

Obituary & Demographic Notification Services

Request for Proposal

July, 2017



Orange County Employees Retirement System (OCERS)

2223 E Wellington Avenue Suite 100

Santa Ana, CA 92701 USA

1-(714)-558-6200

<http://www.ocers.org>

Contents

Section 1: Introduction.....	3
Section 2: General Information	3
Section 3: Background.....	3
Section 4: Scope of Services	3
Section 5: OCERS’ Point of Contact	4
Section 6: Vendor Response	5
Section 7: Proposal Requirements	5
Section 8: Review and Evaluation Criteria	6
Section 9: Right to Reject Proposal	7
Section 10: Incomplete Responses.....	7
Section 11: Schedule of Events.....	7
Section 12: Addenda	8
Section 13: Non-Discrimination Requirement.....	8
Section 14: Notice Regarding the California Public Records Act and the Brown Act.....	8
Section 15: Engagement Agreement	8
Section 16: General Conditions	8
Section 17: Reservations by OCERS.....	9
Appendix A: OCERS export file format.....	11
Appendix B: OCERS import file format	12
Appendix C: Data Security & Business Continuity Questions.....	13

Section 1: Introduction

The Orange County Employees Retirement System (OCERS) is issuing this Request for Proposal (RFP) to solicit proposals from qualified firms to provide obituary and demographic verification data services.

OCERS was established in 1945 under the provisions of the County Employees Retirement Law of 1937, and provides members with retirement, disability, death, and cost-of-living benefits. There are approximately 42,000 members served by OCERS, of which over 15,000 are retirees. The OCERS Board of Retirement (Board) consists of nine members, four of whom are appointed by the County's Board of Supervisors, four are elected members of OCERS, and one, the County Treasurer, who serves as an ex officio member. There is also one elected alternate member. The Board has plenary authority and fiduciary responsibility for the investment of assets of the pension fund and administration of the retirement system. OCERS has approximately 75 employees at one physical location, 2223 E. Wellington Ave., Suite 100, Santa Ana, CA 92701.

Section 2: General Information

All terms, conditions, requirements and procedures included in the RFP must be met for a response to be qualified as responsive. A submission that fails to meet any material term, condition, requirement or procedure of this RFP may be disqualified. OCERS reserves the right to waive or permit cure of non-material errors or omissions. OCERS reserves the right to modify, amend, or cancel the terms of the RFP at any time. All responses must be submitted in accordance with the specific terms of this RFP. The submission requirements for this RFP are set forth below. A proposal shall constitute an irrevocable offer for 120 business days following the deadline for submission. Reference to a certain number of days in this RFP shall mean business days unless otherwise specified.

If a firm responding to this RFP (respondent) discovers an ambiguity, conflict, discrepancy, omission or other error in this RFP, notice should be provided to vgarcia@ocers.org. OCERS is not responsible for, and has no liability for or obligation to correct any errors or omission in this RFP.

Section 3: Background

OCERS is soliciting proposals to find a qualified firm to provide mortality verification demographic locator services. In general, the vendor selected as a result of this process will provide electronic reports detailing death notifications of our Members from various sources. The remainder of this RFP provides information about OCERS and establishes the specifications and requirement for submitting a proposal.

Section 4: Scope of Services / Requirements

The firm selected to provide death verification and notification services will be expected to meet the requirements and provide the services set forth below:

1. The selected firm must provide death auditing services. The audit shall be performed to confirm the death of individual OCERS members. There are roughly 45,000 OCERS Members and beneficiaries that would need to be audited on a monthly basis via a batch data-load process. There will be an export file from OCERS to the selected firm as well as an import file from the firm back to OCERS. The batch file formats must conform to the formats as noted in Appendix A and Appendix B. Please confirm your firm can provide and receive data in the specified formats. Upon receipt of the file from OCERS, the selected firm will provide results within five (5) business days.
2. The vendor shall provide "anytime" secure access to all data sources for additional user access reviews via an on-line interactive application.

3. The selected vendor must be a professional firm whose primary line of business includes providing death notification services.
4. The vendor must have been in existence as a business entity performing such services for a minimum of five (5) years.
5. The vendor must have all necessary permits and licenses to perform the requested service. The selected firm must be bonded where applicable.
6. The firm's system must be able to support Location Services including Address, phone and email searches, on an ad hoc request basis. This is to enable the OCERS staff to locate missing members who we are not able to reach through the information we have on file. This may include location searches, change of address or address confirmation, telephone searches, email address searches, etc. Request may be for as little as one member, to as many as a thousand or more. Please detail how this functionality works with your system, including the level of detail we can expect from such searches.
7. Minimum insurance coverage must include the following items and proof of such insurance must be provided to OCERS on an annual basis. OCERS must be listed as an additional insured payee:
 - Commercial General Liability: \$1M per occurrence, \$1M aggregate
 - Automobile Liability: \$1M per occurrence, \$1M aggregate
 - Workers Compensation: \$1M per occurrence, \$1M aggregate
 - Professional Liability (Errors & Omissions): \$1M per occurrence, \$2M aggregate
8. The selected firm shall provide all personnel, equipment, tools, materials, vehicles, supervision, and other items and services necessary to perform all services, tasks, and functions as defined in this RFP.
9. The selected firm shall comply with all Federal, State, and Local laws and follow the most restrictive guidance in cases of conflicting guidance. All work shall be performed in accordance with all applicable laws and codes, manufacturers' recommendations, and accepted industry standards.
10. The initial term of the contract awarded pursuant to this RFP will be for a three (3) year period with OCERS retaining three (3) one-year options to renew. Vendor will be notified ninety (90) days prior to the expiration or renewal of the contract.
11. In general, normal business hours of operations are from 08:00 to 17:00 Monday through Friday, except for Federal and State holidays.
12. Please address the security and business continuity concerns as noted in Appendix C. Specifically responding to each concern is not required as long as the general concepts and issues are explained.

Section 5: OCERS' Point of Contact

From the date of issuance of this RFP until the selection of one or more respondents is completed and announced, respondents are not permitted to communicate with any OCERS staff member or Board Members regarding this procurement, except through the Point of Contact named herein. Respondents violating the communications prohibition may be disqualified at OCERS' discretion. Respondents having current business with OCERS must limit their communications to the subject of such business.

The Point of Contact for questions and all matters relating to this RFP is:

Name: Vanessa Garcia

Title: Executive Secretary

Address: OCERS
2223 E Wellington Ave., Suite 100
Santa Ana, CA 92701

Telephone: (714) 569-4886

Email: vgarcia@ocers.org

OCERS Website: www.OCERS.org

Updates / Status: See the OCERS website for status of the RFP and announcements. These items can also be found here:
<http://www.ocers.org/rfp/requestforproposal.htm>

Section 6: Responses to this RFP

It is the responsibility of the respondent to ensure that its' proposal arrives on or before the specified time and date. Failure to comply with this provision will result in disqualification of the RFP response. Proposals must be submitted to OCERS by 5 p.m. (Pacific Time Zone) by the due date stated below in the RFP Calendar. Make sure the point of contact name is included in the address.

Proposals may be submitted electronically in Microsoft Word or Adobe Acrobat PDF format to the email address noted in *Section 5*. Hard copies may also be submitted to the address noted in *Section 5*. If hard copies are submitted, please provide two (2) copies. OCERS will accept electronic, paper, or both types of submissions.

Note that responses will be subject to disclosure to the public upon written request under the California Public Records Act. See *Section 14: Notice Regarding the California Public Records Act and the Brown Act* later in this document for additional information.

Section 7: Proposal Requirements

Proposals must include the following information:

1. A cover letter providing a statement affirming that the signatory is empowered and authorized to bind the respondent to an engagement agreement with OCERS and represents and warrants that the information stated in the proposal is accurate and may be relied upon by OCERS in considering and potentially accepting the proposal.
2. An executive summary that provides the respondent's background, experience and other qualifications to provide property management services.
3. A description of the respondent including:
 - a. Brief history including year the respondent firm was formed.
 - b. Ownership structure.

- c. Office locations.
 - d. Organization chart.
 - e. Number of employees.
 - f. Annual revenues.
 - g. Scope of services offered.
 - h. Respondent's specialties, strengths and limitations.
 - i. Respondent's experience providing death notification services.
 - j. Are your financial reports independently audited? If so, what is the name of the audit firm?
 - k. How is your sub-contract vendors initially vetted? How is their performance monitored?
4. At least three (3) references for which the respondent has provided death auditing services. Please include for each reference the individual point of contact, a summary of the work performed, and the length of time the respondent provided this service.
 5. Copies of any pertinent licenses required to deliver respondent's product or service. (i.e.: Business License)
 6. A copy of respondent's standard professional services contract.
 7. An explanation of the pricing proposal for the scope of work including pricing of fees and costs, billing practices and payment terms, if any, that would apply. OCERS does not place any limits on the approach to pricing and is open to presentation of more than one pricing alternative for the scope of work, or portions of it. This section of the response should include an explanation as to how the pricing approach(es) will be managed to provide the best value to OCERS. The respondent should represent that the pricing offered to OCERS is, and will remain, equivalent to or better than that provided to other public pension fund and/or institutional investor clients, or should provide an explanation as to why this representation cannot be provided. All pricing proposals should be "best and final," although OCERS reserves the right to negotiate on pricing.
 8. An explanation of all actual or potential conflicts of interest that the respondent may face in the representation of OCERS. Specifically, and without limitation to other actual or potential conflicts.
 9. A description of all past, pending, or threatened litigation, including but not limited to malpractice claims, and all administrative, state ethics, and disciplinary proceedings and other claims against respondent and any of the individuals proposed to provide services to OCERS.
 10. Any other information that the respondent deems relevant to OCERS' selection process.

Section 8: Review and Evaluation Criteria

Respondents will be evaluated in the discretion of OCERS based upon the following factors:

1. Experience and reputation of your firm.
2. Quality of the team proposed to provide services to OCERS.
3. Information provided by references.
4. Communications skills.
5. Pricing and value.
6. Team work, both internally and with OCERS.
7. Level of investment and commitment to the OCERS relationship.
8. The organization, completeness, and quality of the proposal, including cohesiveness, conciseness, and clarity.

The factors will be considered as a whole, without a specific weighting. The balancing of the factors is in OCERS' sole discretion. Factors other than those listed may be considered by OCERS in making its selection. OCERS reserves the right in its discretion to request additional information from any respondent, although such requests may not be made to all respondents.

OCERS reserves the right to require one or more interviews with or personal presentations by finalists to be conducted with staff, Board Members, and/or the entire Board of Retirement.

Section 9: Right to Reject Proposal

By submitting a proposal, respondents acknowledge that they have read this RFP, understand it, and agree to be bound by its requirements unless clearly and specifically noted in the response submitted. OCERS reserves the right without prejudice to reject any and all responses. OCERS reserves the right to modify the terms and requirements of this RFP. Any such changes or corrections will be posted on OCERS' website, available at www.ocers.org.

Section 10: Incomplete Responses

If the information in the response is deemed to be insufficient for evaluation, OCERS reserves the right to request additional information or to reject the submittal outright. False, incomplete or unresponsive statements in connection with a submittal may be sufficient for its rejection. The selection of the fulfillment of the requirements will be determined by OCERS and such judgment shall be final.

Section 11: Schedule of Events

Respondents are encouraged to communicate any questions regarding this RFP by the deadline stated below in the RFP Calendar. Questions should be sent in writing via email to vgarcia@ocers.org. Questions and answers will be communicated to all respondents by posting a Questions Response Document on the OCERS website by the date stated in the RFP Calendar. OCERS reserves the right to modify this schedule at any time.

RFP CALENDAR

Deliverable	Date	Time
Release of RFP	July 17 th , 2017	5:00 pm (PDT)
RFP Questions Deadline	July 24 th , 2017	5:00 pm (PDT)
RFP Answers Posted to web site	July 28 th , 2017	5:00 pm (PDT)
RFP Submission Deadline	August 7 th , 2017	5:00 pm (PDT)
OCERS Review of RFP Submissions	August 8 th – August 25 th	
Selection of Finalists	September 28 th , 2017	
Finalists interviews	Week of September 11 th , 2017	
Service Award	September 22 nd , 2017	

Section 12: Addenda

OCERS may modify the RFP prior to the date fixed for submission by posting, mailing, emailing or faxing an addendum to the respondents known to be interested in submitting a proposal. If any respondent determines that an addendum unnecessarily restricts its ability to bid, it must notify OCERS in writing no later than three days before the deadline for submitting bids. Failure of a respondent to receive or acknowledge receipt of any addendum shall not relieve the respondent of the responsibility for complying with the terms thereof.

Section 13: Non-Discrimination Requirement

By submitting a proposal, the respondent represents that it and its subsidiaries do not and will not discriminate against any employee or applicant for employment on the basis of race, religion, sex, color, national origin, sexual orientation, ancestry, marital status, physical condition, pregnancy or pregnancy-related conditions, political affiliations or opinion, age, or medical condition.

Section 14: Notice Regarding the California Public Records Act and the Brown Act

All proposals submitted in response to this RFP will become the exclusive property of OCERS. Proposals will not be returned to the respondent and will be subject to public disclosure pursuant to the California Public Records Act (California Government Code Sections 6250 et. seq., the "Act"). The Act provides generally that all records relating to a public agency's business are open to public inspection and copying, unless specifically exempted under one of several exemptions set forth in the Act.

If a respondent believes that any portion of its proposal is exempt from public disclosure under the Act, such portion must be marked "TRADE SECRET," "CONFIDENTIAL," or "PROPRIETARY." OCERS will not publicly disclose any portions so designated, provided that such designation is, in OCERS' reasonable discretion, in accordance with applicable law. Proposals marked in their entirety as "TRADE SECRET," "CONFIDENTIAL," or "PROPRIETARY" will not be honored, and OCERS will not deny public disclosure of all or any portion of

proposals so marked. By submitting a proposal with specifically selected portions marked "TRADE SECRET," "CONFIDENTIAL," or "PROPRIETARY" respondent represents that it has a good faith belief that such material is exempt from disclosure under the Act, and respondent agrees to reimburse OCERS for, and to indemnify, defend and hold harmless OCERS, its officers, fiduciaries, employees and agents from and against: (a) any and all claims, damages, losses, liabilities, suits, judgments, fines, penalties, costs and expenses including, without limitation, attorneys' fees, expenses and court costs of any nature whatsoever (collectively, "Claims") arising from or relating to OCERS' non-disclosure of any such designated portions of respondent's proposal; and (b) any and all Claims arising from or relating to OCERS' public disclosure of any such designated portions of respondent's proposal if OCERS reasonably determines disclosure is deemed required by law, or if disclosure is ordered by a court of competent jurisdiction.

In addition to the foregoing, OCERS Board and committee meetings are subject to California open-meeting requirements set forth in the Ralph M. Brown Act (Gov. Code §§ 54950-54962) (the "Brown Act"). Respondent's proposal and/or contract (if the respondent is selected) may be presented or discussed at a public meeting of the OCERS Board (or at a Board committee meeting). Among other things, that means that, regardless of whether respondent marks portions of its proposal as "TRADE SECRET," "CONFIDENTIAL," or "PROPRIETARY," that information may be discussed or presented at a meeting that is open to the public under the Brown Act.

Section 15: Engagement Agreement

OCERS will propose an engagement agreement to the successful respondent, which will contain such terms as OCERS in its sole discretion may require. In addition, the selected firm will agree that this RFP and the firm's response will be incorporated by reference into any resulting Agreement.

Section 16: General Conditions

This RFP is not an offer to contract. Acceptance of a proposal neither commits OCERS to award a contract to any respondent even if all requirements stated in this RFP are met, nor does it limit OCERS' right to negotiate the terms of an engagement agreement in OCERS' best interest, including requirement of terms not mentioned in this RFP. OCERS reserves the right to contract with a respondent for reasons other than lowest price.

Failure to comply with the requirements of this RFP may subject the proposal to disqualification. Publication of this RFP does not limit OCERS' right to negotiate for the services described in this RFP. If deemed by OCERS to be in its best interests, OCERS may negotiate for the services described in this RFP with a party that did not submit a proposal. OCERS reserves the right to choose to not enter into an agreement with any of the respondents to this RFP.

Section 17: Reservations by OCERS

In addition to the other provisions of this RFP, OCERS reserves the right to:

1. Cancel this RFP, in whole or in part, at any time.
2. Make such investigation as it deems necessary to determine the respondent's ability to furnish the required services, and the respondent agrees to furnish all such information for this purpose as OCERS may request.
3. Reject the proposal of any respondent who is not currently in a position to perform the contract, or who has previously failed to perform similar contracts properly, or in a timely manner, or for any other reason in OCERS' sole discretion.
4. Waive irregularities, to negotiate in any manner necessary to best serve the public interest, and to make a whole award, multiple awards, a partial award, or no award.

5. Award a contract, if at all, to the respondent which will provide the best match to the requirements of the RFP and the service needs of OCERS in OCERS' sole discretion, which may not be the proposal offering the lowest fees.
6. Reject any or all proposals submitted in response to this RFP.
7. Determine the extent, without limitation, to which the services of a successful respondent are or are not actually utilized.
8. The information that a respondent submits in response to this RFP become the exclusive property of OCERS. OCERS will not return any proposal or reimburse proposal preparation or submission expenses.

OCERS appreciates your time and looks forward to receiving your proposal.

All responses to this RFP must be submitted prior to the RFP Submission Deadline stated in the RFP Calendar to:

Orange County Employees Retirement System
Attention: **Vanessa Garcia**, Executive Secretary
2223 E. Wellington Ave., Suite 100
Santa Ana, CA 92701

Appendix A: OCERS Export file format

File format that OCERS will export to the selected Firm on a monthly batch process.

Format: Fixed Width, Text File

Data elements

Record Seq #	Field Name	Field Format	Length	Start Pos.	End Pos.	Field Description
1	Record ID	Text	20	1	20	OCERS ID
2	Group	Text	20	21	40	Member Status
3	Record Notes	Text	22	41	62	Free text for user to add after export has been generated (not used)
4	SSN	Text	9	63	71	SSN of the member
5	Last Name	Text	15	72	86	Last name of member or survivor
6	First Name	Text	12	87	98	First name of member or survivor
7	Birth Date	Text YYYY/MM/DD	10	99	108	Birth Date of the member or survivor

Sample:

Record ID	Status	SSN	Name	Birth Date
1 219991	Active	607999994	SMIT JOHN	1992/07/23
2 229992	Deferred	611999991	SMITTEK JOHNICK	1982/12/24
3 419991	Survivorship	556999994	SMITIL JOHNADA	1938/05/23
4 429992	DRO Payee	534999991	SMITH JOHNICIA	1956/07/10
5 80999	Retired	011999990	SMITEN JOHNPH	1929/12/16
6 81999	Disabled	021999999	SMIT JOHNTANCE	1933/09/09
7 82999	Retired	031999997	SMITLD JOHNONELLA	1926/03/06
8 83999	Deferred Reciprocal	041999992	SMITTON JOHNARD	1968/01/12
9 84999	Active	555999991	SMITDEN JOHNTERT	1972/07/18
10 85999	Retired	025999999	SMIT JOHNARD	1930/06/11
11				

Appendix B: OCERS Import File Format

File format that OCERS will import from the selected Firm on a monthly batch process.

Export file format: Excel (xls,xlsx), or Comma separated value (.csv)

Data Elements:

Record Seq #	Field Name	Field Format	Length	Field Description
1	SSN	Text or Number	9	SSN of the member
2	Last Name	Text	15	Last name of member or survivor
3	First Name	Text	12	First name of member or survivor
4	Birth Date	Text or date format	10	Birth Date of the member or survivor
5	Death Date	Text or date format	10	Death Date of the member or survivor

Appendix C: Data Security & Business Continuity Questions

Because OCERS will be sending and receiving private / sensitive data, please review and address the security questions noted below. The response can be as specific as desired in order to answer these typical data security concerns.

Security Questions: Security Basics

- Do you have in-house IT staff or outsourced? Who is responsible for on-going maintenance of your IT infrastructure?
- Do you have dedicated IT Security personnel? Do you contract third party IT Security services?
- Do you conduct background checks on employees, contractors and consultants?
- Do you conduct annual mandatory security awareness training for all users of your network?
- How do you assess your employee's understanding of your security policies?
- Do you engage a vendor or service to routinely scan your networks internally and externally for known security vulnerabilities? Do you fix these vulnerabilities in a timely manner?
- Do you hire reputable security firms to conduct security penetration tests of your network at least annually? Do you fix identified security issues in a timely manner? Do you notify clients of known security vulnerabilities?
- What is your annual budget for IT Security and Compliance over the past five years? What percentage of your annual budgets does this represent?
- What is your company's password security policy?

Security Questions: Data Security

- What data encryptions and security protocols do you use to enable clients to provide their data? Please describe the process, noting your security protocols, for how data is uploaded and transferred from your clients to you, and how it is eventually stored on your system(s).
- Is client data backed up? And if so, where are the backups located in relation to the original data? How is the backup data transferred? Who has access to the data?
- How is client data segregated from other client data?
- How long is client data stored? What is your retention policy for client data?
- What type of physical and logical controls on access to data do you employ?
- If a client's contract with you expires or if a client terminates their contract with you, is their data destroyed or returned to the client?
- If data is purged or destroyed, how is this done, what technologies are used, and what certifications do you provide to "prove" that a client's data has been removed and no longer resides with you and/or can be accessed by anyone?
- What Data Security Regulation(s) do you follow and adhere to? What Security Policies do you have in place?
- What Notification procedures do you have in place? If a suspected data breach has occurred, how soon do you notify clients?
- How often do you and your clients and vendors assess your data security?
- How do you conduct and assess physical security?
- Do you have cyber-security insurance? If so, how much?

Security Questions: Portal Security

- Is your web portal application in house developed or a third party developed (of the shelf) application?
- Is your web portal hosted in-house, hosted by third party vendor?
- Is there redundant connectivity to allow multiple client connections without limiting bandwidth?
- Who is responsible for maintenance and on-going support of the web-portals?
- How often are updates performed to the web-portals, both in terms of software and hardware?
- How often is the system down on average for system failures and scheduled repairs or updates?
- How do you notify clients of schedule or unscheduled system maintenance?
- Do you have a service level agreement for clients that include the level of uptime/availability with penalties for non-compliance?
- What is your technical/customer support model if clients need assistance accessing the site or encounter errors with portal functional? Do you provide after-hours support?

Business Continuity and Disaster Recovery

- Do you have a Business Continuity Disaster Recovery plan for the products and services we would receive from you? How often is it reviewed? How often is it updated? How often is it tested?
- Does your Business Continuity Disaster Recovery plan address loss of technology, loss of resources, loss of facilities, and loss of one of your vendors.
- What strategies have you put in place in order to respond to the loss of critical resources for the products and/or services your clients receive from you? How do you communicate to your clients if there is a disruption of service?
- What is your recovery time objective for the resources for the products and/or services your clients receive from you?
- Do you evaluate your vendors' preparedness as part of your business continuity or risk management functions?
- In the past 12 months, have you conducted an employee Business Continuity / Disaster Recovery training exercise of the systems needed to provide your product and/or services? If so, can you share the results?
- Is your organization able to operate effectively when key locations are closed?
- If your service is limited due to a disruption, how will clients be prioritized?