation. When so executed, such instruments shall be as binding as if signed by the President and attested to by the Secretary. Any power or authority granted to any representative or attorney-in-fact under the provisions of this article may be revoked at any time by the Board, the Chairman, the President or by the officer or officers granting such power or authority.

ARTICLE XIII - Execution of Contracts - SECTION 5. Surety Bonds and Undertakings. Any officer of the Company authorized for that purpose in writing by the chairman or the president, and subject to such limitations as the chairman or the president may prescribe, shall appoint such attorneys-in-fact, as may be necessary to act in behalf of the Company to make, execute, seal, acknowledge and deliver as surety any and all undertakings, bonds, recognizances and other surety obligations. Such attorneys-in-fact subject to the limitations set forth in their respective powers of attorney, shall have full power to bind the Company by their signature and execution of any such instruments and to attach thereto the seal of the Company. When so executed such instruments shall be as binding as if signed by the president and attested by the secretary.

Certificate of Designation - The President of the Company, acting pursuant to the Bylaws of the Company, authorizes Gregory W. Davenport, Assistant Secretary to appoint such attorneys-in-fact as may be necessary to act on behalf of the Company to make, execute, seal, acknowledge and deliver as surety any and all undertakings, bonds, recognizances and other surety obligations.

Authorization - By unanimous consent of the Company's Board of Directors, the Company consents that facsimile or mechanically reproduced signature of any assistant secretary of the Company, wherever appearing upon a certified copy of any power of attorney issued by the Company in connection with surety bonds, shall be valid and binding upon the Company with the same force and effect as though manually affixed.

I, David M. Carey, the undersigned, Assistant Secretary, of American Fire and Casualty Company, The Ohio Casualty Insurance Company, Liberty Mutual Insurance Company, and West American Insurance Company do hereby certify that the original power of attorney of which the foregoing is a full, true and correct copy of the Power of Attorney executed by said Companies, is in full force and effect and has not been revoked.

IN TESTIMONY WHEREOF, I have hereunto set my hand and affixed the seals of said Companies this 20thay of August







