Request for Proposal

Business Continuity Planning
Consulting Services

January 2015
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SECTION 1: INTRODUCTION

The Orange County Employees Retirement System (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 40,000 members served by OCERS, of which over 14,000 are retirees. The Board of Retirement consists of nine members, four of whom are appointed by the County’s Board of Supervisors, four who are elected by the active members of OCERS, and one, the County Treasurer, who serves as an ex officio member. There is also one elected alternate member. The Board of Retirement is responsible for establishing policies, regulations and guidelines for the investment of the assets of the pension fund.

SECTION 2: PROJECT BACKGROUND

For reference, Appendix A contains the organization chart for OCERS’ operating and administrative departments.

OCERS has one physical location with approximately 70 employees spread throughout the following departmental structure:

- Administrative Services
- Communications
- Executive
- Finance
- Information Technology
- Internal Audit
- Investments
- Legal
- Member Services

Note that while OCERS has an Investments department, we do not manage funds directly; the OCERS Investments team manages a group of investment fund managers and coordinates with a custodian bank to execute fund transfers as needed, including those needed to cover retiree payroll.

As noted above, OCERS manages and provides benefits for approximately 40,000 active, deferred and retired members. As would be expected, much of the information OCERS utilizes on a day-to-day basis is considered confidential, personally identifiable information. Payments to retired members are made once a month. Members are able to use a web-based self-service portal to complete common tasks such as checking an account balance, obtaining an award letter or obtaining forms necessary to complete a change of information. This web-based portal is very popular with members.

OCERS’ technology infrastructure consists of a Microsoft Active Directory server environment with approximately 70 VMware virtual machines, including Exchange and SQL systems. There are three primary line-of-business applications: an Oracle-based pension administration system, a SQL Server-based financial application and a
document imaging system. Desktop and laptop computers are Microsoft Windows-based. OCERS uses a Voice-over-IP (VoIP) phone system.

OCERS’ Information Technology Department (IT) uses a system of regular system back-ups coupled with cloud-based storage to protect against data loss due to equipment failure or human error. This strategy assumes a stable, intact environment in which to restore data. However, in the event of a significant emergency causing destruction of facilities, prolonged interruption of infrastructure or diminished capacity of staff, these efforts would likely be inadequate. The current recovery environment includes additional concerns, as well:

- The criticality levels of business processes are not formally taken into account.
- Recovery time objectives (RTO) are not well-defined for business processes.
- Recovery point objectives (RPO) are not well-defined for business processes.
- Business process and procedure documentation may not be captured in a way that allows for rapid resumption of operations. For example, paper-based documentation that does not reside on IT systems is missed in the current backup-and-recovery environment.
- Workaround procedures to reach a minimum acceptable level of operations have not been formalized.

While the OCERS IT Department continues to pursue efforts to strengthen the disaster recovery (DR) plan for the technology infrastructure, the OCERS organization would like to ensure that a holistic plan is developed to address all aspects of business continuity (BC) and DR. A cross-functional internal team was established to pursue this objective and seeks to partner with a BC/DR consultant well-versed in this field. Specifically, OCERS would like to address the following key BC/DR areas:

- **Transfer** of BC/DR knowledge to OCERS.
- **Analysis** of the OCERS business environment, including risk and impact analysis, identification of critical and non-critical business processes and establishment of business process RTOs and RPOs.
- **Design** of a BC/DR solution, including defining a crisis management command structure and communication plan and review of the existing OCERS IT DR plan.
- **Implementation** of the BC/DR solution.
- **Testing** and **acceptance** of the BC/DR solution.

OCERS seeks to have a comprehensive BC/DR plan implemented by September 2015.

**SECTION 3: 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 90 business days following the deadline for submission. Reference
to a certain number of days in this RFP shall mean business days unless otherwise specified.

SECTION 4: PROPOSED SCOPE OF WORK

The selected consultant will lead and assist the OCERS BC/DR team in creating the following deliverables while targeting a project conclusion date of September 2015:

- **Knowledge Transfer**: The consultant will provide documentation at each stage of the project including, where applicable, specific instructions or plans so that OCERS can manage BC/DR planning on an ongoing basis.
- **Risk Analysis**: In conjunction with OCERS staff, the consultant will identify the natural, man-made and technology-based threats to OCERS, including likelihood of occurrence and vulnerability to each threat, and prioritize the list of threats to the organization. This deliverable is critical to build and support a business case for implementation of the BC/DR plan.
- **Business Impact Analysis (BIA)**: In conjunction with OCERS staff, the consultant will catalog OCERS' business processes using objective metrics to measure the criticality of each process in order to identify critical and non-critical processes. The BIA will identify the Maximum Tolerable Downtime (MTD) and assign an RTO and RPO to each business process. An eye should be geared to identifying existing or manual systems that may be utilized as workarounds and for alternate methods that may complete critical processes for less cost than the establishment of tight RTOs and RPOs.
- **DR Plan Review**: The consultant will review OCERS' IT Department's existing DR and future enhancement/improvement plans for the datacenter infrastructure and provide feedback.
- **Solution Design**: The consultant will design a BC/DR solution that will meet the objective requirements established in the analysis phase. The solution will include considerations such as:
  - Command structure
  - Communications plan
  - Workaround procedures
  - Assembly plan
  - Location of secondary work sites
  - Telecommunication architecture
  - Data replication methodology between primary and secondary sites
  - Integration with management tools for maintenance of the plan
- **Implementation Plan**: The outcome of these efforts will be a specific implementation plan including budgetary figures. This will encompass the obligations of OCERS for BC/DR planning and preparedness.
- **Testing and Acceptance Plan**: In conjunction with OCERS staff, the consultant will provide a comprehensive testing and acceptance plan which shall be agreed upon by OCERS. Acceptance of the BC/DR solution shall be based on successful execution of the entire BC/DR test plan, not merely a subset of activities.
SECTION 5: OCERS' POINT OF CONTACT

From the date of issuance of this RFP until the selection of a vendor is completed and announced, vendors are not permitted to communicate, for any reason, with any OCERS staff member or Board Member regarding this procurement, except through the Point of Contact named herein. For violation of this provision, OCERS shall reserve the right to disqualify the offending vendor from further participation in this procurement.

<table>
<thead>
<tr>
<th>The Point of Contact for questions and all matters relating to this RFP is:</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Name:</strong></td>
</tr>
<tr>
<td><strong>Title:</strong></td>
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<tr>
<td><strong>Address:</strong></td>
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<tr>
<td><strong>Telephone:</strong></td>
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<tr>
<td><strong>Email:</strong></td>
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</tbody>
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Proposals are due by 5:00 PM PST on Friday, February 27th, 2015, and are to be received by OCERS, marked to the attention of the above-listed Point of Contact, within this timeframe. It is the responsibility of the vendor to ensure that the proposal arrives on or before the time and date written herein. Failure to comply with this provision will result in disqualification of the RFP response.

SECTION 6: VENDOR QUESTIONS REGARDING RFP

Vendors may submit questions regarding this RFP in writing to the Point of Contact named in Section 5 through 5:00 PM PST on Friday, February 13th, 2015. E-mail is the preferred method of communication. All written questions must include the name of the firm and the person submitting the question(s). A compilation of all questions and answers, along with any RFP addenda, will be posted on OCERS' website, [www.ocers.org](http://www.ocers.org), no later than 5:00 PM PST on Wednesday, February 18th, 2015.

SECTION 7: VENDOR RESPONSE

Respondents to this RFP should submit responses in the following manner:

1. One (1) electronic copy of the Consulting Services Proposal as specified in Section 8 of this RFP, in either Microsoft Word or Adobe Acrobat PDF format.

2. Responses must be received on or prior to the deadline listed in Section 5.

Note that vendor 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 below for additional information.
SECTION 8: CONSULTING SERVICES PROPOSAL

Proposals must include the following information:

1. A description of your firm including location, number of years in business and scope of services.
2. A recommendation of services to provide OCERS with a fair, cost effective and quality product package.
3. Details illustrating how and why your company will best serve OCERS.
4. A copy of your company’s standard professional services contract.
5. Three (3) references of other organizations similar in size and need.
6. A named Project Lead who has demonstrated successful management of at least one project of similar size and scope; should the Project Lead become unavailable at any point in the project, his or her replacement must be mutually agreed upon by OCERS and your company.
7. Names and qualifications of fully trained and qualified staff that may be assigned to OCERS; should any team member become unavailable at any point in the project, his or her replacement must be mutually agreed upon by OCERS and your company.
8. If applicable, a description of additional services your company offers which are not covered within this document.

SECTION 9: REVIEW AND EVALUATION OF PROPOSALS

OCERS will convene a review panel to evaluate all proposals and develop recommendations. One or more of the respondents may be requested to make an oral presentation to the committee.

SECTION 10: RIGHT TO REJECT PROPOSAL

By submitting a proposal, vendors 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 11: INCOMPLETE RESPONSES

If the information in the firm’s 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 12: SCHEDULE OF EVENTS

<table>
<thead>
<tr>
<th>Deliverable</th>
<th>Date</th>
<th>Time</th>
</tr>
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<tbody>
<tr>
<td>Release of RFP</td>
<td>1/30/2015</td>
<td></td>
</tr>
<tr>
<td>Questions from vendors due</td>
<td>2/13/2015</td>
<td>5:00PM PST</td>
</tr>
<tr>
<td>Answers to vendor questions posted</td>
<td>2/18/2015</td>
<td></td>
</tr>
<tr>
<td>RFP Submission deadline</td>
<td>2/27/2015</td>
<td>5:00PM PST</td>
</tr>
<tr>
<td>Vendor Interviews (est.)</td>
<td>3/18/2015 – 3/25/2015</td>
<td></td>
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<tr>
<td>Vendor Selection (est.)</td>
<td>3/30/2015</td>
<td></td>
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<tr>
<td>Project Commencement</td>
<td>April 2015</td>
<td></td>
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<tr>
<td>Project Conclusion</td>
<td>September 2015</td>
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</tbody>
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OCERS reserves the right to modify this schedule at any time.

SECTION 13: ADDENDA

OCERS may modify the RFP prior to the date fixed for submission by posting, mailing, emailing or faxing an addendum to the bidders known to be interested in submitting a proposal. If any bidder determines that an addendum unnecessarily restricts its ability to bid, it must notify OCERS in writing no later than three (3) days before the deadline for submitting proposals. Failure of a bidder to receive or acknowledge receipt of any addendum shall not relieve the bidder of the responsibility for complying with the terms thereof.

SECTION 14: NOTICE REGARDING THE CALIFORNIA PUBLIC RECORDS ACT AND THE BROWN ACT

The proposal your firm submits in response to this RFP will become the exclusive property of OCERS. It will not be returned to you, and it will be subject to public disclosure pursuant to the California Public Records Act (Cal. Gov. 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 you believe that any portion of your proposal is exempt from public disclosure under the Act, such portion must be marked “TRADE SECRET,” “CONFIDENTIAL,” or “PROPRIETARY.” OCERS will deny public disclosure of any portions so designated, provided that such designation is, in OCERS’ reasonable discretion, in accordance with applicable law. Proposals marked “TRADE SECRET,” “CONFIDENTIAL,” or “PROPRIETARY" in their entirely 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" you represent you have a good faith belief that such material is exempt from disclosure under the Act, and you agree 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 your proposal; and (b) any and all Claims
arising from or relating to OCERS' public disclosure of any such designated portions of
your 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"). Your proposal and/or contract (if your firm is
selected) may be presented or discussed at a public meeting of the OCERS Board of
Retirement (or at a Board committee meeting). Among other things, that means that,
regardless of whether you mark portions of your 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.

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

All RFP packages should be submitted to:

Orange County Employees Retirement System
Attention: Jon Gossard, Information Technology Manager
2223 E. Wellington Ave., Suite 100
Santa Ana, CA  92701
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APPENDIX A: ORGANIZATION CHART
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