



State of West Virginia  
 Department of Administration  
 Purchasing Division  
 2019 Washington Street East  
 Post Office Box 50130  
 Charleston, WV 25305-0130

# Request for Quotation

RFQ NUMBER  
 LOT454

PAGE  
 1

ADDRESS CORRESPONDENCE TO ATTENTION OF  
 SHELLY MURRAY  
 304-558-8801

RFQ COPY  
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LOTTERY COMMISSION  
  
 312 MACCORKLE AVENUE, SE  
 CHARLESTON, WV  
 25314-1143 558-0500

DATE PRINTED	TERMS OF SALE	SHIP VIA	F.O.B.	FREIGHT TERMS
12/09/2009				

BID OPENING DATE: 01/28/2010 BID OPENING TIME 01:30PM

LINE	QUANTITY	UOP	CAT NO.	ITEM NUMBER	UNIT PRICE	AMOUNT
				REQUEST FOR PROPOSAL		
				THE WEST VIRGINIA PURCHASING DIVISION, FOR THE AGENCY, THE WEST VIRGINIA LOTTERY, IS SOLICITING PROPOSAL FOR A DOCUMENT IMAGING AND CONTENT MANAGEMENT SYSTEM WITH INTEGRATED WORKFLOW PER THE ATTACHED SPECIFICATIONS.		
				MANDATORY PRE-BID		
				A MANDATORY PRE-BID WILL BE HELD ON 01/06/2010 AT 1:30 PM AT THE WV LOTTERY HEADQUARTERS. ALL INTERESTED PARTIES ARE REQUIRED TO ATTEND THIS MEETING. FAILURE TO ATTEND THE MANDATORY PRE-BID SHALL RESULT IN DISQUALIFICATION OF THE BID. NO ONE PERSON MAY REPRESENT MORE THAN ONE BIDDER.		
				AN ATTENDANCE SHEET WILL BE MADE AVAILABLE FOR ALL POTENTIAL BIDDERS TO COMPLETE. THIS WILL SERVE AS THE OFFICIAL DOCUMENT VERIFYING ATTENDANCE AT THE MANDATORY PRE-BID. FAILURE TO PROVIDE YOUR COMPANY AND REPRESENTATIVE NAME ON THE ATTENDANCE SHEET WILL RESULT IN DISQUALIFICATION OF THE BID. THE STATE WILL NOT ACCEPT ANY OTHER DOCUMENTATION TO VERIFY ATTENDANCE. THE BIDDER IS RESPONSIBLE FOR ENSURING THEY HAVE COMPLETED THE INFORMATION REQUIRED ON THE ATTENDANCE SHEET. THE PURCHASING DIVISION AND THE STATE AGENCY WILL NOT ASSUME ANY RESPONSIBILITY FOR A BIDDER-S FAILURE TO COMPLETE THE PRE-BID ATTENDANCE SHEET. IN ADDITION, WE REQUEST THAT ALL POTENTIAL BIDDERS INCLUDE THEIR E-MAIL ADDRESS AND FAX NUMBER.		
				ALL POTENTIAL BIDDERS ARE REQUESTED TO ARRIVE PRIOR TO THE STARTING TIME FOR THE PRE-BID. BIDDERS WHO ARRIVE		

SEE REVERSE SIDE FOR TERMS AND CONDITIONS

SIGNATURE	TELEPHONE	DATE
TITLE	FEIN	ADDRESS CHANGES TO BE NOTED ABOVE

WHEN RESPONDING TO RFQ, INSERT NAME AND ADDRESS IN SPACE ABOVE LABELED 'VENDOR'

**GENERAL TERMS & CONDITIONS  
REQUEST FOR QUOTATION (RFQ) AND REQUEST FOR PROPOSAL (RFP)**

1. Awards will be made in the best interest of the State of West Virginia.
2. The State may accept or reject in part, or in whole, any bid.
3. All quotations are governed by the *West Virginia Code* and the *Legislative Rules* of the Purchasing Division.
4. Prior to any award, the apparent successful vendor must be properly registered with the Purchasing Division and have paid the required \$125 fee.
5. All services performed or goods delivered under State Purchase Order/Contracts are to be continued for the term of the Purchase Order/Contracts, contingent upon funds being appropriated by the Legislature or otherwise being made available. In the event funds are not appropriated or otherwise available for these services or goods, this Purchase Order/Contract becomes void and of no effect after June 30.
6. Payment may only be made after the delivery and acceptance of goods or services.
7. Interest may be paid for late payment in accordance with the *West Virginia Code*.
8. Vendor preference will be granted upon written request in accordance with the *West Virginia Code*.
9. The State of West Virginia is exempt from federal and state taxes and will not pay or reimburse such taxes.
10. The Director of Purchasing may cancel any Purchase Order/Contract upon 30 days written notice to the seller.
11. The laws of the State of West Virginia and the *Legislative Rules* of the Purchasing Division shall govern all rights and duties under the Contract, including without limitation the validity of this Purchase Order/Contract.
12. Any reference to automatic renewal is hereby deleted. The Contract may be renewed only upon mutual written agreement of the parties.
13. **BANKRUPTCY:** In the event the vendor/contractor files for bankruptcy protection, the State may deem this contract null and void, and terminate such contract without further order.
14. **HIPAA BUSINESS ASSOCIATE ADDENDUM:** The West Virginia State Government HIPAA Business Associate Addendum (BAA), approved by the Attorney General, and available online at the Purchasing Division's web site (<http://www.state.wv.us/admin/purchase/vrc/hipaa.htm>) is hereby made part of the agreement. Provided that, the Agency meets the definition of a Cover Entity (45 CFR §160.103) and will be disclosing Protected Health Information (45 CFR §160.103) to the vendor.
15. **WEST VIRGINIA ALCOHOL & DRUG-FREE WORKPLACE ACT:** If this Contract constitutes a public improvement construction contract as set forth in Article 1D, Chapter 21 of the West Virginia Code ("The West Virginia Alcohol and Drug-Free Workplace Act"), then the following language shall hereby become part of this Contract: "The contractor and its subcontractors shall implement and maintain a written drug-free workplace policy in compliance with the West Virginia Alcohol and Drug-Free Workplace Act, as set forth in Article 1D, Chapter 21 of the West Virginia Code. The contractor and its subcontractors shall provide a sworn statement in writing, under the penalties of perjury, that they maintain a valid drug-free work place policy in compliance with the West Virginia and Drug-Free Workplace Act. It is understood and agreed that this Contract shall be cancelled by the awarding authority if the Contractor: 1) Fails to implement its drug-free workplace policy; 2) Fails to provide information regarding implementation of the contractor's drug-free workplace policy at the request of the public authority; or 3) Provides to the public authority false information regarding the contractor's drug-free workplace policy."

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**INSTRUCTIONS TO BIDDERS**

1. Use the quotation forms provided by the Purchasing Division.
2. **SPECIFICATIONS:** Items offered must be in compliance with the specifications. Any deviation from the specifications must be clearly indicated by the bidder. Alternates offered by the bidder as **EQUAL** to the specifications must be clearly defined. A bidder offering an alternate should attach complete specifications and literature to the bid. The Purchasing Division may waive minor deviations to specifications.
3. Complete all sections of the quotation form.
4. Unit prices shall prevail in case of discrepancy.
5. All quotations are considered F.O.B. destination unless alternate shipping terms are clearly identified in the quotation.
6. **BID SUBMISSION:** All quotations must be delivered by the bidder to the office listed below prior to the date and time of the bid opening. Failure of the bidder to deliver the quotations on time will result in bid disqualifications: Department of Administration, Purchasing Division, 2019 Washington Street East, P.O. Box 50130, Charleston, WV 25305-0130



State of West Virginia  
 Department of Administration  
 Purchasing Division  
 2019 Washington Street East  
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 Charleston, WV 25305-0130

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ADDRESS CORRESPONDENCE TO ATTENTION OF:
SHELLY MURRAY 304-558-8801

VENDOR	RFQ COPY
	TYPE NAME/ADDRESS HERE

SHIP TO	LOTTERY COMMISSION
	312 MACCORKLE AVENUE, SE CHARLESTON, WV 25314-1143 558-0500

DATE PRINTED	TERMS OF SALE	SHIP VIA	F.O.B.	FREIGHT TERMS
12/09/2009				

BID OPENING DATE: 01/28/2010 BID OPENING TIME 01:30PM

LINE	QUANTITY	UOP	CAT NO	ITEM NUMBER	UNIT PRICE	AMOUNT
0001	1	LS	898-74	DOCUMENT IMAGING AND CONTENT MANAGEMENT		
<p>LATE, BUT PRIOR TO THE DISMISSAL OF THE TECHNICAL PORTION OF THE PRE-BID WILL BE PERMITTED TO SIGN IN. BIDDERS WHO ARRIVE AFTER CONCLUSION OF THE TECHNICAL PORTION OF THE PRE-BID, BUT DURING ANY SUBSEQUENT PART OF THE PRE-BID WILL NOT BE PERMITTED TO SIGN THE ATTENDANCE SHEET.</p> <p>TECHNICAL QUESTIONS MUST BE SUBMITTED IN WRITING TO SHELLY MURRAY IN THE WEST VIRGINIA PURCHASING DIVISION VIA MAIL AT THE ADDRESS SHOWN AT THE TOP OF THIS RFP, VIA FAX AT 304-558-4115, OR VIA EMAIL AT SHELLY.L.MURRAY@WV.GOV. DEADLINE FOR ALL TECHNICAL QUESTIONS IS 01/08/2010 AT THE CLOSE OF BUSINESS. ALL TECHNICAL QUESTIONS RECEIVED, IF ANY, WILL BE ADDRESSED BY ADDENDUM AFTER THE DEADLINE.</p> <p>QUESTIONS CONCERNING THE ACTUAL PROCESS BY WHICH A VENDOR MAY SUBMIT A PROPOSAL TO THE STATE OF WEST VIRGINIA ARE NOT CONSIDERED TO BE TECHNICAL QUESTIONS AND MAY BE SUBMITTED AT ANY TIME PRIOR TO THE BID OPENING AND IN ANY FORMAT.</p> <p>EXHIBIT 3</p> <p>LIFE OF CONTRACT: THIS CONTRACT BECOMES EFFECTIVE UPON AWARD AND EXTENDS FOR A PERIOD OF ONE (1) YEAR OR UNTIL SUCH "REASONABLE TIME" THEREAFTER AS IS NECESSARY TO OBTAIN A NEW CONTRACT OR RENEW THE</p>						

SIGNATURE				TELEPHONE		DATE
TITLE		FEIN		ADDRESS CHANGES TO BE NOTED ABOVE		

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ADDRESS CORRESPONDENCE TO ATTENTION OF:
SHELLY MURRAY 804-558-8801

RFQ COPY  
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LOTTERY COMMISSION  
  
 312 MACCORKLE AVENUE, SE  
 CHARLESTON, WV  
 25314-1143 558-0500

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LINE	QUANTITY	UOP	CAT. NO.	ITEM NUMBER	UNIT PRICE	AMOUNT
<p>ORIGINAL CONTRACT. THE "REASONABLE TIME" PERIOD SHALL NOT EXCEED TWELVE (12) MONTHS. DURING THIS "REASONABLE TIME" THE VENDOR MAY TERMINATE THIS CONTRACT FOR ANY REASON UPON GIVING THE DIRECTOR OF PURCHASING 30 DAYS WRITTEN NOTICE.</p> <p>UNLESS SPECIFIC PROVISIONS ARE STIPULATED ELSEWHERE IN THIS CONTRACT DOCUMENT, THE TERMS, CONDITIONS AND PRICING SET HEREIN ARE FIRM FOR THE LIFE OF THE CONTRACT.</p> <p>RENEWAL: THIS CONTRACT MAY BE RENEWED UPON THE MUTUAL WRITTEN CONSENT OF THE SPENDING UNIT AND VENDOR, SUBMITTED TO THE DIRECTOR OF PURCHASING THIRTY (30) DAYS PRIOR TO THE EXPIRATION DATE. SUCH RENEWAL SHALL BE IN ACCORDANCE WITH THE TERMS AND CONDITIONS OF THE ORIGINAL CONTRACT AND SHALL BE LIMITED TO TWO (2) ONE (1) YEAR PERIODS.</p> <p>CANCELLATION: THE DIRECTOR OF PURCHASING RESERVES THE RIGHT TO CANCEL THIS CONTRACT IMMEDIATELY UPON WRITTEN NOTICE TO THE VENDOR IF THE COMMODITIES AND/OR SERVICES SUPPLIED ARE OF AN INFERIOR QUALITY OR DO NOT CONFORM TO THE SPECIFICATIONS OF THE BID AND CONTRACT HEREIN.</p> <p>OPEN MARKET CLAUSE: THE DIRECTOR OF PURCHASING MAY AUTHORIZE A SPENDING UNIT TO PURCHASE ON THE OPEN MARKET, WITHOUT THE FILING OF A REQUISITION OR COST ESTIMATE, ITEMS SPECIFIED ON THIS CONTRACT FOR IMMEDIATE DELIVERY IN EMERGENCIES DUE TO UNFORESEEN CAUSES (INCLUDING BUT NOT LIMITED TO DELAYS IN TRANSPORTATION OR AN UNANTICIPATED INCREASE IN THE VOLUME OF WORK.)</p> <p>BANKRUPTCY: IN THE EVENT THE VENDOR/CONTRACTOR FILES FOR BANKRUPTCY PROTECTION, THE STATE MAY DEEM THE</p>						

SEE REVERSE SIDE FOR TERMS AND CONDITIONS

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 SHELLY MURRAY  
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VENDOR

RFQ COPY  
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 312 MACCORKLE AVENUE, SE  
 CHARLESTON, WV  
 25314-1143 558-0500

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<p>CONTRACT NULL AND VOID, AND TERMINATE SUCH CONTRACT WITHOUT FURTHER ORDER.</p> <p>THE TERMS AND CONDITIONS CONTAINED IN THIS CONTRACT SHALL SUPERSEDE ANY AND ALL SUBSEQUENT TERMS AND CONDITIONS WHICH MAY APPEAR ON ANY ATTACHED PRINTED DOCUMENTS SUCH AS PRICE LISTS, ORDER FORMS, SALES AGREEMENTS OR MAINTENANCE AGREEMENTS, INCLUDING ANY ELECTRONIC MEDIUM SUCH AS CD-ROM.</p> <p>REV. 05/26/2009</p> <p style="text-align: center;">NOTICE</p> <p>A SIGNED BID MUST BE SUBMITTED TO:</p> <p style="padding-left: 40px;">DEPARTMENT OF ADMINISTRATION          PURCHASING DIVISION          BUILDING 15          2019 WASHINGTON STREET, EAST          CHARLESTON, WV 25305-0130</p> <p>THE BID SHOULD CONTAIN THIS INFORMATION ON THE FACE OF THE ENVELOPE OR THE BID MAY NOT BE CONSIDERED:.</p> <p>SEALED BID</p> <p>BUYER: SHELLY MURRAY</p> <p>RFQ. NO.: LOT454</p> <p>BID OPENING DATE: 01/28/2010</p>						

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ADDRESS CORRESPONDENCE TO ATTENTION OF
SHELLY MURRAY 304-558-8801

VENDOR	RFQ COPY
	TYPE NAME/ADDRESS HERE

SHIP TO	LOTTERY COMMISSION
	312 MACCORKLE AVENUE, SE CHARLESTON, WV 25314-1143 558-0500

DATE PRINTED	TERMS OF SALE	SHIP VIA	F.O.B.	FREIGHT TERMS
12/09/2009				

BID OPENING DATE: 01/28/2010 BID OPENING TIME 01:30PM

LINE	QUANTITY	UOP	CAT. NO.	ITEM NUMBER	UNIT PRICE	AMOUNT
BID OPENING TIME: 1:30 PM  PLEASE PROVIDE A FAX NUMBER IN CASE IT IS NECESSARY TO CONTACT YOU REGARDING YOUR BID:  ----- CONTACT PERSON (PLEASE PRINT CLEARLY):  -----  ***** THIS IS THE END OF RFQ LOT454 ***** TOTAL: _____						

SEE REVERSE SIDE FOR TERMS AND CONDITIONS			
SIGNATURE	TELEPHONE	DATE	
TITLE	FEIN	ADDRESS CHANGES TO BE NOTED ABOVE	

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# REQUEST FOR PROPOSAL

West Virginia Lottery RFP# LOT454

## PART 1 GENERAL INFORMATION, TERMS AND CONDITIONS

### 1.1 Purpose:

The Acquisition and Contract Administration Section of the Purchasing Division, hereinafter referred to as "State", is soliciting proposals for the Department of Tax and Revenue, Lottery Division, hereinafter referred to as "Agency", to provide a Document Imaging/Content Management system with integrated workflow. This solicitation serves as notice, pursuant to West Virginia Code §5A-3-10b, of the commodity or service being sought and is to be considered the opportunity for vendors to indicate their interest in bidding on such commodity or service.

### 1.2 Project:

The mission or purpose of the project is to implement a document imaging system and workflow system using a commercial off-the-shelf (COTS) application.

### 1.3 RFP Format:

This RFP has four parts. "Part 1" contains general information, terms and conditions; "Part 2" describes the background and working environment of the project; "Part 3" is a statement of the specifications for the services requested pursuant to this RFP, contractual requirements, and special terms and conditions; and "Part 4" explains the required format of the Bidder's response to the RFP, the evaluation criteria the State will use in evaluating the proposals received and how the evaluation will be conducted.

### 1.4 Inquiries:

Additional information inquiries regarding specifications of this RFP must be submitted in writing to the State Buyer with the exception of questions regarding the proposal submission which may be oral. The deadline for written inquiries is identified in the Schedule of Events, Section 1.16. All inquiries of specification clarification must be addressed to:

Shelly Murray, Senior Buyer  
Purchasing Division  
2019 Washington Street, East  
P.O. Box 50130  
Charleston, WV 25305-0130  
Fax: (304) 558-4115

**The vendor, or anyone on the vendor's behalf, is not permitted to make any contact whatsoever with any member of the evaluation committee.** Violation may result in rejection of the bid. The State Buyer named above is the sole contact for any and all inquiries after this RFP has been released.

### 1.5 Vendor Registration:

Vendors participating in this process should complete and file a **Vendor Registration and Disclosure Statement** (Form WV-1) and remit the registration fee. Vendor is not required to be a registered vendor in order to submit a proposal, but the **successful**

**bidder must** register and pay the fee prior to the award of an actual purchase order or contract.

**1.6 Oral Statements and Commitments:**

Vendor must clearly 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 Request for Proposal specifications file by an official written addendum are binding.

**1.7 Economy of Preparation:**

Proposals should be prepared simply and economically, providing a straightforward, concise description of Vendor's abilities to satisfy the requirements of the RFP. Emphasis should be placed on completeness and clarity of content.

**1.8 Labeling of RFP Sections:**

The sections within this RFP contain instructions governing how the Vendor's proposal is to be arranged, submitted and to identify the material to be included therein.

*1.8.1 Mandatory Requirements.*

Any specification or statement containing the word "must", "shall", or "will" are mandatory. Section 3 contains mandatory deliverables required upon contract execution. By signing and submitting a response to this RFP, the vendor agrees to all mandatory deliverables described herein. Section 4 describes RFP response requirements, which may be mandatory. The vendor is required to meet all mandatory requirements in order to be eligible for consideration and to continue in the evaluation process. Failure to meet or agree to mandatory items shall result in disqualification of the Vendor's proposal and the evaluation process will be terminated for that vendor. Decisions regarding compliance with any mandatory requirement shall be at the sole discretion of the State.

*1.8.2 Contract Terms and Conditions:*

This Request for Proposals contains all the contractual terms and conditions under which the State of West Virginia will enter into a contract.

*1.8.3 Informational Sections:*

All non-mandatory information specifications do not require a response from the Vendor. They are intended to aid the vendor in structuring an effective proposal capable of meeting the needs of the issuing agency.

**1.9 Proposal Format and Submission:**

**1.9.1** Each proposal should be formatted as per the outline in Part 4 of this RFP. No other arrangement or distribution of the proposal information may be made by the bidder. Failure on the part of the bidder to respond to specific requirements detailed in the RFP may be the basis for disqualification of the proposal. The State reserves the right to waive any informality in the proposal format and minor irregularities.

**1.9.2** State law requires that the original technical and cost proposal be submitted to the Purchasing Division. All proposals must be submitted to the Purchasing Division **prior** to the date and time stipulated in the RFP as the opening date. All bids will be dated and time stamped to verify official time and date of receipt.



1.9.3 Vendors mailing proposals should allow sufficient time for mail delivery to ensure timely arrival. In accordance with West Virginia Code §5A-3-11, the Purchasing Division cannot waive or excuse late receipt of a proposal which is delayed and late for any reason. Any proposal received after the bid opening date and time will be immediately disqualified in accordance with State law and the administrative rules and regulations.

**Vendors responding to this RFP shall submit:**

One original technical and cost plus 7 convenience copies to:

Purchasing Division  
2019 Washington Street, East  
P.O. Box 50130  
Charleston, WV 25305-0130

The outside of the envelope or package(s) should be clearly marked:

Buyer:	Shelly Murray
Req#:	LOT454
Opening Date:	01/28/2010
Opening Time:	1:30 pm

**1.9.4. Best Value Purchasing Standard Format**

All Requests for Proposals should follow the standard format defined by the Purchasing Division. This format addresses required areas and enables the agency to modify the background and scope of work to meet its needs.

*1.9.4.1 Evaluation Criteria:* All evaluation criteria must be clearly defined in the specifications section and based on a 100 point total score. Based on a 100 point total, cost shall represent a minimum of 30 of the 100 total points in the criteria.

*1.9.4.2 Proposal Format and Content:* Proposals shall be requested and received in two distinct parts: Technical and Cost. The cost portion shall be sealed in a separate envelope and will not be opened initially.

*1.9.4.3 Technical Bid Opening:* The Purchasing Division will open only the technical proposals on the date and time specified in the Request for Proposal. The Purchasing Division representative will read aloud the names of those who responded to the solicitation. The Purchasing Division Buyer will confirm that the original packages contain a separately sealed cost proposal prior to providing the courtesy copies to the agency to begin the evaluation process.

*1.9.4.4 Technical Evaluation:* The pre-selected, approved evaluation committee will review the technical proposals, deduct appropriate points for deficiencies and make a final written consensus recommendation to the Purchasing Division Buyer. If the Buyer approves the committee's recommendation, the technical evaluation will be forwarded to an internal review committee within the Purchasing Division.

*1.9.4.5 Cost Bid Opening:* Upon approval of the technical evaluation from the internal review committee, the Purchasing Division shall schedule a time and date to publicly open and read aloud the cost proposals. The agency and the vendors shall be notified of this date.

*1.9.4.6 Cost Evaluation and Resident Vendor Preference:* The evaluation committee will review the cost proposals, assign appropriate points and make a final consensus recommendation to the Purchasing Division. In accordance with West Virginia Code §5A-3-37, the Purchasing Division will make the determination of the Resident Vendor Preference, if applicable. Resident Vendor Preference provides an opportunity for qualifying vendors to request at the time of bid preference for their residency status. Such preference is an evaluation method only and will be applied only to the cost bid in accordance with the West Virginia Code. A certificate of application is used to request this preference. A West Virginia vendor may be eligible for two 2.5% preferences in the evaluation process.

*1.9.4.7 Contract Approval and Award:* After the cost proposals have been opened, the evaluation committee completes its review and prepares the final evaluation making its recommendation for contract award based on the highest scoring vendor. The final evaluation is submitted to the Purchasing Division buyer. Once approved by the buyer, the final evaluation must be reviewed and approved by the Purchasing Division internal review committee. The contract is prepared and signed in the Purchasing Division, forwarded to the Attorney General's Office for approval as to form, encumbered and mailed to the appropriate parties.

**1.10 Rejection of Proposals:**

The State shall select the best value solution according to the evaluation criteria. However, the State reserves the right to accept or reject any or all proposals, in part or in whole at its discretion. The State reserves the right to withdraw this RFP at any time and for any reason. Submission of, or receipt by the State of proposals confers no rights upon the bidder nor obligates the State in any manner.

A contract based on this RFP and the Vendor's proposal, may or may not be awarded. Any contract resulting in an award from this RFP is not valid until properly approved and executed by the Purchasing Division and approved as to form by the Attorney General.

**1.11 Incurring Costs:**

The State and any of its employees or officers shall not be held liable for any expenses incurred by any bidder responding to this RFP for expenses to prepare, deliver the proposal, or to attend any mandatory prebid meeting or oral presentations.

**1.12 Addenda:**

If it becomes necessary to revise any part of this RFP, an official written addendum will be issued by the State to all bidders of record.

**1.13 Independent Price Determination:**

A proposal will not be considered for award if the price in the proposal was not arrived at independently without collusion, consultation, communication or agreement as to any matter relating to prices with any competitor unless the proposal is submitted as a joint venture.

**1.14 Price Quotations:**

The price(s) quoted in the bidder's proposal will not be subject to any increase and will be considered firm for the life of the contract unless specific provisions have been provided for adjustment in the original contract.

**1.15 Public Record:**

*1.15.1 Submissions are Public Record.*

All documents submitted to the State Purchasing Division related to purchase orders or contracts are considered public records. All bids, proposals or offers submitted by bidders shall become public information and are available for inspection during normal official business hours in the Purchasing Division Records and Distribution center after the bid opening.

*1.15.2 Written Release of Information.*

All public information may be released with or without a Freedom of Information request, however, only a written request will be acted upon with duplications fees paid in advance. Duplication fees shall apply to all requests for copies of any document. Currently the fees are \$0.50/page, or a minimum of \$10.00 per request which ever is greater.

*1.15.3 Risk of Disclosure.*

The only exemptions to disclosure of information are listed in West Virginia Code §29B-1-4. Primarily, only trade secrets, as submitted by a bidder, are exempt to public disclosure. The submission of any information to the State by a vendor puts the risk of disclosure on the vendor. The State does not guarantee non-disclosure of any information to the public.

**1.16 Schedule of Events:**

Mandatory Prebid Conference .....	01/06/2010
Vendor's Written Questions Submission Deadline .....	01/08/2010
Addendum Issued .....	TBD
Bid Opening Date .....	01/28/2010
Oral Presentation .....	TBD

**1.17 Mandatory Prebid Conference:**

A mandatory prebid conference shall be conducted on the date specified above at West Virginia Lottery headquarters. Said conference will be held at 312 MacCorkle Avenue, Charleston, WV. **All interested bidders are required to be present at this meeting. Failure to attend the mandatory prebid conference shall automatically result in disqualification. No one person can represent more than one vendor.**

**1.18 Purchasing Affidavit:**

West Virginia Code §5A-3-10a requires that all bidders submit an affidavit regarding any debt owed to the State. The affidavit must be signed and submitted prior to award. It is preferred that the affidavit be submitted with the proposal.

**1.19 General Terms and Conditions:**

By signing and submitting its proposal, the successful Vendor agrees to be bound by all the terms contained in this RFP.

*1.19.1 Conflict of Interest.*

Vendor affirms that it, its officers or members or employees presently have no interest and shall not acquire any interest, direct or indirect, which would conflict or compromise in any manner or degree with the performance or its services hereunder. The Vendor further covenants that in the performance of the contract, the Vendor shall periodically

inquire of its officers, members and employees concerning such interests. Any such interests discovered shall be promptly presented in detail to the Agency.

*1.19.2 Prohibition Against Gratuities:*

Vendor warrants that it has not employed any company or person other than a bona fide employee working solely for the vendor or a company regularly employed as its marketing agent to solicit or secure the contract and that it has not paid or agreed to pay any company or person any fee, commission, percentage, brokerage fee, gifts or any other consideration contingent upon or resulting from the award of the contract.

For breach or violation of this warranty, the State shall have the right to annul this contract without liability at its discretion or to pursue any other remedies available under this contract or by law.

*1.19.3 Certifications Related to Lobbying:*

Vendor certifies that no federal appropriated funds have been paid or will be paid, by or on behalf of the company or an employee thereof, to any person for purposes of influencing or attempting to influence an officer or employee of any Federal entity, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan or cooperative agreement.

If any funds other than federally appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee or any agency, a Member of Congress, an officer or employee of Congress or an employee of a Member of Congress in connection with this Federal contract, grant, loan or cooperative agreement, the Vendor shall complete and submit a disclosure form to report the lobbying.

Vendor agrees that this language of certification shall be included in the award documents for all sub-awards at all tiers, including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreements, and that all sub-recipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this contract was made and entered into.

*1.19.4 Vendor Relationship:*

The relationship of the Vendor to the State shall be that of an independent contractor and no principal-agent relationship or employer-employee relationship is contemplated or created by the parties to this contract. The Vendor as an independent contractor is solely liable for the acts and omissions of its employees and agents.

Vendor shall be responsible for selecting, supervising and compensating any and all individuals employed pursuant to the terms of this RFP and resulting contract. Neither the Vendor, nor any employees or contractors of the vendor, shall be deemed to be employees of the State for any purposes whatsoever.

Vendor shall be exclusively responsible for payment of employees and contractors for all wages and salaries, taxes, withholding payments, penalties, fees, fringe benefits, professional liability insurance premiums, contributions to insurance and pension or

other deferred compensation plans, including but not limited to, Workers' Compensation and Social Security obligations, and licensing fees, etc. and the filing of all necessary documents, forms and returns pertinent to all of the foregoing.

Vendor shall hold harmless the State, and shall provide the State and Agency with a defense against any and all claims including but not limited to the foregoing payments, withholdings, contributions, taxes, social security taxes and employer income tax returns.

The Vendor shall not assign, convey, transfer or delegate any of its responsibilities and obligations under this contract to any person, corporation, partnership, association or entity without expressed written consent of the Agency.

*1.19.5 Indemnification:*

The Vendor agrees to indemnify, defend and hold harmless the State and the Agency, their officers, and employees from and against: (1) Any claims or losses for services rendered by any subcontractor, person or firm performing or supplying services, materials or supplies in connection with the performance of the contract; (2) Any claims or losses resulting to any person or entity injured or damaged by the Vendor, its officers, employees, or subcontractors by the publication, translation, reproduction, delivery, performance, use or disposition of any data used under the contract in a manner not authorized by the contract, or by Federal or State statutes or regulations; and (3) Any failure of the Vendor, its officers, employees or subcontractors to observe State and Federal laws, including but not limited to labor and wage laws.

*1.19.6 Contract Provisions:*

After the successful Vendor is selected, a formal contract document will be executed between the State and the Vendor. In addition, the RFP and the Vendor's response will be included as part of the contract by reference. The order of precedence is the contract, the RFP and the Vendor's proposal in response to the RFP.

*1.19.7 Governing Law:*

This contract shall be governed by the laws of the State of West Virginia. The Vendor further agrees to comply with the Civil Rights Act of 1964 and all other applicable laws and regulations, Federal, State and Local Government.

*1.19.8 Compliance with Laws and Regulations:*

The vendor shall procure all necessary permits and licenses to comply with all applicable laws, Federal, State or municipal, along with all regulations, and ordinances of any regulating body.

The Vendor shall pay any applicable sales, use or personal property taxes arising out of this contract and the transactions contemplated thereby. Any other taxes levied upon this contract, the transaction, or the equipment, or services delivered pursuant here to shall be borne by the contractor. It is clearly understood that the State of West Virginia is exempt from any taxes regarding performance of the scope of work of this contract.

*1.19.9 Subcontracts/Joint Ventures:*

The Vendor is solely responsible for all work performed under the contract and shall assume prime contractor responsibility for all services offered and products to be delivered under the terms of this contract. The State will consider the Vendor to be the

sole point of contact with regard to all contractual matters. The Vendor may, with the prior written consent of the State, enter into written subcontracts for performance of work under this contract; however, the vendor is totally responsible for payment of all subcontractors.

*1.19.10 Term of Contract & Renewals:*

This contract will be effective (date set upon award) and shall extend for the period of one (1) year, at which time the contract may, upon mutual consent, be renewed. Such renewals are for a period of up to one (1) year, with a maximum of two (2) one year renewals, or until such reasonable time thereafter as is necessary to obtain a new contract. The "reasonable time" period shall not exceed twelve (12) months. During the "reasonable time" period Vendor may terminate the contract for any reason upon giving the Agency ninety (90) days written notice. Notice by Vendor of intent to terminate will not relieve Vendor of the obligation to continue to provide services pursuant to the terms of the contract.

Any change in Federal or State law, or court actions which constitute binding precedent in West Virginia, and which significantly alters the Vendor's required activities or any change in the availability of funds, shall be viewed as binding and shall warrant good faith renegotiation of the compensation paid to the Vendor by the Agency and of such other provisions of the contract that are affected. If such renegotiation proves unsuccessful, the contract may be terminated by the State upon written notice to the Vendor at least thirty (30) days prior to termination of this contract.

*1.19.11 Non-Appropriation of Funds:*

If the Agency is not allotted funds in any succeeding fiscal year for the continued use of the service covered by this contract by the West Virginia Legislature, the Agency may terminate the contract at the end of the affected current fiscal period without further charge or penalty. The Agency shall give the vendor written notice of such non-allocation of funds as soon as possible after the Agency receives notice. No penalty shall accrue to the Agency in the event this provision is exercised.

*1.19.12 Contract Termination:*

The State may terminate any contract resulting from this RFP immediately at any time the Vendor fails to carry out its responsibilities or to make substantial progress under the terms of this RFP and resulting contract. The State shall provide the Vendor with advance notice of performance conditions which are endangering the contract's continuation. If after such notice the Vendor fails to remedy the conditions contained in the notice, within the time period contained in the notice, the State shall issue the Vendor an order to cease and desist any and all work immediately. The State shall be obligated only for services rendered and accepted prior to the date of the notice of termination.

The contract may also be terminated by the State with thirty (30) days prior notice.

*1.19.13 Changes:*

If changes to the original contract become necessary, a formal contract change order will be negotiated by the State, the Agency and the Vendor, to address changes to the terms and conditions, costs of work included under the contract. An approved contract change order is defined as one approved by the Purchasing Division and approved as to form by the West Virginia Attorney General's Office, encumbered and placed in the U.S. Mail

prior to the effective date of such amendment. An approved contract change order is required whenever the change affects the payment provision or the scope of the work. Such changes may be necessitated by new and amended Federal and State regulations and requirements.

As soon as possible after receipt of a written change request from the Agency, but in no event more than thirty (30) days thereafter, the Vendor shall determine if there is an impact on price with the change requested and provide the Agency a written statement to identifying any price impact on the contract or to state that there is no impact. In the event that price will be impacted by the change, the Vendor shall provide a description of the price increase or decrease involved in implementing the requested change.

**NO CHANGE SHALL BE IMPLEMENTED BY THE VENDOR UNTIL SUCH TIME AS THE VENDOR RECEIVES AN APPROVED WRITTEN CHANGE ORDER.**

*1.19.14 Invoices, Progress Payments, & Retainage:*

The Vendor shall submit invoices, in arrears, to the Agency at the address on the face of the purchase order labeled "Invoice To" pursuant to the terms of the contract. Progress payments may be made at the option of the Agency on the basis of percentage of work completed if so defined in the final contract. Any provision for progress payments must also include language for a minimum 10% retainage until the final deliverable is accepted.

If progress payments are permitted, Vendor is required to identify points in the work plan at which compensation would be appropriate. Progress reports must be submitted to Agency with the invoice detailing progress completed or any deliverables identified. Payment will be made only upon approval of acceptable progress or deliverables as documented in the Vendor's report. Invoices may not be submitted more than once monthly and State law forbids payment of invoices prior to receipt of services.

*1.19.15 Liquidated Damages: N/A*

*1.19.16 Record Retention (Access & Confidentiality):*

Vendor shall comply with all applicable Federal and State of West Virginia rules and regulations, and requirements governing the maintenance of documentation to verify any cost of services or commodities rendered under this contract by Vendor. The Vendor shall maintain such records a minimum of five (5) years and make available all records to Agency personnel at Vendor's location during normal business hours upon written request by Agency within 10 days after receipt of the request.

Vendor shall have access to private and confidential data maintained by Agency to the extent required for Vendor to carry out the duties and responsibilities defined in this contract. Vendor agrees to maintain confidentiality and security of the data made available and shall indemnify and hold harmless the State and Agency against any and all claims brought by any party attributed to actions of breach of confidentiality by the Vendor, subcontractors or individuals permitted access by Vendor.

## PART 2 OPERATING ENVIRONMENT

For the purposes of this RFP, the following is a glossary of terms commonly used by the WV Lottery:

**AEGIS** – the central computer system created by Scientific Games that communicates with all of the Video Lottery Terminals in the state in the bars and taverns and racetracks.

**Bidder** – a person or company who submits a proposal to an RFP.

**Computer Room** – an integral part of the Video Lottery division within the West Virginia Lottery that maintains and controls communication with the video lottery terminals at the racetracks and bars and taverns. The computer room is staffed by operators on a 24/7 basis.

**GTECH** – the vendor that currently contracts with the West Virginia Lottery to provide the instant and online computer system.

**Internal Auditor** – Auditors employed by the West Virginia Lottery who periodically audit all aspects of the operation of the Lottery to determine whether policies and procedures are being met. The internal auditors can also be utilized to assist in auditing licensees of the Lottery to confirm compliance with the law.

**Instant Tickets** – scratch off lottery tickets.

**Licensing** – a division of the West Virginia Lottery that handles all aspects of licensing in the following areas: Traditional Lottery, Limited Video Lottery, Racetrack Video Lottery and Table Games.

**Limited Video Lottery (LVL)** – a division of the West Virginia Lottery that regulates up to 5 Video Lottery Terminals in bars and taverns and up to 10 Video Lottery Terminals in fraternal clubs around the state. Limited Video Lottery consists of Security that has investigators throughout the state who physically visit the locations, a Computer Room that maintains and controls communication with the machines, and Auditors who confirm that the numbers provided by the central computer system are correct.

**LVL Security** – a division of the West Virginia Lottery that oversees security over the bars and taverns that have Video Lottery Terminals which employs investigators who physically visit the locations and a staff that works with the Computer Room to monitor the locations of the terminals and their movement. It also reviews background checks on the LVL licensees and has final approval over LVL applications.

**Online games** – lottery games that have a daily, biweekly or weekly online drawing such as Powerball®, Hot Lotto, Daily 3, Daily 4, and Cash 25.

**Outside Auditors** – auditors with whom the West Virginia Lottery contracts to provide auditing services to the Lottery by assisting with the review of financial information provided by applicants or conducting annual audits of the Lottery's financial documents to ensure compliance with the law and general accounting principles.

**Racetrack Video Lottery** – part of the Video Lottery division of the West Virginia Lottery that regulates the operation of video lottery terminals at the racetracks.



**Scientific Games International** – the vendor that currently contracts with the West Virginia Lottery to print the instant tickets and provide and maintain the AEGIS system.

**Table Games** – a division of the West Virginia Lottery that regulates the operation of table games, i.e. poker, blackjack, craps, roulette, etc., at the racetracks.

**Traditional/Racetrack Security** – a division of the West Virginia Lottery that oversees the security at the state's four racetrack regarding the Video Lottery Terminals and Table Games and oversees the security aspects of the instant and online games sold by the Lottery. This division also conducts all background checks on employees and licensees of the Lottery.

**Vendor** – the successful bidder to an RFP.

**VGM** – Video Game Machine or Video Lottery Terminal.

#### 2.1 **Location:**

The West Virginia Lottery headquarters is located at 312 MacCorkle Avenue, Charleston, WV 25314. There are two buildings at this location separated by a parking lot. The West Virginia Lottery hot back-up site is located at 2500 Fairmont Avenue, White Hall, West Virginia. The West Virginia Lottery has offices located in Weirton, WV and at the four racetracks in Nitro, Wheeling, Chester, and Charles Town, WV.

#### 2.2 **Background:**

The West Virginia Lottery has been in operation since 1986. The West Virginia Lottery is operated by a seven person Commission and a Director appointed by the Governor. The Lottery is made up of the following divisions: Finance & Administration, Table Games, Video Lottery, Marketing, Limited Video Lottery Security, Licensing, and Racetrack/Traditional Security. There is also an Assistant Lottery Director, Internal Auditors, a Legal staff, and Human Resources. See ATTACHMENT 4. The Lottery currently has approximately 180 employees, but has the potential to grow to approximately 225 employees in the future.

The Lottery offers a variety of gaming products that include Powerball®, Daily 3, Daily 4, Travel Keno, various instant "scratch-off" games, racetrack video lottery, limited video lottery and table games. All retailers that offer Lottery products, manufacturers and suppliers of the equipment used to provide Lottery games, operators and their technicians that provide and service the equipment, and all employees working at the racetracks and involved with video lottery or table games are licensed and regulated by the State. Licenses are renewed annually. Attachment 1 is a matrix of the various Documents required for a license or an occupational permit.

The various license types require different supporting documentation and the license approval/denial process varies by license type. See ATTACHMENT 1. Active Licensees and occupational permit holders as of this publication:

- 1,588 Retail Licenses
- 1,643 Limited Video Lottery (LVL) Licenses
- 4 Race Track / Casino Licenses
- 7 Video Lottery Manufacturers
- 37 Limited Video Lottery Operators
- 1,176 Video Lottery Technicians

11 Table Games Suppliers  
2,623 Table Game Occupational Permits

### 2.2.1 Licensing

#### **Traditional Retailers**

Traditional Retailers sell Powerball®, Online Games and Instant Games. The application packet and several attached documents are submitted to Licensing. Form A of the application is sent to the WV Dept. of Tax & Revenue to confirm that all taxes are current. Multiple forms can be sent under transmittal to the Tax Dept. Form A is signed by the Tax Department and copy is placed in the application packet.

A search is done on the WV BEP website to confirm that the applicant is current on Unemployment Compensation. Workers compensation compliance is confirmed by contacting the insurance company. If Workers Compensation coverage is provided by Brickstreet, it can be checked on line.

Applicant is fingerprinted via LiveScan. Racetrack/Traditional Security submits prints for background check. Racetrack/Traditional Security sends results of criminal background check to Licensing in an email with a list of all names checked.

N = non-ident (no criminal background)

I = ident and the report on criminal activity is attached

Racetrack/Traditional Security obtains a credit report on the applicant, reviews it, and sends it to Marketing. Marketing reviews the credit report and site survey and when complete Marketing sends the application file to Licensing for review. After review, Licensing sends the file to Finance for review.

Finance reviews the credit report and the applicant's credit history with the Lottery. Finance forwards the application file to the Assistant Director of the Lottery for review. If approved, the file is sent to Licensing and the installation of data lines and machines is scheduled.

#### **Traditional Retailer Renewal**

The Lottery's On-Line vendor creates a batch of computer-generated renewal applications which are sent to the Retailers. The application has all current information and an area for Retailer to make corrections. Additional required documents are sent to Licensing with the renewal application. On-Line vendor notifies the various State agencies that the Retailer plans to renew the license. State agencies will notify Licensing if a Retailer is non-compliant with State taxes, unemployment compensation, workers compensation, etc.

When renewal process is complete, Licensing sends a letter with their license to the Retailer. If the Retailer is out-of-compliance with any State agency, Licensing sends the file to Legal for review. Licensing notifies Retailer with instructions for compliance. If still not compliant, Licensing notifies Legal and data lines and machines are removed from Retailer site.

### **Limited Video Lottery (LVL) Retailers**

LVL Retailers offer video lottery games in bars and fraternal organizations. There are many criteria which must be met to qualify. Operators contractually distribute and service video lottery machines to Retailers.

Application, site survey and check arrive in Licensing. Alcohol Beverage Control Commission license is verified and information is data entered by Lottery staff. Business license is verified with the West Virginia Secretary of State. Workers Compensation compliance is verified. Unemployment Compensation is verified. Form G is faxed to Tax Department and the response from Tax faxed back and attached to application. Fingerprints are submitted for background check by FBI. When all required information is complete it is reviewed by the Licensing Manager.

Licensing sends application packet to LVL Security where a two-page form is completed. LVL Security returns packet to Licensing. The license is created and sent to the Lottery director for signature and then returned to Licensing. A copy of the license is made for the file and the original is mailed to the retailer. The Operator is notified to install the machines.

### **LVL Retailer Renewals**

Renewal application, tax affidavit, and check are received in Licensing. Licensing verifies compliance with Tax, Alcohol Beverage Control Commission, Unemployment Compensation, Secretary of State, and Workers Compensation. As these tasks are completed it is noted and dated on the front of the renewal form. If required information is missing a letter is sent to the Retailer with forms to be completed.

### **Manufacturers, LVL Operators, Table Games Suppliers and Race Track Owners**

Manufacturers of video lottery equipment must be licensed to have their equipment sold and operated in West Virginia. An LVL Operator owns, installs, and services the machines in the retail locations. The Operator and the technicians employed by the Operator must be licensed. A gaming related supplier provides a casino with goods and services (dice, cards, tokens, gaming monitoring systems, credit reporting services, surveillance and security systems).

Initial application for license and required documentation (Attachment 1) comes to Licensing. Table Games Suppliers submit an agreement or statement of intent to enter into an agreement with a Casino licensee. All applicants submit copies of licenses from other approved jurisdictions.

Licensing Division reviews the application packet and verifies other licenses. A copy of the application is sent to Finance & Administration where it is determined which officers of the Supplier, Manufacturer, etc. require fingerprinting. Licensing sends a letter requesting fingerprints. Paper fingerprint cards arrive in Licensing.

Licensing sends fingerprint cards to Racetrack/Traditional Security to be scanned and sent to the FBI for background check. FBI returns report to Racetrack/Traditional Security. Racetrack/Traditional Security emails Licensing Division with a list of names designated "I" (ident) or "N" (non-ident). If status on FBI report is "I", indicating criminal activity, Licensing sends a letter requesting the court disposition. When the disposition arrives in Licensing it is forwarded to Security for review. Disposition is returned to Licensing and the license is issued upon approval by Racetrack/Traditional Security.

### **Table Games Supplier Renewal**

The application and Multi-jurisdictional Personal History Disclosure (66 pages) are submitted to Licensing in PDF format on a CD. A copy is sent to the internal auditor and the external auditor. The inside auditor verifies that the application is complete and enters it into the Table Games Suppliers database. The outside auditor reviews financial documents and Security and Exchange Commission filings. All renewals are presented at a Lottery Commission meeting and approved and license is mailed.

### **LVL Operators and Manufacturers Renewal**

Renewal application is submitted to Licensing with 2 copies: one for the internal and one for the external auditor. All operators and manufacturers are presented at the Commission meeting for renewal and approval. The licenses are mailed.

### **LVL Technicians**

The application packet is received in Licensing, data entered into the database, and verified for completeness. Request for FBI background check is sent to Racetrack/Traditional Security. FBI report is received via email and can have many names on one report. If an applicant is designated as non-ident, it is copied, stamped approved and filed in each technicians file. If an applicant is designated as ident the file is sent to LVL Security for review and approval. If the applicant will be working at a racetrack/casino the file is sent to Racetrack/Traditional Security for review and approval.

On approval, an identification badge is made that includes picture, valid date, and manufacturers' model number for which the technician is certified. Badges are sent to the racetrack/casino or the operator for distribution.

### **Table Games Employees Occupational Permit**

Anyone who participates in conducting the gaming operation (dealers, cashiers, and supervisory staff) requires an occupational permit. The applicant obtains and completes an application packet which is then submitted along with supporting documentation to the Lottery Licensing Division. (Attachment 1).

A list of names is emailed to Racetrack/Traditional Security from Licensing. They are submitted for a criminal background check and credit report.

Financial information is reviewed and approved in Licensing. If there are financial issues the first financial letter is sent to the applicant. Applicant has 90 days to comply and provide required information. A temporary occupational permit is issued. At the end of 90 days a second temporary permit is issued. Casino is notified that there are financial issues not yet addressed.

A certified letter is sent three weeks prior to the expiration of the second occupational permit. At the end of 180 days a letter is sent from Legal Division regarding the denied status and the applicant has 10 days to request a hearing and pay a \$300 filing fee for the hearing. An Administrative hearing is held. Thereafter, Legal Division receives the court reporters transcript, exhibits, Hearing Examiner's recommended decision and an invoice. Issue is presented to Lottery Commission at the monthly meeting to accept or reject the Hearing Examiner's recommended decision. Commission has ten days to write their own decision if not satisfied with decision of the Hearing Examiner. Lottery

Commission's decision and Order is sent to appellant via certified mail which also sets forth that the applicant has 30 days to file an appeal in Kanawha County Circuit Court.

During hearing and appeals processes, emails are printed and added to the file. Application file is held in Pending until permanent license/permit is issued.

The background report for all applicants with a criminal history is printed with a cover sheet that includes a control number that identifies the casino, last name, first name, and middle initial. It is sent back to Racetrack/Traditional Security for review and approval. Applicant obtains the court disposition for the criminal activity and sends to Licensing. Licensing sends disposition to Racetrack/Traditional Security where the applicant is approved or denied.

If approved the cover sheet goes in the file, the ID badge is made and a certificate is printed and sent to the casino. Training is provided by the manufacturers at the casino and a certificate is issued to the individual and a copy of certificate is sent to Licensing for the file. The badge is sent to the casino.

If the applicant is denied the file is sent to Legal Division and a certified letter is sent advising the applicant of the appeals process. File is sent back to Licensing.

#### **Occupational Permit Renewal**

All occupational permits expire on June 30<sup>th</sup> of each year. Renewal applications are sent April 30<sup>th</sup> so there is time to take corrective action if required. The permit renewal form must be notarized and submitted with a release for a credit report and background check.

#### **LVL Security**

This section manages all limited video lottery machines installed in retail locations and fraternal organizations. Machines are delivered from the manufacturer, assigned a number by the Lottery, and all activity is tracked. Most machines are owned by LVL Operators that install and service the machines. Some machines are Retailer-owned. An annual permit is issued to the owner (operator or retailer) for each machine.

Machine activity includes but is not limited to, installations, chip changes, maintenance, add-ons, room changes within the retail locations, machines swapped between retailers, removal, and destruction. Most machine activity is initiated by the Operator and at some point requires a Lottery field rep on site during the activity. Forms are faxed to the LVL Security section where information is verified, permits are verified, and if a field rep is required, the information is faxed to the field supervisor who dispatches a field rep. In 2008 there were 17,687 transactions that required a form or forms, and each form was faxed multiple times. It is the intent to manage these processes using electronic forms. See ATTACHMENT 2 for a list of forms and annual volume. The Lottery intends to manage these processes using e-forms and workflow with analysis and input provided by the successful vendor.

#### **Initial Installation**

Operator submits LVL Installation procedure form to LVL Security with the Retailer and Operator information completed and a list of serial numbers of the machines to be installed. Security forwards to:

- Licensing

- Permitting
- Legal for contract review
- Computer Room

After the above workflow is complete LVL Security submits to Video Operations and a Video Game Machine (VGM) number is added for each serial number. VGM numbers are unique and never re-used. VGM numbers are selected from an Excel spreadsheet.

The installation form is faxed to LVL Security and original is placed in the Pending file. LVL Security assigns an investigator who meets the operator technician at the retailer location. Service technician enters VGM number into the machine and machine relays VGM number to the DX Extrema PC at the site. LVL Security contacts the Computer room to enable the machine. Computer Room staff retrieves the Installation Procedure form from the pending file, verifies the information, and enables the machine (Command and Control system). The LVL Security investigator, onsite, verifies that machine is operational. Job is complete and form is sent to LVL Security.

#### **Maintenance/Service of machines**

LVL Machine Maintenance/Service Report is faxed to the Computer Room by the operator or independent Retailer. All machines are connected to the AEGIS system at the Lottery. A Computer Room operator gets the meter reading from the machine and records it on the Machine Maintenance/Service Report. Computer room disables the machine and faxes the report to LVL Security if the machine is in a retail location or to Racetrack/Traditional Security if the machine is at a racetrack/casino.

If the Computer Room staff is unable to get a meter reading because of machine malfunction they forward the LVL Machine Maintenance/Service Report to the auditors and they may go onsite to get meter readings from the mechanical counter on the machine. MEAL books may be used to ascertain the meter reading. The MEAL book is a service log that is kept in the machine. Auditors send the completed LVL Machine Maintenance/Service form back to Computer Room. The Computer Room staff faxes the report to LVL Security for Retailers and to Racetrack/Traditional Security if the machine is at a racetrack/casino.

Adding Machines, Change of Ownership, Corporate Buyout, DBA Name Change, Change of Location, and Swap Outs require that an Installation Procedure form be sent to Computer Room staff by LVL Security. It is held in a Pending File until LVL Security and the Operator are onsite.

For a change of ownership of the machine, LVL Security calls the Computer Room staff to get a meter reading. Computer Room staff disables the machine(s). Computer Room staff enters data for new Operator. Computer Room staff enables the machines and the Installation Procedure form is sent to LVL Security.

The process for Director Enable/Disable is the same. Installation procedure form is kept in Computer Room and copied to Legal, Licensing, Security, and the Director's Office.

#### **2.2.2 Validation Section**

Validation verifies and pays online and instant ticket winner's claims. Claims are filed by any instant or online game winner that wins \$601 or more. Claims are filed in numeric order. The Weirton office also pays claims. They fax them daily and FedEx the originals every Monday. The claim packet includes:

- Claim form
- Copy of two forms of ID (drivers license & social security card)
- W-9 form
- Letter to Child Advocacy, if required
  - Copy in file
  - Copy to Security
  - Copy to Finance & Administration

Validation also maintains a file for every televised daily drawing, filed by number and date. The Daily Work is filed in one folder per day and includes the daily check register that is printed from the check writing system, check stubs, check stub report, and the Daily Check Register reconciliation report. The check stub total must equal the check register total.

Validation Section also reports and remits federal taxes withheld from winners on a daily basis. A Daily W2G Report is created and an EFTPS Voice Response System form is completed each day and filed in binders. Each month a Monthly Balancing Report is created comparing the Monthly W2G Report with the Access database. These reports are emailed to seven people.

### **2.2.3 Procurement Process**

Purchasing manages all agency purchase orders (WV88a), release orders from the state wide contracts (WV-39), RFPs, RFQs, and EOIs (WV-35), leases, and contracts.

#### **Agency Purchase Order**

A request is completed by someone within the Lottery, it is signed by their supervisor, signed by a Deputy Director and is sent to the Purchasing Agent. The Purchasing Agent initials the form, routes it to the Budget Manager, who initials it and routes it to the Deputy Director of Finance & Administration, who initials it and routes it to the Lottery Assistant Director, who initials and routes to the Lottery Director. Approved requisition is returned to Purchasing Agent for processing.

Purchasing Agent gets 3 bids via phone or email and creates a summary sheet with all responses on a WV49 (Verbal Bid Quote) or a WV43 (Written bids under \$25,000). If it is an IT procurement it is routed to the WV CTO for approval.

Purchasing Agent prepares the Purchase Order to the lowest bidder, attaches the summary sheet and written bids, and routes the file to the Budget Manager, then to Deputy Director of Finance and Administration, then to Lottery Assistant Director, then to Lottery Director, and back to Purchasing Agent for further processing. A paper copy and/or an emailed electronic copy are sent to the vendor. File is scanned and stored on a shared hard drive and a copy is emailed to the requestor. Hard copy files are kept for one year and then sent to storage.

#### **Release Order**

The process for an acquisition from a Statewide Contract is the same as above except the Purchasing Agent solicits three bids from the eligible vendors, and creates a summary sheet with all responses on a form WV43. The approval process is the same as above.

### **Request for Quotation (RFQ) and Request for Proposal (RFP)**

The RFQ process is used for purchases from \$25,000 to \$250,000 and the RFP process may be used for purchases expected to exceed \$250,000. A WV-35 is prepared with the specifications and routed through the same approval process as the Agency Purchase Orders and Release Orders. Once approved by the Lottery Director the Purchasing Agent sends the RFQ/RFP to WV Purchasing Division for the state bid process. WV CTO approval is obtained for all IT purchases. All bids received are printed from the WV Purchasing website for review and recommendation by a Lottery Deputy Director. Purchasing Agent or Deputy Director drafts letter to award for Lottery Director's signature and sends to WV Purchasing Division. WV Purchasing sends a Purchase Order to the vendor and a copy to the Lottery.

#### **2.2.4 Accounts Payable**

All invoices come to Accounts Payable Clerk. All are filed in alphabetical order by vendor in seven 40" lateral file drawers. An invoice comes in and the Payables Clerk retrieves the vendor's file to get the vendor ID#, checks the invoice for accuracy and processes it in FIMS.

Payables Clerk then takes the invoice to the Budget Manager for approval. On approval the invoice is returned to the Payable Clerk where the invoice is scanned to the WV Auditor's Office.

The date, document number, and amount are entered into an Excel spreadsheet and budget amount is automatically adjusted. Payables Clerk then scrolls to the line item and enters data again. Excel provides YTD total.

The same data is entered into an Access database. Access does not have pay date or line item detail but it provides line item total for the month.

#### **2.2.5 Legal Division**

The legal division handles all license and permit denials/suspensions and any situations in which an Applicant/Licensee is not in compliance with the law. In the event of Denials/Suspensions, Legal issues a due process letter and sends via certified mail to applicant. Letter is held in a pending file until the delivery receipt is returned to Lottery. The date on the delivery receipt starts the 10-day period in which the Applicant/Licensee must request a hearing.

Civil Penalty Warnings occur when Video Lottery Security sends incident report/photos, compliance report, and screenshot of the Licensing database record to Legal. Legal writes warning letter and files copy in Legal and LVL Security.

In the event of a Civil Penalty, Limited Video Lottery Security sends incident report/photos, compliance report, and screenshot of the Licensing database record to Legal. Legal writes due-process letter and sends via certified mail to the Retailer and files copy in Legal and LVL Security and/or LVL Accounting (depending on the nature of the civil penalty). The letter is held in a pending file until the delivery receipt is returned to Lottery. The date on the delivery receipt starts the 10-day period in which the Retailer must pay the fine or request hearing.

If a Retailer fails to comply with the law, Legal completes and sends a Disable form to Computer Room to turn off machines on day 11.



When the penalty payment is received Legal completes and sends an Enable form to Computer Room to turn on machines. Payment is posted to check database and transmittal is printed three times and is filed in Legal. Check and transmittal are sent to Finance and then to LVL Security.

The Appeals Process applies to retailers and occupational permit applicants and licensees. Due process letter is sent via certified mail. Appellant has 10 days after receipt of due process letter to respond with petition and \$300 appeal fee in the form of certified check, cashier's check or money order requesting a hearing. Lottery responds to appellant with acknowledgement of petition and notification that the file is being sent to a Hearing Examiner and they will be contacted to schedule an administrative hearing.

Legal sends letter, petition, and exhibits to Hearing Examiner. Hearing Examiner sends notice of hearing to appellant and to the Legal Division. The Legal Division sends a hearing notice to appellant via certified mail.

Administrative hearing is held. Legal Division receives the court reporters transcript, exhibits, Hearing Examiner's recommended decision and an invoice. Issue is presented to Lottery Commission at the monthly meeting to accept or reject the Hearing Examiner's recommended decision. Commission has ten days to write their own decision if not satisfied with decision of the Hearing Examiner. Lottery Commission's decision and Order is sent to appellant via certified mail. Appellant has 30 days, based on delivery receipt of the Commission's final decision, to appeal in Kanawha County Circuit Court.

#### **2.2.6 Workflow**

Workflow at the Lottery includes many different processes with multiple levels of approval. All processes are paper-based. In many instances documents are copied multiple times.

#### **2.2.7 Storage**

The Lottery is expanding the SAN which is EMC Symmetrix DMX that is replicated to the hot-site in White Hall, WV. Redundant EMC Centera content-addressable storage devices will be available in Charleston and the White Hall hot-site. Symmetrix will be used for short-term storage of content and data and Centera will be used for archive purposes.

#### **2.2.8 Databases**

Databases exist in the following systems: AEGIS which is used to track all the activity related to the video lottery machines, GTECH which supports all traditional licensing activity, Microsoft Dynamics GP for general ledger and accounting, and several Microsoft SQL Server 2005 databases.

#### **2.2.9 Other Lottery Divisions**

There are other areas in the Lottery (Legal, Marketing, etc.) that will take advantage of the benefits of the content management system. Their needs are primarily scan, index, store, and retrieve.

## PART 3 PROCUREMENT SPECIFICATIONS AND DELIVERABLES

### 3.1 General Requirements

The successful bidder will be responsible for providing a turn-key solution that includes an integrated electronic content management, workflow, electronic forms processing, and computer reports management solution.

#### 3.1.1 Content Management System Software

3.1.1.1 System must be a COTS-based, non-proprietary Windows-based object management software with an open architecture platform.

3.1.1.2 System must support 200 users, 75 users concurrently. This will be a combination of client workstations and browser clients retrieving via an intranet or the Internet. System must be scalable to increase concurrency if required.

3.1.1.3 System should have a single interface for document creation, retrieval, display, print, email, fax, routing, image enhancement, and indexing.

3.1.1.4 System must provide for the electronic storage, retrieval, processing, and routing of information (objects) such as:

- 3.1.1.4.1 Images (black & white, grayscale, and color)
- 3.1.1.4.2 Computer output reports data
- 3.1.1.4.3 ODMA objects such as voice, video, word processing files
- 3.1.1.4.4 Foreign files must be able to remain in native format

3.1.1.5 System must be Microsoft Windows Server 2003 and higher compliant and certified and compliant with XP and higher desktop operating systems.

3.1.1.6 System should support the following standard image manipulation. Verify support for these features and describe any additional features.

- 3.1.1.6.1 Zooming In & Out
- 3.1.1.6.2 Redaction and redaction security
- 3.1.1.6.3 Cut & Paste
- 3.1.1.6.4 Printing only specific areas of a document
- 3.1.1.6.5 Sticky views
- 3.1.1.6.6 Magnifying areas of a document
- 3.1.1.6.7 Rotate & Pan
- 3.1.1.6.8 Inverting of document pages
- 3.1.1.6.9 Rubber stamp with security
- 3.1.1.6.10 Document Check-in/Check-out
- 3.1.1.6.11 Cascade and tiling
- 3.1.1.6.12 Automatic scaling of images (height, width, Fit-to-Window, or User-defined)
- 3.1.1.6.13 Display Black & White in Grayscale
- 3.1.1.6.14 Specify display fonts and print fonts

3.1.1.7 System should support Microsoft .NET platform.

3.1.1.8 System should offer an API for automation and advanced customization capabilities if desired by the Lottery at a future time. Please confirm availability of an API.

3.1.1.9 System should be capable of enabling an existing application adding value to any existing application by attaching objects to application screens or fields. System should have the ability to "image enable" host applications through internal scripting, ActiveX, VB scripting or a SOAP/XML interface.

3.1.1.10 System must support central configuration for all applications and/or modules and provide for remote administration by the system administrator.

3.1.1.11 System must support monitoring of processes and applications with automatic notification of problems or issues via email and the application.

3.1.1.12 System must include the ability to apply digital signatures to a record to ensure authentication of the record in the system for compliance. The system should be able to use digital certificates available through Public Key Infrastructure (PKI) service such a Verisign or Entrust as well as Microsoft's Certificate Management. Vendor will supply the digital signature solution.

3.1.1.13 Objects must be capable of being stored, retrieved, mailed, routed, exported, printed, and faxed over any Windows-based supported network

3.1.1.14 System must support OLE-DB and ODBC-compliant database connections to support databases such as Microsoft SQL, Oracle and IBM DB2. Microsoft SQL Server will be the database used for this system at this time.

3.1.1.15 Content management solution must integrate into the instance of Microsoft SQL Server currently in use at the Lottery.

3.1.1.16 System must be ODMA compliant in order to support the creation of documents and indexes direct from ODMA applications such as MS Word, PowerPoint, Excel, Word Perfect, etc.

3.1.1.17 System must support record retention options for support of organizations records retention policies and standards.

3.1.1.18 System should have the ability to configure retention policies using a structure that is compatible with the EMC Centera document retention interface.

3.1.1.19 System must be able to write data to multiple storage devices at the same time, during capture for data protection and disaster recovery.

3.1.1.20 System must be able to store images and index data to EMC Symmetrix DMX which is replicated to the Lottery hot-site in White Hall, WV.

3.1.1.21 System must be able to archive to EMC Centera which is replicated to the hot-site in White Hall, WV.

3.1.1.22 The document imaging solution must integrate into the existing Lottery network infrastructure. The vendor supplied solution must utilize the existing EMC SAN solution and replication technologies supplying a document imaging configuration that meets or exceeds the current Lottery business continuance standard for disaster recovery using Symmetrix Remote Data Facility (SRDF). All images and data will be replicated to a Lottery site in White Hall, WV.

3.1.1.23 System should be capable of enabling an existing application adding value to any existing application by attaching objects to application screens or fields. System should have the capability to "image enable" host applications through internal scripting, ActiveX, VB scripting or a SOAP/XML interface.

3.1.1.24 Bidder must identify and provide the specifications for the servers required for optimal performance of the proposed solution.

3.1.1.25 System security will be managed by the system administrator(s) at the WV Lottery. At a minimum, access to applications/record sets, access to documents, and tasks performed in the system must be controlled by user name and password.

3.1.1.26 System must be able to store a document, retrieve, display, print, email, fax, route, and index from a PC client or Web based browser, without any loss in functionality.

3.1.1.27 System must have a windows look and feel and be compliant with windows protocols such as print, fax, export and e-mail.

3.1.1.28 System should support thumbnail viewing of images.

3.1.1.29 System must support annotation and markup-up of documents (i.e. highlighting, sticky notes, text messages, redlining, etc.).

3.1.1.30 System must support redaction of sensitive or confidential areas of documents.

3.1.1.31 System must support revision control of documents and pages.

3.1.1.32 System must support replacement of documents and pages.

3.1.1.33 System must support viewing PDF files without launching the Adobe viewer, but retain all PDF viewing capabilities.

3.1.1.34 System should support viewing of documents in native format (CAD, JPEG, PDF, etc.)

3.1.1.35 System must provide the ability to manage multiple file types in a single document, i.e. append a JPG file to a TIF file.

3.1.1.36 System must support the ability to search and sort on any combination of index fields.

3.1.1.37 System must support wild card, Boolean, ranges, greater than, less than, equal to, greater than or equal to, and less than or equal to search expressions.

3.1.1.38 System must be able to display multiple images from one result set.

3.1.1.39 System should be able to manipulate search result sets including sorting, printing, export, email, and realign/saving of column positions.

3.1.1.40 System should have the ability to save a query for future use. Saved queries should be able to be made public.

3.1.1.41 System must provide the ability to search across multiple applications for a common index value, and must be able to display image content from these applications.

3.1.1.42 System must allow for unlimited number of imaging applications with the ability to secure any and all applications from user access.

3.1.1.43 System must allow for building of document applications without programming or database development.

3.1.1.44 System should provide the ability to specify index fields as required, read only, leading zeros, part of a unique key, etc.

3.1.1.45 System should provide validation masks to index fields to ensure proper input (AA-NNN-NNN-AAAA). The attributes of the index fields should be user definable, including but not limited to: field name, length, and field data type.

3.1.1.46 This section intentionally left blank.

3.1.1.47 **Computer Generated Reports** – There are a variety of daily, weekly, and monthly reports generated from the systems operated lottery contractors, and printed on Lottery printers for distribution. The proposed system must be capable of automatically storing these reports in electronic format and automatically indexing the report for retrieval. At present these reports are either ASCII or PDF.

3.1.1.47.1 The reports are generated on systems owned by contractors of the WV Lottery and there is the possibility that the contractor could change upon renewal of the contract. For this reason the report management software must have the ability to process advanced print streams as well as traditional text formats. At present the system must be able to process ASCII and PDF print streams.

3.1.1.47.2 System should offer the capability to process all the following print streams if it becomes necessary in the future: ASCII, EBCDIC(K), IBM AFP, HP PCL, Xerox Metacode, and Adobe PDF.

3.1.1.47.3 The system must automatically detect that a report has been generated and is ready to be processed.

3.1.1.47.4 The system must automatically extract data from the report, which will be used to index and retrieve the report.

3.1.1.47.5 System should offer compression of report prior to storage.

3.1.1.47.6 System should offer a data mining tool to extract data from multiple reports and create custom reports as required

### 3.1.2 Document Capture and Electronic Forms Capture

In addition to the routine daily work, there are approximately 2 million pages in backlog to be scanned. Bidder must propose a capture solution that is efficient and effective. There will be two high volume workstations that will be installed in Licensing and LVL Security initially. Once backlog is complete, one of the capture stations will be moved to the main Lottery building where it will be used to convert backlog in the other departments.

System must facilitate the creation, publishing, processing and secure managing of electronic forms (e-forms). Systems must not require programming of web pages or writing of custom scripts for processing of secure e-forms. Electronic forms system server will be installed in the Lottery DMZ. Please see ATTACHMENT 3 for sample forms to be managed by this solution.

Manufacturers and operators must be able to securely log in to the e-form server, using an electronic signature or key fob that will identify them and pre-complete their demographic information on the form automatically.

3.1.2.1 System must offer support for batch scanning, allowing a user to scan an entire batch of pages to be indexed at a later time.

3.1.2.2 Batch scanning must provide support for OCR and Bar Code Recognition. It must be possible to index scanned batches at any scanning workstation.

3.1.2.3 System must offer image enhancement utilities for both bi-tonal and color images.

3.1.2.4 System must have the ability to capture documents from any of the scanning-enabled digital copiers and store them to the imaging system. At present all digital copiers are Konica Minolta. This could change in the future.

3.1.2.5 Capture solution should offer image enhancement. Bi-tonal image enhancement should allow the user to de-skew, align margins, remove lines and specks, and convert inverse text to black on white. Color enhancement should allow the user to change intensity, contrast, and sharpness of color images.

3.1.2.6 Successful vendor will provide scanning hardware. A minimum of 2 production level scanners, 4 departmental scanners and 4 low-volume desktop scanners will be installed. Vendor must provide the workstation specifications for all scanners.

3.1.2.6.1 Production Scanner – Bowe Bell & Howell 9125 Ngenuity or equal

- 3.1.2.6.1.1 Rated speed of 125 ppm or 250 ipm
- 3.1.2.6.1.2 Ability to scan color, bi-tonal and grayscale
- 3.1.2.3.1.3 700 sheet automatic document feeder
- 3.1.2.3.1.4 600 DPI optical resolution
- 3.1.2.3.1.5 Unlimited daily duty cycle
- 3.1.2.3.1.6 VRS Professional
- 3.1.2.3.1.7 USB 2.0 interface and cable

3.1.2.6.2 Departmental Scanner – Bowe Bell & Howell Truper 3600 Plus or equal

- 3.1.2.6.2.1 Rated speed of 67 ppm or 106 ipm
- 3.1.2.6.2.2 Ability to scan color and bi-tonal
- 3.1.2.6.2.3 200 sheet automatic document feeder
- 3.1.2.6.2.4 600 DPI optical resolution
- 3.1.2.6.2.5 10,000 page daily duty cycle
- 3.1.2.6.2.6 VRS Professional
- 3.1.2.6.2.7 USB 2.0 interface and cable

3.1.2.6.3 Low-Volume Desktop Scanner – Canon DR2510C or equal

- 3.1.2.6.3.1 Rated speed of 25 ppm or 50 ipm
- 3.1.2.6.3.2 Ability to scan color and bi-tonal
- 3.1.2.6.3.3 50 sheet automatic document feeder
- 3.1.2.6.3.4 600 DPI optical resolution
- 3.1.2.6.3.5 1,500 page daily duty cycle
- 3.1.2.6.3.6 USB 2.0 interface and cable

3.1.2.7 Capture solution should support document input devices (scanners, digital cameras, multi-function printers/copiers) that are TWAIN, ISIS, or KOFAX compliant from the Desktop or Web client.

3.1.2.8 System should allow scanning directly into the imaging/content management system from desktop scanners and from the digital copiers. The Lottery has various models of the Konica Minolta BizHub which may change in the future.

3.1.2.9 System should be able to capture local at a remote location and move on-line at a later time if network bandwidth is not available.

3.1.2.10 System should allow for the import of images into a batch queue for indexing or direct import of images and associated indexes into the application.

3.1.2.11 Capture solution must provide database lookup functionality so that a primary key field can be entered manually, by barcode, or OCR and other related fields will be completed automatically using information in a SQL Server 2005 database provided by the Lottery.

3.1.2.12 All communication between an electronic form and a server must be encrypted.

3.1.2.13 Data that is entered on the e-form will automatically update the respective Microsoft SQL database.

3.1.2.14 System must provide database look-up capability to allow form field completion upon the entry of unique identifiers.

3.1.2.15 Proposed e-form solution should include an easy-to-use form design tool that can be used to create a form from scratch or import a scanned paper form or PDF form. Form design tool should support the following design functions:

- 3.1.2.15.1 Graphics
- 3.1.2.15.2 Digital signatures
- 3.1.2.15.3 128-bit native encryption
- 3.1.2.15.4 Local field-level pop-up style help
- 3.1.2.15.5 Attachment handling
- 3.1.2.15.6 Built-in local logic, calculations, validation, conditions
- 3.1.2.15.7 Wizard driven help files that travel with the form

3.1.2.16 Electronic forms should be available to an unlimited number of users, preferably with no per-user charge.

3.1.2.17 Users should be able to view, print, and save their electronic forms locally.

3.1.2.18 Upon submission of an electronic form, it should be automatically indexed and stored to the content management repository and initiate a business process workflow.

3.1.2.19 Vendor should provide a secure network configuration for proposed e-forms solutions to include diagrams and necessary ports and protocols to communicate securely with the WV Lottery LAN.

### 3.1.3 **Integrated Workflow**

It is the intent of the Lottery to use workflow to facilitate the Licensing process and other applicable processes. Documents will be scanned on arrival in Licensing and all tasks required to complete the licensing process must be identified in the workflow, designated as completed, preferably with a date and time stamp, and identify who completed each task.

Electronically, licensing documents will be routed through a pre-defined workflow for approvals. Many of the processes in Limited Video Lottery Security will be managed with workflow. An operator will complete and submit an e-form to be routed to the appropriate personnel based on form type. The procurement process will be managed in an electronic workflow through a pre-approval process, and approval process.

3.1.3.1 System must have an integrated workflow that has the ability to provide rules-based and ad-hoc document routing.



3.1.3.2 System must support 75 workflow participants.

3.1.3.3 System must include an application development tool that an administrator can use to design and develop business process maps, database definitions, business rules, and business process roles.

3.1.3.4 System must have the ability to create, modify, and maintain electronic workflow templates.

3.1.3.5 System must have the ability to add, delete, or modify an object or document in a workflow task based on the users' security rights.

3.1.3.6 It must be possible to place a job on hold and indicate the reason and duration of the hold. Other users must be able to see the cause and status of the hold.

3.1.3.7 Workflow solution must support electronic signature.

#### **3.1.4 Vendor Qualifications**

3.1.4.1 The bidder shall provide an organization chart showing names of the bidder's proposed primary site general manager and key managerial staff. The chart should also show the names of all management, supervisory, and key technical personnel who are expected to be active in ongoing support of the system. Additional support staff need not be named but can be listed by title and quantified. The Agency has the right to refuse the services of any on-site employee of the successful bidder based on the employee's technical competence or criminal background. All management, supervisory, and key technical personnel who will be active in the implementation and ongoing support of the system shall be subject to initial and periodic background checks using the Agency's electronic fingerprint capture system. An individual shall be removed from supporting the contract as an outcome of adverse results from the background checks. In the case of a criminal background refusal, the basis for refusal shall be a conviction of any felony or any crime related to theft, gambling, or involving moral turpitude.

3.1.4.2 Software support must be provided Monday through Friday from 8:00 AM until 5:00 PM excluding holidays with a 4 hour response. Hardware maintenance on scanners must be provided Monday through Friday from 8:00 AM to 5:00 PM excluding holidays with a maximum 24 hour response. Support must be provided for a period of 36 months from date of final acceptance by the WV Lottery.

3.1.4.3 Vendor must provide a minimum of three (3) and maximum of five (5) references. References should include the name, title, organization, telephone number, email address and brief description of the system installed.

3.1.4.4 Vendor must provide a detailed implementation plan to include a timeline for installation, testing, training, and application development.

3.1.4.5 Bidder must provide a detailed description of ongoing hardware maintenance and software support. Successful vendor must provide maintenance and support for all software and hardware installed for a period of 3 years or 36 months which commences upon final acceptance by the Lottery.

3.1.4.6 Vendor must have completed three projects of this scope and size.

## 3.2 Scope of Work:

3.2.1 The vendor will install and test all software to the satisfaction of the West Virginia Lottery. Testing criteria will be determined by the Lottery during implementation and will include but not be limited to:

- 3.2.1.1 Capture
- 3.2.1.2 Store and retrieve
- 3.2.1.3 E-form creation and submit to workflow
- 3.2.1.4 Workflow routing
- 3.2.1.5 Business continuance/failover
- 3.2.1.6 Electronic Signature

3.2.2 The Lottery will arrange for EMC to work with the successful vendor to integrate the proposed system with the EMC Symmetrix DMX and EMC Centera for image and data storage, archiving and business continuance.

3.3.3 Vendor will create and test multiple workflows for Licensing, Limited Video Lottery Security, and Procurement.

3.3.4 Vendor will configure the e-form server and create and test 13 e-forms as provided in ATTACHMENT 3.

3.3.5 Vendor will configure all servers to the specification of the proposed software for optimal performance and security best practices. Lottery will provide the servers with the operating system installed.

3.3.6 Vendor will configure two production capture workstation PCs that will be provided by the Lottery, and install and test production scanners.

3.3.7 Section 2 of the RFP functions to give each Bidder an idea of where the majority of documents flow through the Lottery as of the time of this publication and is for informational purposes only because the processes may change prior to the award of the contract. The successful vendor must review the workflows performed by the Agency after the award of the contract and analyze the workflows prior to actual implementation to verify the workflows being utilized and recommend more efficient processes where inefficiencies exist.

3.3.8 Vendor will train all end users. Various levels of training will be required from retrieve only users to system administrators. Bidder must provide a training plan for system administrators to include application/project development, workflow management, e-forms creation and management and security management. Separate training will need to be provided to scanning personnel, workflow participants and retrieve-only users.

### 3.3 Special Terms and Conditions:

3.3.1 *Performance Bonds:* The successful vendor shall furnish a performance bond for 100% of the amount of the contract. Bonds may be provided in the form of a certified check or bond furnished by a solvent surety company authorized to do business in the State of West Virginia.

3.3.2 *Insurance Requirements:* Insurance certificates are required prior to award but are not required at the time of bid.

3.3.2.1 Public Liability with limits of \$500,000 for any one person, and \$1,000,000 for any one occurrence of personal injury, as well as \$1,000,000 for any one occurrence of property damage.

3.3.2.2 Errors and Omissions in the amount of \$1,000,000 for the selected Vendor for any losses the Agency may incur resulting from the intentional or negligent acts of the Vendor. The Errors and Omissions insurance coverage will remain in effect during the entire contract period, any extensions thereof, and for one (1) year after the contract terminates.

3.3.2.3 A Fidelity Bond or insurance in the amount of \$1,000,000 covering any losses incurred by the Agency due to the fraudulent or dishonest acts on the part of the Vendor, or the Vendor's officers, employees, agents or subcontractors.

3.3.3 *License Requirements:* N/A

3.3.4 *Litigation Bond:* N/A

## PART 4 PROPOSAL FORMAT AND RESPONSE REQUIREMENTS

### 4.1 Vendor's Proposal Format:

Vendor proposal should be formatted in the same numerical order for responses to the deliverables required in Section 3 of the RFP. Title page should state West Virginia Lottery Content Management System and number, the name of the Vendor, Vendor's business address, telephone number, name of authorized contact person to speak on behalf of the Vendor, and should be dated and signed.

Table of Contents - Clearly identify the material by section and page number.

Section I – General requirements for content management and reports management system features, implementation plan, and references. Section 3.1.1

- Describe the application creation process. Describe all options within this process.
- Describe the digital signature solution.
- Describe the retention management capabilities of the proposed solution.
- Describe the security capabilities and functionality in the proposed system.
- Describe the annotation and mark-up features in the proposed solution.
- List all possible print streams that can be managed by the proposed system.
- Describe any additional standard image manipulation features.

Section II – Capture and Electronic Forms Section 3.1.2

- Describe all features of the proposed capture solution.
- Describe the image enhancement capability of the proposed capture system.

Section III – Workflow Solution Section 3.1.3

- Describe the steps required to create a rule-based workflow and an ad-hoc workflow.

Section IV – Vendor Qualifications Section 3.1.4

- Describe at least three implementations of the proposed system with a brief synopsis of system components and the year of completion.

Projects should be comparable in scale to the system proposed.

- Bidder should list reference responses to include the name, title, organization, telephone number, email address and brief description of the system installed.
- Describe Implementation Plan to include a timeline for installation, testing, training, and application development.
- Describe ongoing hardware maintenance and software support. Vendor should describe the methods used to provide system support (i.e. on-site, telephone, remote via the Internet).
- Describe a training plan for system administrators to include application/project development, workflow management, e-forms creation and management and security management.

#### Section V - Cost

If applicable, sign and submit the attached Resident Vendor Preference Certificate with the proposal.

#### 4.2 Evaluation Process:

##### 4.2.1 Method of Evaluation:

The proposals will be evaluated by a committee of three (3) or more individuals in accordance with the criteria stated. The Vendor who meets all the mandatory specifications and attains the highest point score of all vendors shall be awarded the contract. The selection of the successful vendor will be made by a consensus of the evaluation committee.

4.3 **Evaluation Criteria:** The following are the evaluation factors and maximum points possible for technical point scores:

Section	Description	Total Points
4.3.1	Content Management	25
4.3.2	Document Capture and Electronic Forms Capture	25
4.3.3	Integrated Workflow	15
4.3.4	Vendor Qualifications, Implementation & Training	5
	Cost	30
	Total	100

$$\frac{\text{Lowest price of all proposals}}{\text{Price of Proposal being evaluated}} \times 30 = \text{Price Score}$$

4.4 **Minimum Acceptable Score:**

Vendors must score a minimum of 70% of the total technical points possible. The technical points are listed above in Section 4.3. The minimum qualifying score on the technical portion is 49 points. All vendors not attaining the minimum acceptable score (MAS) shall be disqualified and removed from further consideration.

The State will select the successful vendor's proposal based on best value purchasing which is not necessarily the vendor with the lowest price. Cost is considered but is not the sole determining factor for award. The State does reserves the right to accept or reject any or all of the proposals, in whole or in part, without prejudice, if to do so is felt to be in the best interests of the State.

Vendor's failure to provide complete and accurate information may be considered grounds for disqualification. The State reserves the right, if necessary, to ask vendors for additional information to clarify their proposals.

## 4.5. LOT454 Cost Proposal Bid Sheet

Item Description	Qty	Price	Extended Price
Content Management Software and Workflow			
75 Concurrent Users		\$	\$
Capture Software		\$	\$
Electronic Forms Software		\$	\$
Production Scanners Brand & Model	2	\$	\$
Departmental Scanners Brand & Model	4	\$	\$
Low-volume Desktop Scanners Brand & Model	4	\$	\$
3-Year Hardware Maintenance Contract	3	\$	\$
3-Year Software Maintenance/Support Contract	3	\$	\$
Installation, Application Development, Forms Design Workflow Implementation, & Training		\$	\$
<b>Total Project Cost</b>			\$
Offered Options:			
Content Management			
Additional Software Licenses (if necessary)			
Single License	1	\$	\$
Pack of 5 Licenses	5	\$	\$
Pack of 10 Licenses	10	\$	\$
Post-Installation Professional Services			
Cost per block of 4 hours		\$	\$
Cost per block of 8 hours		\$	\$
Optional Hardware		\$	\$
Optional Software and/or Licenses		\$	\$

**Software and ongoing support costs must be all-inclusive. The Agency cannot be billed for costs (i.e. click charges) in addition to those set forth above.**

Licensing Forms

Documents	Traditional		TG			Casino		LVL Tech
	Retailer	LVL Retailer	Operator	Manufacturer	Supplier	Onwer	Occup Permit	
Application	X	X	X	X	X	X	X	X
Multijurisdictional personal history					X	X	X	
Individual Affidavit	X	X	X	X		X		
Corporate Affidavit		X	X			X		
W-9	X							
Financial Disclosure Release	X		X		X	X		X
Preliminary Marketing Evaluation Form	X							
Site Survey	X	X						
Zoning Compliance		X						
EFT Authorizations	X	X	X					
Corporate Financial Disclosure Form	X	X	X		X	X		
Personal Data and Financial Disclosure Form	X	X	X	X	X	X		X
Verify Business License with WV SOS	X	X	X	X	X			
Verify Workers Comp	X	X	X			X		
Verify Unemployment Comp with Workforce WV	X	X	X	X				
Verify Taxes current WV Tax & Revenue	X	X	X					
Verify ABCC License	X	X						
Organizational Chart			X	X	X	X		
Income Tax returns			X			X		
SEC Form 10-Q			X	X	X	X		
SEC Form 10-K			X	X	X	X		
SEC Form 8-K			X	X	X	X		
Proxy Statement			X		X			
Financial Statements			X	X	X	X		
Copy of WV Business License			X					
WV Corporate Net Income Tax Return			X					X
Copy of Drivers License		X	X					
List of Owners, Shareholders, Officers		X	X	X		X		X
Fed Form 8821 Tax Information Authorization			X	X	X	X		X



Documents	Traditional		Operator	Manufacturer	TG		Occup Permit	LVL Tech
	Retailer	LVL Retailer			Supplier	Casino Owner		
WV Tax Information Release Form			X					
WVL Form C Child Support Obligations			X					
Contract Elements Form / Contract Affidavit			X		X			
Employment Affidavit								
Finger Print	X		X	X			X	X
Personal Photo							X	X
Birth Certificate							X	
Endorsement Letter from Casino							X	

ATTACHMENT 2

Limited Video Lottery Forms

	Mach. Destruction	Removal	Room Change	Maint.	Install	Chip change	Swap Outs	Add Ons	Compliance	Recorder	Pre-site	Annual Total
Jan				224	85	56			844	80	5	
Feb				255	102	38			736	62	21	
Mar				324	95	34			828	121	20	
Apr	8	69	14	264	167	21	32	4	829	169	25	
May	6	68	16	244	100	17	22	7	815	100	17	
Jun	55	98	15	293	92	10	40	8	708	107	20	
Jul	9	119	1	247	159	14	43	5	1277	161	28	
Aug	38	73	14	236	113	29	31	2	768	159	46	
Sep	40	95	16	240	82	41	54	17	697	143	21	
Oct	51	135	13	184	107	44	61	7	642	104	51	
Nov	58	75	6	149	142	33	21	7	511	121	22	
Dec	28	53	13	234	148	340	34	17	714	145	9	
2008 Total	293	785	108	2894	1392	677	338	74	9369	1472	285	17687

## Potential E-Forms

## Attachment 3

1. Retailer Update Form (RUF)
2. Level 2 Occupational License
3. Occupational permit Renewal
4. LVL Intrastate Transportation Form – submitted by Operator
5. LVL Installation Procedure Form
6. LVL Shipment Notification
7. LVL AEGIS Video Lottery Machine Maintenance Form
8. LVL Security Logic Seal Record – AEGIS System
9. LVL Compliance Inspection Form
10. Request to Enable/Disable form
11. LVL Retailer Preliminary Site Survey Checklist
12. Occupational permit applications and renewals
13. Ticket Investigation Reports



**Lottery Information**

Lottery Authorization: \_\_\_\_\_ Date: \_\_\_\_\_

**Retailer Information**

Retailer #: \_\_\_\_\_ Retailer Name: \_\_\_\_\_  
Retailer Address: \_\_\_\_\_ Primary Contact Name: \_\_\_\_\_  
Store Phone #: \_\_\_\_\_ Contact Phone #: \_\_\_\_\_

**Action Required**

*Choose One Action Item Only*

Relocate Terminal (New Building)

Action Date(CHOW ONLY): \_\_\_\_\_

**Terminal Type**

Altura \_\_\_\_\_ Pay N Play \_\_\_\_\_  
# of Alturas \_\_\_\_\_ # of Pay N Play \_\_\_\_\_

**Change of Ownership**

Old Retailer #: \_\_\_\_\_ Retailer Name: \_\_\_\_\_  
Change-over date: \_\_\_\_\_  
New Retailer #: \_\_\_\_\_

**Additional Comments**

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**GTECH USE**

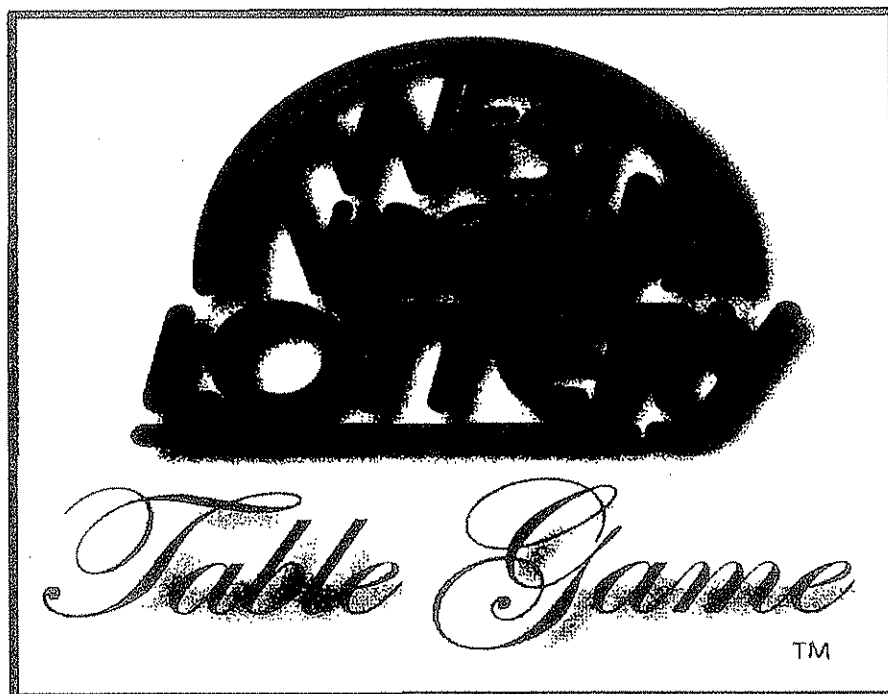
Received By: \_\_\_\_\_ Date Received \_\_\_\_\_  
Terminal setup completed by: \_\_\_\_\_ Terminal setup completion date: \_\_\_\_\_

**Retailer Training**

Install Date \_\_\_\_\_ Retailer Contact \_\_\_\_\_

# West Virginia Lottery Commission

312 MacCorkle Avenue, S.E., Charleston, WV 25314



LEVEL 2  
OCCUPATIONAL LICENSE

**APPLICATION**

## INSTRUCTIONS

This form is authorized under Article 22C of the 2007 West Virginia Lottery Racetrack Table Games Act. Failure to provide information could result in rejection of or delay in the processing of this application.

The Commission will not process an application for an occupational license unless the application includes a written statement from a casino or supplier licensee that the applicant has been hired, or will be hired upon receiving the appropriate occupational license.

Respond to all the questions to the best of your knowledge. Any misrepresentation or omission is grounds for license denial.

### A. APPLICATION FEE

The applicant is responsible for the payment of all fees required under the Act. These fees only apply to Occupational License Level 2 applicants. The applicant must file this application with the West Virginia Lottery, License Division, PO Box 2067, Charleston, WV 25327 and submit a \$100.00 non-refundable fee with the application. All payments must be by cashier's check, certified check, company check or money order and made payable to the "West Virginia Lottery". DO NOT SEND CASH.

### B. FORMS AND DOCUMENTS

The applicant shall provide all information, documents, materials and certifications at the applicant's sole expense. The applicant shall submit an original of the application and all required attachments.

Submit COPIES of the following documents with your application:

- (1) Submit a copy of one of the following: birth certificate, passport, naturalization papers or alien registration card;
- (2) Picture identification (driver's license, state or military ID);
- (3) Supply a passport quality photo or have employer submit by email in jpeg format a passport quality photo; and
- (4) Endorsement letter from authorized representative of the casino in which you are/will be employed.
- (5) Certificates of completion for all training received.

The West Virginia Lottery will take your fingerprints by live scan during the application process.

Note: The Commission, in its discretion, may hereafter require the applicant to furnish additional information or complete and submit additional forms.

Failure to provide documents or information required by the West Virginia Lottery in connection with this application within 60 days of the date this application is received by the West Virginia Lottery, will, without further notice, result in your application being considered as having been voluntarily withdrawn and no further action will be taken in connection with the application.

**C. APPLICATION WITHDRAWAL**

In the event the applicant fails to provide the information, forms, and documents required by the Commission in connection with this application within 60 days of the date this application is received by the Commission, the application shall, without further notice, be deemed to have been voluntarily withdrawn as of that date and no further action will be taken in connection with the application. However, if the applicant's employer is licensed or registered under the West Virginia Lottery Racetrack Table Games Act, the Commission will notify the applicant's employers of the application withdrawal, its effective date, and the expiration of any temporary license that may have been issued pending provision of the information forms, or documents required. The Commission, in its discretion, may reinstate the application upon good cause shown.

When completing this application, you may require additional space. Please use a separate 8 ½ x 11 sheet of paper to complete your answer. Be sure to indicate which question you are answering.



**OCCUPATIONAL LICENSE  
LEVEL 2**

Date Received \_\_\_\_\_

Position Applied for: \_\_\_\_\_

PLEASE PRINT OR TYPE THE ANSWERS TO THE FOLLOWING QUESTIONS IN THE SPACES PROVIDED

NAME: LAST (INCLUDE SR., JR., ETC. IF APPLICABLE)      FIRST      MIDDLE

MAIDEN NAME, ALIAS (ES), OTHER NAME CHANGES – Legal or Otherwise      OCCUPATION

MAILING ADDRESS:  
(NUMBER AND STREET)      (APT#)      (CITY)      (STATE)      (ZIP)

HOME ADDRESS: (IF DIFFERENT THAN MAILING ADDRESS)  
(NUMBER AND STREET)      (APT#)      (CITY)      (STATE)      (ZIP)

HOME TELEPHONE NUMBER:      TELEPHONE NUMBER AT CURRENT PLACE OF EMPLOYMENT  
(AREA CODE)      (NUMBER)      (AREA CODE)      (NUMBER)      (EXTENSION)

DATE OF BIRTH: (MO) (DAY) (YEAR)      PLACE OF BIRTH (CITY, STATE, COUNTRY)      COUNTRY OF CITIZENSHIP

**Current Marital Information:**     Single     Married     Separated     Divorced     Widowed

Current Spouse's Name (Include Maiden Name):  
Last Name      First Name      MI      Maiden Name



## QUESTION 1 – RESIDENCE DATA

List all residences for the past ten (10) years beginning with your current address.

From: (MO/YR)	TO: (MO/YR)	ADDRESS (NO., STREET, APT., CITY, STATE, COUNTRY, ZIP CODE)	TELEPHONE NUMBER

QUESTION 2 – EMPLOYMENT DATA

List all employment during the past ten (10) years beginning with your current position. Give dates of any unemployment between jobs in proper sequence. Include all part-time and full-time employment and any military service. Note by means of an asterisk (\*) any gaming-related employment (such as casino gaming, horse racing, dog racing, pari-mutuel cooperation, lottery, sports betting, etc.).

DATES FROM: (MO/YR) TO: (MO/YR)	NAME AND MAILING ADDRESS OF EMPLOYER(S)	TELEPHONE NUMBER	TITLE/POSITION HELD AND DESCRIPTION OF DUTIES	NAME OF SUPERVISOR	REASON FOR LEAVING

QUESTION 3 - LICENSING DATA

Have you ever applied in West Virginia or any other jurisdiction for a license, permit, registration or other authorization to participate in a lawful gambling operation (including casino gaming, horse racing, dog racing, pari-mutuel operation, lottery, sports betting, etc.)? YES  NO

If yes, complete the following chart:

NAME & ADDRESS OF LICENSING AGENCY (INCLUDING COUNTRY, STATE, COUNTY OR MUNICIPALITY)	TYPE OF LICENSE, PERMIT, APPROVAL OR REGISTRATION	DATE OF APPLICATION	DISPOSITION (GRANTED, DENIED OR PENDING)	LICENSE, PERMIT, APPROVAL OR REGISTRATION NUMBER

**CRIMINAL HISTORY**

Questions 4-10 relate to criminal offenses, either felony or misdemeanor. Answer each question as it pertains to you. Do not include civil traffic violations.


- 4. Have you ever been granted immunity?  No  Yes
- 5. Have you ever been named an un-indicted co-conspirator?  No  Yes
- 6. Have you ever been charged with a criminal offense, either felony or misdemeanor, which did not result in a conviction?  No  Yes

If you answered yes, please describe the nature and date of the charge, name and address of government agency or court involved and final disposition. **(Include court or police agency documentation)**

- 7. Have you ever been placed on a diversionary program to avoid criminal arrest or conviction?  No  Yes

If you answered yes, please describe the circumstances, outcome, and efforts being made to pay back any debt incurred. **(Include court or repayment documentation)**

8. Describe any arrests, which did not result in a formal criminal charge. (Include court or police documentation)  Not Applicable

9. Describe all criminal convictions that have been expunged or otherwise removed from your criminal record. (Include court or police agency documentation)  Not Applicable

10. Have you ever been bonded?  Yes  No  Denied  N/A

If you answered yes or denied, please describe the circumstances.

11. Are you delinquent in the payment of any federal or West Virginia taxes?  No  Yes

If you answered yes, please complete the following table:

Taxing Agency	Type of Tax	Dates Involved (mm/dd/yyyy)	Amount

12. a. Are you current in filing federal tax returns?  No  Yes

Submit as Exhibit (1), true and accurate copies of your federal income tax returns for the last three years.

- b. If you are a West Virginia resident, are you current in filing West Virginia personal income tax returns?  No  Yes

13. Have you ever applied for a license, permit or other authorization to participate in a Gaming Operation in West Virginia or any other jurisdiction?  No  Yes

If you answered yes, please complete the following table:


14. Have you filed any type of bankruptcy within the last seven years?  No  Yes

If you answered yes, please submit as **Exhibit (2)** a complete copy of the bankruptcy petition and discharge.

15. During the past ten-year period, have you held a ten percent (10%) or greater ownership interest in or been a director, officer, or principal employee, of any corporation, partnership, sole proprietorship or other business entity that has made (either itself or through third parties) bribes or kickbacks to any employee, company or organization to obtain a competitive advantage, or to any government official, domestic or foreign, to obtain favorable treatment?  No  Yes

If you answered yes, please submit as **Exhibit (3)** a complete explanation of the circumstances.

ATTACHMENT A

APPLICANT'S ACKNOWLEDGMENT, AGREEMENT AND CONSENT

I, \_\_\_\_\_  
(Applicant)

Hereby acknowledge that the West Virginia Lottery may require supplemental materials in order to carry out its statutory duties. I hereby agree to submit supplemental materials as requested by the Lottery. I further agree that the West Virginia Lottery may consider my application withdrawn in the event that I do not provide materials required by the Lottery, within 60 days from the date the Lottery receives this application;

Hereby acknowledge that issuance of a gaming license is a privilege. I have the responsibility to prove that I am eligible, suitable and qualified to be licensed. I must accept any risk of adverse public notice, embarrassment, criticism, other action, or financial loss, which may result from action with respect to an application or the public disclosure of information not called for in this application or in addition to that provided in response to this application may be requested. (179-8-18.4)

Hereby acknowledge that I am under a continuing duty to promptly disclose to the Lottery any changes in the information provided in the application and requested materials submitted to the Lottery. To comply with this requirement I must submit a letter to the Lottery stating the changes and reference the specific question(s) within the application to which the changes pertain. (179-8-18.6a).

I affirm, under the penalties of perjury, that the information set forth in this document is true and complete, to the best of my knowledge.

IN WITNESS WHEREOF, I have executed this instrument at the City of \_\_\_\_\_, State of \_\_\_\_\_ on this \_\_\_\_\_ day of \_\_\_\_\_.

\_\_\_\_\_  
Applicant's Signature  
\_\_\_\_\_  
Printed Name

Before me, the undersigned, a Notary Public in and for said County (Parish) and State, personally appeared and acknowledged the execution of the foregoing instrument as his/her voluntary act and deed.

WITNESS, my hand and Notary Seal, this \_\_\_\_\_ day of \_\_\_\_\_.

\_\_\_\_\_  
Notary Public (Written Signature)  
\_\_\_\_\_  
Notary Public (Printed Name)

My commission expires: \_\_\_\_\_  
County of Residence: \_\_\_\_\_

ATTACHMENT B

**VOLUNTARY CONSENT TO RELEASE INFORMATION, MATERIALS & DOCUMENTS**

To all Courts, Probation Departments, Selective Service Boards, Employers, Educational Institutions, Banks, Financial and Other such Institutions, and all Governmental Agencies federal, state and local, without exception, both foreign and domestic.

I, \_\_\_\_\_,  
(Applicant)

have authorized the West Virginia Lottery and its employees and agents to conduct a full background investigation into my personal and business activities.

Therefore, I authorize and request that you release any and all information, materials and documents in your possession which have been requested by any employee or agent of the West Virginia Lottery regarding my personal or business activities. I am voluntarily giving this consent to release information, materials and documents provided that the employee or agent of the West Virginia Lottery properly identifies himself or herself as an agent or employee of the West Virginia Lottery.

This authorization supercedes and countermands any prior authorization and request to the contrary.

A photocopy of this authorization will be considered as effective and valid as the original.

IN WITNESS WHEREOF, I have executed this instrument at the City of \_\_\_\_\_, State of \_\_\_\_\_ on this \_\_\_\_\_ day of \_\_\_\_\_.

\_\_\_\_\_  
Applicant's Signature

\_\_\_\_\_  
Printed Name

Before me, the undersigned, a Notary Public in and for said County or Parish and State, personally appeared and acknowledged the execution of the foregoing instrument as his/her voluntary act and deed.

WITNESS, my hand and Notary Seal, this \_\_\_\_\_ day of \_\_\_\_\_.

\_\_\_\_\_  
Notary Public (Written Signature)

\_\_\_\_\_  
Notary Public (Printed Name)

My commission expires: \_\_\_\_\_

County of Residence: \_\_\_\_\_



ATTACHMENT C

RELEASE OF ALL CLAIMS

The undersigned has filed with the West Virginia Lottery (Lottery) certain forms and documents relative to a written application request for licensing by the Lottery. In consideration of the assurance by the Lottery that no vote on said application will be taken except after deliberate, intensive and thorough investigation of the undersigned, including but not limited to background history, associates, and finances, the undersigned does for myself, my heirs, executors, administrators, successors and assigns, hereby release, remise, and forever discharge the West Virginia Lottery, the State of West Virginia, and their officers, agents and employees, from any and all manner of actions causes of action, suits, debts, judgments, executions, claims and demands whatsoever, known or unknown, in law or equity, which the undersigned had, now has, may have, or claim to have against any or all of said entities or individuals arising out of or by reason of the processing or investigation of or other action relating to the application.

I, the undersigned, have read this release and understand all its terms. I execute it voluntarily and with full knowledge of its significance.

\_\_\_\_\_  
Applicant's Signature

\_\_\_\_\_  
Printed Name

Before me, the undersigned, a Notary Public in and for said County (or Parish) and State, personally appeared and acknowledged the execution of the foregoing instrument as his/her voluntary act and deed.

WITNESS, my hand and Notary Seal, this \_\_\_\_\_ day of \_\_\_\_\_,  
\_\_\_\_\_.

\_\_\_\_\_  
Notary Public (Written Signature)

\_\_\_\_\_  
Notary Public (Printed Name)

My commission expires: \_\_\_\_\_

County of Residence: \_\_\_\_\_

ATTACHMENT D

APPLICANT'S VERIFICATION

I, \_\_\_\_\_  
(Applicant)

being first duly sworn upon oath or affirmation, depose and state:

1. I am the individual responsible for submitting this application.
2. I swear (or affirm) that the information contained in this occupational license application form and its attachments are true, complete and accurate to the best of my knowledge and belief.

IN WITNESS WHEREOF, I have executed this instrument at the City of \_\_\_\_\_, State of \_\_\_\_\_ on this \_\_\_\_\_ day of \_\_\_\_\_.

\_\_\_\_\_  
Applicant's Signature

\_\_\_\_\_  
Printed Name

Before me, the undersigned, a Notary Public in and for said County (or Parish) and State, personally appeared and acknowledged the execution of the foregoing instrument as his/her voluntary act and deed.

WITNESS, my hand and Notary Seal, this \_\_\_\_\_ day of \_\_\_\_\_.

\_\_\_\_\_  
Notary Public (Written Signature)

\_\_\_\_\_  
Notary Public (Printed Name)

My commission expires: \_\_\_\_\_

County of Residence: \_\_\_\_\_

ATTACHMENT E

OCCUPATIONAL LICENSE APPLICANT VERIFICATION FORM

I, \_\_\_\_\_  
(Applicant)

being first duly sworn upon oath or affirmation, depose and state:

1. I have not been convicted of a crime of moral turpitude, a gambling-related offense, a theft or fraud offense, or have not otherwise demonstrated, either by a police record or other satisfactory evidence, a lack of respect for law and order.
2. I am at least 21 years of age.
3. I authorize and consent that the West Virginia Lottery for purposes of identification, licensing, or license renewal will take my fingerprints. These fingerprints will be forwarded to a retained by the West Virginia Lottery for any lawful investigative and identification purposes.

I understand that a false statement in my application or on this form may result in the withdrawal, suspension, or revocation of my temporary license and could lead to the denial of my occupational license application. I affirm, under the penalties of perjury, that the information set forth in this document is true and complete, to the best of my knowledge.

IN WITNESS WHEREOF, I have executed this instrument at the City of \_\_\_\_\_,  
State of \_\_\_\_\_ on this \_\_\_\_\_ day of \_\_\_\_\_,  
\_\_\_\_\_.

\_\_\_\_\_  
Applicant's Signature

\_\_\_\_\_  
Printed Name

Before me, the undersigned, a Notary Public in and for said County (or Parish) and State, personally appeared and acknowledged the execution of the foregoing instrument as his/her voluntary act and deed.

WITNESS, my hand and Notary Seal, this \_\_\_\_\_ day of \_\_\_\_\_,  
\_\_\_\_\_.

\_\_\_\_\_  
Notary Public (Written Signature)

\_\_\_\_\_  
Notary Public (Printed Name)

My commission expires: \_\_\_\_\_

County of Residence: \_\_\_\_\_



AUTHORIZATION FOR RELEASE OF PERSONAL INFORMATION  
TO PROSPECTIVE EMPLOYER

TO: The Director of the State Lottery Office -

I, \_\_\_\_\_, have applied for a Level 1 or a Level 2 Racetrack Table Games license at \_\_\_\_\_ (list name of racetrack) in the State of West Virginia. I am aware that my entire background, both criminal and financial, will be thoroughly investigated by the State Lottery Commission. Because my employment by a racetrack is a condition of licensure by the State Lottery Commission, I hereby authorize the State Lottery Office to release to my potential employer racetrack the following information about me and my application for licensure:

- The notification of the issuance and forwarding of a copy of the permanent or temporary Level 1 or Level 2 employee license issued to me by the State Lottery Office to my prospective employer racetrack; or
- The notification to my prospective employer racetrack by the State Lottery Office that a temporary or permanent Level 1 or Level 2 license has been denied by the State Lottery Commission, whether an appeal of the denial has been filed, and the status of the appeal process.
- The notification to my prospective employer racetrack by the State Lottery Office of the status of my pending application for a Level 1 or Level 2 license, if requested by my prospective employer racetrack, with the understanding that no personal or private information will be disclosed to the racetrack.

Given under my hand this \_\_\_\_\_ day of \_\_\_\_\_, 200\_\_.

\_\_\_\_\_  
(signature)

UNITED STATES OF AMERICA  
STATE OF WEST VIRGINIA  
COUNTY OF \_\_\_\_\_, to-wit:

Subscribed and sworn to before me, a Notary Public in and for the County and State aforesaid, this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_.

My commission expires \_\_\_\_\_, 20\_\_.

\_\_\_\_\_  
NOTARY PUBLIC



AUTHORIZATION FOR RELEASE OF PERSONAL INFORMATION  
TO PROSPECTIVE EMPLOYER

TO: The Director of the State Lottery Office -

I, \_\_\_\_\_, have applied for a Level 1 or a Level 2 Racetrack Table Games license at \_\_\_\_\_ (list name of racetrack) in the State of West Virginia. I am aware that my entire background, both criminal and financial, will be thoroughly investigated by the State Lottery Commission. Because my employment by a racetrack is a condition of licensure by the State Lottery Commission, I hereby authorize the State Lottery Office to release to my potential employer racetrack the following information about me and my application for licensure:

- The notification of the issuance and forwarding of a copy of the permanent or temporary Level 1 or Level 2 employee license issued to me by the State Lottery Office to my prospective employer racetrack; or
- The notification to my prospective employer racetrack by the State Lottery Office that a temporary or permanent Level 1 or Level 2 license has been denied by the State Lottery Commission, whether an appeal of the denial has been filed, and the status of the appeal process.
- The notification to my prospective employer racetrack by the State Lottery Office of the status of my pending application for a Level 1 or Level 2 license, if requested by my prospective employer racetrack, with the understanding that no personal or private information will be disclosed to the racetrack.

Given under my hand this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.

\_\_\_\_\_  
(signature)

UNITED STATES OF AMERICA  
STATE OF WEST VIRGINIA  
COUNTY OF \_\_\_\_\_, to-wit:

Subscribed and sworn to before me, a Notary Public in and for the County and State aforesaid, this \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_\_\_.

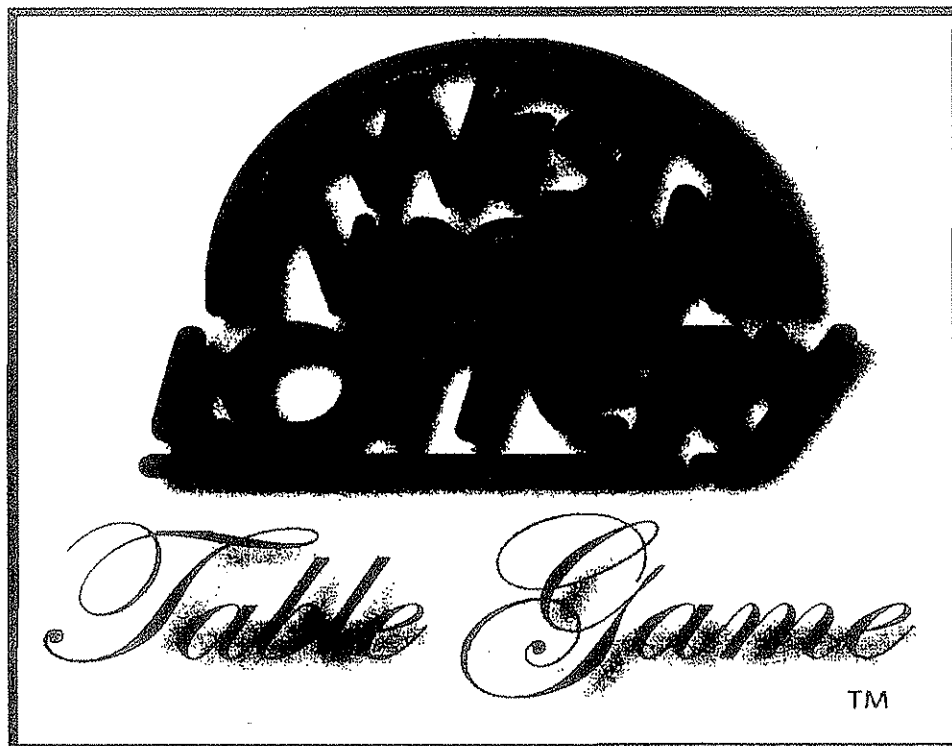
My commission expires \_\_\_\_\_, 20\_\_\_\_.

\_\_\_\_\_  
NOTARY PUBLIC

# West Virginia Lottery Commission

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312 MacCorkle Avenue, S.E., Charleston, WV 25314  
1.304.558.0500 [www.wvlottery.com](http://www.wvlottery.com)



2009  
West Virginia Casino Table Games  
Occupational Permit  
Renewal Form

West Virginia Casino Table Games  
Occupational Permit Renewal

This form is authorized under the West Virginia Racetrack Table Games Act.

For the purposes of this renewal application, the term "Licensee" means the person applying for the renewal of the occupational license.

The Licensee shall provide all information, documents, materials, and certifications at the Licensee's sole expense. Failure to provide information could result in rejection of or delay in the processing of this application. The Commission, in its discretion, may hereafter require the Licensee to furnish additional information or complete and submit additional forms.

The Licensee should respond to the questions contained herein to the best of his/her knowledge. Any misrepresentation or omission is grounds for denial of the application.

### INSTRUCTIONS

1. Complete the application form in ink. Leave no question unanswered. If a question is not applicable, indicate NA.
2. If you need more space to answer any of the questions attach additional pages as necessary.
3. A notary public must certify your signature for the Application Verification on page 5 and the Authorization For Release of Personal Information on page 6.
4. The license renewal fee is \$100 for Level 1 and Level 2. Payment may be made by cashier's check, certified check, company check, or money order made payable to the "West Virginia Lottery." DO NOT SEND CASH. All fees are non-refundable.
5. Contact your employer's Compliance Department or Human Resource Department to coordinate the renewal of your license.
6. Please note that a copy of your 2008 Federal Tax Return will not be required with this renewal application. **HOWEVER, a copy of your 2008 Federal Tax Return will be required with the 2010 Renewal application.** You are encouraged to keep a copy of your return
7. You will be notified, in writing, of any corrective action the West Virginia Lottery may need you to take once they have received and reviewed your Renewal Application.
8. Please make sure you review and complete each page of the Renewal Application, including page 7.
9. As a reminder, you are required within thirty (30) days to notify the West Virginia Lottery License Division of any change of address or any change of any other information provided in the licensee's application for a license or renewal of a license as soon as the effective date of change is known to the licensee. (West Virginia Code §29.22C.19(d))

If you require assistance in completing this application, please contact the West Virginia Lottery License Division at 304.558.0500 or 1.800.982.2274. For renewal issues or questions ask for Laura Sample at extension 276. For financial issues or questions ask for Patty Loos at extension 334.

*West Virginia State Code §29-22C-19(d) states "Each person licensed under this article shall give the commission written notice of any change of address or any change of any other information provided in the licensee's application for a license or for renewal of a license, as soon as the effective date of the change is known to the licensee but not later than thirty days after the change occurs."*

Please PRINT or TYPE all information.

1. Current License:  Level 1  Level 2 Job Title: \_\_\_\_\_
2. Current Employer: \_\_\_\_\_
3. Name (Last, First, MI) \_\_\_\_\_
4. \*Change of Name (Last, First, MI) \_\_\_\_\_  
 \*Reason for change of name:  MARRIAGE  DIVORCE  COURT ORDER  OTHER \_\_\_\_\_  
 A name change must include a copy of the marriage license, divorce decree, or court order
5. Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_
6. Home Telephone: (\_\_\_\_) \_\_\_\_\_ Alternative Number (\_\_\_\_) \_\_\_\_\_
7. \*SSN: \_\_\_\_\_ - \_\_\_\_\_ - \_\_\_\_\_  
 \*Under the Privacy Act disclosures of your social security number is voluntary.
8. Do you currently hold a Racetrack Video Lottery License as a Validation Manager?  Yes  No
9. Are you renewing the Validation Manager License for the upcoming year?  Yes  No

Please answer the following questions as they related to you since the item you submitted your initial application or last renewal application form.

1. a. Are you current in filing all required income tax returns?  
 Yes  No  
 If "No," please provide notarized statement explaining why.
- b. If you are a West Virginia resident, are you current in filing West Virginia personal income tax returns?  
 Yes  No  I am not a WV resident.
2. Are you delinquent in the payment of any tax required under state or federal law? If "Yes," please explain and submit documentation from the tax authority indicating the delinquency.  
 Yes  No  
 \_\_\_\_\_
3. Since your last application have you had any proceedings filed against you to adjust, defer, suspend or otherwise work out the payment of any debt, including garnishment of wage? If "Yes," please explain and submit relevant documentation.  
 Yes  No  
 \_\_\_\_\_  
 \_\_\_\_\_



4. If you had financial issues with your initial application, have you continued your payment arrangements or resolved your debt in a timely manner? If "No," why not?

Yes       No       NA

5. Since your last application have you filed a petition for bankruptcy? If "Yes," please submit a copy of the petition and/or discharge, if applicable.

Yes       No

6. Since your last application have you been indicted, charged, arrested, convicted, plead guilty, no contest, or forfeited bail for any felony or misdemeanor offense in any jurisdiction? If "Yes," please explain and submit final court dispositions for all cases.

Yes       No

7. Since your last application have you had any criminal conviction, either felony or misdemeanor, dismissed, expunged, or set aside under the laws of any jurisdiction? If "Yes," please explain and submit final court dispositions for all cases.

Yes       No

8. Since your last application have you been reprimanded, terminated, or asked to leave (for any reason) by an employer? If "Yes," please explain and submit any relevant documentation.

Yes       No

<u>Name of Casino Hotel</u>	<u>Address</u>	<u>Nature of Action</u>	<u>Reason</u>	<u>Date</u>

\*Attach additional sheets if needed

9. Since your last application have you had any license, work permit, or certificate to work in the casino gaming industry suspended, revoked, denied, or had any disciplinary action taken concerning it, in West Virginia, or any other state or jurisdiction? If "Yes," please explain and submit any relevant documentation.

Yes       No

<u>Nature of Action</u>	<u>Type of License, Permit or Certificate</u>	<u>Government Agency Involved</u>	<u>Reason for Action</u>	<u>Date of Action</u>

\*Attach additional sheets if needed

### APPLICATION VERIFICATION

I am the individual responsible for submitting this renewal application. I swear (or affirm) that the information contained in this renewal application is true, complete and accurate to the best of my knowledge and belief.

I acknowledge that I am under the continuing duty to promptly disclose the West Virginia Lottery any changes in my address or in any information provided in the application (West Virginia Code §29.22C.19(d) within 30 days of the change. To comply with this requirement I must submit a letter to the West Virginia Lottery stating the changes.

I acknowledge that while applying for, or holding a license under this act, I must disclose to the West Virginia Lottery and its agents, confidential records, including tax records held by any federal state or local agency, credit bureau or financial institution.

IN WITNESS WHEREOF, I have executed this instrument at the City of \_\_\_\_\_  
State of \_\_\_\_\_ on this \_\_\_\_\_ day of \_\_\_\_\_, 2\_\_\_\_\_.

\_\_\_\_\_  
Applicant's Signature

\_\_\_\_\_  
Printed Name

WITNESS, my hand and Notary Seal, this \_\_\_\_\_ day of \_\_\_\_\_, of 2\_\_\_\_\_.

\_\_\_\_\_  
Notary Public, (Written Signature)

\_\_\_\_\_  
Notary Public, (Printed Name)

My commission expires: \_\_\_\_\_

County of Residence: \_\_\_\_\_



AUTHORIZATION FOR RELEASE OF PERSONAL INFORMATION TO PROSPECTIVE EMPLOYER

TO: The Director of the State Lottery Office –

I, \_\_\_\_\_, have applied for a Level 1 or Level 2 Racetrack Table Games Occupational License at \_\_\_\_\_ in the State of West Virginia. I am aware that my entire background, both criminal and financial, will be thoroughly investigated by the State Lottery Commission. Because my employment by the racetrack is a condition of licensure by the State Lottery Commission, I hereby authorize the state Lottery Office to release to my potential employer racetrack the following information about me and any application for licensure:

- The notification of the issuance and forwarding of a copy of the permanent or temporary Level 1 or Level 2 employee License issued to me by the State Lottery Office to my prospective employer racetrack; or
- The notification to my prospective employer racetrack by the state Lottery Office that a temporary or permanent Level 1 or Level 2 license has been denied by the State Lottery Commission, whether an appeal of the denial has been filed, and the status of the appeal process.
- The notification to my prospective employer racetrack by the State Lottery Office of the status of my pending application for a Level 1 or Level 2 license, if requested by my prospective employer racetrack, with the understanding that no private information will be disclosed to the racetrack.

Given under my hand this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_.

\_\_\_\_\_  
(Signature)

UNITED STATE OF AMERICA  
STATE OF WEST VIRGINIA  
COUNTY OF \_\_\_\_\_, to-wit:

Subscribe and sworn to before me, a Notary Public, in and for the County and State aforesaid, this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_

My commission expires \_\_\_\_\_, 20\_\_\_\_\_

\_\_\_\_\_  
NOTARY PUBLIC

### Fingerprint Information

All fields are mandatory unless otherwise noted

CIRCLE ONE (M VAM LVL LO TECH) OCA # \_\_\_\_\_

Name (Please Print):  SSN:

Last Name      First Name      Middle Name

Alias (Maiden name)  Citizenship (country):

Home Address:

\_\_\_\_\_  
Street Address

\_\_\_\_\_  
City, State, Zip Code

Lottery Licensed Business:

\_\_\_\_\_  
Company name

\_\_\_\_\_  
Street Address

\_\_\_\_\_  
City, State, Zip Code

Date of Birth:

YYYYMMDD

Place of Birth:

Name of State or Country if not USA

Reason Fingerprinted:

Race:  Gender:  Hair Color:  Eye Color:  Height:  Weight:

Feet/Inches      Pounds

Finger Amputations/Bandages:

list type and which finger

### RELEASE OF INFORMATION

I hereby request a record check be made to find any police record on the herein named individual and by submitting this request, I understand that the submitted information will be retained by the West Virginia State Police in the Automated Fingerprint Identification System.

I certify that this is for official business and I am authorizing the West Virginia Lottery to obtain any record found.

**Privacy Act Notice:** Disclosure of your social security number should only be made if obtained from you in accordance with Section 7 of the Privacy Act of 1974. Your disclosure is voluntary and failure to provide the number will not subject you to penalty. If you choose voluntarily to supply your social security number, it will be used to aid the West Virginia Lottery in the conduct of this criminal background inquiry.

Signature:

*I attest that all information written on this form is true and correct*

Date:

ID CHECKED AND VERIFIED      INITIALS OF INVESTIGATOR \_\_\_\_\_



Present location's control No. \_\_\_\_\_ (6 digits)

New location's control No. \_\_\_\_\_ (6 digits)

**INTRASTATE TRANSPORTATION of LIMITED VIDEO LOTTERY TERMINALS between LOCATIONS**

YOU MUST COMPLETE THE INFORMATION ON THIS FORM FOR EACH MACHINE BEING TRANSPORTED BETWEEN LOCATIONS WITHIN THE BORDERS OF WEST VIRGINIA IN COMPLIANCE WITH WV CODE 29-22A-14.

**This section MUST be completed for all Removals.**

**DX Extrema and components**

DX Extrema CPU Serial #: \_\_\_\_\_

DX Extrema Decal #: \_\_\_\_\_ (Circle WVL or IND)

CPU: WVL/IND \_\_\_\_\_

Monitor: WVL/IND \_\_\_\_\_

Scanner: WVL/IND \_\_\_\_\_

Printer: WVL/IND \_\_\_\_\_

New Location of DX Extrema: LR# \_\_\_\_\_

Location Name: \_\_\_\_\_

**FOLLOW THE PROCEDURE LISTED BELOW:**  
 24-Hour Notice Required.

1. Notify WV Lottery Security that you intend to move a terminal.
2. Give WV Lottery Security Division the present location, new location and terminal identification.
3. 24-hour notice to WV Lottery Security to be present at time & date the terminal should be disabled.
4. Complete this form, attach an audit ticket and mail to WV Lottery Security prior to movement of terminal.
5. Transport the terminal and notify WV Lottery Security once the terminal is ready to be re-enrolled.
6. Word processing versions of this form are acceptable on 20-pound bond paper, one-sided only.

TERMINAL INFORMATION	SHIPPER INFORMATION
SERIAL Number: _____	NAME: _____
MODEL Number: _____	ADDRESS: _____
DECAL Number: _____	TELEPHONE: _____
VGM Number: _____	LICENSE Number: _____
MANUFACTURER: _____	BONDING Company: _____
	VEHICLE Seal Number(s): _____
<b>METER READINGS</b>	<b>CHANGE IN LICENSING STATUS: (Circle Each that Applies)</b>
BILLS IN: _____	License Surrender? No ___ Yes ___ If yes, when? _____
CASH Out: _____	Business Closing. When? _____
CREDITS Played: _____	Change of Ownership. To whom? _____
CREDITS Won: _____	Change of Location. To where? _____
	End of Operator Contract. _____
PRESENT LOCATION	NEW LOCATION
DBA Name: _____ Poll # _____	DBA Name: _____ Poll # _____
ADDRESS: _____	ADDRESS: _____
COUNTY: _____	COUNTY: _____
WV Video License #: _____	WV Video License #: _____
PHONE Number: _____	PHONE Number: _____
DATE Disabled: _____ TIME: _____	DATE Enabled: _____ TIME: _____
DATE Machine Moved: _____	EXPECTED Time and Date Machine to be Installed: _____
Check One: _____ Permanent Removal	Check One: _____ Initial or Additional Installation
_____ Change of Location	_____ Change of Location
_____ Change of Ownership	_____ Swap Out
_____ Swap Out	_____ Repair Completed
_____ Temporary Removal*	_____ (Return to Originating Establishment).
*(For flooding, repair & return to this Establishment).	

SHIPPER'S SIGNATURE: \_\_\_\_\_ DATE: \_\_\_\_\_

LIMITED VIDEO LOTTERY INSTALLATION PROCEDURE			
Initial Installation		Change of Ownership*	Change of Operator*
Additional Machine*		Old LR 00	Replace DX Extrema
Swap Out*		Old Control #	CPU Serial #
Floor Plan Change*		Change of Location	

Date Submitted: \_\_\_\_\_ \*Need to provide floor plans.

RETAILER INFORMATION:			
DBA Name: _____	<input type="checkbox"/> Beer <input type="checkbox"/> Liquor	Control #: (6 digits) _____	
WV Lottery License #: _____ LR 00 _____	Location Fax #: _____ ( ) _____	Location Phone #: _____ ( ) _____	
Location Address: _____		Mailing Address: (Completed by Lottery personnel)	
Location City: _____	Location Zip: _____	Location County: _____	

OPERATOR INFORMATION:		
Operator: _____	WV Lottery License # _____ LO 000 _____	Operator Phone #: _____ ( ) _____

						COMMUNICATIONS:
Pool #	Serial #	VGM #	O/R	Manuf.	Chip Set	Dial Up IP (Assigned by Lottery)
1						
2						Communications Phone #: _____ ( ) _____
3						DX Extrema CPU Serial #: _____
4						
5						
6						<u>DX Extrema Decal #: (Circle)</u>
7						CPU: WV/IND _____
8						Monitor: WV/IND _____
9						Scanner: WV/IND _____
10						Printer: WV/IND _____

LOTTERY USE ONLY					
Initial	Date	Department	Initial	Date	Department
		LVL Security - Office			Computer Room
		Licensing			LVL Assign to
		Permitting			LVL Security - Investigator
		Legal - Contract Review			Computer Room - Complete

Completed by Lottery personnel Only:  
 Issued by: \_\_\_\_\_ Signature of Receiver: \_\_\_\_\_  
 Lottery Location: \_\_\_\_\_ Printed Name: \_\_\_\_\_  
 Distributed: \_\_\_\_\_  
 c: F & A  
 c: LVL Security



# West Virginia Lottery Terminal SHIPMENT NOTIFICATION

This form is for shipment of video or coin out terminals.

USE A SEPARATE FORM FOR EACH DESTINATION ADDRESS. FORM MUST BE SUBMITTED TO THE LOTTERY PRIOR TO TIME OF SHIPMENT. ATTACH ADDITIONAL PAGES AS NECESSARY.

### SHIPPER INFORMATION

Entity Shipping Terminals: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Mode of Transportation: \_\_\_\_\_

License Number: \_\_\_\_\_

\_\_\_\_\_

Ship Date: \_\_\_\_\_

Expected Time & Date of shipment: \_\_\_\_\_

\_\_\_\_\_

Bonding Company: \_\_\_\_\_

Vehicle Seal Number(s): \_\_\_\_\_

\_\_\_\_\_

### DESTINATION INFORMATION

Entity Receiving Terminal: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Destination: \_\_\_\_\_

Destination Address: \_\_\_\_\_

Destination LR # 00 \_\_\_\_\_

License # \_\_\_\_\_

Number of Machines: \_\_\_\_\_

Expected Time & Date of Delivery: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

SERIAL NUMBER	VGM NUMBER	MODEL NUMBER	DESCRIPTION OF MACHINE	MANUFACTURER



# Limited Video Lottery Machine Maintenance/Service Report

Location \_\_\_\_\_ LR# \_\_\_\_\_

Location Address: \_\_\_\_\_ County \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

Operator (if applicable): \_\_\_\_\_ Phone \_\_\_\_\_

Terminal Serial # \_\_\_\_\_ VGM # \_\_\_\_\_ Poll Address # \_\_\_\_\_

Manufacturer Name: \_\_\_\_\_

Description of Problem: (This information is required): \_\_\_\_\_

\*\*\*\*\*Does This Machine Need Clear Chipped? \_\_\_\_\_ Yes \_\_\_\_\_ No

Date Terminal Failed \_\_\_\_\_ Current Meter Information

\*\*Credits Left on Machine \_\_\_ Yes \_\_\_ No Meter 1: \_\_\_\_\_

Meter 2: \_\_\_\_\_

\*\*Number of Credits Left on Machine \_\_\_\_\_ Meter 3: \_\_\_\_\_

Meter 4: \_\_\_\_\_

Technician Signature \_\_\_\_\_ Date \_\_\_\_\_

Date Terminal Disabled \_\_\_\_\_

WVL Computer Room Signature \_\_\_\_\_ Date \_\_\_\_\_

Description of Work Performed \_\_\_\_\_

Logic Seal Number Removed \_\_\_\_\_ New Seal Number \_\_\_\_\_

West Virginia Decal Number \_\_\_\_\_

West Virginia Lottery Security Signature \_\_\_\_\_ Date \_\_\_\_\_

Date Terminal Enabled \_\_\_\_\_

WVL Computer Room Signature \_\_\_\_\_ Date \_\_\_\_\_

\* Attach audit ticket from video lottery terminal if possible.  
Fax to the WV Lottery Computer Room at (304) 558-3654.  
Lottery security will contact you and set up date/time for service.

\*\* Note: This section added 3/14/05





# Security Division

## Logic Seal Record LVL Aegis System

Terminal Serial Number : \_\_\_\_\_

VGM Number : \_\_\_\_\_

License / Poll Address: \_\_\_\_\_ LR00: \_\_\_\_\_ Poll: \_\_\_\_\_

Retailer Name: \_\_\_\_\_

Date Service Performed: \_\_\_\_\_

Seal Number Removed: \_\_\_\_\_

New Replacement Seal No: \_\_\_\_\_

Machine Manufacturer: \_\_\_\_\_

LVL / Decal Number : \_\_\_\_\_

LVL Operator Name : \_\_\_\_\_

### Mechanical Meter Readings:

Meter 1: \_\_\_\_\_

Meter 2: \_\_\_\_\_

Meter 3: \_\_\_\_\_

Meter 4: \_\_\_\_\_

Reason For Replacing Seal: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_  
WV Lottery Security Representative:

LIMITED VIDEO LOTTERY COMPLIANCE INSPECTION



\_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_/ LR 00  
 LOCATION NAME / ABCA LICENSE NUMBER / LVL LICENSE NUMBER

\_\_\_\_\_/\_\_\_\_\_  
 PERSON CONTACTED AT LOCATION / LOCATION'S COUNTY

		YES	NO		
1.	Limited video lottery license posted	_____	_____		
2.	Logic Box seal numbers correct and secure	_____	_____		
3.	Lottery control numbers correct and secure	_____	_____		
4.	Terminals properly placed and secured	_____	_____		
5.	Terminals clean with good appearance	_____	_____		
6.	Terminals visibly damaged	_____	_____		
7.	Persons under the age of 21 playing terminals	_____	_____		
8.	Persons under 21 present in immediate area of the machines	_____	_____		
9.	Persons visibly intoxicated playing terminals	_____	_____		
10.	Are games visible by persons under 21	_____	_____		
11.	Personnel appear to be signing logbooks	_____	_____		
12.	"Caution" Gambling sign posted	_____	_____		
13.	1-800- Stickers affixed to each machine	_____	_____		
14.	Security cameras working & positioned properly	_____	_____		
15.	Is retailer displaying LVL advertisement	_____	_____		
16.	Games visible from outside the establishment	_____	_____		
17.	Check Extrema DX WWL / IND Control numbers:	CPU	Monitor	Scanner	Printer
	CPU Serial Number _____	_____	_____	_____	_____
18.	Name of CCTV recorder	_____			

Comments: \_\_\_\_\_  
 \_\_\_\_\_

\_\_\_\_\_  
 WWL Security

\_\_\_\_\_  
 Date



### Request to Disable/Enable *(Must be signed by Lottery Director)*

Retailer #: LR 00 \_\_\_\_\_ DBA: \_\_\_\_\_

Address: \_\_\_\_\_ County: \_\_\_\_\_

Operator: \_\_\_\_\_

\_\_\_ DISABLE \_\_\_ ENABLE

Reason for Disable/Enable  
\_\_\_\_\_

\*Following information to be completed by Computer Room Operator

CVT #: \_\_\_\_\_

- |                   |           |
|-------------------|-----------|
| VGM #'s: 1. _____ | 6. _____  |
| 2. _____          | 7. _____  |
| 3. _____          | 8. _____  |
| 4. _____          | 9. _____  |
| 5. _____          | 10. _____ |

/s/Alvin Rose

\_\_\_/\_\_\_/2009

\_\_\_\_\_  
Director/Deputy Director Date

\_\_\_\_\_  
Computer Operator Date

- Pc: Licensing (Kris)
- Accounting (Stacy)
- Video Security (Patsy)



# LIMITED VIDEO LOTTERY RETAILER PRELIMINARY-SITE-SURVEY CHECKLIST

DBA: \_\_\_\_\_ ABCA #: \_\_\_\_\_

Applicant's Name(s): \_\_\_\_\_

Physical Address: \_\_\_\_\_ County: \_\_\_\_\_

City/State/Zip: \_\_\_\_\_ Telephone number  
of Location: (304) \_\_\_\_\_

Alternate Telephone: (304) \_\_\_\_\_

Business Hours: MON TUES WED THUR FRI SAT SUN

OPEN: \_\_\_\_\_

CLOSE: \_\_\_\_\_

Operator (machine supplier): \_\_\_\_\_ Phone: (304) \_\_\_\_\_

Dear Retailer/Fraternity:

In accordance with the West Virginia Limited Video Lottery Act, a site survey must be conducted and approved by authorized West Virginia Lottery personnel prior to the installation of video lottery terminals. Below is a list of requirements that must be met.

**TO BE COMPLETED BY RETAILER**

Yes No

A. Are there any PETROLEUM (i.e. gasoline) products sold on premises?  
(Capable of being used as fuel in an internal combustion engine.) \_\_\_\_\_

B. ATM at Establishment? \_\_\_\_\_

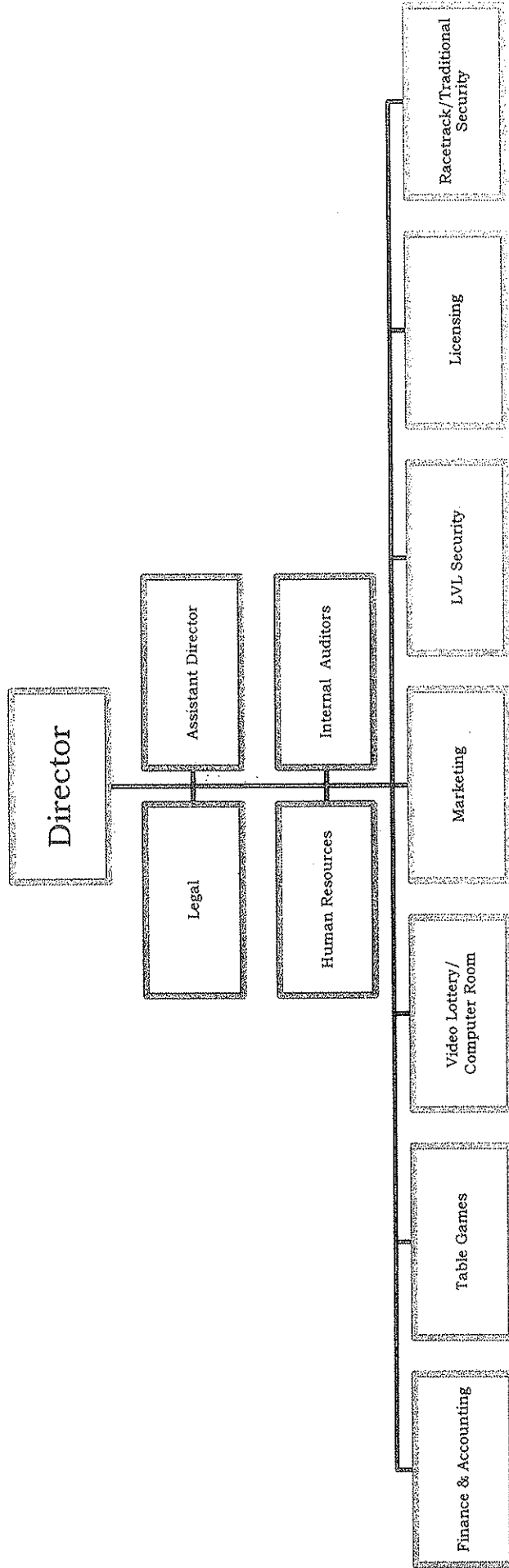
If yes, is it located inside the gaming area? \_\_\_\_\_

C. Is your location within 150 feet of another LVL location? \_\_\_\_\_

D. Is your location within 300 feet (Title 179 Interpretive Rule) from a church, school, daycare center, the perimeter of a public park, or a business that sells petroleum products? \_\_\_\_\_

For Lottery use only: Formerly ABCA #: _____
_____ Upgrade _____ Downgrade _____ to Private Club _____ to Tavern

LOTTERY ORGANIZATION



STATE OF WEST VIRGINIA  
Purchasing Division

## PURCHASING AFFIDAVIT

### VENDOR OWING A DEBT TO THE STATE:

*West Virginia Code* §5A-3-10a provides that: 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 the debt owed is an amount greater than one thousand dollars in the aggregate.

### PUBLIC IMPROVEMENT CONTRACTS & DRUG-FREE WORKPLACE ACT:

If this is a solicitation for a public improvement construction contract, the vendor, by its signature below, affirms that it has a written plan for a drug-free workplace policy in compliance with Article 1D, Chapter 21 of the *West Virginia Code*. The vendor **must** make said affirmation with its bid submission. Further, public improvement construction contract may not be awarded to a vendor who does not have a written plan for a drug-free workplace policy in compliance with Article 1D, Chapter 21 of the *West Virginia Code* and who has not submitted that plan to the appropriate contracting authority in timely fashion. For a vendor who is a subcontractor, compliance with Section 5, Article 1D, Chapter 21 of the *West Virginia Code* may take place before their work on the public improvement is begun.

### ANTITRUST:

In submitting a bid to any agency for the state of West Virginia, the bidder offers and agrees that if the bid is accepted the bidder will convey, sell, assign or transfer to the state of West Virginia all rights, title and interest in and to all causes of action it may now or hereafter acquire under the antitrust laws of the United States and the state of West Virginia for price fixing and/or unreasonable restraints of trade relating to the particular commodities or services purchased or acquired by the state of West Virginia. Such assignment shall be made and become effective at the time the purchasing agency tenders the initial payment to the bidder.

I certify that this bid is made without prior understanding, agreement, or connection with any corporation, firm, limited liability company, partnership or person or entity submitting a bid for the same materials, supplies, equipment or services and is in all respects fair and without collusion or fraud. I further certify that I am authorized to sign the certification on behalf of the bidder or this bid.

### LICENSING:

Vendors must be licensed and in good standing in accordance with any and all state and local laws and requirements by any state or local agency of West Virginia, including, but not limited to, the West Virginia Secretary of State's Office, the West Virginia Tax Department, West Virginia Insurance Commission, or any other state agencies or political subdivision. Furthermore, the vendor must provide all necessary releases to obtain information to enable the Director or spending unit to verify that the vendor is licensed and in good standing with the above entities.

### CONFIDENTIALITY:

The vendor agrees that he or she will not disclose to anyone, directly or indirectly, any such personally identifiable information or other confidential information gained from the agency, unless the individual who is the subject of the information consents to the disclosure in writing or the disclosure is made pursuant to the agency's policies, procedures and rules. Vendor further agrees to comply with the Confidentiality Policies and Information Security Accountability Requirements, set forth in <http://www.state.wv.us/admin/purchase/privacy/noticeConfidentiality.pdf>.

Under penalty of law for false swearing (*West Virginia Code* §61-5-3), it is hereby certified that the vendor affirms and acknowledges the information in this affidavit and is in compliance with the requirements as stated.

Vendor's Name: \_\_\_\_\_

Authorized Signature: \_\_\_\_\_ Date: \_\_\_\_\_

State of West Virginia

VENDOR PREFERENCE CERTIFICATE

Certification and application\* is hereby made for Preference in accordance with West Virginia Code, §5A-3-37. (Does not apply to construction contracts). West Virginia Code, §5A-3-37, provides an opportunity for qualifying vendors to request (at the time of bid) preference for their residency status. Such preference is an evaluation method only and will be applied only to the cost bid in accordance with the West Virginia Code. This certificate for application is to be used to request such preference. The Purchasing Division will make the determination of the Resident Vendor Preference, if applicable.

1. Application is made for 2.5% resident vendor preference for the reason checked:

Bidder is an individual resident vendor and has resided continuously in West Virginia for four (4) years immediately preceding the date of this certification; or,

Bidder is a partnership, association or corporation resident vendor and has maintained its headquarters or principal place of business continuously in West Virginia for four (4) years immediately preceding the date of this certification; or 80% of the ownership interest of Bidder is held by another individual, partnership, association or corporation resident vendor who has maintained its headquarters or principal place of business continuously in West Virginia for four (4) years immediately preceding the date of this certification; or,

Bidder is a nonresident vendor which has an affiliate or subsidiary which employs a minimum of one hundred state residents and which has maintained its headquarters or principal place of business within West Virginia continuously for the four (4) years immediately preceding the date of this certification; or,

2. Application is made for 2.5% resident vendor preference for the reason checked:

Bidder is a resident vendor who certifies that, during the life of the contract, on average at least 75% of the employees working on the project being bid are residents of West Virginia who have resided in the state continuously for the two years immediately preceding submission of this bid; or,

3. Application is made for 2.5% resident vendor preference for the reason checked:

Bidder is a nonresident vendor employing a minimum of one hundred state residents or is a nonresident vendor with an affiliate or subsidiary which maintains its headquarters or principal place of business within West Virginia employing a minimum of one hundred state residents who certifies that, during the life of the contract, on average at least 75% of the employees or Bidder's affiliate's or subsidiary's employees are residents of West Virginia who have resided in the state continuously for the two years immediately preceding submission of this bid; or,

4. Application is made for 5% resident vendor preference for the reason checked:

Bidder meets either the requirement of both subdivisions (1) and (2) or subdivision (1) and (3) as stated above; or,

5. Application is made for 3.5% resident vendor preference who is a veteran for the reason checked:

Bidder is an individual resident vendor who is a veteran of the United States armed forces, the reserves or the National Guard and has resided in West Virginia continuously for the four years immediately preceding the date on which the bid is submitted; or,

6. Application is made for 3.5% resident vendor preference who is a veteran for the reason checked:

Bidder is a resident vendor who is a veteran of the United States armed forces, the reserves or the National Guard, if, for purposes of producing or distributing the commodities or completing the project which is the subject of the vendor's bid and continuously over the entire term of the project, on average at least seventy-five percent of the vendor's employees are residents of West Virginia who have resided in the state continuously for the two immediately preceding years.

Bidder understands if the Secretary of Revenue determines that a Bidder receiving preference has failed to continue to meet the requirements for such preference, the Secretary may order the Director of Purchasing to: (a) reject the bid; or (b) assess a penalty against such Bidder in an amount not to exceed 5% of the bid amount and that such penalty will be paid to the contracting agency or deducted from any unpaid balance on the contract or purchase order.

By submission of this certificate, Bidder agrees to disclose any reasonably requested information to the Purchasing Division and authorizes the Department of Revenue to disclose to the Director of Purchasing appropriate information verifying that Bidder has paid the required business taxes, provided that such information does not contain the amounts of taxes paid nor any other information deemed by the Tax Commissioner to be confidential.

Under penalty of law for false swearing (West Virginia Code, §61-5-3), Bidder hereby certifies that this certificate is true and accurate in all respects; and that if a contract is issued to Bidder and if anything contained within this certificate changes during the term of the contract, Bidder will notify the Purchasing Division in writing immediately.

Bidder: \_\_\_\_\_ Signed: \_\_\_\_\_

Date: \_\_\_\_\_ Title: \_\_\_\_\_

\*Check any combination of preference consideration(s) indicated above, which you are entitled to receive.