

Robotic Process Automation

Request for Proposal

September 2022



Orange County Employees Retirement System (OCERS)

2223 E. Wellington Avenue, Suite 100

Santa Ana, CA 92701 USA

(714) 558-6200

www.ocers.org

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Section 1: Introduction

The Orange County Employees Retirement System (OCERS) is requesting proposals from qualified firms interested in providing a Robotic Process Automation platform and associated services. The detailed scope of services and deliverables for this engagement is outlined in Appendix A (Scope of Services).

Section 2: Background

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 50,000 members served by OCERS, of which over 19,000 are retirees and beneficiaries. OCERS is governed by a nine-member Board of Retirement (Board) which has plenary authority and fiduciary responsibility for investment of moneys and administration of the retirement system. OCERS has over ninety employees and the Board appoints a Chief Executive Officer who is responsible for the management of the agency. For additional information about OCERS, please refer to the OCERS website at www.ocers.org.

Section 3: RFP Point of Contact

A quiet period will be in effect from the date of issuance of this RFP until announcement of the selection of a firm or firms under this RFP. During the quiet period, respondents are not permitted to communicate with any OCERS staff member or Board Member regarding this RFP except through the Point of Contact named herein. Respondents violating this quiet period may be disqualified at OCERS' discretion. Respondents having current business with OCERS must limit their communications to the subject of such business.

OCERS' normal business hours of operations are from 8:00AM to 5:00PM Pacific, Monday through Friday, except for federal and state holidays.

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

Name:	Jim Doezie
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Title:	Contracts, Risk & Performance Administrator
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Address:	OCERS 2223 E Wellington Ave., Suite 100 Santa Ana, CA 92701
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Telephone:	(714) 569-4884
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Email:	jdoezie@ocers.org
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OCERS Website:	www.ocers.org
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Status:	See the OCERS website for status of the RFP and announcements. These items can also be found here: https://www.ocers.org/request-proposal
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Section 4: RFP Schedule

The following timetable constitutes a tentative schedule for this RFP process. OCERS reserves the right to modify this schedule at any time.

Vendor Deliverables

RFP Questions – Due by September 21, 2022 at 5:00PM Pacific

Questions about this RFP must be submitted in writing by 5:00PM PT, September 21, 2022 to Jim Doezie, Contracts, Risk & Performance Administrator, by email at jdoezie@ocers.org.

Proposal Submissions – Due by October 5, 2022 at 5:00PM Pacific

Those who wish to be considered must submit their completed proposal by 5:00PM PT, October 5, 2022. Specific instructions for proposal submissions are contained in Section 9 (Contents of Proposal).

The full estimated RFP schedule is as follows:

Deliverable	Date	Time
Release of RFP	Wednesday, Sep 7, 2022	5:00PM PT
RFP Questions Deadline	Wednesday, Sep 21, 2022	5:00PM PT
RFP Answers Provided	Wednesday, Sep 28, 2022	5:00PM PT
RFP Submission Deadline	Wednesday, Oct 5, 2022	5:00PM PT
OCERS Review of RFP Submissions	Wednesday, Oct 12, 2022	5:00PM PT
Selection of Finalists	Wednesday, Oct 19, 2022	5:00PM PT
Interviews of Finalists	To be determined (late August / early September)	
Service Award [or recommendation to the Board]	To be determined (once a vendor has been selected)	

Section 5: Response to Request for Proposal

Proposals must be submitted to the Point of Contact identified in Section 3 (RFP Point of Contact) and delivered by the due date and time stated in Section 4 (RFP Schedule).

OCERS will accept electronic, paper, or both types of submissions. Proposals may be submitted electronically in Microsoft Word or Adobe Acrobat PDF format to the point of contact email address noted in Section 3 (RFP Point of Contact). Submission may also be made by mailing a USB flash drive with the electronic files, or a paper copy to the mailing address noted in Section 3 (RFP Point of Contact). If paper copies are submitted, two (2) copies must be submitted.

Section 6: General Conditions

All terms, conditions, requirements, and procedures included in this RFP must be met for a proposal to be qualified. A proposal 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 this RFP at any time.

OCERS may modify this RFP prior to the date fixed for submission of a proposal by posting, mailing, emailing or faxing an addendum to the respondents known to be interested in submitting a proposal. 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.

A respondent's proposal shall constitute an irrevocable offer for the 120 days following the deadline for submission of proposals. Reference to a certain number of days in this RFP shall mean business days unless otherwise specified.

All proposals submitted in response to this RFP will become the exclusive property of OCERS. Proposals will not be returned to respondents.

By submitting a proposal, the respondent acknowledges that it has read this RFP, understands it, and agrees to be bound by its requirements unless clearly and specifically noted in the proposal submitted.

Section 7: Vendor Requirements

The firm selected for this engagement will be expected to meet requirements that include, but are not limited to, the following:

1. The firm must have all necessary permits and licenses to perform the requested services and must be bonded where applicable.
2. Insurance coverage should include the following items (or provide equivalent coverage). Proof of such insurance must be provided to OCERS prior to the commencement of work, on an annual basis, and upon request:
 - Commercial General Liability: \$2M per occurrence, \$2M aggregate
 - Automobile Liability: \$1M per occurrence, \$2M aggregate
 - Workers Compensation: \$1M per occurrence, \$1M aggregate
 - Professional Liability: \$2M per occurrence, \$3M aggregate
 - Cyber Security Insurance: \$2M per occurrence, \$5M aggregate

OCERS must be listed as an additional insured on the above policies.

3. The firm shall provide all personnel, equipment, tools, materials, vehicles, supervision, and other items and services necessary to perform all services, tasks, and functions as requested in this RFP.
4. The initial term of the contract awarded pursuant to this RFP will be for a three (3) year period, with OCERS retaining the option to renew the contract, on an annual basis, for up to an additional three (3) years.

5. All work under the contract awarded shall be performed and all equipment furnished or installed in accordance with applicable safety codes, ordinances, and other regulations, including the regulations of the State of California, Division of Industrial Safety and the provisions of the California Labor Code, the Occupational Safety and Health Act of 1970, the California Occupational Health and Safety Act.

Section 8: Minimum Qualifications Criteria

The minimum qualifications criteria for this engagement include:

1. Firm with 5+ years' experience performing Robotic Process Automation implementations and/or consulting services.
2. Firm that is certified by the proposed Robotic Process Automation system manufacturer to provide implementation and/or consulting services for the proposed product.
3. Personnel with current Robotic Process Automation system manufacturer certifications will be assigned to actively work on this engagement.

Section 9: Contents of Proposal

Proposals should include as much of the following information as possible. Proposals missing various items will be evaluated accordingly. If respondents have previously prepared responses to various sections for the information requested, those may be submitted in lieu of a customized response.

1. Completed Vendor Questionnaire

As part of the RFP response, interested parties must complete the associated "OCERS Robotic Process Automation Vendor Questionnaire" (Excel file). This file requires responses in four major categories: Vendor Information, Product Capabilities, Support and SLA, and Pricing.

2. Executive Summary

An executive summary that provides the respondent's background, experience, and other qualifications to provide the services included in Appendix A (Scope of Services).

3. Statement of Qualifications

A summary of how your firm meets the criteria as outlined in Section 8 (Minimum Qualifications Criteria). The Statement of Qualifications should also demonstrate that your firm fully understands the Scope of Services, has industry knowledge and possesses the qualifications to provide the services requested as outlined in Appendix A (Scope of Services).

4. Organizational Information

A summary of your organization including information such as year incorporated, ownership structure, office locations, number of employees, annual revenues, etc. Any use of subcontractors and the associated relationships should be detailed here.

5. Key Personnel

Identify the key personnel who will be assigned to this project, with a brief description of their relevant qualifications, skills, experience, and certifications.

6. References

Provide at least three (3) references for which the respondent has provided services like those included in Appendix A (Scope of Services). Please include for each reference the individual point of contact, a summary of the work performed, and when the respondent provided the service.

7. Approach/Methodology

Describe your firm's standard approach/methodology for delivering projects. Provide a summary of the steps or framework for service delivery your firm usually follows for the requested services.

8. Conflicts of Interest

Provide an explanation of all actual or potential conflicts of interest (if any) the respondent may have in contracting with OCERS.

9. Litigation

A description of all past, pending, or threatened litigation, including malpractice claims, administrative, state ethics, disciplinary proceedings, and other claims against respondent and/or any of the individuals proposed to provide services to OCERS within the last 5 years.

10. Additions and Exceptions

Include any additional information you deem pertinent and relevant to adequately respond to this RFP. Indicate any exceptions to the terms and conditions of this RFP that your firm is unable to meet or accept.

11. Certification of Proposal

Please sign and return Appendix B (Certification of Proposal) per the instructions contained within that section.

Section 10: Evaluation Criteria

Responses will be evaluated based upon the following:

1. Responses provided in the "OCERS Robotic Process Automation Vendor Questionnaire."
2. Experience and reputation of the respondent.
3. Quality of the team proposed to provide services to OCERS, including staffing depth, experience, qualifications, and certifications.
4. Pricing and value.
5. Delivery and payment terms.
6. Compliance with technical standards.
7. The organization, completeness, and quality of the proposal.
8. Information provided by references.
9. Other factors OCERS determines to be relevant.

The factors will be considered as a whole, without a specific weighting.

OCERS may 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.

If the information in the proposal is deemed to be insufficient for evaluation, OCERS may request additional information or reject the proposal outright at OCERS' sole discretion. False, incomplete, or unresponsive statements in connection with a proposal may result in rejection of the proposal.

Section 11: 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 based on race, religion, color, national origin, ethnic group identification, mental disability, physical disability, medical condition, genetic information, marital status, ancestry, sex, gender, sexual orientation, gender identity, gender expression, age, or military and veteran status.

Section 12: Notice Regarding the California Public Records Act and the Brown Act

The information submitted in response to this RFP will be subject to public disclosure pursuant to the California Public Records Act (California Government Code Section 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 any portion of its proposal is exempt from public disclosure or discussion under the Act, the respondent must provide a full explanation and mark such portion "TRADE SECRETS," "CONFIDENTIAL," or "PROPRIETARY," and make it readily separable from the balance of the response. Proposals marked "TRADE SECRETS," "CONFIDENTIAL," or "PROPRIETARY" in their entirety 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 material marked "TRADE SECRETS," "CONFIDENTIAL," or "PROPRIETARY," a respondent represents it has a good faith belief that the material is exempt from disclosure under the Act; however, such designations will not necessarily be conclusive, and a respondent may be required to justify in writing why such material should not be disclosed by OCERS under the Act. Fee and pricing proposals are not considered "TRADE SECRET," "CONFIDENTIAL," or "PROPRIETARY".

If OCERS receives a request pursuant to the Act for materials that a respondent has marked "TRADE SECRET," "CONFIDENTIAL," or "PROPRIETARY," and if OCERS agrees that the material requested is not subject to disclosure under the Act, OCERS will either notify the respondent so that it can seek a protective order at its own cost and expense, or OCERS will deny disclosure of those materials. OCERS will not be held liable, however, for inadvertent disclosure of such materials, data, and information or for disclosure of such materials if deemed appropriate in OCERS' sole discretion. OCERS retains the right to disclose all information provided by a respondent.

If OCERS denies public disclosure of any materials designated as "TRADE SECRETS," "CONFIDENTIAL," or "PROPRIETARY", the respondent agrees to reimburse OCERS for, and to indemnify, defend and hold harmless OCERS, its Boards, officers, fiduciaries, employees, and agents from and against:

1. 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 a proposal; and

2. All Claims arising from or relating to OCERS' public disclosure of any such designated portions of a proposal if OCERS determines disclosure is required by law, or if disclosure is ordered by a court of competent jurisdiction.

Section 13: Contract Negotiations

OCERS will propose a contract 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 proposal will be incorporated by reference into any resulting contract.

This RFP is not an offer to contract. Acceptance of a proposal neither commits OCERS to award a contract to any respondent, nor does it limit OCERS' right to negotiate the terms of a contract in OCERS' best interest, including the addition of terms not mentioned in this RFP. The final contract must, among other terms and conditions required by OCERS, allow OCERS to terminate the contract a) for OCERS' convenience, b) if funds are not appropriated for the services to be provided, or c) for default.

The general form of the contract OCERS intends to use is available at <https://www.ocers.org/sites/main/files/servicesagreement.pdf>. OCERS reserves the right to make changes to the contract prior to execution, including material changes. The final Scope of Services to be included in the contract will be determined at the conclusion of the RFP process.

By submitting a proposal without comment on the OCERS Services Agreement, respondent will be deemed to have agreed to each term in the OCERS Services Agreement, and to not seek any modifications to it. If respondent objects to any term in the OCERS Services Agreement or wishes to modify or add terms to the OCERS Services Agreement, the proposal must identify each objection and propose language for each modification and additional term sought. A rationale should be included for each objection, modification, or addition.

Section 14: Reservations by OCERS

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

1. Cancel or modify 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 able 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 firm 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. Request additional documentation or information from respondents, which may vary by respondent. OCERS may ask questions of any respondent to seek clarification of a proposal or to ensure the respondent understands the scope of the work or other terms of the RFP.
7. Reject any or all proposals submitted in response to this RFP.
8. Choose to not enter into an agreement with any of the respondents to this RFP or negotiate for the services described in this RFP with a party that did not submit a proposal.
9. Determine the extent, without limitation, to which the services of a successful respondent are or are not actually utilized.
10. Defer selection of a bidder to a time of OCERS' choosing.
11. Consider information about a respondent other than, and in addition to, that submitted by the respondent.

Appendix A: Scope of Services

Background

OCERS implemented a new Pension Administration System (PAS) approximately six and a half years ago. Even with the implementation of a new system, over the past year, the organization has realized that OCERS still has many manual processes which require human intervention. Having many manual touchpoints creates inefficiencies, results in inaccuracies, limits our scalability, and does not allow us to address other important issues (such as quality of incoming data).

With the challenges the agency is facing, our CEO has developed “Vision 2030” – a concept that will leverage technology automation across all agency processes, eliminating human intervention wherever possible, which will allow our employees to focus on higher value functions that will bring greater value to our membership. Our first foray into technology automation will be through the use of Robotic Process Automation (RPA).

Robotic Process Automation (RPA) Objectives

1. **Increase Agency Productivity** – We would like to increase the productivity of the entire agency by using RPA to take advantage of processes where bots can (a) perform transactions quicker than humans and (b) process transactions 24 hours a day/7 days a week.
2. **Increase Employee Efficiency** – We would like to use RPA to enhance the efficiency of our employees by letting RPA handle the routing/mundane tasks, so employees can focus their efforts on higher value and more meaningful work.
3. **Enhance Accuracy** – Accuracy issues occur for various reasons (incorrect data, difficulty interpreting complex contract rules, difficulty reading hand completed forms, and sometimes human error). We would like to use RPA to enhance the accuracy of transactions across the entire agency.
4. **Reduce Timelines** – Various processes at OCERS can take anywhere from hours to months to complete. Anything that can be done to reduce the timelines for various processes throughout the agency will result in a better experience for our members.
5. **Improve Scalability** – Since OCERS has so many manual processes today, when our work volume increases, our staffing needs to increase as well. Bringing on new staff takes time and requires additional resources from the organization. Using RPA, we hope to be able to better scale when the volume of transactions increases without the need to add more staff with each spike in work.
6. **Increase Security** – Whenever humans are involved in a process, that opens the door to potential security issues. We hope to utilize RPA to reduce human touchpoints with data and create better data governance over our structured data.
7. **Optimize Processes** – We understand that not all our current processes are fully optimized or ready for automation. We are open to optimizing and possibly re-engineering our current processes, so they are good candidates for automation.
8. **Enhance Visibility, Reporting, and Metrics** – If appropriate, we would like to leverage RPA to provide enhanced visibility, reporting, and metrics regarding our key processes. Which key processes are speeding up or slowing down? Is our backlog increasing or decreasing? How many exceptions are we handling outside of our currently defined processes? A future phase would be to create an executive “at-a-glance dashboard” of the overall health of the agency.
9. **Enhance the Customer Experience** – By leveraging RPA as mentioned above, the customer experience should be enhanced. A future phase would be to “reimagine the customer experience” and leverage technologies such as RPA to reach those goals.

10. **Select the Correct Processes** – Our goal is to select the “correct” processes to address with RPA. We know RPA has use cases that it is better suited for. Selecting the use cases that are good to address with RPA and avoiding use cases that are not well designed for RPA is one of our goals.
11. **Select the Correct Technology** – For processes where RPA is not a good fit, identifying the correct technology to address those situations will be important (whether that is AI, ML, some other automation technology, a purpose-built solution, etc.).
12. **Minimize Disruption** – OCERS resources are already stretched thin. There will need to be obvious involvement from the SMEs embedded with in each division/department when automating a key process, but the effort they put forth cannot have significant negative impacts to their current workload. Additionally, existing processes must continue to function as the new processes are built.

Project Deliverables

1. **Process Discovery, Assessment, Analysis and Selection** – Assist the organization in identifying the highest-value automation opportunities to successfully showcase the benefits of RPA technology at OCERS. Help guide the organization towards the best automation candidates to address using RPA. From the recommendations provided, OCERS will then select the top three (3) to five (5) processes to implement using RPA. Selected processes can be from any department in the organization, but those that would benefit our Member Services department would be especially desirable.
2. **Recommend an RPA Solution** – Identify and recommend the best RPA platform for our business needs. Provide specific information to support the recommendation based on OCERS use cases.
3. **Implement an RPA Solution** – Assist OCERS with the setup and configuration of the recommended RPA solution. The implementation would be performed in conjunction with the OCERS IT department, your firms consulting resources, with appropriate support from the RPA platform manufacturer.
4. **Implement Automation of Selected Processes/Use Cases** – Implement and automate three (3) to five (5) initial processes/use cases utilizing RPA. The implementation of these processes/use cases should demonstrate the power and possibilities of RPA to our employees, executive team, and Board.
5. **Process Improvement Consulting / Process Re-engineering Services (as needed)** – For any selected process that is not currently optimized for automation, provide process improvement consulting or process re-engineering services to prepare the process for automation via RPA.
6. **Training and Knowledge Transfer** – Provide Process Definition Documents (PDDs) for all processes selected for automation. Work in conjunction with OCERS IT Operations team so they will be able to manage and troubleshoot the RPA infrastructure on a go forward basis. Work in conjunction with the OCERS IT Programming team to provide training / turnover so they can support future process automation efforts utilizing the RPA platform.
7. **Support** – Provide ongoing support for the RPA solution at a level as determined by OCERS once the RPA system and the initial three (3) to five (5) processes have been implemented.

OCERS invites interested parties that meet the qualifications listed in this document to submit proposals regarding their product and related service offerings. The selection and implementation of the initial three (3) to five (5) use cases will be the first phase of this engagement. If the selected vendor performs well with the initial Scope of Work, there would be opportunities to assist with additional use cases in the future by adding additional Scopes of Work to the agreement.

Appendix B: Certification of Proposal

(TO BE SUBMITTED ON FIRM'S LETTERHEAD)

Respondent Name:

Respondent Address:

By submitting this response, the undersigned hereby affirms and represents that they have reviewed the proposal requirements and have submitted a complete and accurate response to the best of their knowledge. By signing below, I hereby affirm that the respondent has reviewed the entire RFP and intends to comply with all requirements.

Respondent specifically acknowledges the following:

1. Respondent possesses the required technical expertise and has sufficient capacity to provide the services outlined in the RFP.
2. Respondent certifies that it meets the requirements as outlined in Section 7 (Vendor Requirements) and Section 8 (Minimum Qualifications Criteria), as well as the other functional requirements contained within the RFP.
3. Respondent has no unresolved questions regarding the RFP and believes that there are no ambiguities in the scope of services.
4. The fee schedule submitted in response to the RFP is for the entire scope of services and no extra charges or expenses will be paid by OCERS.
5. Respondent has completely disclosed to OCERS all facts bearing upon any possible interests, direct or indirect, that Respondent believes any member of OCERS, or other officer, agent, or employee of OCERS presently has, or will have, in this contract, or in the performance thereof, or in any portion of the profits thereunder.
6. Materials contained in the proposal and all correspondence and written questions submitted during the RFP process are subject to disclosure pursuant to the California Public Records Act.
7. Respondent is not currently under investigation by any state or federal regulatory agency for any reason.
8. Except as specifically noted in the proposal, respondent agrees to all of the terms and conditions included in OCERS Services Agreement.
9. The signatory below is authorized to bind the respondent contractually.

Authorized Signature

Date

Name and Title (please print)