UNITED STATES OFFICE OF PERSONNEL MANAGEMENT

MIGRATION PLANNING GUIDANCE ATTACHMENT F

GUIDANCE FOR AGENCY-LEVEL OCDS

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UNITED STATES OFFICE OF PERSONNEL MANAGEMENT

Working for America

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1 OCD OVERVIEW

In addition to providing written proposals, Offerors may be invited by agencies to conduct an Operational Capabilities Demonstration (OCD) of their proposed solution and services. For Offerors selected to perform an OCD, it will be an element of the functional and technical evaluation and will impact the agency's award decision. Through the OCDs, the agency will have the opportunity to investigate further each Offeror's capabilities as described in their written proposal response. At the conclusion of the OCDs, the agency will have more information necessary to comprehensively analyze the offerings and make a final recommendation/decision.

When conducting the OCD evaluations, agencies may use this guidance as appropriate. Agencies may include unique agency requirements and combine OCDs as necessary depending on the agency Statement of Objectives (SOO) and Offeror solutions.

1.1 Types of OCDs

Each Offeror provides a unique HR LOB solution. The agency should conduct a Functional and a Technical OCD to fully examine the capabilities of each Offeror.

In the **Functional OCD**, Offerors should provide an oral presentation to summarize their corporate capabilities and services offered in response to the solicitation, and then demonstrate the capabilities of the proposed solution to perform sample activities in HR LOB functional areas as requested by the agency's Statement of Objectives (SOO). As part of the Functional OCD, Offerors should be asked to demonstrate several specific requirements by running pre-determined test cases using pre-defined data supplied by the agency. Time permitting; Offerors may highlight other features of their solution that meet additional requirements listed in the previously completed self-evaluation tool.

In the **Technical OCD**, the agency should conduct site visit(s) to observe the Offeror hosting sites. Offerors should explain the tools and techniques for transitioning, implementing, and maintaining the solution, and display and present their approach to gaining and maintaining NIST security standards. During the Technical OCD, agencies should take the opportunity to ask direct questions related to the technical capability of the solution offered.

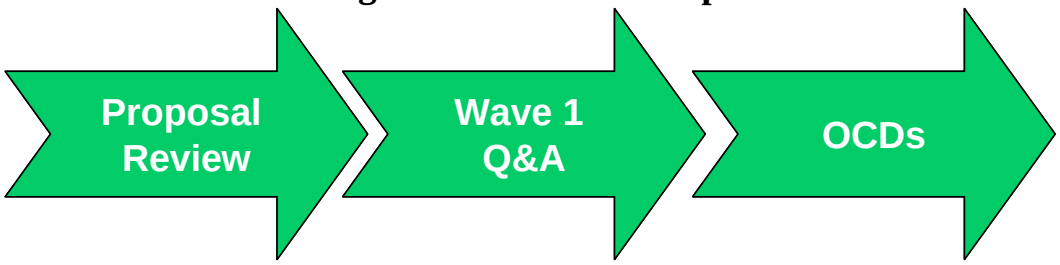
The Functional and Technical OCDs should be scheduled separately for each Offeror, with the order for Offerors being determined by lottery. The agency contracting officer should notify Offerors of the exact dates that their OCDs will be scheduled. The agency should reserve the right to reschedule these sessions at its discretion, but with sufficient notice to Offerors to allow for logistical considerations. Each Offeror should be given equal advance notice to prepare for their scheduled OCD. For this reason, Offeror requests to reschedule should not be granted. The agency should also use these OCD sessions to pose questions regarding the Offeror's solution and approach.

In addition to a Functional and Technical OCD, the agency may choose to conduct a Service Center site visit**.** The Service Center Site visit would enable the agency to observe the Offeror servicing location, processes, facilities, and staff who are conducting day-today service center operations. Offerors should explain the tools and techniques for providing agency services, operating the help desk and ensuring strict controls for privacy and security. During the Service Center site visit, the agency should take the opportunity to ask direct questions related to the consulting services offered and how performance is monitored. Attendees to a Service Center Site visit may include: Business SME(s) and/or Information Security Officer.

2 PRE-OCD PLANNING

The agency should make an effort to plan for the OCDs as early as possible in the procurement process to give both agency representatives and Offerors ample time to prepare and schedule events. As depicted in Figure 1 Evaluation Steps, agencies must complete two steps before conducting the OCDs. First agencies must conduct a detailed evaluation of the Offeror proposal and second, agencies should submit at least one wave of questions to Offerors to complete an in depth review of the first wave responses. At this point, agencies should prioritize their outstanding questions and issues to bring to the OCDs.

Figure 1 Evaluation Steps



Logistical guidance in setting up the OCDs is provided in Table 1 OCD Logistics. In addition to the subject matter experts (SME) recommended, each capability sub-team (i.e., Corporate, Management, Functional, and Technical), should be represented at each OCD.

Table 1 OCD Logistics

	Functional OCD	**Technical OCD**
Attendees	▪ Business SME(s) ▪ Technical SME(s)	▪ Technical SME(s) ▪ Business SME(s)
Length	1 day per core offering & one-half day per non-core offering	1 day per hosting facility
Location	Agency determined site or the Washington-metro area	Offeror hosting location
Evaluation Artifact	▪ Functional Evaluation Matrix ▪ Functional Risk Matrix	▪ Technical Evaluation Matrix ▪ Technical Risk Matrix

Functional OCD:

- *Attendees:* Agencies should select a set of stakeholders for the team that would provide a cross-functional perspective.

- *Length:* The Functional OCD should take approximately one day for core function and one-half day for non-core functions.
- *Location:* The Functional OCD should take place at an agency determined location or in the Washington DC metro area

Technical OCD:

- *Attendees:* Agencies should select a set of stakeholders for the team that would provide a cross-functional perspective.

- *Length:* The Technical OCD will take approximately one full day.

- *Location:* Technical OCDs should be conducted at the hosting location(s) that Offerors (and Offeror business partners) are proposing to perform technical services for the agency. Due to the remote nature of some Offeror hosting facilities, agencies should research travel logistics before setting the date with the Offeror. Additionally, Offeror solutions may be distributed across multiple facilities. For this reason, ensure that Offerors clearly describe the physical location of each solution piece such that each facility can be evaluated via site visit.

3 OCD GUIDELINES FOR OFFERORS

Offerors should be aware of the following points while preparing for the demonstrations:

- Offerors are required to adhere to the agendas, timeframes and demonstration scripts provided by the agency. The timeframes listed in the Technical OCD agendas should be considered the maximum time limit for each session. The Offeror may not exceed the timeframes specified in the agenda.
- Offerors should not reorder any of the test scenarios defined for the script because it may impact the results of subsequent test scenarios.

4 FUNCTIONAL OCD

The agency may require Offerors to include an Oral Presentation, System Presentation and Demonstration, and Question and Answer period as part of their Functional OCD. To expedite evaluation, Offerors must follow the Functional OCD Agenda provided by the Agency. The topics identified in the Functional OCD Agenda are defined in detail in **Appendix A** of this document.

4.1 Functional OCD Overview

Offerors are encouraged to have the appropriate functional and technical SMEs available during the OCD. Offerors must provide printed copies of any presentation materials to the agency at the start of the presentation. Submission of CDs, video, or other forms of media for evaluation will be accepted, but may not be substituted for the printed presentation.

Offerors should mark slides in accordance with Restrictions on Disclosure and Use of Data, as appropriate. Slides should be sequentially numbered. There is no limit to the number of slides that can be presented during the presentation, however, only those slides and other materials presented will be considered. Any slides and other materials not presented in the allotted time will not be considered by the agency.

In the Functional OCD, Offerors should provide an oral presentation to summarize their corporate capabilities and services offered in response to the solicitation, and then demonstrate the capabilities of the proposed technology solution to perform sample activities for services being sought by the agency. As part of the Functional OCD, Offerors should be asked to demonstrate several specific requirements by running pre-determined test cases using pre-defined data supplied by the agency. Time permitting; Offerors may highlight other features of their technology solution which meet additional requirements listed in the previously completed self-evaluation tool.

4.2 Functional OCD Agenda

The Functional OCD is a combination of Oral Presentation and Question and Answer. The agenda should be comprised of the following sections:

- Introductions
- Offeror Overview and Experience
- Offeror’s Proposed Technical Solution

Agencies may base the functional OCD evaluation on the sub-factors listed in Table 2 as well as any unique agency requirements.

Table 2 Functional Evaluation Criteria

Subfactor	Element
Features and Functionality	▪ Functional Description ▪ HR LOB Functional Compliance
Change Management	▪ Change Management
Training	▪ Training Approach
Capability of the Solution – Core HR Functions	▪ Personnel Action Processing ▪ Benefits Management ▪ Compensation Management/Payroll Services
Capability of the Solution – Non-Core HR Functions	▪ HR Strategy ▪ Organization and Position Management ▪ Staff Acquisition ▪ Performance Management ▪ Compensation Management ▪ Human Resources Development ▪ Employee Relations ▪ Labor Relations ▪ Separations Management

4.3 Application Feature Demonstration

Offerors may be asked by the agency to demonstrate features available in the overall solution they are proposing. The demonstration should be presented using the software, not a slide or verbal presentation. While the detailed functionality of each module may be demonstrated during the later sessions, the goals of this general demonstration are for the evaluators to ascertain the ability of Offeror systems to perform the general features, listed below.

The following topics **may** be included in the application feature demonstration:
- Online navigation and help capabilities
- Security configuration (including how your system supports situations that require identity protection)
- Flexibility provided by your system (e.g., languages, screen customization, 508 compliance)

- Use of schedulers to support date-driven alerts and system-initiated actions such as for within-grade increases, expiration of not-to-exceed dates (temporary appointments), and other items
- Workflow, routing and messaging, and notifications
- Reference tables (e.g., pay tables, occupational series, duty station) maintenance
- Business rules maintenance
- Error handling processing
- Ability to support interfaces
- Overview of Self-service capabilities (e.g., management, employee)
- Standard mandatory federal reports, security related reports, and ad-hoc capabilities (e.g., standard EEO Reports, SF113-A)
- Proactive communication (e.g. system generated emails, alerts, ticklers, etc.)
- Agency specific data elements (e.g. user-defined fields not used government-wide)
- Data integrity and synchronization (e.g., measures to ensure that data remains in sync with other systems)

The agency should understand that Offerors may not be able to demonstrate all the elements of their solution and technical environment. Elements that cannot be demonstrated must be described.

4.4 Functional Test Case Guidance

Following demonstration of application features, agencies may wish to have potential Offerors run specific test cases on functional areas identified by the agency as critical requirements in their SOO. Agencies should develop the required test cases and test data for Offerors to perform the desired functionality. The test cases and Pre-OCD test data (reference data) will need to be supplied to the Offerors prior to the Functional OCD. Agencies should ensure enough time for the preparation of test cases and test data for any tests they wish the Offerors to conduct. Agencies should also verify that prior to the day of the Functional OCD, that the reference data supplied to the Offeror to run the functional test cases has been loaded successfully into the Offeror's test data base. Agency staff should be available to the Offeror to answer questions regarding the loading of the test data.

Table 3 below identifies key references that provide guidance for developing functional test cases. The reference materials contain valuable information on Federal Human Resources such as definition of terms, business rules, procedures and compliance, standard forms used by Federal agencies, data dictionary and data processing standards. These materials should be reviewed extensively prior to the OCD.

Table 3 Helpful Personnel Action and Benefit Management References

Category	Title	Website
Personnel Actions	Guide to Processing Personnel Actions	http://www.opm.gov/feddata/gppa/gppa.asp
	Q&A on Personnel Actions and OPF	http://www.opm.gov/feddata/html/pd-faqs.asp

Category	Title	Website
	Within Grade Increase (WGI)	http://www.opm.gov/oca/pay/html/wgifact.asp http://www.opm.gov/oca/pay/html/wgiqa.asp http://a257.g.akamaitech.net/7/257/2422/14mar20010800/edocket.access.gpo.gov/cfr_2002/janqtr/pdf/5cfr531.406.pdf
	Employees detailed or transferred to international organizations	http://www.opm.gov/employ/internat/352ALL.asp
General Information	Guide to Processing Personnel Actions	http://www.opm.gov/feddata/gppa/gppa.asp
	Guide to Human Resources Reporting - HR Interface Processing - Payroll Interface File	http://www.opm.gov/feddata/ghrr/index.asp
	Guide to Personnel Data Standards	http://www.opm.gov/feddata/guidance.asp
	Guide to Personnel Recordkeeping	http://www.opm.gov/feddata/recguide.pdf
	Duty Station Locator System	http://apps.opm.gov/dsfls/
	Guide to CPDF Reporting Requirements	http://www.opm.gov/feddata/guidance.asp
	Guide to CPDF Edits	http://www.opm.gov/feddata/guidance.asp
	Central Personnel Data File and Enterprise Human Resources Integration Reporting	http://www.opm.gov/feddata/guidance.asp
	Human Resource Line of Business Data Model	http://www.opm.gov/egov/documents/architecture/HRLOB_DM.pdf
	United States Code 5 USC	http://www.access.GPO.gov/uscode
	Code of Federal Regulations Title 5	http://www.access.gpo.gov/cgi-bin/cfrassemble.cgi?title=200705
	HR LOB Enterprise Architecture	https://www.opm.gov/egov/documents/architecture/index.asp
	Performance Management	https://www.opm.gov/Employment_and_Benefits/WorkLife/WorkplaceFlexibilities/Perform/
Leave	Leave Administration	http://www.opm.gov/oca/leave/
	Fact Sheets on Leave Programs (OPM)	http://www.opm.gov/oca/leave/html/factindx.asp
Veterans	VETSINFO Guide	http://www.opm.gov/veterans/
	VETGUIDE Appendix A: Wars, Campaigns, and Expeditions of the Armed Forces Since WWII which Qualify for Veterans Preference	http://www.opm.gov/employ/veterans/html/vgmedal2.asp
	VETGUIDE Appendix B: Uniformed Service Qualifying for Veterans Preference Purposes	http://www.opm.gov/employ/veterans/html/uniserv.asp

Category	Title	Website
Records Management	Federal Agency Records Officers	http://www.archives.gov/records-mgmt/agency/officers-lists.html
	Request Copies of Military Personnel Records	http://www.archives.gov/veterans/evetrecs/index.html
Benefits	Quick Guide to FEHB, FEDVIP, FLTCIP, FSAFEDS, and FEGLI	https://www.opm.gov/insure/quickguide.pdf
	Federal Employees' Group Life Insurance Program - FEGLI Handbook	http://www.opm.gov/insure/life/handbook/index.asp
	Federal Employees' Health Benefits – FEHB Handbook	http://www.opm.gov/insure/handbook/fehb00.asp
	Life Events and Your Retirement and Insurance Benefits	http://www.opm.gov/forms/pdfimage/RI84-3.pdf
	FEHB for Annuitants and Compensationers	http://www.opm.gov/insure/handbook/fehb21.asp
	FEGLI into retirement	https://www.opm.gov/insure/life/fegli1.asp
	Federal Employees Retirement System (FERS)	http://www.opm.gov/fers_election/ri_90/f_toc.htm
	Civil Service Retirement System (CSRS)	http://www.opm.gov/forms/pdfimage/RI83-1.pdf
	US Dept of Labor, Office of Workers' Compensation Programs	http://www.dol.gov/esa/regs/compliance/owcp/fecacont.htm
	US Dept of Labor, Unemployment Compensation for Federal Employees	http://www.ows.doleta.gov/unemploy/unemcomp.asp
	CSRS Offset Retirement	http://www.opm.gov/forms/pdfimage/RI83-19.pdf
	Thrift Saving Plan (TSP)	http://www.tsp.gov/bulletins/introduction.html Click on the web link below, go to number 2 and enter in a bulletin number and click submit. The following bulletins should be very helpful. 05-14- Revision of the Summary of the Thrift Saving Plan 05-2 – Participation in the Thrift Savings Plan 02-7 –Thrift Saving Plan Participation of Individuals Who Return to Civilian Service or Pay Status Following Military Service 97-30 – Thrift Saving Plan Vesting Requirement and the TSP-Service Computation Date

Category	Title	Website
	CSRS and FERS Handbook:	http://www.opm.gov/asd/htm/hod.htm http://www.opm.gov/asd/hod/pdf/C010.pdf The following sections should be very helpful: Subchapter 10A Subpart 10A1.1 – Overview and Definitions Subpart 10A1.2 Historical Background Subpart 10A1.3 – Coverage Rules: Inclusions, Exclusions, Exceptions
Service Computation Dates	Guide to Processing Personnel Actions, Chapter 6	http://www.opm.gov/feddata/gppa/Gppa06.pdf
	Guide to Reduction-In-Force	http://www.opm.gov/rif/general/rifguide.asp#13
	TSP-Service Computation Date (Bulletin 97-30)	http://www.tsp.gov/bulletins/introduction.html
Forms	OPM Forms	http://www.opm.gov/forms/
	Standard and Optional Forms	http://www.gsa.gov/Portal/gsa/ep/formslibrary.do?formType=OP
	FEGLI Form	http://contacts.gsa.gov/webforms.nsf/0/A1F730135A11CED285256B7D00753B09/$file/sf2817.pdf
	FEHB Form	http://contacts.gsa.gov/webforms.nsf/0/ECB1BB4F16B1B3C685256B7D00751061/$file/sf2809.pdf
	Notification of Personnel Action	http://www.opm.gov/forms/pdfimage/sf50.pdf
	Request for Personnel Action	http://contacts.gsa.gov/webforms.nsf/0/FF8878DA9ED6607885256A3E005E55F0/$file/sf52.pdf
	Employee Health Benefits Election Form	http://contacts.gsa.gov/webforms.nsf/0/ECB1BB4F16B1B3C685256B7D00751061/$file/sf2809.pdf
	Annuitant/OWCP Health Benefits Election Form	http://contacts.gsa.gov/webforms.nsf/0/A31571816BB96DEA85256D55005C84A6/$file/sf2809-1.pdf
	Notice of Change in Health Benefits Enrollment	http://contacts.gsa.gov/webforms.nsf/0/9F0051FB8CF9491A85256D55005C5215/$file/sf2810.pdf
	Application for Death Benefits When Deceased was an Employee at the Time of Death	http://www.opm.gov/forms/pdf_fill/SF2800a.pdf
	Applying for Death Benefits Under the Civil Service Retirement System	http://contacts.gsa.gov/webforms.nsf/0/28D1FC21BC68417685256D55005CD16E/$file/sf2800-1.pdf

Category	Title	Website
	Application for Death Benefits - Civil Service Retirement System	http://contacts.gsa.gov/webforms.nsf/0/C3706B7789357C4A85256A2600616A36/$file/sf2800.pdf
	Life Insurance Election	http://contacts.gsa.gov/webforms.nsf/0/A1F730135A11CED285256B7D00753B09/$file/sf2817.pdf
	Continuation of Life Insurance Coverage as an Annuitant or Compensationer (FEGLI)	http://contacts.gsa.gov/webforms.nsf/0/1CF09F73E063E8E385256B7D00755AFA/$file/SF2818.pdf
	Notice of Conversion Privilege - Federal Employees' Life Insurance Program	http://contacts.gsa.gov/webforms.nsf/0/151E40F20C3231CC85256BFE0051F01A/$file/sf2819.pdf
	Agency Certification of Insurance Status - Federal Employees' Group Life Insurance Program	http://contacts.gsa.gov/webforms.nsf/0/7A48179CB884693C85256BFE00521388/$file/sf2821.pdf
	Request for Insurance - Federal Employees' Group Life Insurance (FEGLI) Program	http://contacts.gsa.gov/webforms.nsf/0/27628FE2867D7A9985256BFE005237B0/$file/sf2822.pdf

5 TECHNICAL OCD

The agency may require Offerors to include an oral presentation, site tour, and question and answer period as part of their Technical OCD. Offerors may not be able to demonstrate all the elements of their solution and technical environment. Elements that cannot be demonstrated must be described. To expedite evaluation, Offerors must follow the Technical OCD Agenda provided by the Agency. The topics identified in the Functional OCD Agenda are defined in detail in **Appendix B** of this document.

5.1 Technical OCD Overview

Offerors are encouraged to have the appropriate functional and technical SMEs available during the OCD. Offerors must provide printed copies of any presentation materials to the agency at the start of the presentation. Submission of CDs, video, or other forms of media for evaluation will be accepted, but may not be substituted for the printed presentation.

Offerors should mark slides in accordance with Restrictions on Disclosure and Use of Data, as appropriate. Slides should be sequentially numbered. There is no limit to the number of slides that can be presented during the presentation, however, only those slides and other materials presented will be considered. Any slides and other materials not presented in the allotted time will not be considered by the agency.

5.2 Technical OCD Agenda

The Technical OCD is a combination of oral presentation, site tour and question and answer. The agenda should be comprised of the following sections:

- Introductions
- Offeror Overview and Experience
- Offeror Site Tour
- Offeror's Proposed Technical Solution

Agencies may base the technical OCD evaluation on the sub-factors listed in Table 4 Technical Evaluation Criteria as well as any unique agency requirements.

Table 4 Technical Evaluation Criteria

Subfactor	Element
Architecture and Integration	▪ Architecture ▪ Integration and Connectivity ▪ Interfaces ▪ Data Management ▪ Data Storage Management/Records Management
Deployment Approach	▪ Hardware/System Software Installation, Configuration, Capacity Planning (Infrastructure) ▪ Rollout and Synchronization of Version Upgrades ▪ Overall Transition Strategy
Federal Security Standards	▪ NIST SP 800-53 Security Controls ▪ Privacy Protection ▪ Section 508 Compliance
Hosting	▪ Hosting Support
Quality Control	▪ System Engineering/System Development Life Cycle ▪ Quality Control Testing ▪ Government and Third-party Audit
Service and Support	▪ Licenses ▪ Release/Upgrade Strategy ▪ Service Level Agreements ▪ Help Desk Support

As part of the Federal Security Standard subfactor, the Offeror should provide descriptions and/or demonstrations on how the Offeror meets or will meet the provisions of the Federal Information Security Management Act of 2002 (FISMA). This should include at minimum, the management, operational and technical security controls identified within NIST SP 800-53, Recommended Security Controls for Federal Information Systems.

6 Appendix A: Functional OCD Sample Agenda

Offerors should provide the agency with a functional OCD agenda that identifies the activities to be conducted during the OCD. The agency should recommend that Offerors follow the sequence identified in Table 5 below to the degree that the agendas adhere to the core requirements of the agency's SOO. Offerors may reorganize the topics to improve the flow or efficiency of the demonstration.

Functional OCD Agenda

Offerors will provide the agency with a Functional OCD agenda that identifies the activities to be conducted during the OCD. Listed below is a sample one day functional OCD agenda This agenda can be expanded to additional days as needed to address additional test cases, to review previous day's activities, and to conduct a Q&A wrap-up..

Table 5 Sample Functional OCD Agenda

Day 1

Activity	**Duration**
Welcome & Introductions	(20 minutes)
Oral Presentation	(90 minutes)
Application Feature Demonstration	(90 minutes)
Review of Pre-OCD Data Load and Pre-OCD Test Case Scenarios	(90 minutes)
Test Case Scenario Activities **< Test Scenarios 1, 2 >**	(90 minutes)
Test Case Scenario Activities **<Test Scenarios 3 through 5 >**	(60 minutes)
Employee Self-Service Tests	(30 minutes)
Wrap-Up and Question and Answer Session	(30 minutes)

7 Appendix B: Technical OCD Sample Agenda

Offerors should provide the agency a technical OCD agenda that identifies the activities to be conducted during the OCD. The agency should recommend that Offerors follow the sequence identified in Table 6 Sample Technical OCD Agenda; however Offerors may reorganize the topics to improve the flow or efficiency of the demonstration. Agencies should expect Offerors to provide a site tour for the topics listed below. If any of these topics cannot be discussed as part of the tour, then this should be reflected in a revised Technical OCD Agenda (along with any changes to the sequence) and submitted to the agency a number of days specified by the agency prior to the their scheduled OCD.

Table 6 Sample Technical OCD Agenda

Agenda Item	Duration
Welcome, Introductions and Oral Presentation	30 minutes
Site Tour – Entrance Room, Computer Room, Offices, Operations Center – Hardware Infrastructure – Network Infrastructure – Capacity Planning – Cabling Infrastructure – Media Management and Protection – Physical and Environmental Protection – Visitor Access – External Environment	90 minutes
Security - Security Management - Identification and Authentication - Access Control - System and Communication Protection - Audit and Accountability - Security Certification and Accreditations - Firewall Management - Security Services - Secure, Remote Access - Personnel Security - Privacy Act Assessments - System Information and Integrity - Interconnection Security Agreements	45 minutes

Agenda Item	Duration
Continuity of Operations and Contingency Planning - Business Continuity Plans - Disaster Recovery - Capacity Planning - Back-up and Restore Management - Data Storage Management - Service Level Agreements with Third Parties for offsite storage and backup site hosting	45 minutes
Lunch	30 minutes
Monitoring - Application Monitoring - Infrastructure Monitoring - Network Management and Maintenance - Network Incident Management - Tools - Percentage of Availability - Annual Downtime	30 minutes
Quality Assurance - Methodology - Application Development and Maintenance - Infrastructure Maintenance - Quality Control Testing - Independent Verification and Validation	30 minutes
Customer Service - Overview - Resource Allocation - Service Desk - Problem Management - Service Level Management - Software Usage Restrictions	30 minutes
Configuration and Change Management - System Lifecycle - System Maintenance - Promotion/Migration Process - Tools - Audit Processes - Version Control and Synchronization - User Installed Software	30 minutes
Clarifications, Questions and Answers	30 minutes
Wrap-up	15 minutes

8 Appendix C: Functional OCD Sample Evaluation Template

This form is to be completed by each member of the agency evaluation team that attends the Functional OCD. The form allows agency evaluation panel members to track Offeror responses to specific functional topics in an organized and consistent manner. Members should use the rating scale provided in Table 7 below to rate the response for each segment of the Functional OCD, and then record their ratings and comments/rationale in the appropriate columns. The information agency evaluators gather on this form should be used together with the proposal evaluation rating in order to determine an overall evaluation and award decision for the Offeror.

The Functional OCD will consist of three segments; an oral presentation (Part A), an application feature demonstration (Part B), and a demonstration of scripted test case scenarios/responses to detailed questions (Part C). The oral presentation should be rated for each corresponding element. The results of the discussion topics in the application feature demonstration should be summarized to determine a color rating for element HR Functional Compliance, which is associated with subfactor Features and Functionality. The results of the scripted test case scenarios/detailed questions should be summarized to determine a rating for elements, which are associated with subfactor Capability of the Solution.

For each functional element and subfactor, agency evaluation team members should rate the demonstration as follows:

Table 7 Element and Subfactor Rating

Color	Rating	Definition
GREEN	Acceptable	Offeror provides an acceptable approach and solution to fulfill agency needs.
YELLOW	Needs Improvement	Offeror's functional approach or solution needs improvement in order to become acceptable to fulfill agency needs. Offeror will need to be re-evaluated prior to migration.
RED	Unacceptable	Offeror's functional approach or solution is unacceptable.
NR	Not Rated	Item was neither demonstrated nor discussed.

The following table contains the list of the functional subfactors and elements to be presented during the Functional OCDs. Functional elements are listed in **bold** underneath their associated subfactors. Evaluators should use the rating system in Table 7 above for each functional element listed below (highlighted in **bold**). In addition, any comments should be provided in the appropriate column. Evaluator responses will be reviewed by the Evaluation Team in determining a final RFP decision.

Part A

Agency evaluation team members should complete the table below for each item based on the rating scale noted above. In addition, any comments should be recorded in the appropriate column. Member ratings of Offeror responses should be used to determine an overall rating for the pertinent subfactors.

A. Functional OCD – Oral Presentation (Topics listed in the order defined in the Functional OCD Instructions)	**Subfactor and/or Element Rating** (color rating - Table 1)	**Comments/Rationale**
A.1. Corporate Capabilities and Solution Overview - Offerors will highlight their corporate capabilities in the HR functional areas described in their proposal and provide a high level overview of the proposed solution approach (e.g., hosting, back-office support, etc.). As part of this presentation, Offerors should also describe customers that are currently using their systems and services in a production mode.		
Subfactor: Features and Functionality **Element: Functional Description**		
• Solution adequately demonstrates a high level of understanding of the HR LOB SSC Federal enterprise architecture, Target Requirements for HR LOB SSCs, and other referenced documents • The proposed HR IT system(s) to be used in the Offerors SSCs to provide services in all agency required functional areas • The inputs and outputs of the HR IT systems used for…; • The proposed implementation process and the average timelines for implementing similar services on previous customer implementations; • The HR support and human capital consulting services (business process support) offered, and how the Offeror's approach will lead to the successful operation to deliver quality human resources and payroll services, if offered, to the agency.		
Subfactor: Provider Profile & Corp. Capability		

A. Functional OCD – Oral Presentation (Topics listed in the order defined in the Functional OCD Instructions)	**Subfactor and/or Element Rating** (color rating - Table 1)	**Comments/Rationale**
A.2. System Architecture - Offerors will provide an overview of the system architecture, use of COTS solutions, and COTS "bolt-ons" for the solution being proposed. Offerors will also describe how the technical architecture will integrate with existing agency human resource systems.		
Subfactor: Features and Functionality **Element: HR LOB Functional Compliance**		
• Ensure secure transactions and seamless integration with any bolt-ons or other interfaced systems • Potential for integration with an existing HR system or HRIS database and make HR data available for downstream use • Provide data to Agency personnel based on role		
A.3. Changes to Baseline Architecture for Demo Offerors will describe any changes made to the baseline software to support the OCD. Offerors will also describe how often system modifications and new releases will be delivered (e.g., quarterly, yearly, semi-annual), if and how upcoming releases will be used to meet the mandatory requirements, and how government-wide changes mandated by law or regulation will be implemented when they do not coincide with standard system releases.		
Subfactor: Features and Functionality (Risk – customization) **Element: HR LOB Functional Compliance**		
• Continuous review and incorporation of new laws, regulations, policies, and guidelines into their support operations. This would be necessary across all sub-functions in the BRM. • Support periodic review of HR transactions to ensure compliance with federal laws, regulations, merit principles, and agency-specific requirements. (HR Strategy requirements) • System changes (other than NOA Authority Code, and Remark changes) necessitated by changes to the Guide to Processing Personnel Actions must be implemented within 180 days of issuance of the GPPA change • System changes necessitated by changes to the Guide to HR Data Standards must be implemented within 180 days of issuance of the GHRDS change		

Part B

Agency evaluation team members should complete the table below for each item based on the rating scale noted above. In addition, any comments should be provided in the appropriate column.

B. Functional OCD - Application Feature Demonstration	**Subfactor and/or Element Rating** (color rating - Table 1)	**Comments/Rationale**
B.1. Application Feature Demonstration – General: Offerors will demonstrate features available in the overall solution they are proposing. The demonstration must be presented using the software, not a slide or verbal presentation. While the detailed functionality of each module will be demonstrated during the later sessions, the goals of this general demonstration are for the evaluators to ascertain the ability of Offeror systems to perform the general features, listed below.		
Subfactor: Features and Functionality **Element: HR LOB Functional Compliance**		
▪ ONLINE NAVIGATION AND HELP CAPABILITIES		
▪ SECURITY CONFIGURATION (INCLUDING HOW YOUR SYSTEM SUPPORTS SITUATIONS THAT REQUIRE IDENTITY PROTECTION)		
▪ FLEXIBILITY PROVIDED BY YOUR SYSTEM (E.G., LANGUAGES, SCREEN CUSTOMIZATION, 508 COMPLIANCE)		
▪ USE OF SCHEDULERS TO SUPPORT DATE-DRIVEN ALERTS & SYSTEM-INITIATED ACTIONS SUCH AS FOR WITHIN-GRADE INCREASES, EXPIRATION OF NOT-TO-EXCEED DATES (TEMP. APPT), & OTHER ITEMS		
▪ WORKFLOW, ROUTING AND MESSAGING, AND NOTIFICATIONS		
▪ REFERENCE TABLES (E.G., PAY TABLES, OCCUPATIONAL SERIES, DUTY STATION) MAINTENANCE		
▪ BUSINESS RULES MAINTENANCE		
▪ ERROR HANDLING PROCESSING		
▪ ABILITY TO SUPPORT INTERFACES		
▪ OVERVIEW OF SELF-SERVICE CAPABILITIES (MGMT., EMPLOYEE)		
▪ STANDARD MANDATORY FEDERAL REPORTS, SECURITY RELATED REPORTS, AND AD-HOC CAPABILITIES (E.G., EEO REPORTS, SF113-A)		
▪ PROACTIVE COMMUNICATION (E.G. SYSTEM GENERATED EMAILS, ALERTS, TICKLERS, ETC.)		
▪ AGENCY SPECIFIC DATA ELEMENTS (E.G. USER-DEFINED FIELDS NOT USED GOVERNMENT-WIDE)		
▪ DATA INTEGRITY AND SYNCHRONIZATION (E.G., MEASURES TO ENSURE THAT DATA REMAINS IN SYNC WITH OTHER SYSTEMS)		

ADDITIONAL COMMENTS:

Parts A, B

Evaluators should determine the overall color rating for each element using the ratings from each part of the Functional OCD and determine the overall rating for the subfactor based on the rating for each of the underlying elements in the table below. The overall OCD ratings should be input into the Functional Evaluation Form.

Overall OCD Ratings for Subfactor: Features and Functionality (Parts A and B)

Subfactor/Element (from Parts A, B, C)	**Part A.1** (color rating from Table 1)	**Part A.2** (color rating)	**Part A.3** (color rating)	**Part B.1** (color rating)	**Overall OCD Rating** (color rating)	**Comments / Rationale**
Features and Functionality						
Element: Functional Description						
Element: HR LOB Functional Compliance						

Part C

Agency evaluation team members should review the results of the test scenarios, detailed questions and Employee Self-service demonstration and complete the table below for each item based on the rating scale noted above (Table 7). In addition, any comments should be provided in the appropriate column. Member ratings of Offeror responses and demonstrations should be used to determine an overall rating for the subfactor Capability of the Solution.

Overall OCD Ratings for Subfactor: Capability of the Solution

Subfactor / Element	**Test Scenarios # thru ##** (color rating- Table 1)	**Overall OCD Rating** (color rating)	**Comments / Rationale** (Summarize how successful the Offeror was in meeting expected results for all tests to support your rating)
Capability of the Solution			
Element: #1			
Element: #2			
Element: #3			

Functional Demonstration Subfactor Risk Rating – Based on how much of the total solution the Offeror has demonstrated and the quality of the solution proposed, evaluators should determine the risk level for each of the functional subfactors using the guidelines listed in Table 8 below. The Functional OCD risk ratings for each subfactor should reflect the subfactor rating, as well as the ratings for the underlying elements.

Table 8 Subfactor Risk Rating

Rating	Definition
Low	Proposed solution is highly compliant with mandatory requirements and standards.
Moderate	Proposed solution is substantially compliant with mandatory requirements and standards. A strong commitment to improve the solution with close Government monitoring will likely overcome

	identified deficiencies prior to migration.
High	Proposed solution is substantially non-compliant with mandatory requirements and standards. Offeror is unlikely to become compliant prior to migration even with an extraordinary commitment

Subfactor Risk Evaluation

Subfactor	**Risk Rating (Low, Moderate, High)**	**Comments**
Features and Functionality		
Capabililty of the Solution		
Provider Profile & Corp. Capability		

Date: _____

Location: _____

Agency Evaluator Signature: _____

9 Appendix D: Technical OCD Sample Evaluation Template

This form is to be completed by each member of the agency evaluation team that attends the Offeror Technical OCD (site-visit). The form allows evaluators to track Offeror responses to specific technical topics in an organized and consistent manner. Members should use the rating scale provided in Table 9 below to rate the response in each technical area, and then record their ratings and comments/rationale in the appropriate columns. The information evaluators gather on this form should be used together with the proposal evaluation rating in order to determine an overall evaluation and award decision for the Offeror.

For each technical subfactor and element, evaluators should rate the demonstration as follows:

Table 9 Element and Subfactor Technical OCD Rating

Color	Rating	Definition
GREEN	Acceptable	Offeror demonstrates (or discusses) a security and technical approach or solution that meets most of the prescribed security and technical constraints.
YELLOW	Needs Improvement	Offeror demonstrates (or discusses) a security and technical approach or solution that meets many of the prescribed security and technical constraints.
RED	Unacceptable	Offeror's security and technical approach or solution is unacceptable.
NR	Not Rated	Technical area was neither demonstrated nor discussed.

The following table contains the list of the technical subfactors and elements to be presented during the Technical OCDs. Technical elements are listed in **bold** underneath their associated subfactors. Evaluators should use the rating system in Table 9 above for each technical element listed below (highlighted in **bold**). In addition, any comments should be provided in the appropriate column. Evaluator responses will be reviewed by the Evaluation Team in determining a final RFP decision.

OCD Ratings for Elements

Technical Site-Visit OCD Evaluation Criteria	Element Rating	Comments
Offeror Overview and Experience – Present brief overview of the Offeror's experience hosting and operating the proposed solution.		
Subfactor: Hosting **Element: Hosting Support**		
Subfactor: Hosting		

Technical Site-Visit OCD Evaluation Criteria	Element Rating	Comments
Element: Hardware System Software Installation, Configuration and Capacity Planning		
Subfactor: Deployment Approach **Element: Overall Transition Strategy**		
Subfactor: Provider Profile & Corp. Capability **Element: Provider Profile**		
Subfactor: Provider Profile & Corp. Capability **Element: Capabilities and Experience of Offeror – Experience**		
Additonal Comments		

Offeror's Proposed System Solution – Discuss the history of the proposed system solution. When was the first software release? What is the current software release? How many releases per year? What is your release/upgrade strategy? How are rollouts performed? How many modules comprise the system solution? Was the proposed system solution built as part of in-house development or was it purchased elsewhere? How does this solution adhere to the Federal and HR LOB Enterprise Architectures? To what extent does this solution integrate and or interface with other applications? What connectivity is required? What hosting support is supplied? What Privacy Act protections are in place? What is your transition strategy? What ownership rights would the Federal Government have? How well do you adhere to Section 508 requirements?		
Subfactor: Architecture and Integration **Element: Architecture**		
Subfactor: Architecture and Integration **Element: Integration and Connectivity**		
Subfactor: Architecture and Integration **Element: Interfaces**		
Subfactor: Hosting **Element: Hosting Support**		
Subfactor: Federal Security Standards **Element: Configuration Management** (incl. SDLC)		
Subfactor: Federal Security Standards **Element: Ownership Rights** (incl. SLA)		
Subfactor: Federal Security Standards **Element: Section 508 Requirements**		
Subfactor: Federal Security Standards **Element: Privacy Protection**		
Subfactor: Deployment Approach **Element: Rollout**		
Subfactor: Deployment Approach **Element: Synchronization of Version Upgrades**		
Subfactor: Deployment Approach **Element: Overall Transition Strategy**		

Subfactor: Federal Security Standards **Element: Personnel Security** – Demonstrate (or discuss) the Offeror's processes that support:		
Personnel Screening Personnel Terminations Third party personnel security Annualized Specialized Training and Awareness		
Subfactor: Federal Security Standards **Element: Physical Environmental Protection** – Demonstrate (or discuss) the Offeror's approach to managing and providing physical and environment security for the hosting site and any alternate or backup sites. Offerors may wish to consider the following topics in their presentation (This may be a candidate for site-tour):		
Temperature and Humidity Control Power (including backup generation) Fire suppression Secure hosting center access Physical access (e.g., building, facility, rooms) Visitor access Accommodation for future growth Prevention of information leakage due to electromagnetic signal emanations		
Subfactor: Deployment Approach **Element: Hardware and System Software Installation, Configuration and Capacity Planning (Infrastructure)** – Demonstrate (or discuss) how the Offeror monitors the technology infrastructure. Offerors may wish to consider the following topics in their demonstration: (This may be a candidate for site-tour).		
Hardware including servers and storage devices Location of entrance room, computer room, offices, operations center, telecommunications room Network infrastructure (incl. firewalls, switches, routers, load balancer, etc.) Cabling infrastructure Percentage of availability Annual downtime		

Subfactor: Quality Control **Element: Contingency Planning (Continuity of Operations & Contigency Planning – Backup/Restore Management)** – Demonstrate (or discuss) how the Offeror handles system backups, off-site storage and recovery. Include testing schedules, restore procedures, incremental and full backup procedures, etc. Offerors may wish to consider the following topics in their presentation: (This may be a candidate for site-tour).		
Backup technology Perform complete and/or incremental backups and any maintenance that occurs on the back-up library Off-site storage coordination Restore single or multiple objects from the backup media Restore complete or incremental backup as needed after system failures Validate integrity and consistency of restored information Identify or propose periodic backup and recovery tests Service Level Agreements with Third Party (e.g., back-up storage vendor)		
Subfactor: Federal Security Standards **Element : Continuity of Operations Planning and Contingency Planning - Business Continuity (BCP)** – Demonstrate (or discuss) how the Offeror ensures continuity of system availability of critical business applications and data. How does the Offeror's underlying infrastructure provide for business continuity? Offerors may wish to consider the following topics in their presentation:		
Business continuity plan and plan maintenance Define standards for Business Continuity Arrange and coordinate with hot-site, vault providers Integrate BCP with production acceptance processes Business Impact Assessment completion Service Level Agreement development		
Subfactor: Federal Security Standards **Element: Continuity of Operations Planning and Contingency Planning - Disaster Recovery (DR)** – Demonstrate (or discuss) how the Offeror performs Disaster Recovery support. The Offeror should explain how its disaster recovery services are designed to maximize system availability and minimize service disruption in the event that critical components of the infrastructure are rendered inoperable. Offerors may wish to consider the following topics in their presentation: (This may be a candidate for site-tour)		
Demonstrate activities and scope of DR plan Identify when DR exercise was last executed, and the results of last DR exercise Identify frequency and scope of test		

Subfactor: Federal Security Standards **Element: Configuration Management** – Demonstrate (or discuss) the Offeror's configuration management practices. Offerors may wish to consider the following topics in their presentation:		
Version control and types of baselines Configuration management tools Promotion/Migration Process that delivers software into various environments Configuration Management audit processes Change control process Synchronization of version upgrades		
Subfactor: Federal Security Standards **Element: System Information and Integration (System Information and Integrity)** – Demonstrate (or discuss) how the Offeror manages the security from "hacker-type" threats. Offerors may wish to consider the following topics in their presentation:		
Malicious code protection Intrusion detection tools Security alerts and advisories Spam and spyware protection Rules for checking input validity Error handling and flaw remediation		
Subfactor: Federal Security Standards **Element: Hardware and System Software Installation, Configuration and Capacity Planning (Capacity Management/Planning)** – Demonstrate (or discuss) how hardware and media capacity planning is performed. Offerors may wish to consider the following topics in their presentation:		
Equipment planning and associated cost information Capacity planning, historical, and trend information Key transaction performance measurements (weekly, monthly, quarterly)		
Subfactor: Federal Security Standards **Element: Media Protection** – Demonstrate (or discuss) how the Offeror secures the media devices. Offeror may wish to consider the following topics in their presentation:		
Access restricted to the system media Security markings or caveats applied to the media Location of media (e.g., controlled area) Transport of media Disposal of media Sanitation of media devices		
Subfactor: Federal Security Standards **Element: Incident Response** – Demonstrate (or discuss) how the Offeror responds, tracks, and notifies the user community of incidents. Offerors should explain how they minimize the resolution time for problems by logging, tracking, and expediting problems as they occur, keeping stakeholders current as to resolution status, exploring all factors that can lower mean time to resolution (MTTR) and maintain a high level of overall customer satisfaction. Offerors may wish to consider the following topics in their presentation:		
Escalate problems according to documented procedures Assess and resolve problems incurred among desktops, servers,		

and networking systems Define processes and procedures for automated problem management Optimize problem-management techniques Ensure proper tracking, trend analysis and documentation for all problems Assure that service desk policy is followed Manage customer requests, incidents, inquiries, and issues Incident Management		
Subfactor: Service and Support **Element: Help Desk Support (Service Desk)** – Demonstrate the Offeror's processes that:		
Provide customer care and service desk functions Track and reconcile general user support & inquiries, application issues, production data inquiries & fixes, database performance issues Optimize service desk assistance and support		
Subfactor: Federal Security Standards **Element: System Maintenance** – Demonstrate how the Offeror performs maintenance on their hardware and software. Offerors may wish to consider the following topics in their demonstration:		
Scheduled application and system maintenance Customer-initiated maintenance Preventative maintenance plans Release management		
Subfactor: Deployment Approach **Element: Hardware and System Software Installation, Configuration and Capacity Planning (Network Management and Maintenance)** – Demonstrate how the Offeror performs network maintenance. Offerors may wish to consider the following topics in their demonstration:		
Define the processes and procedures for network monitoring What type of tools are employed to manage the network Type and usage of network reports available Execute preventative maintenance plans Test components that have received maintenance Network management and maintenance reporting		
Subfactor: Federal Security Standards **Element: Identification and Authentication** – Demonstrate the authentication mechanisms performed at the user and device level in the Offeror's solution. Offerors may wish to consider the following topics in their demonstration:		
System authenticators Unique identification of users Identification and authentication flow		
Subfactor: Federal Security Standards **Element: Access Control** – Demonstrate how Offeror grants / enforces appropriate level of access to applications and data to internal and external personnel through the use of day-to-day administration of security policies and the use of a consistent security policy across all enterprise resources. Offerors may wish to consider the following topics in their demonstration:		

Account management (establishing, modifying, disabling, etc.) User Ids and passwords Separation of duty Logon and session controls Remote access Wireless access Personally/Government owned computers/laptops Lease privilege		
Subfactor: Federal Security Standards **Element: Audit and Accountability** – Demonstrate how the audit features are incorporated into the Offeror's solution. Offerors may wish to consider the following topics in their demonstration:		
When and what type of audit records are generated Type of information captured on the audit records Retention period for audit records Protection of audit records How are the audit records used Reporting mechanisms & reports generated from audit records		
Subfactor: Federal Security Standards - **Element: Audit and Accountability (Security Certification and Accreditations)** – Demonstrate the Offeror's security certification process and status. Offerors may wish to consider the following topics in their demonstration:		
MOUs between vendors and/or systems Security self-assessments results Security control and testing results Plan of Action & Milestones (POA&M) Continuous Monitoring (Post Accreditations) Risk Assessment Security Planning		

Subfactor: Service and Support **Element: Service Level Agreements (System and Service Acquisition)** – Offerors may wish to consider the following topics in their demonstration:		
User installed software Resource allocation Third party connection requirements Software usage restrictions Lifecycle Management Service Level Management Interconnection Security Agreements		
Subfactor: Federal Security Standards **Element: System and Communication Protection** – Demonstrate how the Offeror provides system and communication protection. Offerors may wish to consider the following topics in their demonstration:		
Application partitioning Isolation of security functions Denial of service Boundary protection Transmission integrity and confidentiality Use of mobile code		
Subfactor: Quality Control - **Element: Quality Assurance** – Demonstrate how the Offeror will establish, support, and enforce corporate quality standards.		
Methodology Quality Control Testing Reporting and Feedback Process Lessons Learned Audits		

To assess technical capability and the level of agency evaluator confidence in the Offeror, agency evaluators will use the rating system in Table 9 to rate each technical **Subfactor** listed below in **bold** (with their associated elements in normal type):

Overall OCD Ratings for Subfactors

Technical Site-Visit OCD Evaluation Criteria	Subfactor Rating	Comments
Provider Profile & Corp. Capability		
(from Offeror Overview and Experience) o Provider Profile o Capabilities and Experience of Offeror – Experience		
Hosting		
(from Offeror Overview and Experience) o Hardware System Software Installation, Configuration and Capacity Planning o Hosting Support		

Technical Site-Visit OCD Evaluation Criteria	Subfactor Rating	Comments
(from Offeror Proposed System Solution) o Hosting Support		
Deployment Approach		
o Hardware and System Software Installation, Configuration and Capacity Planning o Network Management and Maintenance o Infrastructure (from Offeror Overview and Experience) o Overall Transition Strategy (from Offeror Proposed System Solution) o Rollout o Synchronization of Version Upgrades o Overall Transition Strategy		
Architecture and Integration		
(from Offeror Proposed System Solution) o Architecture o Integration and Connectivity o Interfaces		

Federal Security Standards		
(from Offeror Proposed System Solution) o Configuration Management o Ownership Rights o Section 508 Requirements (Federal Security Standards discussion) o Privacy Protection o Personnel Security o Physical Environment o Disaster Recovery o Configuration Management o System Information and Integrity o Capacity Management/Planning o Media Protection o Incident Response o System Maintenance o Identification and Authentication o Access Control o Audit and Accountability o Security Certifications & Accreditations o System and Communication Protection o Business Continuity o Ownership Rights o Section 508 Requirements o Privacy Protection		
Service and Support		
o Service Desk o System and Service Acquisition		
Quality Control		
o Continuity of Operations & Contingency Planning o Quality Assurance		
ADDITIONAL COMMENTS:		

Technical Demonstration Subfactor Risk Rating

The Technical OCD risk ratings for each subfactor should reflect the subfactor rating as well as the element ratings that comprise the subfactor.

Table 10 Subfactor Risk Rating

Rating	Definition
Low	Proposed solution is highly compliant with prescribed security and technical constraints. Normal effort by the Offeror and Government monitoring will likely overcome identified deficiencies.
Moderate	Proposed solution is substantially compliant with prescribed security and technical constraints. A strong commitment to improve the solution with close Government monitoring will likely overcome identified deficiencies.
High	Proposed solution is substantially non-compliant prescribed security and technical constraints. Offeror is unlikely to become compliant even with an extraordinary commitment.

Based on how much of the total solution the Offeror has demonstrated and the quality of the solution proposed, evaluators should determine the risk level for each of the following technical subfactors listed below using the guidelines listed in Table 10.

Subfactor	Risk Rating (Low, Moderate, High)	Comments / Rationale
Hosting		
Deployment Approach		
Architecture and Integration		
Federal Security Standards		
Service and Support		
Quality Control		

Date: _____

Location: _____

Agency Evaluator Signature: _____

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