

Supplement 3: OAKS^{enterprise}

Enterprise Grants Management (EGM)

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1 Background and Overview

The federal grants management processes employed by Agencies within the State of Ohio involves over 700 employees and are antiquated, inefficient and ineffective. There are 22 State Agencies receiving and distributing approximately \$25B in federal grant funds annually. These Agencies employ 57 different software systems and technology tools. In most cases, these are standalone systems not integrated with the State's ERP financial system.

This approach to federal grants management at the enterprise level results in restricted visibility into how approximately \$25 billion is being spent within grant programs annually. Under the current situation, providing answers to practical operational questions at the enterprise level, is a labor-intensive and expensive endeavor.

The grants management processes employed by Agencies within the State of Ohio involving over 700 employees are antiquated. This is not a reflection on the diligent administrators who perform well with the resources provided. The challenges result from the long-term culture of the State that encouraged Agency autonomy and fostered functional silos. Therefore, administrative functions, that are indeed common to many if not all Agencies, are often performed individually and uneconomically, ignoring the economies of scale that simplified, standardized and end-to-end defined processes can provide the State. In addition, priorities for other enterprise applications have taken precedence over grants management processes and systems. Therefore, inattention at the enterprise level of the State has led to the challenges and potential risks currently present in today's environment.

The State's long term goal is an Enterprise Grants Management process and system that all Agencies use in a common manner. Among others, the State requires the following outcomes from this solution:

The State's long term goal is an Enterprise Grants Management process and system all Agencies are using. Among others, the State requires benefits from this solution:

- Improved visibility into the programmatic and fiscal performance of grants by all levels of the State: from the program manager to the State Executive Leadership.
- Continued or improved compliance with fiscal, regulatory and other filing, reporting and compliance requirements associated with a variety of grants.
- Improved efficiency and effectiveness of the State's overall Grants Management processes across all State Agencies.
- Improved customer relations with sub recipients, giving them the ability to identify, apply for, manage, and report on individual grants using the same general workflow, processes and tools regardless of the State Agency administering the grants.
- Reduction of risk due to negative audit findings.
- Improved collaboration between Agencies.
- Adoption of the OAKSenterprise Grants solution and retirement of Agency specific or legacy applications and business practices/processes.

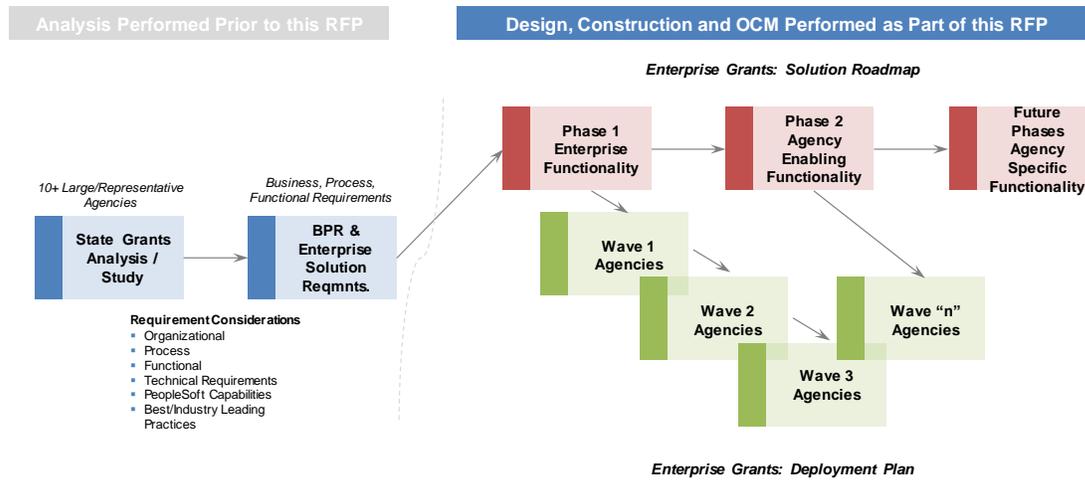
Based on these requirements and outcomes, the State has established Enterprise Grants Management (EGM) Program within the OAKSenterprise project to programmatically address the State's end-to-end Grants Management process and technology analysis effort. The State has performed an analysis of the Grants Management systems utilized by the various State Agencies as well as the Grants Management processes. A major conclusion of the analysis was the State needed to standardize its Grants Management business processes as part of (and to be supported by) technology based solutions.

1.1 Ohio Grants Management Program Overview

The State's analysis of the Grants management process was a collaborative effort that included the participation of more than ten large Agencies who regularly initiate and manage a variety of grants. As a result of this analysis the State has identified requirements to reengineer the processes and implement an enterprise solution for the State to better initiate, administer, report upon and manage the overall Grants process. In consideration of the requirements - inclusive of business, process and technical – the State

believes that these requirements identified in the analysis collectively represent in excess of 80% of the State's requirements and in particular those required to secure and adhere to federal grant funding regulations and standards.

Conceptual Overview of Work and Phases: Implementation and Rollout Approach



1.2 Phasing Strategy and Approach

The following is a high-level summary of functional and technical Requirements the selected solution must meet, the following is a summary of the requirements that are detailed later in this supplement. A Microsoft Excel® spreadsheet version of the requirements is provided for offeror's analysis and use in formulating their response to this RFP. The information later sections of this Supplement is included to aid the offeror in completing the their response to this RFP.

	Initial Release	Post Initial Release(s)	Future Phases
Objective	Establish a working foundation for ERP, Process, Technology, Integration and Reporting and Selected Agency Grants Functions	Extend the working foundation from Phase 2 to include broader functional, process and reporting functions for more complex Agencies and requirements	Out of Scope for this RFP, to be determined by the State at the successful conclusion of Phases 1 and 2
Waves	<ul style="list-style-type: none"> Ohio Department of Mental Health and Addiction Services Ohio Department of Public Safety Ohio Department of Education Ohio Department of Aging Ohio Department of Transportation (optional based on assessment of requirements) 	<ul style="list-style-type: none"> To be determined during the design phase of the Initial Release 	
Functionality Summary <small>(details of these summaries appear later in this Supplement)</small>	<ul style="list-style-type: none"> Document Management (7 requirements) ERP Integration (23 requirements) Form Management (2 requirements) Grants Management (12 requirements) Reporting (12 requirements) Technology (10 requirements) Usability (3 requirements) Workflow (9 requirements) CRM (1 requirement) 	<ul style="list-style-type: none"> ERP Integration (4 requirements) Form Management (4 requirements) Grants Management (3 requirements) Reporting (1 requirements) Technology (1 requirement) Usability (7 requirements) Workflow (2 requirements) CRM (14 requirements) 	

2 Integrated Enterprise Grants Operating Environment

In order to achieve efficiencies that will benefit the State's many knowledge workers; each of the following components needs to be implemented:

- **A Simplified and standardized end-to-end process must be enabled through the solution.** This means supporting the process where it begins (e.g. Federal Department of Health and Human Services) all the way to where the process is delivered (e.g. an Ohio County Department of Children Services), then to its conclusion in final reporting (e.g. the Ohio Department of Health) without regard to organizational boundaries. The business processes should be able to be aligned organizationally where they can be most effectively executed, which may be centrally in a shared services organization or within the individual agencies. The goal is effective process execution not necessarily organizational continuity. The end-to-end processes that was designed through the analysis is standardized down to a specified level of detail to provide continuity, consistent processing and consistent data across the State while providing agencies with the latitude to implement specific business rules and flows to accommodate the unique needs of the various grant programs. The solution must be able to support this mix of standardization and customization.
- To facilitate the redesigned processes the system, as implemented, must **automate and support the administration of grant programs performed by the State of Ohio’s workers**; managing the funds received by the State from various Federal departments and other entities and distributed by the State via grant funds throughout the State’s other many political sub-divisions. The software would be required to support the State of Ohio as one enterprise entity, enforcing agreed-upon State-wide standard processes, while having flexibility and configurability to support unique grant program business rules. In addition, the grants management software would be required to be integrated with the OAKS enterprise Financial (and HCM) systems to assure accurate and consistent accounting for grants at the State and Agency levels.
- A robust business intelligence (BI) capability must be available to provide grant administrators and State-wide executives with **access to comprehensive and accurate grants management data**. The BI system must provide Statewide and agency administrator dash boards and automated drilldown capability along with standard reports and ad hoc query access to timely and relevant grant data. The BI capability can be provided via integration to the existing OAKS EPM data warehouse, other statewide enterprise data warehouse or another specified warehouse provided by the selected software package(s).
- **A Grants governance structure must be established**, the Contractor will support the State in the specification, design and implementation of the overall Grants governance structure that will be designed to provide a process owner and oversight for the execution of processes and the configuration of the software. The business process owner and configuration team could exist as a shared service organization within the State’s central Office of Budget and Management or other cross-agency organization.

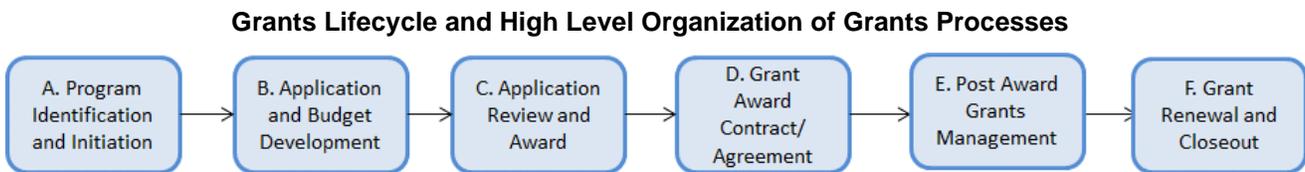
To realize the greatest possible positive impact, offerors are to propose, and (as Contractors) design and implement their solution to address the following business requirements and objectives:

Change Mgmt. Area	Business Requirements and Objectives
People	<ul style="list-style-type: none"> ▪ Make significant investments in training and change management activities to ensure successful implementation and adoption of the standard business processes and the new system; ▪ Knowledge repository with simple access to meaningful information (policies, process, Standard Operating procedures, etc.).
Processes	<ul style="list-style-type: none"> ▪ Develop a Process Management process for the state-wide grants management business process. This should include a defined “process owner”, a Service Level Agreement, and a continuous improvement component. ▪ Implement the standard business processes across the enterprise; ▪ Allow for the use of electronic signatures (or equivalent approval mechanisms) on all internal Agency transactions to eliminate wait times associated with the distribution of physical documents; ▪ Design a standard process that can be used to periodically review and optimize enterprise processes. Consider soliciting feedback from grantees and grantors as part of these reviews. ▪ Adopt the standardized usage of Chartfields across the Agency ▪ Track detail spending within grant by project, sub-project and/or activity
Technology	<ul style="list-style-type: none"> ▪ Automate business processes and workflows using an integrated enterprise-class software application; ▪ Identify and design solutions for points of integration between the enterprise system and other systems Agencies may be required to use; ▪ Allow for the use of electronic signatures (or equivalent approval mechanisms) on all external Agency transactions to eliminate wait times associated with the distribution of physical documents. ▪ A robust business intelligence component is a major component of the system integration/software component. ▪ Integration with OAKS ERP Grant monitoring dashboard capability

Change Mgmt. Area	Business Requirements and Objectives
Risk	<ul style="list-style-type: none"> ▪ Implement integration with OAKS State accounting for consistency of financials for accounting of grant funds incoming to the State ▪ Develop comprehensive audit reporting package and process ▪ Implement a common process and system for reporting for program compliance both for programs executed by the State and for programs executed by recipients and funded by State grants

3 General Grant Life Cycle Process and Organization of Processes

The State requires a grants management solution to be designed and implemented support these standardized State processes. The grants solution the State requires must be designed and implemented in such a manner as to support the entire grants lifecycle process (see figure below), from program initiation through grant renewal and closeout, including improved customer relationship management for sub recipients, thereby improving grants management across the State.



The State has identified that Initial Release of the project will deliver those functions that are common across the enterprise, with an emphasis on the transactional portion of the solution to selected Wave1 Agencies which were identified as those five to seven Agencies who (collectively) have a high degree of commonality as well as serve to establish a foundation for the State’s onward implementations. This solution will include integration with the State’s ERP system (OAKS) and Business Intelligence (BI) solution. Phase 2 will extend grants capabilities to address Agency specific considerations and enablers and extend the solution to integrate with key aspects the State’s externally facing infrastructure elements (e.g., portal and identity management). Future Phases will be designed and implemented to complete the solution, at which time it will be generally available to all State Agencies who require some form of Grants Management capability that is well suited from a fit and cost perspective to make using the OAKSenterprise solution attractive.

After Initial Release, the solution will be deployed to sets of Agencies (designated Waves). Phases and Waves are not necessarily coincidental with the exception of Initial Release and Wave 1. In this document the terminology “Initial Release Agencies” is understood to be synonymous with the Wave 1 set of Agencies.

The State’s potential solution space includes SaaS solutions, solutions developed on the State’s PaaS platform, or a combination of both. The solution will be rapidly scalable and deployable, fulfilling the State’s long-term goal of a single, Enterprise Grants Management Solution.

While Initial Release is the scope of this Statement of Work, the State will additionally consider the potential of any solution to meet the State’s needs for all subsequent phases and its long term goals.

The State requires offerors to target the Initial Release, Wave 1 deployment Agencies for September of 2016.

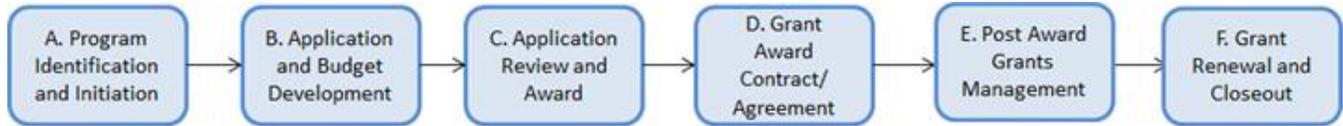
4 Document Convention: Deliverable Identification

All items in this Supplement that are marked with the sequentially numbered red identifier (e.g., **Deliverable 000**) will be considered formal deliverables inclusive of the elements of the deliverable as indicated by red bullets (▪) and be subject to the State’s deliverable acceptance process described in Part 2: Special Provisions, Submittal of Deliverables of the RFP.

5 Grants “To Be” Process Overview

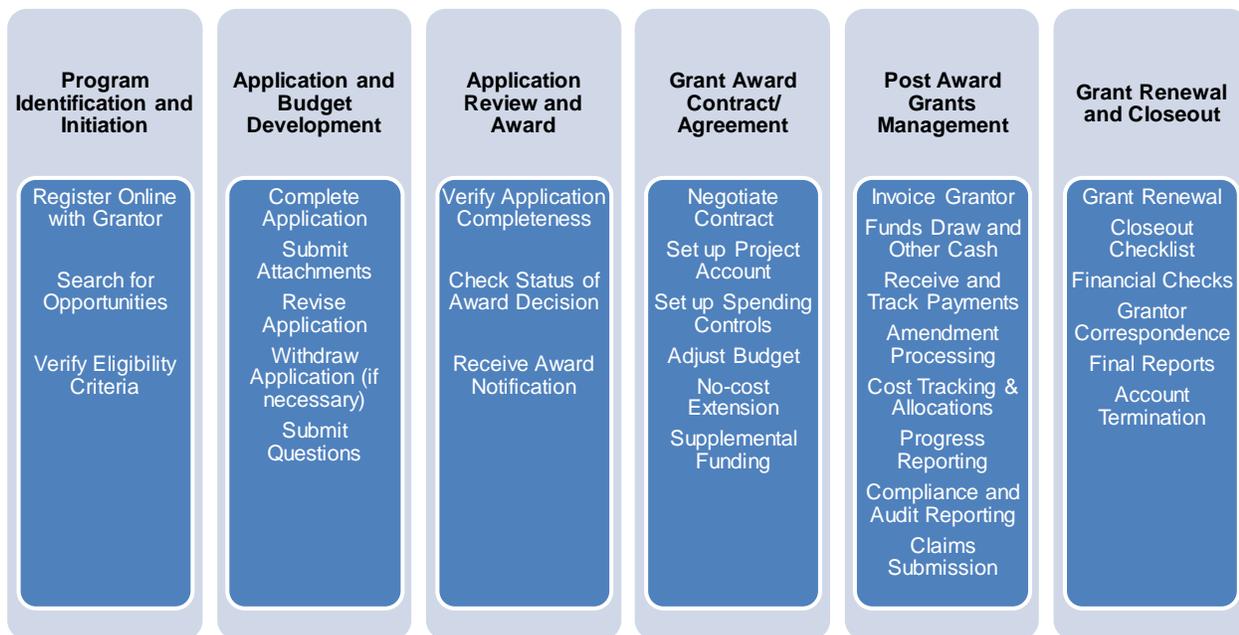
The State’s approach to improving grants management is to standardize processes and implement technology via this RFP which automates and makes these processes more effective, robust and repeatable across the enterprise. Over the past year, more than 10 State Agencies representing over 80% of the State’s federal grant funding have collaborated to define common processes for the entire grants lifecycle process.

The lifecycle of grants is represented by the top-level process steps below:



5.1 Integrated Grants Operating Environment

The State requires the design and implementation of an Integrated Grants operating environment as follows, detailed requirements for each area follow in this Supplement:



5.2 Grantee Solution

The Grantee solution must support these activities in conjunction with the PeopleSoft Financial Software employed by the State as OAKS. Most of the software components of the Grantee solution appear to be either PeopleSoft Financial software or highly integrated with those software modules. Much of the technical effort in designing, implementing and deploying the Grantee solution will involve configuring and testing PeopleSoft Financial modules and the integration. The State has access to a variety of enhanced capabilities via PeopleSoft grants related components and advancements as a result of the release of PeopleSoft 9.2 that will be completed concurrent with the let of this RFP.

The implementation of Grantee software solutions includes two general variations:

1. The determination of the variation that best meets the enterprise needs for the State will be validated during the system and process design phase. Variation one will be an implementation of the PeopleSoft Grants Management Solution. This includes the configuration and integration of the software components PeopleSoft Grants, Project Costing, Billing and Accounts Receivable. Variation one is a complete solution providing ultimate flexibility in tracking the grant and the associated projects and activities for grant funding received by the State in a comprehensive sub-ledger.

2. The second variation will use the general ledger as the basis for capturing grant accounting data. This simpler more basic approach can be implemented if State determines that a more simple accounting treatment will meet the reporting needs of the enterprise and the Agencies.

Within both scenarios, (re)alignment and (re)structure of ChartFields and chart of accounts will be required that will leverage established OBM standards and rules. At a minimum consistency and standards for the use of the Grant and Project ChartFields will need to be established and enforced. The Fund and Account fields may also need to be analyzed and modified.

As part of the implementation, and specific to Organizational Change Management capabilities to be designed and implemented by the system, the offeror must include in their work the following items at a minimum:

- Grant financial management training, including training in processes and in the OAKS system components
- Training in the preparation and submittal of grant applications
- Training in finding grant opportunities
- Grant management and compliance management training

5.3 Grants Portal

The technology solution will involve the implementation of a software product to support the processes and work flow inherent in the distribution of grant funds to recipients across the State while making an easy to use, easy to operate and manage (i.e., user friendly) environment for Grantees to apply for and manage their relationship with the State and not require an intimate or detailed understanding of OAKS or the underlying PeopleSoft technology. The offeror should identify and propose a product offering the best combination of structure, scalability and flexibility to support the diverse nature of the grant programs offered by the State's Agencies. The primary functions to be supported by the software solution include:

- A singular (i.e., one) common enterprise portal for management and communication of the grants programs with the grant recipients for all State Agencies and state grant recipients. The portal would support:
 - Registration of grant applicants and potential awardees
 - Broadcast of available grants
 - Application form development by the State
 - Application completion by grant applicants
 - Real time edits
 - Application validation to verify that key criteria are met in application
 - Multi-reviewer simultaneous application review and scoring
 - Grant Award
 - Claims
 - Recipient financial reporting
 - Recipient progress and compliance reporting
- Funding and reimbursement to grant recipients
- Support and manage site visits
- Maintain historical data on grant recipients
- Maintain grant financial data
- Maintain grant programmatic and compliance data
- Support grant administrator reporting
- Support statewide recipient reporting

- Integrate with OAKS
- Integrate with business intelligence data warehouse
- Automated work flow
- Automated event triggers
- Recipient correspondence and interaction management

5.4 Grantor Solution

The Grantor Solution targets processes and software for managing the grant funds that are distributed to the State of Ohio's counties, municipalities, townships, school districts and other entities. Currently, this is a largely manual effort across the State's Agencies. It is largely a manual effort across the State's Agencies and is resource intensive. The proposed solution must include standardized processes and data structures and a comprehensive software solution that will not only simplify the activities of the State's staff, but also the staff at the various entities that are the recipients of the State grant funds.

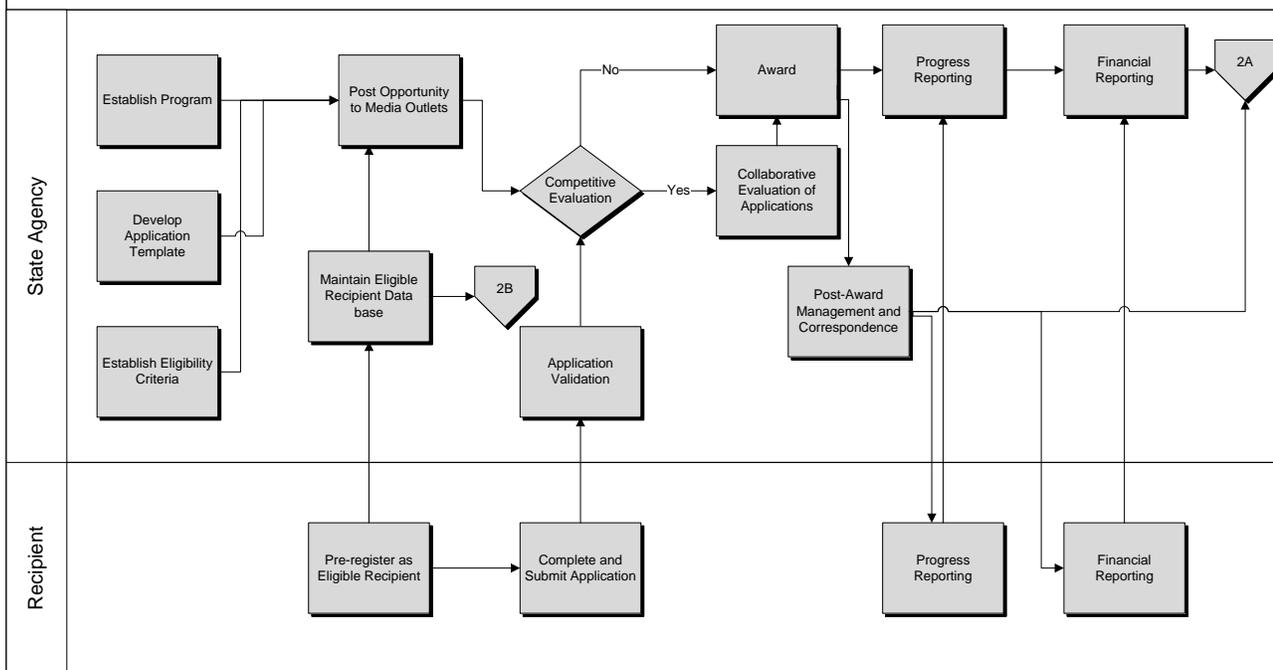
The Grantor solution will provide a means for effectively distributing funds to recipients and collecting meaningful and accurate financial and program data. A key feature of the Grantor solution will be a portal that will be the single communication point for all Agencies and grant programs from the State to the State's grant recipients. The portal must be designed and implemented to facilitate the following functions:

- Registering potential recipients
- Broadcasting grant awards available
- Applying for State funded grants
- Reviewing and scoring of grant applications
- Awarding grants to recipients
- Managing financial transactions
- Accepting recipient financial and program compliance reports

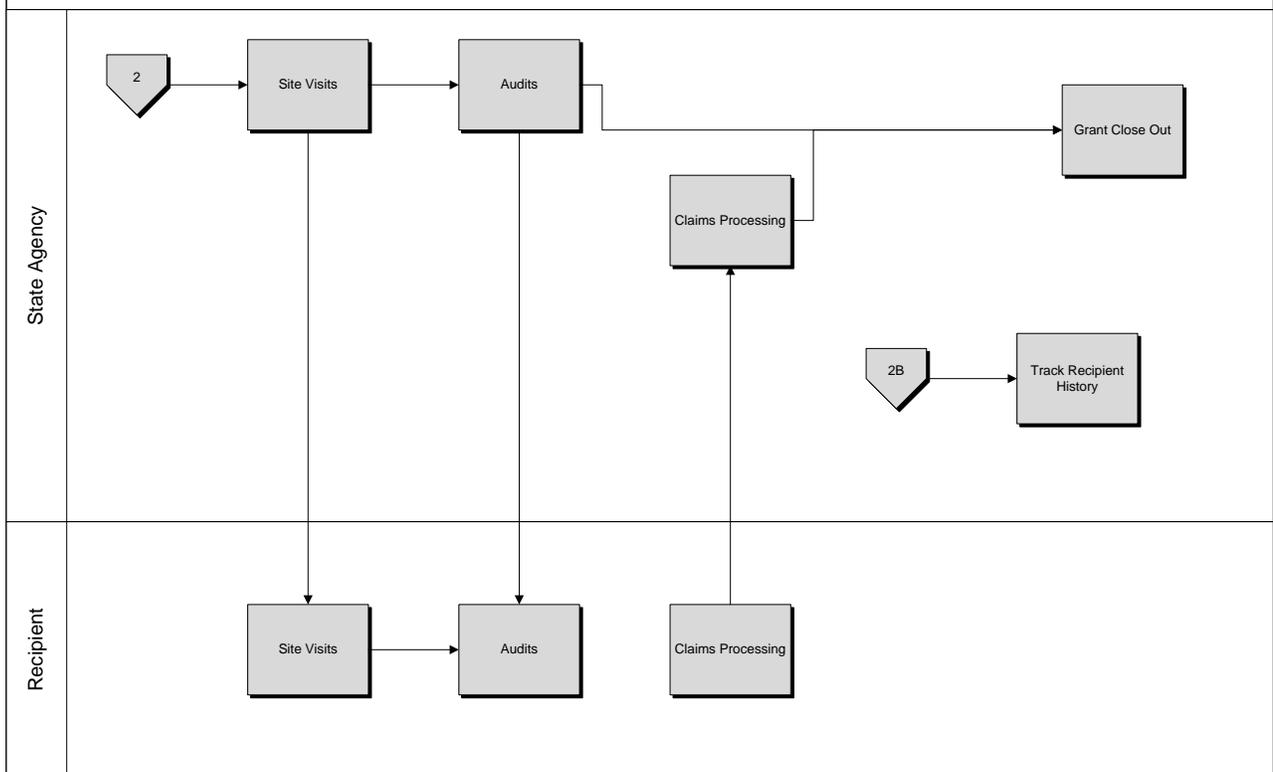
The Grantor Software solution requires a product that provides the ability to establish a standardized structure and data model, while providing flexibility to accommodate for the unique configuration for some components at the grant program level.

The following high level work flow is representative of the State required high level process that should be the basis for offeror proposals to this Supplement:

Grant Processing - Grantor



Grant Processing - Grantor



5.5 Business Intelligence

Integration with the OAKS business intelligence data warehouse is a key to the success of this initiative. The most significant grant management challenge today is the inability to access comprehensive grant management data. A full view of all of the State's grant funded program information does not exist anywhere on any platform. In many cases, much of this information resides on stand-alone personal computer spreadsheets only.

This project would propose that the Grantee and Grantor systems feed and maintain ALL State grant related data on the OAKS business intelligence data warehouse. This business intelligence tool must produce standard state enterprise, Agency and administrator dashboards, standard reports and ad hoc query capabilities.

The enterprise data warehouse could be the OAKS PeopleSoft EPM structure, the new to be developed Integrated Eligibility structure or some other yet to be defined mechanism.

Offerors should (in addition to the below) propose an approach, and as part of the work design and implement the following:

Business Intelligence Area	Description
Grant Visibility	Centralized organization structure within the State and at the Agency level, with processes that focus on seeking and applying for all potentially applicable grants can materially increase the grant income to the State of Ohio.
Grant Analysis and Performance Insights	Having all grants management data in a single data warehouse will allow the State to have improved insight into where grants are distributed. Insight such as this can provide tangible benefits as there are likely recipients receiving dollars from multiple Agencies or departments for the same program components.
Insight into the programmatic aspects	Having all grants management data in a single data warehouse will allow the State to have improved insight into the benefit provided by the grant programs and can facilitate calculation of ROI for the resources invested.
Reduction in financial exposure	Improved processes will improve the statewide oversight of grants management and will reduce the potential of incorrect accounting for grants and the potential penalties that could be incurred
Provide better abilities to identify duplicative programs	Having all grants management data in a single data warehouse will allow the State to understand all of the grants going to a single organization and will improve the ability to identify duplicative programs.
Process analytics (performance and cycle times)	A grants management system with work flow and business analytics dashboard reporting will also provide insight into the efficiency and effectiveness of the grants program administration. Ideally a reduction days to review grants applications from 6 weeks to 3 days, while making better decisions would be an outcome of this effort. These kinds of tools must give the State's staff additional time to monitor program effectiveness instead of the current focus on administrative transaction processing.

5.6 Program Identification and Initiation

This process step begins with seeking and identifying grant opportunities and ends with agency leadership approval to pursue /apply for a grant. Through various sources the agencies identify grants for which they could apply. In general, once an opportunity is identified it is screened to ensure it aligns with the State's and Agency's mission and strategy. Once such a grant is identified, there is an approval process in which the agency leadership determines they want to expend the resources to apply for the grant. Once approval is gained, the application and budget development process begins.

5.7 Application and Budget Development

This process step is started by the decision to pursue a grant. This process step involves both the fiscal and programmatic disciplines working together, often under tight time constraints, to develop the program information and budget data required to apply for the grant. This process step ends with the application being submitted to the Grantor (e.g., a Federal Agency).

5.8 Application Review and Award

Once the grant has been submitted, the Agency personnel will often interact with the Grantor by providing additional information or revising the application. This process step ends with the notice of award or a rejection of the application.

5.9 Grants Award Contract / Agreement

Once the grantor sends the Notice of Award, Contract or Agreement documents must be approved at the leadership levels of an agency. In some instances, an agency must garner the approval of the State’s Controlling Board for spending authority and/or contract approval in excess of a certain threshold. Once the agreement is finalized, the grant is established in the Fiscal System and the post-award management of the grant begins.

5.10 Post Award Grants Management

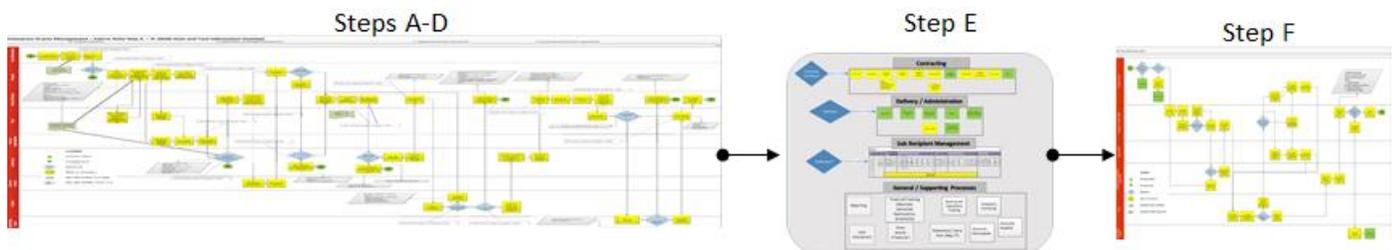
This process step is the execution phase of the grant. Once a grant is awarded, the Agency must either: sub award the grant, hire contractor(s) to carry out the purpose of the grant, deliver the benefit of the grant, or a combination of two or all three of these options. Separate processes are required for each of these options. In addition, there are general processes the Agency must perform including monitoring, reporting, cash flow management, financial tracking, etc., regardless of the execution option(s) chosen.

The execution options are significant, and the State’s BPR project has defined sub-processes for Contracting, Delivery/Administration and Sub recipient Management. Improving the latter sub-process has been a particular focus of the BPR project in that it holds the promise of improving the State’s services to its sub recipient customers.

5.11 Grant Renewal and Closeout

This process step can be triggered various ways, but is often date-driven. The primary processes involved in this process step includes financial reconciliation and reporting and program performance reporting. Both of these generally support both the process to renewing a grant or closing out a grant.

Currently the state has leveraged the top-level process steps above to develop a detailed process flow (see below). This “end-to-end” process flow has been agreed upon by the eleven Agencies involved in the BPR project and implementation of these standardized processes is underway in each of the Agencies. The BPR project has completed and delivered the detailed, end-to-end, standardized process these Agencies will be utilizing. The State is now seeking a technology solution to automate and make this process more efficient. (Offeror Note: Microsoft Visio™ versions of these workflows are available in the Exhibit Library contained in this RFP).



6 Grants Requirements Matrix: Initial Release and Post Initial Release

6.1 Overview

The State has prioritized the requirements into two categories: Initial Release and Post-Initial Release. The offeror’s response to the State, will address all requirements in the matrix. The State’s evaluation of responses will include the potential of any solution to support the accomplishment of the State’s long term, Post-Initial Release goals. Additionally, the offeror’s response pricing should include all requirements. From a design and implementation perspective, Post-Initial Release requirements are out of scope for the initial

phase of project, but may be authorized by the State under a change order to this contract at a later date pending the successful outcome of Initial Release work and then current State preferences. No work shall be performed by the Contractor without the State’s written authorization to proceed under a change order to this contract.

6.2 Offeror Response: Functionality Delivered

For those sections of this Supplement that include a requirements matrix, offerors are to complete the matrices using the embedded Microsoft Excel® spreadsheets and provide these spreadsheets in native form (i.e., not PDF) as part of their response. In addition, the requirements matrices as completed must be reflected in the inline response to this Supplement.

As part of their response to this Supplement, the offeror will indicate (using the requirements matrix) an “X” in the column that is most reflective of the method to deliver the State’s required functionality:

The matrices are organized as to the **method** of achieving the State’s requirements as follows:

Approach	Description
Offeror Proposed Tool/Solution	Offerors are to include the name and major version number of the Proposed Tool/Solution to address the requirement (e.g., Acme Corporation® WidgetMaster™ v9.1).
Out of the Box	Offerors are to indicate, in full lifecycle development hours (i.e., design, implement, test), the number of hours to be spent implementing this requirement using as delivered functions of the offeror proposed solution. Should this not be applicable, offerors are to record a zero (0) in this column.
Configuration Item	Offerors are to indicate, in full lifecycle development hours (i.e., design, implement, test), the number of hours to be spent implementing this requirement using as configurable functions (e.g., interfaces, reports, workflows, screen elements) of the offeror proposed solution. Should this not be applicable, offerors are to record a zero (0) in this column.
Customization	Offerors are to indicate, in full lifecycle development hours (i.e., design, implement, test), the number of hours to be spent implementing this requirement using as configurable functions (e.g., interfaces, reports, workflows, screen elements) of the offeror proposed solution. Should this not be applicable, offerors are to record a zero (0) in this column.
Extension/Interface	Offerors are to indicate, in full lifecycle development hours (i.e., design, implement, test), the number of hours to be spent implementing this requirement using as extensions or interfaces (e.g., interfaces, reports, workflows, screen elements) of the offeror proposed solution to OAKS (PeopleSoft), State interfaces, or other offeror provided solution elements. Should this not be applicable, offerors are to record a zero (0) in this column.
Other	Offerors are to indicate, in full lifecycle development hours (i.e., design, implement, test), the number of hours to be spent implementing this requirement using as that do not fit into the aforementioned categories. Should this not be applicable, offerors are to record a zero (0) in this column.

The matrices are organized as to convey the **priority** of the State’s requirements as follows:

Priority	Description
1 – Required (R)	Mandatory requirements that the Contractor must include in their proposal, design, implement and test and support the production use of in their response.
2 – Preferred (P)	Requirements that the State believes are dependent on implementation of Must Have requirements should be included based on scope, timing, cost and integration considerations.
3 – Optional (2. Preferred)	Requirements that pending on scope, timing, cost and integration considerations the State may elect to include in the final Contracted Scope of Work.
4 – If Available (A)	Requirements that should only be considered should they be available via “Out of the Box” or “configurable” methods using the offeror proposed solution. Custom development of these items is not permitted under this RFP.

6.3 Offeror Response: Effort Complexity Indication

Offeror will indicate (using the requirements matrix) an “X” in the column that is most reflective of the **effort required** to deliver the State’s required functionality.

And finally, offerors must provide a relative **level of effort complexity** indication based on the following for each requirement::

Effort Complexity	Description
Low	The Contractor can design, configure, implement and test the requirement within a one (1) FTE week in consideration of all required work (e.g., accomplish the requirement within 40 hours)
Medium	The Contractor can design, configure, implement and test the requirement within a one (1) FTE month in consideration of all required work (e.g., accomplish the requirement within 180 hours)
High	The Contractor can design, configure, implement and test the requirement within a one (1) FTE quarter in consideration of all required work (e.g., accomplish the requirement within 500 hours)
Extreme	The Contractor can design, configure, implement and test the requirement within a one (1) FTE year in consideration of all required work (e.g., accomplish the requirement within 1,980 hours)

Offeror Note: multiple FTEs are permitted to perform responsibilities to complete the State's requirements, all hours in the above table represent total work effort of the Contractor, regardless of actual Contractor staffing model. A "comment" field has been provided to allow offerors to highlight their approach, provide insights to the State as to benefits or limitations as well as rationale to the Approach, Priorities and Level(s) of Effort.

6.4 Offeror Response: Comments and Narrative

In addition, the State has provided as part of the Requirements Matrix a free form field labeled 'Offeror Narrative' that is design to facilitate the offeror's response to the requirements in such a manner as to convey any offeror considerations, showcase offeror capability to deliver or identify any offeror requirements on the State with regard to detailed requirements contained in the matrix. Offerors may include graphics, screen images or other text oriented verbiage in this column as they deem appropriate to offer the State a complete solution as required.

6.5 Enterprise Grants Requirements Matrix

Req. #	Grant Business Process / Implementation Area	Requirement Description	Area	Category	Functionality Delivered Through: (indicate with 'X')				Effort Complexity (indicate with 'X')			Initial Release / Post Initial Release	Offeror Narrative and Response
					Base	Config	Custom	Supported / Not Supported	High	Medium	Low	Phase	
EGM-A-1	Account Management	Vendor or sub-recipient access to maintain their PeopleSoft vendor record, account information, purchase order through PeopleSoft supplier enablement functionality	ERP Integration	Functional								Post-Initial Release	
EGM-A-2	Account Management	Vendor or sub-recipient access to invoice or request payment through PeopleSoft e-Settlement	ERP Integration	Functional								Post-Initial Release	
EGM-A-3	Account Management	Establish and Manage a Single point of registration for vendors and sub-recipients	ERP Integration	Functional								Post-Initial Release	
EGM-A-4	Accounts Payable	Payment initiation through PeopleSoft Accounts Payable based on workflow/approvals and/or rules (e.g. vendor or sub-recipient submits quarterly report)	ERP Integration	Functional								Initial Release	
EGM-A-5	Accounts Payable	Generate automatic payments based on reimbursement of expenses	ERP Integration	Functional								Initial Release	
EGM-A-6	Accounts Payable	Accommodate cash advances for non-reimbursement based grants	ERP Integration	Functional								Initial Release	
EGM-A-7	AP/AR	Initiate ISTVs in OAKS as required	ERP Integration	Functional								Initial Release	
EGM-A-8	Award Administration	Send documents to grantee and store records of correspondence	CRM	Functional								Initial Release	
EGM-A-9	Award Administration	Send electronic communications to grantees generated either Agency-wide and state-wide.	CRM	Functional								Post-Initial Release	
EGM-A-10	Award Administration	Post solicitations on the grants portal and social media outlets.	CRM	Functional								Post-Initial Release	
EGM-A-11	Award Administration	Automatically upload Sub-award documentation after final signatures.	CRM	Functional								Post-Initial Release	
EGM-A-12	Award Administration	Provide for Grantees to submit their A133 audit documentation through portal	CRM	Functional								Post-Initial Release	
EGM-A-13	Award Administration	Allow potential sub recipients to subscribe to RSS feeds pertinent to their grants and interest	CRM	Technical								Post-Initial Release	
EGM-A-14	Award Administration	Allow sub recipients to search for grant funding opportunities based on parameters (e.g., type of sub recipient organization, location, purpose, State Agency, etc.)	CRM	Functional								Post-Initial Release	
EGM-A-15	Award Administration	Generate reports and notifications to identify duplicate and fraudulent applications	Technology	Technical								Post-Initial Release	
EGM-A-16	Award Administration	Pre-populate user information directly for repeat applicants.	Usability	Functional								Post-Initial Release	
EGM-A-17	Award Administration	Create sub-awards using data provided in the applications	Usability	Functional								Post-Initial Release	
EGM-A-18	Award Administration	Designate and track completion of pre-requisites (e.g. training or certification) prior to defined grant activity (e.g. submitting an application or drawing down funds).	Usability	Functional								Post-Initial Release	

Req. #	Grant Business Process / Implementation Area	Requirement Description	Area	Category	Functionality Delivered Through: (indicate with 'X')				Effort Complexity (indicate with 'X')			Initial Release / Post Initial Release	Offeror Narrative and Response
					Base	Config	Custom	Supported / Not Supported	High	Medium	Low	Phase	
EGM-A-19	Award Preparation, Payment Processing & Financial Reporting	Provide Grantee/Applicant self-service (application submission, pay requests, status reporting, etc.)	CRM	Functional								Post-Initial Release	
EGM-B-20	Budgeting	Define grant and project budgets through PeopleSoft Commitment Control	ERP Integration	Functional								Initial Release	
EGM-B-21	Budgeting	Provide budget templates and allow revisions to the templates which can be added to the system as needed.	ERP Integration	Functional								Initial Release	
EGM-B-22	Budgeting	Adjust budgets during grant lifecycle	ERP Integration	Functional								Initial Release	
EGM-B-23	Budgeting	Set and track budget controls for various categories, based on user-defined criteria (e.g. as a % of a flat amount) and categories (e.g. administrative overhead, matching funds).	Grants Management	Functional								Initial Release	
EGM-B-24	Budgeting	System shall distribute costs within a grant, based on user-defined criteria, (e.g. by category)	Grants Management	Functional								Initial Release	
EGM-C-25	CRM	Ability for grantor and grantee to work within the system at the same time on the same process while protecting data integrity.	CRM	Functional								Post-Initial Release	
EGM-D-26	Data Retention	Solution must provide for Upload, storage, archive, search, retrieval, change tracking, data merge.	Document Management	Functional								Initial Release	
EGM-D-27	Data Retention	Support historical data retention that meets or exceeds State of Ohio, Federal or other Agency guidelines.	Document Management	Technical								Initial Release	
EGM-G-28	General Ledger	Request/Establishment of chart fields (e.g. Project, Grant)	ERP Integration	Technical								Initial Release	
EGM-G-29	General Ledger	OAKS Travel costs to be assigned to grants	ERP Integration	Functional								Initial Release	
EGM-G-30	General Ledger	Record and/or receive the return funds (refunds on purchases, repayments, etc.) and make the necessary adjustments to the sub recipients' reports.	ERP Integration	Functional								Initial Release	
EGM-G-31	Grant Administration	Post compliance requirements for sub-recipients to review	CRM	Functional								Post-Initial Release	
EGM-G-32	Grant Administration	Provide links to e-mail to the portal information management system.	CRM	Functional								Post-Initial Release	
EGM-G-33	Grant Administration	Communicate to pre-defined groups of grantees electronically	CRM	Functional								Post-Initial Release	
EGM-G-34	Grant Administration	CRM information for sub recipients: Contact info management, knowledge base interaction logs, storage of communications (e.g., IM sessions, e-mail, etc.), distribution list management, etc.	CRM	Functional								Post-Initial Release	
EGM-G-35	Grant Administration	Access "Communications Management" capabilities - Email, messaging (e.g., IM) etc.	CRM	Technical								Post-Initial Release	
EGM-G-36	Grant Administration	Configure the import of data elements from PeopleSoft, to include but not limited to; account codes, budgets an other descriptive elements.	ERP Integration	Functional								Initial Release	
EGM-G-37	Grant Administration	Encumber/commit grant funds.	ERP Integration	Functional								Initial Release	
EGM-G-38	Grant Administration	Encumber F&A costs if not automatically applied to payroll	ERP Integration	Functional								Initial Release	
EGM-G-39	Grant Administration	Calculate F&A based on selected line items and input F&A percentages, by grant , by category	ERP Integration	Functional								Initial Release	

Req. #	Grant Business Process / Implementation Area	Requirement Description	Area	Category	Functionality Delivered Through: (indicate with 'X')				Effort Complexity (indicate with 'X')			Initial Release / Post Initial Release	Offeror Narrative and Response
					Base	Config	Custom	Supported / Not Supported	High	Medium	Low	Phase	
EGM-G-40	Grant Administration	Reconcile estimated F&A costs with actuals	ERP Integration	Functional								Initial Release	
EGM-G-41	Grant Administration	Provide for default F&A formulas which can be modified	ERP Integration	Functional								Initial Release	
EGM-G-42	Grant Administration	Provide spending control /commitment control	ERP Integration	Functional								Initial Release	
EGM-G-43	Grant Administration	Manage and Support the complete Grant Lifecycle as defined in the EGM Process (see Exhibit A).	Grants Management	Functional								Initial Release	
EGM-G-44	Grant Administration	Provide for online collaboration, both inter-Agency and sub recipient collaboration, throughout the Grants Lifecycle.	Grants Management	Functional								Post-Initial Release	
EGM-G-45	Grant Administration	Process amendments/changes to grants and sub awards and integrate with the enterprise ERP system.	Grants Management	Functional								Initial Release	
EGM-G-46	Grant Administration	Track and manage multiple projects per award	Grants Management	Functional								Initial Release	
EGM-G-47	Grant Administration	Address federal and non-federal match.	Grants Management	Functional								Initial Release	
EGM-G-48	Grant Administration	Accommodate multiple sub recipients within one grant/project	Grants Management	Functional								Initial Release	
EGM-G-49	Grant Administration	Allow individual Agencies to set grant-related criteria specific to their needs, including application questions, sub-grantee access, etc.	Grants Management	Functional								Post-Initial Release	
EGM-G-50	Grant Administration	Carry forward remaining open balances from one year to the next for active/open grants and sub-awards	Grants Management	Functional								Initial Release	
EGM-G-51	Grant Administration	Close grant codes at the grant level, preventing user from having to close each budget line associated with the specified grant/project based on user-defined criteria	Grants Management	Functional								Initial Release	
EGM-G-52	Grant Administration	Close grants for specific associated budget lines while others remain active, without the user having to adjust individual lines, based on user- defined criteria	Grants Management	Functional								Initial Release	
EGM-G-53	Grant Administration	Purge expired grants or non-awarded grants based on authorized user-defined criteria	Grants Management	Functional								Initial Release	
EGM-G-54	Grant Administration	Track and manage compliance issues such as financial conflict of interest, drug free workplace, etc.	Grants Management	Functional								Initial Release	
EGM-I-55	Integration	Document Management Integration - PeopleSoft Grants Management must integrate with (Hyland OnBase) Imaging solution to provide for:	Document Management	Technical								Initial Release	
EGM-I-56	Integration	Manage and Maintain graphical content (e.g., service maps) in sub recipient applications to allow sub recipients to submit graphs, etc., in support of their application.	Form Management	Functional								Post-Initial Release	
EGM-I-57	Integration	Provide for applicants to submit audio, video, HTML files (e.g., sub recipients submit video and audio files as proof of their delivery of Public Service Announcements paid for by the grant).	Form Management	Functional								Post-Initial Release	

Req. #	Grant Business Process / Implementation Area	Requirement Description	Area	Category	Functionality Delivered Through: (indicate with 'X')				Effort Complexity (indicate with 'X')			Initial Release / Post Initial Release	Offeror Narrative and Response
					Base	Config	Custom	Supported / Not Supported	High	Medium	Low	Phase	
EGM-I-58	Integration	Linkages with federal government systems (applications, payment, draw and reporting)	Grants Management	Functional								Post-Initial Release	
EGM-I-59	Integration	Provide on-demand availability of all solution data to the enterprise data warehouse through web service and requiring no file transfers or other special operations.	Reporting	Functional								Initial Release	
EGM-I-60	Integration	Interface with Federal Reporting Systems including Federal Financial Reports	Reporting	Functional								Post-Initial Release	
EGM-I-61	Integration	Expose or integrate with current and future State ERP functionality	Technology	Technical								Initial Release	
EGM-I-62	Integration	Integrate with other State enterprise applications and services	Technology	Technical								Initial Release	
EGM-I-63	Integration	Access full functionality via common Internet browsers	Technology	Technical								Initial Release	
EGM-I-64	Integration	Support E-signature	Technology	Technical								Initial Release	
EGM-PY-65	Payroll	Import/Export/Report Time & labor (time and activity) in detail in OAKS.	ERP Integration	Functional								Initial Release	
EGM-P-66	Proposal Preparation	Receive applications through common on-line entry portal (grants portal).	CRM	Functional								Post-Initial Release	
EGM-P-67	Proposal Preparation	Search for and access to previously submitted grant applications and applications' data (read only).	Document Management	Functional								Initial Release	
EGM-P-68	Proposal Preparation	Provide for grantee to preview and print grant application during and after submission.	Document Management	Functional								Initial Release	
EGM-P-69	Proposal Preparation	Automatically check sub recipient application for completeness and accuracy.	Form Management	Functional								Post-Initial Release	
EGM-P-70	Proposal Preparation	Develop automated error checking forms so sub recipients are prohibited from submitting applications (or other forms) with specified errors or missing information and are notified of the error in real time.	Form Management	Functional								Post-Initial Release	
EGM-P-71	Proposal Preparation	Provide controls over the cap submit applications (internal and sub recipients)	Technology	Technical								Initial Release	
EGM-P-72	Proposal Preparation	Allow applicant to save work in progress and return.	Usability	Functional								Post-Initial Release	
EGM-R-73	Reporting	General Finance (budgeting, expenditure, and revenue tracking)	ERP Integration	Functional								Initial Release	
EGM-R-74	Reporting	Reconciliation & Auditing functionality	ERP Integration	Functional								Initial Release	
EGM-R-75	Reporting	Tracking of sub-award balances at detail level against budget	ERP Integration	Functional								Initial Release	
EGM-R-76	Reporting	Sub-award financial data entered into OAKS	ERP Integration	Functional								Initial Release	
EGM-R-77	Reporting	Customize forms, use drag and drop, etc.	Form Management	Functional								Initial Release	
EGM-R-78	Reporting	Generate specific forms and documents from generic templates. (e.g., generate unique applications and content using a standard grants application template which may be expanded as required by program needs.)	Form Management	Functional								Initial Release	

Req. #	Grant Business Process / Implementation Area	Requirement Description	Area	Category	Functionality Delivered Through: (indicate with 'X')				Effort Complexity (indicate with 'X')			Initial Release / Post Initial Release	Offeror Narrative and Response
					Base	Config	Custom	Supported / Not Supported	High	Medium	Low	Phase	
EGM-R-79	Reporting	Support Auditor of State annual audits, Federal Audits and Federal Reporting (e.g., FFATA)	Reporting	Functional								Initial Release	
EGM-R-80	Reporting	Robust report creation & management abilities	Reporting	Functional								Initial Release	
EGM-R-81	Reporting	Generate financial reports, including budget, expenditures, encumbrances, etc., based on user defined criteria.	Reporting	Functional								Initial Release	
EGM-R-82	Reporting	Report measures such as key performance indicators, programmatic progress reporting and compliance.	Reporting	Functional								Initial Release	
EGM-R-83	Reporting	Provide configurable Dashboards tools (e.g., project progress, performance auditing, sub recipient performance).	Reporting	Functional								Initial Release	
EGM-R-84	Reporting	Support report modification of all report types, both pre-defined and ad-hoc, such as adding or deleting fields, sorting, filtering, and saving report definitions for future use.	Reporting	Functional								Initial Release	
EGM-R-85	Reporting	The system shall record miscellaneous adjustments, reclassifications and interfund transfers associated with grants. (maintain an audit trail)	Reporting	Functional								Initial Release	
EGM-R-86	Reporting	Provide a 360 degree view of all sub recipients (fiscal, programmatic; current, historical; cross Agency).	Reporting	Functional								Initial Release	
EGM-R-87	Reporting	Provide a 360 degree view of all federal grantors (fiscal, programmatic; current, historical; cross Agency).	Reporting	Functional								Initial Release	
EGM-R-88	Reporting	Report payroll data by pay period.	Reporting	Functional								Initial Release	
EGM-R-89	Reporting	Robust report export capabilities (e.g., Excel, XML, EDI, etc.)	Reporting	Technical								Initial Release	
EGM-R-90	Reporting	Store and analyze audit trails	Technology	Technical								Initial Release	
EGM-R-91	Reporting	Define and track grants management process metrics	Workflow	Functional								Initial Release	
EGM-SR-92	Search/Retrieval	Provide for parametric search - internal/external search capabilities, including flexible time parameters - with the parameters based on the user's role.	Document Management	Functional								Initial Release	
EGM-SR-93	Search/Retrieval	Search for and access records, communications, processes, procedures, regulations, contracts (and components) using multiple keyword search parameters	Document Management	Functional								Initial Release	
EGM-S-94	Security	Withhold sub recipient payments until predetermined requirements are met by sub recipient (e.g., withhold payment until grantee submits quarterly/monthly reports).	ERP Integration	Functional								Post-Initial Release	
EGM-S-95	Security	Adhere to Data encryption, security and regulatory compliance with state and federal statutes (i.e., HIPAA, ARRA, etc.).	Technology	Technical								Initial Release	
EGM-S-96	Security	Provide access controls, rights & privileges based on user groups and roles.	Technology	Technical								Initial Release	
EGM-S-97	Security	Integrate with State Identity solution for authorization and also support User account administration / roles management	Technology	Technical								Initial Release	

Req. #	Grant Business Process / Implementation Area	Requirement Description	Area	Category	Functionality Delivered Through: (indicate with 'X')				Effort Complexity (indicate with 'X')			Initial Release / Post Initial Release	Offeror Narrative and Response
					Base	Config	Custom	Supported / Not Supported	High	Medium	Low	Phase	
EGM-U-98	User Interface	Provide access to full functionality via Mobile Devices (Smart Phones, Pads, etc.)	Technology	Technical								Initial Release	
EGM-U-99	User Interface	Intuitive User Interface	Usability	Functional								Initial Release	
EGM-U-100	User Interface	Provide online help, to include Help Menus and Contextual Help	Usability	Functional								Initial Release	
EGM-U-101	User Interface	Maintain a collaborative review of applications/proposals including simultaneous online reviews	Usability	Functional								Post-Initial Release	
EGM-U-102	User Interface	Validate Grantees' DUNS number, information in SAM.gov, other eligibility requirements as part of pre-registration.	Usability	Functional								Post-Initial Release	
EGM-U-103	User Interface	Provide self-training Modules / online video tutorials to improve customer service and compliance	Usability	Functional								Post-Initial Release	
EGM-U-104	User Interface	User friendly account creation and user directory maintenance.	Usability	Functional								Initial Release	
EGM-W-105	Workflow	Workflow integration with PeopleSoft procure to pay cycle	ERP Integration	Functional								Initial Release	
EGM-W-106	Workflow	Provide for monitoring of workflow status and track progress through all phases of the grants lifecycle through a single pane available to grantor and grantees (all user profiles).	Workflow	Functional								Initial Release	
EGM-W-107	Workflow	Provide on-line notification to recipient, delivery of Notice of Award, and terms and conditions, with automated routing for signatures.	Workflow	Functional								Initial Release	
EGM-W-108	Workflow	Define workflow to accommodate the various types of funding and specific Agency delegation of authority needs.	Workflow	Functional								Initial Release	
EGM-W-109	Workflow	Provide for electronic approval capabilities which allow for workflow routing verification for document reviews and signoffs.	Workflow	Functional								Initial Release	
EGM-W-110	Workflow	Provide for incomplete workflow steps to prompt error notices during the workflow process to promote early and easy correction.	Workflow	Functional								Initial Release	
EGM-W-111	Workflow	Establish business rules and compliance requirements	Workflow	Functional								Initial Release	
EGM-W-112	Workflow	Provide electronic notification (e.g. e-mail alerts, etc.) to all participants.	Workflow	Functional								Initial Release	
EGM-W-113	Workflow	Create reminders and e-notification of sponsor reporting requirements based on calendar dates.	Workflow	Functional								Initial Release	
EGM-W-114	Workflow	Assign sub recipients to specific state personnel for purposes of workflow notifications.	Workflow	Functional								Post-Initial Release	
EGM-W-115	Workflow	Extend the workflow to include sub recipients: e.g., time / event driven notifications	Workflow	Functional								Post-Initial Release	

/* Matrix Ends */

7 Initial Release Implementation Requirements

7.1 Data Conversions

The State requires that Initial Release to include data conversion of data from the Initial Release Agencies' current systems. Offerors are to size their conversion effort based on the following scope considerations:

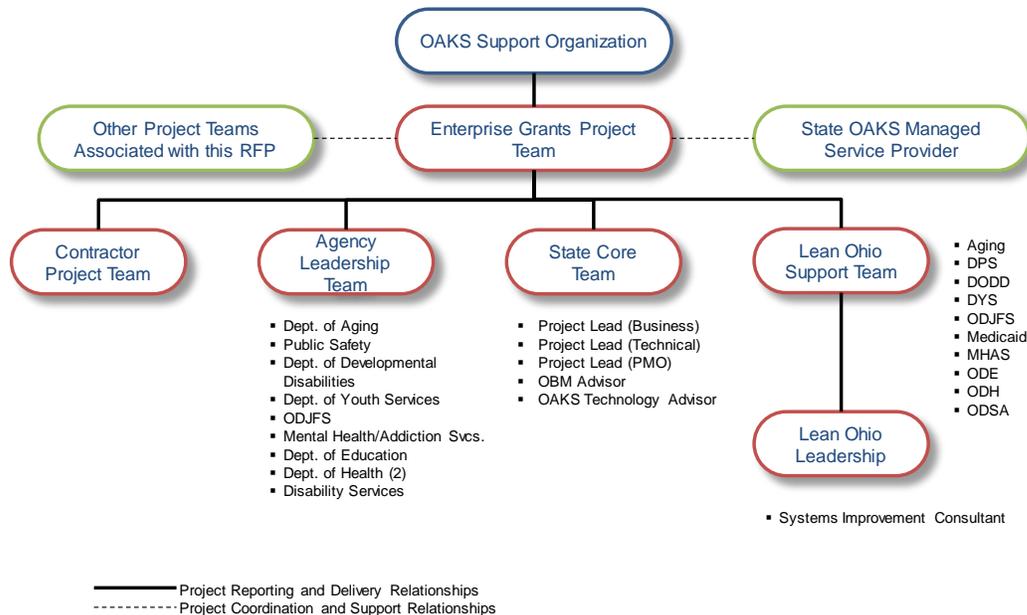
Initial Release	Wave	Agency	Data Conversion	Volume	Comments
Phase 2					

The Contractor and State's requirements with respect to conversion are as follows:

- Contractor to identify, with State assistance, all data records with regard to the Initial Release Agencies, the Contractor will develop data extraction and data conversion reports to validate and extract the records identified.
- The Contractor will perform a data assessment and identify any records that require State remediation prior to loading in the solution.
- The State will either remediate these records or determine alternate methods to process (or if necessary exclude) records that require remediation.
- Following State remediation (if appropriate), the Contractor will load all records into the solution and provide control reporting sufficient that all records were loaded, fields mapped, no data was altered or lost, and the records are accessible in the new system in the same manner as non-legacy data.

8 Project Staffing and Team Organization Requirements

The following organization chart is illustrative of the Project Team. The organization chart does not indicate all resources required for the Project. For specific activities related to project roles, see the Resource/Activity summaries below the organization structure.



8.1 State Staffing and Key Activities

The following table lists the State roles that have been identified as required for the Project based upon the organization chart above and details the key activities and proposed time commitments (Full Time/Part Time (FT/PT)) required for each role during the Project.

The State will provide a dedicated State Project Lead to serve as the Contractor's day-to-day point of contact for the Project. This role will be staffed throughout the duration of the Project. The State Project Lead will facilitate process and policy decisions in support of the Project schedule. State personnel assigned to the Analyze Phase will maintain consistent involvement throughout the duration of the Project. These individuals will be accessible and available to participate as agreed upon in the approved Project Plan.

State Role	Role Description and Activities	FT/PT
Project Lead	<ul style="list-style-type: none"> ▪ Provide direction to State resources ▪ Review and approve deliverables ▪ Communicate with Steering Committee ▪ Provides leadership and management of the project ▪ Responsible for daily project activities including budget and schedule management ▪ Serve as the point of contact to coordinate the activities with the State functional Subject Matter Experts (SMEs) ▪ In conjunction with the Team Leads, monitors the status of the Project, and takes any steps necessary to re-direct priorities, re-define the Project organization, work plan, toward completion of the Project ▪ Participates in the development of a communication strategy and is responsible for the delivery and dissemination of project communication and statuses 	FT
Functional Lead (Fiscal)	<ul style="list-style-type: none"> ▪ Responsible for execution of the fiscal functional team work plan and responsibilities ▪ Subject matter expertise from user community who has experience managing grants on day-to-day basis from a fiscal perspective ▪ Validate the business requirements ▪ Participate in the workshops ▪ Help in validating fit/gap analysis assessment ▪ Assist with configuration design and build ▪ Provide input to test conditions ▪ Execute UAT and ORT 	PT (1/2 FTE)
Functional Lead (Program)	<ul style="list-style-type: none"> ▪ Responsible for execution of the program functional team work plan and responsibilities ▪ Subject matter expertise from user community who has experience managing grants on day-to-day basis from a program perspective. ▪ Validate the business requirements ▪ Participate in the workshops ▪ Help in validating fit/gap analysis assessment ▪ Assist with configuration design and build ▪ Provide input to test conditions ▪ Execute UAT and ORT 	PT (1/2 FTE)
Functional SMEs (BPR members: fiscal and functional; OBM fiscal representation; OAKS.)	<ul style="list-style-type: none"> ▪ Subject matter expertise from user community who will use the grants system for day-to-day operation ▪ Validate the business requirements ▪ Participate in the workshops ▪ Help in validating fit/gap analysis assessment ▪ Assist with configuration design and build ▪ Provide input to test conditions ▪ Execute UAT and ORT 	PT (20% - 25% FTE)
Functional Testers	<ul style="list-style-type: none"> ▪ Participate in the development of system test conditions and scripts ▪ Participate in preparing and executing test scenarios and scripts ▪ Develop subject matter expertise through knowledge transfer 	PT (during applicable phases)

State Role	Role Description and Activities	FT/PT
Organizational Change Management Team Lead	<ul style="list-style-type: none"> ▪ Provide strategic direction for State resources working with the OCM Team ▪ Create and manage the OCM Strategy, which includes the State's recommended approaches for communication, readiness, and training ▪ Create and manage the Communication Strategy ▪ Approve and oversee the execution of the Training Needs Analysis, Training Strategy, Training Materials, Training Deployment Plan, and Knowledge Transfer Plan ▪ Work with the project manager, key leaders and project teams to integrate OCM activities into the overall project plan ▪ Approve all communications and training materials ▪ Approve all business and readiness activities ▪ Report readiness status to project manager ▪ Ensure that leading OCM practices are implemented ▪ Conduct presentations at the Grants Management Learning Community and other Agency meetings as appropriate. ▪ Resolve issues that are raised by the OCM team 	PT
Business and Agency Readiness Lead (ALT Member(s) of Initial Release Agencies)	<ul style="list-style-type: none"> ▪ Create and manage OCM Work Plan that includes the Training Needs Analysis, Training Strategy, Training Courses, Training Deployment Plan, and Knowledge Transfer Plan ▪ Support the planning and execution of the OCM Strategy , Communication Strategy, and the Business and Agency Readiness Plans ▪ Identify resistance and performance gaps, and then develop and implement corrective actions ▪ Work with the project manager, key leaders and project teams to integrate OCM activities into the overall project plan ▪ Ensure that leading OCM practices are implemented ▪ Provide coaching to leaders who are change sponsors ▪ Create and manage the Business and Agency Readiness Plans (Strategy and Spreadsheet work product) ▪ Perform the business transformation activities per the OCM Strategy ▪ Manage and update the Communication Strategy activities ▪ Write, edit, design, and coordinate communications to stakeholders ▪ Work with project team and business owners to identify business and Agency readiness issues and tasks ▪ Work with OCM leaders to confirm that communication and readiness activities are successfully implemented ▪ Create and coordinate OAKS FIN Agency Liaisons Network ▪ Create agendas and presentations for the OAKS FIN Agency Liaisons meetings ▪ Monitor business and Agency readiness performance ▪ Report status to the State OCM Leads 	PT
Training Lead	<ul style="list-style-type: none"> ▪ Responsible for the review and coordination of the training development and deployment for the EGM Initial Release project. ▪ Approve and manage the Training Needs Analysis, Training Strategy, Training Materials, and Training Deployment Plan in partnership with Agency training leads ▪ Manage the Agency project trainers to ensure completion of their project training responsibilities ▪ Track training project tasks and identify issues ▪ Work with contractor resources to provide business owner, OCM leadership, and functional input ▪ Report status to the State and Contractor OCM Leads 	PT
Trainers	<ul style="list-style-type: none"> ▪ Support Training Development ▪ Delivery of training subsequent to Initial Release Agencies 	PT
Technical Architecture SME	<ul style="list-style-type: none"> ▪ Review Technical Architecture to verify it complies with DAS standards ▪ Confirm Technical approach for project ▪ Review Performance Test Plan ▪ Monitor technical readiness 	PT
Security SME	<ul style="list-style-type: none"> ▪ Confirm that project is adhering to DAS Security Policies ▪ Review updates of Application Security Permission Lists, Roles, and User Accounts ▪ Perform Application Security Scans ▪ Monitor security readiness 	PT

8.2 Contractor Staffing and Key Activities

The offeror is to consider the roles provided by the State as well as those proposed that are required for the Project based upon the organization chart above and details the key activities, proposed time commitments required for each role, and the percent of the proposed time the role will be on the State's premises performing work. The offeror, as part of their response will identify all roles that are required to be performed (by phase), the work location(s) for the team and identify requirements for performing these roles off-site at a Contractor location or on State's Premises (e.g., Project Manager, business analysis, etc.). Offerors are to propose a combined team

organization (i.e., State and Contractor) designed to deliver the project to the State as per the requirements in this Supplement.

Offeror Team Organization, Key Personnel and Work Location(s)

Role #	Contractor Role	Role Activity	FT/PT	% Time On Site
Analyze Phase				
		[insert rows as required]		
Design Phase				
		[insert rows as required]		
Build Phase				
		[insert rows as required]		
Test Phase				
		[insert rows as required]		
Deploy Phase				
		[insert rows as required]		
Post Implementation Support				
		[insert rows as required]		

8.3 Staffing Plan and Time Commitment

The offerors Staffing Plan and Time Commitment response must the following information:

- An organizational chart including any subcontractors and key management and administrative personnel assigned to this project.
- A contingency plan that shows the ability to add more staff if needed to ensure meeting the Project’s due date(s).
- The number of people onsite at State location(s) at any given time to allow the State to plan for the appropriate workspace.
- A statement and a chart that clearly indicates the time commitment of the proposed Project Manager and the offeror’s Key Project Personnel, inclusive of the Project Manager and the offeror’s proposed team members for this Work during each phase of the Projects, the System Development Life Cycle associated with Projects, and the commencement and ongoing operation of the within the OAKS enterprise Service.
- The offeror also must include a statement indicating to what extent, if any, the candidates may work on other projects or assignments that are not State related during the term of the Contract. The State may reject any Proposal that commits the proposed Project Manager or any proposed Key Project Personnel to other projects during the term of the Project, if the State believes that any such commitment may be detrimental to the offeror’s performance.

In addition, the offeror’s proposal must identify all Key Project Personnel who will provide services as part of the resulting Contract. The Key Project Personnel are identified in each applicable Supplement. The State expects that the proposed named Key Project Personnel will be available as proposed to work on the Project. Resumes for the proposed candidates must be provided for all Key Project Personnel. Representative resumes are **not** acceptable. The resumes will be used to supplement the descriptive narrative provided by the offeror regarding their proposed project team.

The resume (2-page limit per resume) of the proposed Key Project Personnel must include:

- Proposed Candidate’s Name
- Proposed role on this Project
- Listings of completed projects (a minimum of two references for each named Key Project Personnel) that are comparable to this Project or required similar skills based on the person’s assigned role/responsibility on this Project. Each project listed should include at a minimum the beginning and ending dates, client/company name for which the work was performed, client contact information for sponsoring Directors, Managers or equivalent level position (name, phone number, email address, company name, etc.), project title, project description, and a detailed description of the person’s role/responsibility on the project.
- Education
- Professional Licenses/Certifications/Memberships
- Employment History

9 Project Delivery, Management, Methodology and Approach Requirements

The Contractor will provide the state its recommended methodology and approach to the EGM Initial Release project. The Contractor will provide training to State team members on use of the methodology so that State team members may complete their work in accordance with the responsibilities in this SOW.

The State maintains a project management and reporting methodology that is used at varying levels for complex, transformational Information Technology projects. This methodology is designed to provide a substantive and objective framework for the reporting and review of projects to impacted stakeholders and, should the need arise; identify the need for corrective action for one or many of the participants in a project (e.g., State, Contractor, Customer, Stakeholder).

The State acknowledges that various contractors that may do business with the State may maintain unique or proprietary project management methodologies, but seeks to ensure that the overall project is delivered to the State as contracted. Therefore a minimum standard project management reporting standard has been created to serve the State’s project management and oversight needs while not adversely impacting or influencing Contractor provided delivery methodologies.

The Contractor must provide a summary Project Plan as requested by the State. For purposes of a summary project plan specific phase and gate dates, effort and costs are a sufficient minimum.

Following the award of this Contract, and during the project mobilization phase Contractors must include the following deliverables and milestones within their detailed project plans and methodologies at a minimum upon commencement of the project:

State Project Management Methodology, Minimum Standards			
Phase		Milestone, Activity, Deliverable, Gate	
Prioritization and Scheduling	<input type="checkbox"/>	Complete Gate 1 (G1)	G
		Create Project Plan	D
		Identify / Secure Resources	A
		Create Detailed Cost/Time Analysis	A
		Create Phasing Strategy / Deliverables by Phase	D
		Conduct Policy Review	A

	Develop Incremental Policies	A	
	Secure Funding/Investment Capital	M	
	Initiate Procurement Activities/Plan	A	
□	Complete Gate 2 (G2)	G	
Requirements: Functional & Technical	Create/Maintain Refined Project Plan	A	
	Establish Implementation Strategy	D	
	Assess Internal/External Project Dependencies	A	
	Assess Internal/External Risks	A	
	Create Detailed Project Plan	M	
	Create Stakeholder/Customer Communications Plan	A	
	Create Detailed Resource Plan	A	
	Establish Level 0 System Design	D	
	Establish/Manage End-User Goals	A	
	Model End-User Characteristics	A	
	Determine Existing Process Change Model	D	
	Identify New/Enhanced Business Processes	D	
	Create Impact Analysis	A	
	Finalize Implementation Strategy	M	
	Analyze Impact to Enterprise Architecture/Data Model	A	
	Develop Deployment Strategy	D	
	Finalize Development Tools and Production Requirements	A	
	Validate Customer Pricing Model	D	
	Validate Customer Adoption Assumptions	A	
	□	Complete Gate 3 (G3)	G
Design: Functional & Technical	Follow/Track Final Project Plan	A	
	Establish Final Cost & Time Estimate	M	
	Outline Next Phase Schedule	A	
	Compile Final Impact Analysis	A	
	Compile Final Risk Assessment	A	
	Create Detailed Design Documents - Functional	M	
	Create Detailed Design Documents - Technical	M	
	Establish Performance Requirements	D	
	Establish Support Requirements	A	
	Establish Operating Requirements	A	
	Obtain System Application Software, Tools	A	
	Create Process Flows with Key Inputs/Outputs	D	
	Create Interface Control Documents	D	
	Create Conversion/Migration Plan	D	
	Create Integration Plan	D	
	Develop Stakeholder Communications Materials	A	
	Establish Technical Requirements	M	
	Create Solution System Architecture Documents	D	
	Update Enterprise Architecture Documents	A	
	Create High Level Storage Requirements	A	
	Create System(s) Sizing Requirements	A	
	Establish Test Environment Plan	A	
	Establish SDLC Environments	M	
	Brief/Update User Stakeholders/Customers	M	
	□	Complete Gate 4 (G4)	G
	Component Construction	Develop/Compile Overall Test Plan	A
Establish Final Processes		D	
Develop Test Analysis Report		A	
Establish Q/A Metrics		A	
Create/Refine Development Plan		A	
Develop Code/Solution		D	
Gather and Report Q/A Metrics		A	
Develop UAT Plan, Scripts and Cases		D	
Complete Final Sizing Analysis		D	
Establish Operational Performance Baseline		M	
Publish Committed Capacity Plan		A	
Prepare Component Test Analysis Report		D	
Develop Training Scripts		A	
Develop Training Guide		A	
□			
Component Test	Establish Component Test Expected Results	D	
	Establish Test Plan & Procedures	A	
	Create Test Procedures	A	
	Execute Component Test	M	
	Collect Performance Metrics	A	
	Produce Test Analysis Report	D	

	Create Component Technical Documentation	D
<input type="checkbox"/>		
System Integration Test	Establish System Test Expected Results	A
	Establish Integration Test Expected Results	A
	Establish UAT Expected Results	A
	Establish Test Plan & Procedures	D
	Create System Test Procedures	A
	Collect Performance Metrics	A
	Produce System Test Report	M
	Create System Operational Documentation	D
	Document/Publish Final Policies & Procedures	D
	Publish Final Procedures	A
	Create System Technical Documentation	D
	Publish Version / Release Document	D
	Develop Training Scripts	A
	Develop Training Guide	A
<input type="checkbox"/>	Complete Gate 5 (G5)	G
User Acceptance Testing	Perform User Acceptance Test	M
	Document/Publish Issue/Bug List	A
	Prioritize Issues/Bugs	D
	Remediate Launch Critical Issues/Bugs	A
	Create Remediation Effort/Schedule for Outstanding Issues/Bugs	A
	Perform Final Performance Testing	M
	Perform Final Sizing Analysis	D
	Create Operational Documents	D
	Create User Job Aids	A
	Update User Stakeholders / Communications	A
	Update Job Schedules and Dependencies	D
	<input type="checkbox"/>	Complete Gate 6 (G6)
Deployment	Compile Release Checklist	D
	Update Business Contingency / Continuity Plan	A
	Transition Operational Procedures	M
	Publish Job/Control Schedule	A
	Establish SLA Parameters	A
	Assemble Audit Impact Statement (integrity, security, privacy)	A
	Create Release Verification Checklist	D
	Execute Operations Training	A
	Perform Release Verification	M
	Update Enterprise Architecture and Data Model	A
	Update Data Center Environments	M
	Perform User Training	M
	Disseminate Documentation and Procedures	A
<input type="checkbox"/>	Complete Gate 7 (G7)	G

10 Project Management and Coordination Services

The Project will follow the Governance structure defined by the State. Project Management will include the activities to manage the Project including directing the Project Team according to the Project work plan, reporting status, managing issues, assessing quality, leading project meetings, and monitoring schedule and scope changes. The Project Team will produce project status reports on a weekly basis. The format of the status report will be mutually agreed to by the State and the Contractor during the first week of the Project.

The Contractor will, in conjunction with an authorized Statement of Work arising from this Supplement:

- Be responsible for the coordination and delivery of the overall Project;
- Ensure that an appropriate “Project Kickoff” occurs and that all integrated work plans are agreed to by the State from project commencement;
- Ensure that all efforts have an effective version control mechanism for all documents within the project document library that will be maintained on a State provided Microsoft SharePoint site
- Work with the State leadership to ensure that the Project is staffed appropriately;

- Ensure that required testing activities across both technical and operational components are completed to minimize Project risk; and
- Collaborate with the task areas to ensure appropriate cross-team communication and delivery.

For purposes of the Project, “Perform” or “P” means that the party assigned the task has the duty and ultimate responsibility to take all appropriate steps to complete or facilitate the identified task unless otherwise provided for between the parties, subject to the Supporting party completing its interdependent responsibilities. The term, “Support” or “S” means that the party has the duty and responsibility to provide ancillary support or assistance which may be necessary to enable the party providing the “Perform” task to complete that task unless otherwise provided for by the parties. The designation, “-” means that the party has no responsibility for the task, unless otherwise agreed by the parties.

Key Tasks	State	Contractor
Conduct Project kick-off meeting	Support	Perform
Create a Work Breakdown Structure (WBS)	Support	Perform
Create and Maintain a project work plan and any related deliverable sub plans	Support	Perform
Review Deliverables and manage the State’s approvals	Perform	Support
Review Deliverables and manage the Contractor’s approvals	Support	Perform
Prepare and conduct project meetings	Support	Perform
Prepare and conduct stakeholder meetings	Perform	Support
Create Project Status Reports adhering to the PMO policies	Support	Perform
Report and manage issues and risks	Support	Perform
Monitor and report schedule and scope changes	Support	Perform
Identify State stakeholders and manage expectations	Perform	Support
Assist with on-boarding for the Contractor resources	Support	Perform
Assist with on-boarding for the State resources	Perform	Support
Confirm State Project staffing	Perform	Support
Confirm Contractor Project staffing	Support	Perform
Confirm Project governance	Perform	Support
Initiate Production Acceptance Criteria (“PAC”) process	Support	Perform
PAC – Provide planned checkpoint review dates	Support	Perform

10.1 Create and Maintain Project Plan

The Contractor must produce a detailed Project Plan, in electronic and paper form, to the State Project for approval within twenty business days after the State issues a purchase order or other written payment obligation under the Contract.

The Project Plan should include the following (at a minimum):

- Project Integration;
- Project Scope;
- Project Time;
- Project Quality;
- Project Staffing;
- Project Communications;
- Project Risks/Issues; and
- Project Procurement.

The Contractor must lead a planning session which ensures the following:

- A common understanding of the work plan has been established;
- A common vision of all deliverables has been established;

- Contains a critical path that identifies all major milestones, dependences (both internal and external to the project), resources by name and resource assignments and is complete and inclusive of the entire work effort from commencement until conclusion of all contracted activities;
- Clarity on scope of overall project and the responsibilities of the Contractor has been defined and agreed to by the State that includes a common understanding of the business, process, technical and other elements of the overall implementation as required.

Thereafter, the Contractor must:

- Formally update the Project Plan, including work breakdown structure and schedule, and provide the updated Project plan as part of its reporting requirements during the Project; and
- Ensure the Project Plan allows adequate time and process for the development for the State's review, commentary, and approval.

The State will determine the number of business days it needs for such reviews and provide that information to the Contractor after award and early in the development of the Project Plan. Should the State reject the plan or associated deliverables, the Contractor must correct all deficiencies and resubmit it for the State's review and approval until the State accepts the Deliverable at no additional cost to the State.

At minimum, the offeror's Project Plan(s), as applicable, must include the following:

- A summary Work breakdown structure; Scope statement that includes the Work objectives and the Work Deliverables and milestones;
- The offeror must provide a detailed Project plan as a Microsoft Project Gantt chart, showing all major Work tasks on a week-by-week schedule and indications of State participation requirements in the Project(s) to serve as the basis for managing and delivering the Work. The schedule must clearly demonstrate how the project will become fully operational by the delivery date. Within this detailed plan, the offeror must give dates for when all Deliverables and milestones will be completed and start and finish dates for tasks. The offeror also must identify and describe all risk factors associated with the forecasted schedule;
- Who is assigned responsibility for each Deliverable within the work breakdown structure to the level at which control will be exercised;
- Performance measurement baselines for technical scope and schedule;
- Description of the offeror's proposed organization(s) and management structure responsible for fulfilling the Contract's requirements and supporting the Work, in terms of oversight and control;
- A summary Required State staff and their expected roles, participation and level of effort;
- Description of the review processes for each milestone and Deliverable (e.g. mandatory design review) and a description of how the parties will conduct communication and status review;
- Description of the Project issue resolution process including an escalation plan; and
- Description of the approach to manage subcontractors effectively, if the offeror is proposing subcontractors.

10.2 Project Review Check Point.

Upon completion of the baselined Project Plan and on a quarterly basis throughout the Project, the Contractor, in conjunction with State Project team staff, must deliver a presentation to the State. At a minimum, the presentation must address any known State or Contractor issues or concerns, including but not limited to the following:

- Project scope, budget and schedule;
- Any changes to Key named resources assigned to the Project;
- Project readiness including key issues and risk from their current status;

- Project Status including variance from baseline for key milestones, tasks, deliverables (Significant work products) and project closure;
- Methodology, approach, and tools to achieve the Project goals (inventory and status of completeness and agreement for documented project management and implementation approaches. I.e., Project management plan, communication plan, requirements traceability, implementation approach and methodology); and
- Roles, responsibilities, and team expectations.

Upon completion of the presentation, the State will immediately assess the health of the project and determine next steps for moving forward with the Project, within one week of the meeting, which may include the following:

- Continue the Project;
- Terminate the Contract; or
- Suspend the Contract.

See Suspension and Termination language in Attachment Four for remedies for failure to deliver the proposed work.

Note: There may be additional Project Reviews conducted by the State on an as needed basis throughout the term of the Contract to assess Project health and ensure the Project is progressing successfully.

10.3 Meeting Attendance and Reporting Requirements.

The Contractor's project delivery approach must adhere to the following meeting and reporting requirements:

- Immediate Reporting - The Project Manager or a designee must immediately report any Project staffing changes to the State Project Representative
- Attend Weekly Status Meetings - The State and Contractor Project Managers and other Project team members must attend weekly status meetings with the Project Representative and other members of the Project teams deemed necessary to discuss Project issues. These weekly meetings must follow an agreed upon agenda and allow the Contractor and the State to discuss any issues that concern them.
- Provide Weekly Status Reports - The Contractor must provide written status reports to the Project Representative at least one full business day before each weekly status meeting.
- At a minimum, weekly status reports must contain the items identified below:
 - Updated GANTT chart, along with a copy of the corresponding Project Plan files (i.e. MS Project) on electronic media acceptable to the State;
 - Updated Critical Path analysis with the aforementioned GANTT chart and an accompanying PERT chart.
 - Status of currently planned tasks, specifically identifying tasks not on schedule and a resolution plan to return to the planned schedule;
 - Issues encountered, proposed resolutions, and actual resolutions;
 - The results of any tests;
 - A problem tracking report must be attached;
 - Anticipated tasks to be completed in the next week;
 - Task and Deliverable status, with percentage of completion and time ahead or behind schedule for tasks and milestones;
 - Proposed changes to the Project work breakdown structure and Project schedule, if any;
 - Planned absence of Contractor staff and the expected return date;
 - System integration/interface activities.

- The Contractor's proposed format and level of detail for the status report is subject to the State's approval.

10.4 Utilize OIT's Document Sharing/Collaboration Capability

In conjunction with the delivery of the Project, coincident with the start of the project through its conclusion, the Contractor must use the State provided and hosted document management and team collaboration capability (Microsoft® SharePoint™) to provide access through internal state networks and secure external connections to all project team members, approved project stakeholders and participants. In conjunction with the utilization of this tool, the Contractor must:

- Structure the document management and collaboration pages and data structures in such a manner as to support the overall requirements of the Project;
- Be responsible for the maintenance and general upkeep of the designer configurations of the tool in keeping with commercially reasonable considerations and industry best practices as to not adversely impact the project delivery efforts performed by the Contractor and State; and
- At the conclusion of the project, or upon request of the State, ensure that the State is provided a machine readable and comprehensive backup of the SharePoint™ database(s) contained within the tool that is owned by the State and not proprietary to the Contractor or otherwise required by the State to maintain ongoing project documentation and artifacts (i.e., Contractor is to remove all Contractor proprietary or non-State owned or licensed materials from the tool).

10.5 Production/Version Control and Release Management:

The Contractor will be responsible for working with the State and executing the production deployment and roll-out of any Release Package to the State's PaaS environment instance (if applicable). Production deployment includes software deployment to the production instance of the PaaS environment and (if applicable) interfaces to production tools and systems that orchestrate, manage, report or control those devices and services managed by the Service, identification of interfaces and any required conversions/migrations, installation of server software, and any required testing to achieve the proper roll-out of the Release Package software.

Contractor will establish and comply with the State required implementation and deployment procedures. This may include laboratory testing, migration procedures, the use of any pre-production or pseudo-production environment prior to production migration. Contractor will submit to the State, for the State's approval, a written deployment plan describing Contractor's plan to manage each such implementation. The tasks and activities to be performed by Contractor as part of the deployment services also include the following:

- Establish procedures and automated software versioning mechanism(s) to ensure that the entire contents of a release, following State acceptance or authorization to implement to a production environment, are complete and maintain all elements that comprise the defined Release Package and the then current production version of the software prior to deployment of the Release Package to same;
- Develop, prepare and test emergency back out or roll back procedures to return the production system to its pre-deployment State as it pertains to correcting an errant, erroneous or defective deployment of a Release Package to the production environment inclusive of all code, data, middleware, infrastructure, tables and parameters;
- If, in the mutual opinion of the State and Contractor, the deployment of a Release package to the production environment is errant, erroneous or otherwise defective, implement back-out or rollback procedures in their entirety upon the written authorization or direction of the State.
- If required, convert electronic data into a format to be used by the new solution using a data conversion program as well as perform any data cleansing of legacy data, with the State's assistance, prior to loading data to the new solution;
- Conduct production pilot(s) (including "day in the life" simulations) and fine tune solution as mutually agreed with the State as appropriate;

- Compile and maintain solution issue lists;
- Conduct post Production Deployment quality and progress reviews with appropriate State personnel;
- Develop, and thereafter maintain and make available to the State, a knowledge base of documentation gathered throughout the Release Package's life and allow for re-use of such documentation for future Projects;
- Establish a performance baseline for the impacted business systems, and where appropriate document requirements for future enhancement of the business systems implemented as part of a future Project or Authorized Work.

10.6 Maintaining Solution and Operations Documentation

For all nonproprietary portions of the solution, the Contractor will:

- Document the solutions developed or modified by the Contractor in accordance with established methods, processes, and procedures such that, at a minimum the State or a competent 3rd Party vendor can subsequently provide a similar scope of Services
- Develop and maintain, as agreed appropriate, the documentation on system environments. Where it is determined that documentation is inaccurate (for example, due to demonstrated errors or obsolescence), and such inaccuracy may negatively affect the Services, Contractor will correct such documentation as part of normal day-to-day operational support.
- Update programmer, End User and operational reference materials.
- Maintain all documentation on the State's SharePoint site.

11 Project Delivery, Role and Responsibility Requirements

The State has organized our requirements for responsibilities of the State and Contractor based on the anticipated Activity Areas required to analyze, design, implement and deploy the solution as well as those requirements and activities required to support the Organizational Change Management associated with the deployment of the overall solution. Should an offeror, as a result of the review of these requirements in light of their proposed approach require additional roles or clarity, the offeror must indicate the additional requirements of the State and provide a high level rationale for the same as part of their response.

The responsibility matrices included throughout the remainder of this section identify Key Tasks to be performed as part of this project. Each Key Task has been assigned to a party and the level of responsibility for each party is designated as either a "P" for Perform, "S" for Support or designated "-" for no responsibility.

Note: If the contractor's recommended methodology does not align with the responsibility matrices below, the contractor shall present matrices which do align with the contractor's methodology. The contractor must also demonstrate that the recommended methodology and the responsibility matrices comply with the State's need to: (1) know the contractor has a complete understanding of the State's requirements, (2) the contractor's design and development efforts are in line with the State's requirement for the solution, (3) monitor the contractor's progress during the project, (4) the project risk is acceptable and is managed effectively by the contractor, (5) have accurate and complete technical documentation regarding the solution (as designed and as delivered), and (6) know the solution delivered and deployed by the contractor has been adequately tested and meets the State's requirements.

11.1 System/Environment Administration Support of the Project

The Contractor will coordinate with the State, but be responsible for all environments (production, non-production, demo/training/CRP, development and testing) as required to support the overall effort and will:

- Perform technical activities including but not limited to: version control, PS-Admin, PeopleTools development, system code/object migrations, patch implementations, log administration, data copies and exports, interface and scheduled reporting/ETLs, and responsibility for incident resolution such that migrations into production

will be executed at agreed periodic intervals and other production changes will be scheduled during the maintenance window.

- Support multiple release levels of System software/hardware elements for in-scope Services, provided that such support does not impair the Contractor’s ability to meet Contractor development and project commitments until such time as all environments can be upgraded to the same version/release level.

11.2 Establish and Manage a Program Management & Master Release Calendar

The Contractor will coordinate with the State in the development, and maintenance on a monthly basis a Master Release Calendar that includes a schedule (with dates) of:

- Major/Minor and Scheduled Releases, Upgrades, Updates and Enhancements
- Implementation of Projects, Minor Enhancements or Discretionary Work
- Scheduled Maintenance Windows and Planned Outages
- Major and Minor Project Key Dates (i.e., Start, SDLC Gate Completion, Production Release, Completion) whether Contractor delivered or otherwise
- Other pertinent dates that require end-user notification or coordination

11.3 Cooperation with State and State Contractors

Contractor will cooperate with the State in its attempts at transferring, replacing or augmenting the services responsibilities to another provider in a manner in keeping with not adversely affecting the provision of ongoing services and other projects being performed on the OAKS system concurrent with this project.

11.4 Requirements Confirmation and Analysis

The State has thoroughly documented the desired Grants Management business processes and requirements. The expectation for this project phase is the Contractor will review and analyze these State products and recommend changes which will improve the State’s business processes and requirements.

11.5 Analyze Phase: Functional Team

The Functional Team will review, analyze and update the State’s Functional Requirements and Enterprise Grants Management (EGM) process documentation. This work will be done leveraging the State’s existing process and requirements work.

The functional team will conduct workshops to confirm with SMEs the results of their business requirements analysis. These workshops may include Conference Room Pilot (CRP) sessions as applicable. Recommendations for modifications to the State’s previous requirements and processes will be documented and reviewed for acceptance.

The functional team will perform a fit-gap analysis between the requirements and any pre-developed components if applicable.

The Functional Team will also analyze impacts to the integration points with external systems, e.g. the State’s ERP system. In addition, the functional team will analyze external systems and data and recommend data for migration to the solution as applicable.

The functional team will deliver the resulting business requirements (expected to be a modified version of the State’s current functional requirements), a Requirements Traceability Matrix (RTM), the accompanying business processes modified as required and a list of customizations if applicable. All changes to the State’s original functional requirements and business processes are to be clearly indicated.

Key Tasks	State	Contractor
Review and update Business Requirements.	Support	Perform

Key Tasks	State	Contractor
Review and update Enterprise Grants Management Processes.	Support	Perform
Organize business requirements into sub-process groupings.	Support	Perform
Conduct requirement workshops.	Support	Perform
Identify workshop participants and send invitations with sufficient lead time.	Perform	Support
Prepare agendas for workshops and CRPs, as applicable.	Support	Perform
Conduct Workshop sessions.	Support	Perform
Document workshop results.	Support	Perform
Perform gap analysis if applicable.	Support	Perform
Document analysis of integration points with external systems.	Perform	Support
Provide functional impacts within external systems.	Support	Perform
Create Requirements Traceability Matrix.	Support	Perform
Create Customization Tracking Database (if applicable).	Support	Perform

11.6 Analyze Phase: Technical Team

The Technical Team will define the Technical requirements for the Project leveraging the functional requirements and process documentation.

Key Tasks	State	Contractor
Define Technical Requirements.	Support	Perform
Define the solution architecture.	Support	Perform
Document possible solution options for identified gaps, as applicable	Support	Perform
Document plan for integration points.	Support	Perform
Define technical environment requirements for the project from design through deployment and run. This includes any components or tools required to support development, test, configuration management, etc.	Support	Perform
Updated RTM with functional requirements and technical requirements cross referenced.	Support	Perform

11.7 Analyze Phase: Organizational Change Management and Training

The Organizational Change Management Team will identify all primary and secondary stakeholders impacted by the solution and define the various change management activities that will be addressed throughout the lifecycle of the project.

The change management deliverables developed in this phase will define the training audiences and courses that need to be developed in the subsequent phases as well as all communication activities that need to be executed to address the concerns of those who will be impacted by the project. This technical solution will have impact on business processes employees across multiple discipline areas; therefore the State recommends a training strategy which addresses this need and results in deliverables which are sustainable beyond Initial Release deployment.

The Grants Management Change Network will be established in this phase and may leverage the Grants Management Learning Community.

The Change Management team will also define a Knowledge Transfer Plan between the State and the Contractor Project team members.

Key Tasks	State	Contractor
Create Organizational Change Management Strategy	Support	Perform
Develop Communication Strategy	Support	Perform
Manage the Communication Plan (Spreadsheet)	Support	Perform
Create Training Strategy	Support	Perform
Create Training Needs Analysis (Spreadsheet)	Support	Perform
Review and approve training and communications materials	Perform	Support
Create and manage Readiness Plan (Plan and Spreadsheet)	Support	Perform
Recruit and identify Change Agent Network participants	Perform	-
Create Knowledge Transfer Plan	Support	Perform
Create, coordinate and monitor readiness tasks with each Agency and business stakeholders	Support	Perform

Key Tasks	State	Contractor
Present at Change Agent Network and other Agency meetings	Perform	Support
Draft communications to stakeholder groups per the communications plan	Support	Perform
Review and approve communications to stakeholder groups per the communications plan	Perform	Support
Distribute communications to stakeholder groups per the communications plan	Perform	-

11.8 Design Phase

The Analyze Checkpoint must be successfully completed prior to beginning the Design phase. This includes the State's acceptance of all deliverables due to date per the project schedule. A validation of the scope and schedule for the remainder of the Project will also be completed at the Analyze Checkpoint.

11.9 Design Phase: Functional Team

The Functional Team will create and maintain Functional Designs for the solution. Functional Designs contain data, business and security impacts and includes integration points to external systems.

Key Tasks	State	Contractor
Create Functional Designs according to the requirements.	Support	Perform
Update Requirements Traceability Matrix with design and configuration cross references	Support	Perform
Create System Test, UAT, and ORT strategies	Support	Perform
Classify new data introduced in the system to identify data elements that need to be added to the list of confidential and sensitive data	Perform	-

11.10 Design Phase: Technical Team

The Technical Team will update / create Technical Designs and Environment Plans for each of the technical components that were identified during the Analyze Phase. The technical team will also build the environments for the Build and Test Phases.

Key Tasks	State	Contractor
Create and update the Technical Designs for solution, including any interfaces to external systems.	Support	Perform
Create and update the Security Designs for the solution.	Support	Perform
Update environment plans for the Project	Support	Perform
Build technology environments required for Build & Test	Support	Perform
Support technical environments, including patches and fixes	Support	Perform
Create Deployment Plan	Support	Perform

11.11 Design Phase: Organizational Change Management and Training

The Training Team will determine the training methodology for the project. In addition, the Training Team will create a training curriculum course plan that outlines training goals, learning objectives, learning methods and evaluation methods per course.

The Curriculum and Training Designs will utilize leading practices and tools that address all relevant State policies, procedures, and guidance as defined by the State. The Curriculum and Training Designs will include:

- “Real life” scenarios with data sets loaded into the training environment.
- Training exercises to allow trainees to apply what they have learned.
- Roles and responsibilities, common error identification and remediation, and other operational functions as required to support the Project.
- Estimates for course length and timing and a task-to-course mapping.

Additionally, the Change Management Team will continue to work with the Initial Release Agencies to prepare them for the new processes. The Change Management Team will execute readiness activities as documented in the communications plan.

Key Tasks	State	Contractor
Create Training Strategy	Support	Perform
Design Training course curriculum	Support	Perform
Design real life scenario exercises with data sets for the training environment	Support	Perform
Design new training materials	Support	Perform
Draft communications to stakeholder groups per the communications plan	Support	Perform
Review and approve communications to stakeholder groups per the communications plan	Perform	Support
Distribute communications to stakeholder groups per the communications plan	Perform	-
Update Agency readiness tracking spreadsheet and dashboard	Support	Perform
Present at Change Agent Network and other Agency meetings	Perform	Support
Create, coordinate and monitor Agency and business readiness tasks and plan for Change Agent meetings	Support	Perform

11.12 Build Phase

The Design Checkpoint must be successfully completed prior to beginning the Build phase. This includes the State’s acceptance of all deliverables due to date per the project schedule. A validation of the scope and schedule for the remainder of the Project will also be completed at the Design Checkpoint.

11.13 Build Phase: Functional Team

The Functional Team will build the solution and prepare for testing. The State will provide one (1) knowledgeable FTE per functional area in test preparation and as mutually agreed to with the Contractor to support test preparation.

Key Tasks	State	Contractor
Provide test conditions and scripts.	Support	Perform
Build and Unit Test configuration and security to support the business processes	Support	Perform
Create System Test, UAT, and ORT conditions, scripts, and scenarios	Support	Perform
Prepare testing schedule and participation for System Test, UAT, and ORT	Support	Perform

11.14 Build Phase: Technical Team

The technical team will build the solution, perform unit testing, and prepare for testing. Also, the Technical Team will build the remaining necessary technical environments required by the project.

Key Tasks	State	Contractor
Create Master Test Plan	Support	Perform
Build and Unit Test the solution as applicable	Support	Perform
Build and Unit Test customizations as applicable	Support	Perform
Build and Unit Test updates to Execution Environment (i.e. interfaces, print, security services, and network infrastructure)	Support	Perform
Build Test Environment(s)	Support	Perform
Build Training environment	Support	Perform
Build Operations Environment (i.e. production)	Support	Perform
Create Assembly Test and Performance Test conditions, scripts, and scenarios	Support	Perform
Support technical environments, including patches and fixes	Support	Perform
Create Deployment and Stabilization Plan and tools (readiness criteria, critical path, and cutover activity list).	Support	Perform

11.15 Organizational Change Management and Training

The Training Team will build training materials as defined during the Design Phase which include training manuals, training environment exercises, and job aids for new functionality.

Communication materials will continue to be developed and distributed to the identified stakeholders. In addition, the business and Agency readiness activities will be tracked and monitored via the readiness spreadsheet and reported to business stakeholders.

Business Process Workshops (BPWs) will be developed for changes to requirements. During the BPWs, business process gaps will be presented and discussed with the workshop participants. Action plans will be developed as required. At this phase, the Training Team will also create a Training Deployment Plan; the purpose of this deliverable is to define a detailed plan for rolling out training to end users.

Key Tasks	State	Contractor
Build training materials for all mediums in accordance with the training strategy.	Support	Perform
Create Training Deployment Plan	Support	Perform
Build scenarios in Training environment	Support	Perform
Draft communications to stakeholder groups per the communications plan	Support	Perform
Review and approve communications to stakeholder groups per the communications plan	Perform	Support
Distribute communications to stakeholder groups per the communications plan	Perform	-
Build content for Business Process Workshops for changed functionality	Support	Perform
Deliver Business Process Workshops for changed functionality	Support	Perform
Present at Change Agent Network and other Agency meetings	Perform	Support
Create, coordinate and monitor Agency and business readiness tasks	Support	Perform

11.16 Test Phase

The Test Readiness Review Checkpoint must be successfully completed prior to beginning the Test phase. This includes the State’s acceptance of all deliverables due to date per the project schedule. A validation of the scope and schedule for the remainder of the Project will also be completed at the Test Readiness Review Checkpoint.

For avoidance of doubt with respect to testing activities, the Contractor is accountable for all activities associated with System Test while the State will participate in these activities. The State is accountable for UAT Test execution while Contractor will be responsible for test preparation, management and tracking of UAT activities.

11.17 Test Phase: Functional Team

The Functional Team will execute System Test, User Acceptance Test (“UAT”), and Operational Readiness Test (“ORT”). The State will provide three (3) FTEs knowledgeable in test execution and as mutually agreed to with the Contractor to support test execution.

System Test focuses on the customizations, configurations, workflow and integrations. Test conditions and test scenarios to be included in the System Test will be mutually agreed upon by the Contractor and the State. These scenarios will be based on an analysis of the requirements, changes, and modifications that are approved for implementation.

UAT verifies the usability of the new processes and ensures that the system meets the needs of the organization and the end user. UAT leverages System Test Scripts and is executed by Agency resources. A key objective of UAT is to facilitate an understanding of the technology and the business change being implemented.

ORT includes end-to-end testing of processes and technologies and will be executed by State members of the Project team. ORT will be conducted during a specific time period before Go-Live.

The State will conduct a Security Test that includes an application scan, manual testing of the system using client-side code analysis, and loading maliciously formatted inbound interface files.

The Functional Team will develop and prepare weekly status reports to monitor the progress of each test phase. The status reports will contain sections for condition creation, script creation, script execution, issue identification and resolution, and defect identification and resolution.

Key Tasks	State	Contractor
Develop and maintain test data repositories as agreed appropriate	Support	Perform
Manage and track System /Regression Test, UAT, and ORT	Support	Perform
Execute System / Regression Test and document results	Support	Perform

Key Tasks	State	Contractor
Execute UAT	Perform	Support
Document UAT results	Support	Perform
Execute ORT	Perform	Support
Document ORT results	Support	Perform
Prepare for and execute Security Test	Perform	-

11.18 Test Phase: Technical Team

The Technical team will execute Assembly Test and Performance Test.

Assembly Test verifies that the technical architecture works together as planned and tests that all modules were migrated appropriately. The objective of the Assembly Test is to verify that related components function properly when assembled into an overall system.

Performance Test establishes a baseline of acceptable performance for a sample of online transactions. The tests are conducted under a practical proportion of expected transaction and user volumes to mimic real-world usability. The sample is based upon mocked up data entered into the solution. The approach taken will ensure testing against empty databases. The number, frequency, and concurrency of online user transaction load will be defined using the most recent functional team estimates of activity available at the time of test preparation. The estimates will be based on enterprise-wide usage (as opposed to usage of only the Initial Release Agencies).

The Contractor will recommend a Test Moves to Production strategy as appropriate for their solution's environment(s). The contractor will demonstrate to the State that the strategy allows for the development and testing of a migration process and checklist, as well as an assessment of timing and any mitigation or resolution of any issues related to timing.

Throughout the Project duration, if a testing or production incident is due to errors, omissions, documentation inconsistencies, or bugs in an "in-scope" environment, supported server, or "in-scope" software element licensed by a Third Party to the State, the Contractor will assist the State by referring such incident to the appropriate Third Party entity for resolution and coordinating with the Third Party contractor, as appropriate, to help minimize the State role in problem management.

The Contractor will, to the extent possible, implement measures to help avoid unnecessary recurrence of incidents, by performing root cause analysis and event correlation for items discovered during testing/validation activities.

Key Tasks	State	Contractor
Prepare for and execute Assembly Test	Support	Perform
Prepare for and execute Performance Test	Support	Perform
Support Functional Team Testing	Support	Perform
Conduct Test Moves to Production	Support	Perform
Create the Deployment and Stabilization Plan	Support	Perform
Develop, update and maintain a migration checklist	Support	Perform
Prepare for final Move to Production	Support	Perform

11.19 Test Phase: Organizational Change Management and Training

The Change Management Team will continue to execute change management activities and support the testing of the new processes, tools and job aids.

Key Tasks	State	Contractor
Test training materials and job aids	Support	Perform
Draft communications to stakeholder groups per the communications plan	Support	Perform
Review and approve communications to stakeholder groups per the communications plan	Perform	Support
Distribute communications to stakeholder groups per the communications plan	Perform	-
Conduct training needs analysis including identification of trainees	Support	Perform
Identify trainers who will be responsible for providing training on new functionality subsequent to wave 1	Perform	Support

Key Tasks	State	Contractor
Train State's Trainers and identified Users as part of the Initial Release rollout	Support	Perform
Develop training instructor guides, that contain information and tips that assist the instructor through a classroom training session	Support	Perform
Prepare Help Desks Staffs for post-implementation support (create documentation and train staff)	Support	Perform
Secure training locations, schedule training sessions, identify, register and notify end users of the training, and arrange the logistics for the training sessions. Training will be at State-designated facilities.	Perform	Support
Present at Change Agent Network and other Agency meetings	Perform	Support
Create, coordinate and monitor Agency and business readiness tasks	Support	Perform

11.20 Deploy Phase

A Test Completion Checkpoint must be successfully completed prior to beginning the Deploy phase. This includes the State's acceptance of all deliverables due to date per the project schedule.

11.21 Deploy Phase: Functional Team

The Functional Team will support the deployment activities and will conduct a deployment readiness assessment to determine the readiness of the organization and the solution for go-live. Part of the readiness review will be to determine that the State has reviewed and accepted all functional, technical, and user documentation. Upon completion of the readiness assessment, the State will make a final go-live decision. The go-live date will be scheduled and resources, roles, and responsibilities will be confirmed.

Key Tasks	State	Contractor
Identify deployment readiness criteria, critical path, and contingency plan	Support	Perform
Assess deployment readiness	Support	Perform
Define stabilization approach and plan	Support	Perform
Perform deployment activities	Support	Perform
Define end user security mapping and assignments for new or altered functionality	Perform	Support

11.22 Deploy Phase: Technical Team

The Technical Team will drive the planning and execution for the system deployment activities. Deployment includes coordination of software deployment to the file server elements, identification of interfaces and any required conversions/migrations, installation and testing of any required middleware products, installation of server software, and any required testing to achieve the proper roll-out of the application software.

The Technical Team will execute the deployment plan which will describe the plan to manage the go-live. The tasks and activities to be performed include the following:

- Execute required data conversions or migrations as applicable.
- Perform required data matching activities and error reporting as applicable.
- Document data issues and provide to the State for resolution as applicable.
- Compile and maintain solution issue lists
- Produce an end-to-end final validation of the operational architecture and corresponding operational documentation for the upgraded and implemented modules
- Conduct quality and progress reviews with appropriate State personnel
- Develop, and thereafter maintain and make available to the State, a knowledge base of documentation gathered throughout the Project's life and allow for re-use of such within OAKS documentation for future Project Phases or upgrades.
- Transition solution support responsibility according to the Deployment & Stabilization Plan.

The production deployment schedule will be agreed upon mutually by the State and the Contractor.

Production migration activities will adhere to the State Production Acceptance Criteria (PAC) and will not be considered for production migration until all such criteria are met or otherwise accepted by the State. Any deviation, partial acceptance or waiver of requirements in the Production Acceptance Criteria must be agreed to in writing by the State in advance of presentation of any deliverables associated with, or determined to be part of these Production Acceptance Criteria.

Throughout the Project, Application and Tools patches and fixes will be reviewed. Patches will be applied until the QA environment is established. After the QA environment is established and prior to Go-Live, any Application or Tools related patches and fixes will be evaluated for implementation based on the criticality of the patch or fix.

Key Tasks	State	Contractor
Create production deployment plan	Support	Perform
Create detailed task lists and work plans for deployment	Support	Perform
Create production deployment staffing schedule	Support	Perform
Create production deployment roles and responsibilities	Support	Perform
Perform cutover activities	Support	Perform
Support technical environments, including patches and fixes	Support	Perform
Coordinate PAC items for Deployment	Perform	Support
Deploy the Solution	Support	Perform
System Turnover	Support	Perform

11.23 Deploy Phase: Organizational Change Management and Training

The Change Management Team will continue to execute change management activities of the Project and support the deployment of the new processes, tools, and job aids. Training content for new functionality will be deployed with content that is both instructor led and web based training.

Key Tasks	State	Contractor
Deliver statewide training to stakeholder groups per training deployment plan	Support	Perform
Draft communications to stakeholder groups per the communications plan	Support	Perform
Review and approve communications to stakeholder groups per the communications plan	Perform	Support
Distribute communications to stakeholder groups per the communications plan	Perform	Support
Create, coordinate and monitor Agency and business readiness tasks	Support	Perform
Execute knowledge transfer activities as defined in the Knowledge Transfer Plan	Support	Perform
Present at Change Agent Network and other Agency meetings	Perform	Support

11.24 Knowledge Transfer and Production Handoff

The Contractor will perform knowledge transfer support to the State in keeping with the existing OAKS Production Acceptance Checklist (PAC) process which will be made available to the Contractor at the commencement of the project to support knowledge transfer to the State. In general, the PAC will include, at a minimum the following work products as a deliverable:

Deliverable 001. The PAC Deliverable will include, at a minimum:

- Final Requirements Traceability Matrix for the Project as Implemented
- A list of all customizations and RICEFW objects as implemented
- Detailed System Test Cases and Demonstration of Successful Completion of Same
- Detailed Performance Testing Results showing at least one financial close process (e.g., a Fiscal Quarter or Year as mutually agreed)
- Completion of State User Acceptance Testing and an affirmation of same by State
- Operational Readiness Testing Results and an affirmation of same by State
- Complete User and System Administration Documentation that represent the system as implemented

- Complete operational documentation sufficient for the State or the State's managed service vendor to operate and maintain the system in the State's environments inclusive of Production, DR, Demo/Train and at least one non-Production replica of the system as delivered

12 Project Completion Activities, Final Documentation and Post Implementation Support Obligations

Following forty-five (45) days of successful execution (defined as no Severity 1 or 2 issues) by the Contractor to the State production environment, the Contractor shall be relieved of Project requirements contained herein. During the 45 day period immediately following the introduction of the Contractor provided enhancements, configurations or extensions to the State's production environment the Contractor must:

- Ensure adequate staffing from the Contractor Project Team is on hand (or available remotely) to ensure that during this 45 day period all defects identified by the State and mutually committed to resolve by the Contractor in this RFQ or under any SOW are adhered to.
- This responsibility shall specifically include:
 - Prompt isolation, triage and repair of any Severity 1 or 2 issues;
 - Performance Monitoring of the System to ensure that there are no statistically significant (i.e., +5%) deviations from actual production performance as compared to the system performance prior to the implementation of Contractor developed elements;
 - All interfaces, and system functions perform and function as specified;
 - Compile all final versions of the upgrade documentation, work products and delivery materials and locate / organize them as 'FINAL' on the State provided SharePoint site.
 - Obtain a final acceptance document from the State and the Contractor confirming that all of the above has been delivered and accepted as final.

If, during the 45 day period immediately following the introduction to Production, a Severity 1 or 2 issue occurs that can be directly attributable to the efforts of the Contractor, and not the State or other non-Project parties, the 45 day period will, at the sole discretion of the State, be reset for additional 45 day periods until such time as the system can perform without Severity 1 and 2 issues.

12.1 Production Break/Fix Support

For a period of ninety (90) days following the deployment to production or first commercial use of the system, the Contractor will:

- Track, monitor and provide remediation for solution defects and incidents requiring system configuration or in-scope environment code or configuration changes;
- Identify and implement required system or configuration changes to address solution defects.
- Maintain solution documentation (technical specifications and testing documentation) as well as a compendium of common problems, root causes and remedy to aid in the identification and remediation of underlying system incidents;
- Test configuration changes to confirm resolution of defects;
- Support the State in performing applicable acceptance testing or review of any changes arising as a result of break/fix or patch/release Contractor responsibilities; and
- Ensure compliance with any State security or other mandated patches or system levels to the extent and system enhancement turnaround time required given the nature of the security mandate and report to the State in writing any risks or issues that the Contractor becomes aware of in providing Service to the State. For example: patches designed to address immediate or active Security issues may be scheduled for a near-real-

time release, where other less pressing releases may be implemented during a scheduled maintenance or outage period.

Should the State determine that the Contractor has fulfilled the requirements of Initial Release in its entirety and as agreed in writing in a State approved change order or amendment to any agreement arising from this RFP the Contractor will adhere to the following requirements as they relate to any future projects or work efforts that impact the production system.

12.2 Future Project Services Pricing Response and Rate Card

Offerors must provide a Rate Card, by project personnel role and experience level as well as Technical role and experience level that is binding over the Contract term. The Contractor may not propose rates in any Project SOW that differ from this rate card as allowed under any contract arising from this RFP.

13 Schedule of Deliverables and Work Products

To support the execution of the Project and provide supporting follow-on documentation, the Contractor will create and deliver to the State the following set of Deliverables and Work Products. The State Project Lead will serve as the representative for coordinating respective internal reviews of the subject Deliverable(s) and Work Products for sign off by the State. The offeror should modify or propose other deliverables based on their solution or methodology characteristics. Any differences proposed to the ones listed below should include an explanation in the offeror's response. The items have been identified as S5-DEL# (Supplement 5 – Deliverable#) or S5-WP# (Supplement 5 – Work Product #) in the Table below.

13.1 Delivery and Deliverable Standards

- The Contractor will define, document and submit all standards they intend to utilize in the performance of this project. Once the State approves these standards, variances to standards must be approved by the State prior to implementation of other than standard practices.
- The Contractor's work and deliverables will be in accordance with the contractor's standards (e.g., SDLC, project management, etc.).

13.2 Schedule of Deliverables

Item #	Deliverable Name	Deliverable Description	Phase
S5 WP01	Kickoff Meeting Deck	Documents the governance for the Project, roles, approach, timeline, and deliverables in a presentation format to be presented to the Project team.	Analyze
S5-WP02	Project Execution Methodology	This is a detailed description of their project management approach as well as the requirements gathering and analysis, design, build, test, deploy and run methodologies the contractor follows, standards the contractor intends to apply to this project, and any applicable tool sets. Contractor must address topics such as: <ul style="list-style-type: none"> • Financial Controls • Risk and Issue Management • Resource Management • Change Control • Configuration Management • Development Methodology • Test Methodology 	Analyze
S5-DEL01	Deliverable 002. Work Breakdown	This document is a hierarchical decomposition of the project into phases, deliverables and work packages. In the work breakdown structure supplied, sufficient detail needs to be presented and maintained over the course of the project to track the earned	Analyze

Item #	Deliverable Name	Deliverable Description	Phase
	Structure (WBS)	value against the proposed costs and work efforts. This WBS will be reflected in the Project Workplan.	
S5-WP03	Resource Plan	The resource plan must specify resources required, by type, over the duration of the project. Contractor must identify all required resources (Contractor, State or otherwise) to complete the project, except where otherwise specified in this document, and include all costs for those resources that are to be provided by the Contractor. Sample roles should be inclusive of Developers, Business Analyst, Administrator, Security Analyst, Database Administrator, or any other roles deemed necessary by the Contractor. The contractor will specify the percent of time the each resource will perform their role on State premises.	Analyze
S5-WP04	Organization Structure	This is an org structure reflecting a high-level org structure that incorporates both Contractor and State resources. Roles to address may include any of the following: <ul style="list-style-type: none"> • Sponsors and Stakeholders • Project Management • Quality Assurance • Team Structure and Leads 	Analyze
S5-DEL02	Deliverable 003. Project Workplan	Documents the tasks required to complete the Project, the responsible party for the task, task dependencies, and the resources, duration and work hours required. This plan should include key milestones and phases. The project work plan should be in an acceptable format for the State (e.g., MS Project). The contractor's project manager will work with the State's project manager to ensure an acceptable Project Workplan is completed and accepted as baseline within 20 business days after the Kickoff Meeting.	Analyze
S5-WP05	Change Control Approach	This document must explain the approach for performing change control. This must also include the required communications and coordination points for properly obtaining sign-offs and authorizations.	Analyze
S5-DEL03	Deliverable 004. Requirements and Process Analysis	Documents the results of the requirement and business process analysis and workshop sessions in spreadsheet format, specifically: <ul style="list-style-type: none"> • All recommended changes to the State's original functional requirements and EGM processes and rationale for the changes. • For each business process gap analyzed, list the functional requirement, standard functionality of the appropriate component of the solution, options to meet the requirement and recommendation 	Analyze
S5-DEL04	Deliverable 005. Gap Analysis	Report documenting gaps between propose solution and requirements, as well as potential solution options to resolve the gaps.	Analyze
S5-DEL05	Deliverable 006. Business Processes & Requirements	The State's grants management business processes modified as applicable. The State's functional requirements modified as applicable. In addition, include analysis identifying data migration needs from external systems during deployment	Analyze
S5-DEL06	Deliverable 007. Requirements Traceability Matrix	Lists the requirements for the processes which will be designed and/or built and subsequently tested and deployed. This deliverable will be revised and updated and will be due at each phase check point or as defined in the agreed upon project work plan.	Analyze

Item #	Deliverable Name	Deliverable Description	Phase
S5-WP06	Integration Points Analysis	Defined integration points with external systems to include data analysis, potential for data migration required for deployment and any impacts within the external system.	Analyze
S5-WP07	Customization Tracking Database	This database will track customizations to any commercially developed component of the solution. It will include assessment of the impact to the lifecycle ownership of the component as a result of the customization (e.g., voided warranties, impacts with respect to future commercially available upgrades, patches, etc.).	Analyze
S5-DEL07	Deliverable 008. Solution Architecture	This document defines the application architecture that is to be used during the project and contains the solution architecture (logical and physical). This architecture must show all components and how various systems interrelate, including the external technical environment the solution will operate within.	Analyze
S5-WP08	Capacity Plan	This plan includes the results of the process of determining the operational capacity the solution needs to achieve in order to satisfy the business process demands of the system. It should include planning through the accomplishment of the State's long-term goal of the solution supporting all Grants Management within the State, including sub recipient management, sub recipient needs, etc. This document(s) specifies by phase and system the sizing, CPU, and memory requirements.	Analyze
S5-DEL08	Deliverable 009. Technical Requirements	All recommended changes to the State's original technical requirements and rationale for the changes. These requirements should be elaborated upon as required to support the development of the technical specification and design.	Analyze
S5-WP09	Technical Environments Requirements	The identification of all technical environments and the associated requirements, inclusive of all technical environments to be used for the project from the Build Phase through Test, Deploy and Run.	Analyze
S5-WP10	Organizational Change Management Strategy	This document(s) the various change management activities that will be addressed throughout the lifecycle of the project. This should include the following topics: <ul style="list-style-type: none"> • Communication Strategy: Documents the communication types, audiences, frequencies, timelines and vehicles to be used to communicate project activities to stakeholders in a spreadsheet format • Training Strategy: Outlines the approach that will be taken to develop the new training materials along with the timing required for development, resources needed and dependencies / considerations • Training Needs Analysis: Identifies the training needs that the target audiences affected by the project require and highlights the areas that are changing, who is affected by the change, and desired level of knowledge/skills expected after the training • Agency/Stakeholder Readiness Plan: Outlines the approach that will be taken to track end user adoption and readiness for the proposed solution, including business process change 	Analyze
S5-WP11	Communication Plan	This specifies typical project stakeholders, communication frequency, and communications vehicles. It must also include the approval process for communications, and how the approval process may differ based on target audience.	Analyze
S5-WP12	Training Needs Analysis	Identifies the training needs that the target audiences affected by the Project require. Primarily highlights the following: <ul style="list-style-type: none"> • Areas that are changing • Who is affected by the change 	Analyze

Item #	Deliverable Name	Deliverable Description	Phase
		<ul style="list-style-type: none"> Desired level of knowledge and skills expected after the training Importance or priority of each of the identified processes to the business 	
S5-WP13	Readiness Plan	Agency/Stakeholder Readiness Plan: Outlines the approach that will be taken to track end user adoption and readiness for the proposed solution, including business process change	Analyze
S5-WP14	Knowledge Transfer Plan	A plan defining the activities and roles required to perform knowledge transfer of the operations and support of the solution.	Analyze
S5-WP15	Checkpoint Report – Analyze	Documents any difference in the Project scope, schedule, and/or resources at or before the end of the Analyze Phase. The focus of this deliverable will be on the scope of the solution. Also indicates any deliverables which have not been accepted by the State per the Workplan.	Analyze
S5-WP16	Functional Design	Functional design of the solution. Includes the Systems Requirements Document: systems specifications and functional requirements including reliability, performance, operations, usability, maintainability and functional specifications for any interfaces to external systems.	Design
S5-WP17	Security Design	Documents the details of the approach that will be followed to meet the identified security requirements of the State.	Design
S5-WP18	Technical Design	Documents the technical specifications for the solution to include: <ul style="list-style-type: none"> Data definitions, identifying any new data elements and classifying new data to be added to the list of confidential and sensitive data. Unit Test scripts – including both normal and exception processing Changes to technical architecture Interfaces to external systems Any customizations if applicable. Data Migration from external systems at deployment, if applicable. 	Design
S5-WP19	Test Strategy	This is the overall test strategy which includes: <ul style="list-style-type: none"> Tests to be completed Test environments Test tools Defect tracking Test approach 	Design
S5-WP20	Deployment Plan	Documents the solution deployment approach	Design
S5-WP21	Technology Environments – Build Test	Establish the Technology Environments for Build and Test.	Design
S5-DEL09	Deliverable 010. Training Strategy	Documents the following: <ul style="list-style-type: none"> Purpose of the Training Plan Training Plan Components Training Objectives Training Scope Training Needs and Skills Analysis Training Methodology Approach- (methodology to be used to develop the proposed courses, training database to be used during computer systems training and methods for testing and evaluation criteria for evaluating the training courses) Training Development (Resources, facilities to be used for the recommended training courses and re-use of existing training materials) Training Timeline 	Design

Item #	Deliverable Name	Deliverable Description	Phase
		<ul style="list-style-type: none"> • Training Curriculum (Learning objectives of each course, methods/activities for developing the training courses, timing for development of the courses) • Dependencies and considerations for the development of the training courses and training execution 	
S5-WP22	Training Curriculum and materials design.	<ul style="list-style-type: none"> • Detailed description of the training curriculum. • Training materials design. 	Design
S5-DEL10	Deliverable 011. Checkpoint Report – Design	Documents any difference in the Project scope, schedule, and/or resources at or before the end of the Design Phase. The focus of this deliverable will be on the scope of the solution. Also indicates any deliverables which have not been accepted by the State per the Workplan.	Design
S5-WP23	Master Test Plan	This document the plan, scripts (including expected results) and schedule required to execute the various tests phases, including but not limited to System Test, User Acceptance Test, and Performance Test	Build
S5-WP24	Technology Environments	Establish all remaining Technology Environments as defined in the Technical Environments Requirements.	Build
S5-WP25	Build and Unit Test Results	Provide build documentation (i.e., changes to code) as a result of unit tests conducted during the Build phase.	Build
S5-DEL11	Deliverable 012. Deployment Plan	The plan for deployment of the solution, including tools, readiness criteria and cutover activity list (as applicable).	Build
S5-WP26	Training Materials	This includes all training materials and all mediums.	Build
S5-WP27	Training Deployment Plan	Documents the plan for rolling out the training to end-users. The Training Deployment Plan lists all the tactical activities that need to occur as training gets rolled out to end-users.	Build
S5-WP28	Checkpoint – Test Readiness Review	Documents any difference in the Project scope, schedule, and/or resources at or before the end of the Design Phase. This checkpoint report will focus on the readiness for entering the test phase. Also indicates any deliverables which have not been accepted by the State per the Workplan.	Build
S5-WP29	Deployment Approach	Detailed approach and plan for cutover activities for transitioning the in-scope processes into production. Includes: <ul style="list-style-type: none"> • Deployment preparation • Cutover planning Stabilization planning for Post Go-Live support.	Test
S5-WP30	Deployment & Stabilization Plan	<p>The plan will cover the timeframe forty-five (45) calendar days before Go-Live and thirty (30) calendar days after Go-Live. This document must identify the series of tasks to be performed in the appropriate sequence to ensure production readiness. This plan must also explain the approach for business continuity during and after cutover.</p> <p>The plans will detail the following for each task:</p> <ul style="list-style-type: none"> • Task name • Owner • Target date for completion • Critical path indicator <p>The type of tasks will include:</p> <ul style="list-style-type: none"> • Knowledge transfer/training tasks • Operational cutover tasks (i.e., converting data, etc.) • Publish revised policies and procedures • Technical Architecture tasks including readiness, mock deployments and production cutover • Post Go-Live support tasks <p>Approach for the project team to hand-over long term support to the run support team.</p>	Test

Item #	Deliverable Name	Deliverable Description	Phase
S5-WP31	Data Migration Checklist	Create a data migration checklist.	Test
S5-WP32	Data Migration	Test the migration of data from external systems and use the data during testing as applicable.	Test
S5-DEL12	Deliverable 013. System Test Results	These documents are the presentation of the results from a particular testing Phase inclusive of substantiation of Contractor testing of all elements as required by the State and contained in the requirements traceability matrix.	Test
S5-DEL13	Deliverable 014. Performance Test Results	Documents the results of Performance Test and establishes new performance baselines.	Test
S5-DEL14	Deliverable 015. User Acceptance Test Results	These documents are the presentation of the results based on the State's completion of acceptance testing of the Contractor developed upgrade elements. The Contractor will facilitate this deliverable and include identification, classification (i.e., Severity 1-3), and the prioritization of fixing all defects based on State UAT efforts.	Test
S5-DEL15	Deliverable 016. Operational Readiness Test Results	Documents the results of the Operational Readiness Test.	Test
S5-WP33	Training Test Results	Documentation of the testing of training materials and related job aides. Updates to training materials and job aids as a result of testing.	Test
S5-WP34	Training Instructor Guides	Information and tips which aids instructors through classroom training sessions.	Test
S5-WP35	Trainer Training	Delivery of training to State's Trainers.	Test
S5-WP36	Checkpoint – Test Completion Report	This checkpoint report will focus on the readiness for exiting the test phase and entering the Deploy Phase. Also indicates any deliverables which have not been accepted by the State per the Workplan.	Test
S5-WP37	Training Delivery	Completion of the delivery of training per the Training Deployment Plan	Deploy
S5-WP38	System Deployed	This is the acceptance of the State deployment checklist for Production and Non-Production environments.	Deploy
S5-DEL16	Deliverable 017. System Turnover	Transition solution support responsibility per the Deployment & Stabilization Plan. This includes Knowledge Transfer Activities per the Knowledge Transfer Plan.	Deploy

14 Assumptions

The offeror must list all the assumptions the offeror made in preparing the Proposal. If any assumption is unacceptable to the State, the State may at its sole discretion request that the offeror remove the assumption or choose to reject the Proposal. No assumptions may be included regarding the outcomes of negotiation, terms and conditions, or requirements. Assumptions should be provided as part of the offeror response as a stand-alone response section that is inclusive of all assumptions with reference(s) to the section(s) of the RFP that the assumption is applicable to. Offerors should not include assumptions elsewhere in their response.

15 Support Requirements

The offeror must describe the support it wants from the State other than what the State has offered in this RFP. Specifically, the offeror must address the following:

- Nature and extent of State support required in terms of staff roles, percentage of time available, and so on;
- Assistance from State staff and the experience and qualification levels required; and
- Other support requirements.

The State may not be able or willing to provide the additional support the offeror lists in this part of its Proposal. The offeror therefore must indicate whether its request for additional support is a requirement for its performance. If any part of the list is a requirement, the State may reject the offeror's Proposal, if the State is unable or unwilling to meet the requirements.

16 Pre-Existing Materials

The offeror must list any Pre-Existing Materials it owns that will be included in a Deliverable if the offeror wants a proprietary notice on copies that the State distributes. For example, the offeror may have standard user interfaces or standard shells that it incorporates in what is otherwise custom software. (See the Ownership of Deliverables section of the General Terms and Conditions.) The State may reject any Proposal that includes existing materials for a custom solution, if the State believes that such is not appropriate or desirable for the Project.

17 Commercial Materials

The offeror must list any commercial and proprietary materials that the offeror will deliver that are easily copied, such as Commercial Software, and in which the State will have less than full ownership ("Commercial Materials"). Generally, these will be from third parties and readily available in the open market. The offeror need not list patented parts of equipment, since they are not readily copied. If the offeror expects the State to sign a license for the Commercial Material, the offeror must include the license agreement as an attachment. If the State finds any provisions of the license agreement objectionable and cannot or does not negotiate an acceptable solution with the licensor, regardless of the reason and in the State's sole discretion, then the offeror's Proposal may be rejected. If the State is not going to sign a license, but there will be limits on the State's use of the Commercial Materials different from the standard license in the General Terms and Conditions, then the offeror must detail the unique scope of license here. Unless otherwise provided in this RFP, proposing to use Commercial Materials in a custom solution may be a basis for rejection of the offeror's Proposal, if the State, in its sole discretion, believes that such is not appropriate or desirable for the Project. Any deviation from the standard license, warranty, and other terms in Attachment Four also may result in a rejection of the offeror's Proposal.

If the offeror proposes a Deliverable that contains Commercial Software or other Commercial Materials with terms that differ from the terms in Attachment Four for Commercial Software and Materials, then those terms must be detailed here, and any proposed separate agreement covering those items must be included in the offeror's Proposal. This is required even if the State will not be expected to sign the agreement. Any deviation from the standard terms in Attachment Four may result in a rejection of the offeror's Proposal.

18 Development Lifecycle Performance Measures and Service Levels

This section sets forth the performance specifications for the Service Level Agreements (SLA) and Service Level Objectives (SLO) to be established between the Contractor and the State that are applicable to any work associated with the development, configuration, extension or implementation of any software (asset or cloud based) associated with this Supplement.

Offerors are to note that the State maintains a contract with a Managed Service Vendor (MSV) for the ongoing operation and maintenance of the collective of applications that comprise OAKS. This MSV is managed by a similar SLA/SLO framework containing those elements pertinent to their scope (e.g., running and maintaining OAKS assets). The SLA/SLO framework contained in this Supplement are applicable to any Contractor performing the work contained herein.

The section contains the tables and descriptions that provide the State framework, requirements relating to service level commitments, and the implications of meeting versus failing to meet the requirements and objectives, as applicable. This document defines the State's detailed performance, management, and reporting requirements for the Project Implementation Project and to all subsequent Project related services and phases that are contracted under future Statements of Work between the State and the Contractor related to this RFP.

The mechanism set out herein will be implemented to manage the Contractor's performance against each Service Level, in order to monitor the overall performance of the Contractor.

The Contractor will be required to comply with the following performance management and reporting mechanisms for all Services within the scope of this RFP and shall provide these reports to the State on a no less frequent than monthly basis:

Service Level Specific Performance – Agreed upon specific Service Levels to measure the performance of specific Services or Service Elements. Most individual Service Levels are linked to financial credits due to the State (“Performance Credits”) to incent Contractor performance.

Overall Contract Performance – An overall performance score of the Contractor across all Service Levels. The overall performance score is linked to governance and escalation processes as **needed** to initiate corrective actions and remedial processes.

18.1 Service Level Specific Performance Credits

Each Service Level (SL) will be measured using a “Green-Yellow-Red” traffic light mechanism (the “Individual SL GYR State”), with “Green” representing the highest level of performance and “Red” representing the lowest level of performance. A Performance Credit will be due to the State in the event a specific Individual SLA GYR State falls in the “Yellow” or “Red” state. The amount of the Performance Credit for each SLA will be based on the Individual SLA GYR State. Further, the amounts of the Performance Credits will, in certain cases, increase where they are imposed in consecutive months. No Service Level Performance Credit will be payable for the Contractor’s failure to meet a Service Level Objective.

Set forth below is a table summarizing the monthly Performance Credits for each SLA. All amounts set forth below that are contained in a row pertaining to the “Yellow” or “Red” GYR State, represent Performance Credit amounts.

Individual SL GYR State	Consecutive (SLA Performance Credits)											
	1st Month	2nd Month	3rd Month	4th Month	5th Month	6th Month	7th Month	8th Month	9th Month	10th Month	11th Month	12th Month
Red	A =1.71% of MPC	A + 50% of A	A + 100% of A	A + 150% of A	A + 200% of A	A + 250% of A	A + 300% of A	A + 350% of A	A + 400% of A	A + 450% of A	A + 500% of A	A + 550% of A
Yellow	B = 0.855% of MPC	B + 50% of B	B + 100% of B	B + 150% of B	B + 200% of B	B + 250% of B	B + 300% of B	B + 350% of B	B + 400% of B	B + 450% of B	B + 500% of B	B + 550% of B
Green	None	None	None	None	None	None	None	None	None	None	None	None

The Contractor agrees that in each month of the Contract, 12% of the monthly project charges (MPC) associated with the Project Implementation portion of this RFP will be at risk. MPCs are the charges for the deliverables accepted during a given month. The MPC for the Project Implementation will be at risk for failure to meet the Service Levels set forth in the Contract. The Contractor will not be required to provide Performance Credits for multiple Performance Specifications for the same event; the highest Performance Credit available to the State for that particular event will apply.

On a quarterly basis, there will be a “true-up” at which time the total amount of the Performance Credits will be calculated (the “Net Amount”), and such Net Amount will be set off against any fees owed by the State to the Contractor.

Moreover, in the event of consecutive failures to meet the Service Levels, the Contractor will be required to credit the State the maximum Performance Credit under the terms of the Contract.

The Contractor will not be liable for any failed Service Level caused by circumstances beyond its control, and that could not be avoided or mitigated through the exercise of prudence and ordinary care, provided that the Contractor immediately notifies the State in writing and takes all steps necessary to minimize the effect of such circumstances and resumes its performance of the Services in accordance with the SLAs as soon as possible.

For example, if an Individual SL GYR State is Yellow in the first Measurement Period, Red in the second Measurement Period and back to Yellow in the third Measurement Period for an SLA then the Performance Credit due to the State will be the sum of Yellow Month 1 (B) for the first Measurement Period, Red Month 2 (A + 50% of A) for the second Measurement period, and Yellow Month 3 (B + 100% of B) for the third Measurement period, provided (1) such Performance Credit does not exceed 12% of the MPC (the At-Risk Amount); and, (2) no single Service Level Credit will exceed 20% of the total At-Risk Amount, as stated below:

SLA Calculation EXAMPLE						
Monthly Project Charge (MPC) = \$290,000.00						
Monthly At Risk Amount = 12% of MPC = \$34,800						
Maximum for any one SLA = 20% of At Risk Amount = \$6,960						
GYR State		1 st Month		2 nd Month		3 rd Month
Red	0	\$	0	\$7,438.50	0	
Yellow	1	\$2,479.50	1		1	\$4,959.00
Green	6	\$	6		6	
Totals	7	\$2,479.50	7	\$7,438.50	7	\$4,959.00
Adjusted Totals by At Risk Amount and 20% per individual SLA Limitations		(Is monthly total of all Service Level Credits equal to or less than \$34,800?) - Yes (Is monthly amount for any one Service Level Credit equal to or less than \$ 6,960?) - Yes		(Is monthly total of all Service Level Credits equal to or less than \$34,800?) - Yes (Is monthly amount for any one Service Level Credit equal to or less than \$ 6,960?) - No		(Is monthly total of all Service Level Credits equal to or less than \$34,800?) - Yes (Is monthly amount for any one Service Level Credit equal to or less than \$ 6,960?) - Yes
		\$2,479.50		\$6,960.00		\$4,959.00
Total Quarterly Credit:		\$ 2,479.50 +		\$ 6,960.00 +		\$ 4,959.00
Total Quarterly Credit:		\$ 14,398.50				

Service Level Performance Credit payable to the State = (B) + (A + 50% A) + (B + 100% B), based on an illustrative MPC of \$290,000;

The total of any weighting factors may not exceed 100% of the total At-Risk Amount. To further clarify, the Performance Credits available to the State will not constitute the State’s exclusive remedy to resolving issues related to the Contractor’s performance. Service Levels will commence with Project initiation for any Implementation Project.

18.2 Overall Contract Performance

In addition to the service specific performance credits, on a monthly basis, an overall SL score (the “Overall SL Score”) will be determined, by assigning points to each SL based on its Individual SL GYR State. The matrix set forth below describes the methodology for computing the Overall SL Score:

Individual SLAs and SLOs GYR State	Performance Multiple
Green	0
Yellow	1
Red	4

The Overall SL score is calculated by multiplying the number of SLAs and SLOs in each GYR State by the Performance Multiples above. For example, if all SLAs and SLOs are Green except for two SLAs in a Red GYR State, the Overall SL Score would be the equivalent of 8 (4 x 2 Red SLAs).

Based on the Overall SL Score thresholds value exceeding a threshold of fifteen (15), mandatory Executive escalation procedures outlined in this RFP will be initiated to restore acceptable Service Levels.

If a successful resolution is not reached, then **the State may terminate the Contract for cause if:**

- The overall SL score reaches a threshold over a period of 3 consecutive months with the equivalent of 50% of the service levels in a red state; and the Contractor fails to cure the affected Service Levels within 60 calendar days of receipt of the State’s written notice of intent to terminate; **OR**
- The State exercises its right to terminate for exceeding the threshold level of 75% of Service levels in total over a six (6) month period.

The Overall Contract Performance will not constitute the State’s exclusive remedy to resolving issues related to the Contractor’s performance. The State retains the right to terminate for Overall Contract Performance under the terms of this Contract.

18.3 Monthly Service Level Report

On a State accounting monthly basis, the Contractor will provide a written report (the “Monthly Service Level Report”)to the State which includes the following information: (i)the Contractor’s quantitative performance for each Service Level; (ii) each Individual SL GYR State and the Overall SL Score; (iii) the amount of any monthly Performance Credit for each Service Level (iv) the year-to-date total Performance Credit balance for each Service Level and all the Service Levels; (v) a “Root-Cause Analysis” and corrective action plan with respect to any Service Levels where the Individual SL GYR State was not “Green” during the preceding month; and (vi) trend or statistical analysis with respect to each Service Level as requested by the State . The Monthly Service Level Report will be due no later than the tenth (10th) accounting day of the following month.

Failure to report any SLA, SLA performance in a given month, or for any non-Green (i.e., performing to Standard) SLA a detailed root cause analysis that substantiates cause shall result in the State considering the performance of the Contractor for that period as performing in a Red State.

18.4 Service Level Commitments – Project Implementation Services

The Contractor will meet the Service Level Commitment for each Service Level set forth in the tables and descriptions below:

Service Level	State Requirements			
	SLA or SLO	Support Hours	Required	
			Response	Resolution
Defect Resolution – Priority 1 Items	SLA	7x24	Every 4 hours until resolution	<= 24 hours
Defect Resolution – Priority 2 Items	SLA	7x16	Every 8 hours until resolution	<=72 hours
Defect Resolution – Priority 3 Items	SLO	5x9	Every 24 hours until resolution	<= 7 calendar days
System Test Execution Exit Quality Rate	SLA	-	See specification below	-
Blocking Issues Identification and Removal	SLA	7x24	Every 2 hours until resolution or agreeable workaround is implemented	<=10%%
Regression Testing Performance Issue Find/Fix Rate	SLA	-	See specification below	-
Code Coverage – Automated Test Beds	SLO	-	See specification below	-
Milestone Date Delivery	SLA	-	See specification below	-
Issue Reporting	SLO	-	See specification below	-
Deliverable Acceptance	SLO	-	See specification below	-
UAT Process and Environment Support	SLO	7x9	Every 2 hours until completion of testing effort	-
Development Methodology Compliance– % SDLC Compliance	SLA	-	See specification below	-
Development Methodology Compliance – % Build and Testing Activities	SLO	-	See specification below	-
Development Methodology Compliance - Issues Detected and Resolved in Production	SLO	-	See specification below	-

18.5 Service Level Specifications

18.5.1 Defect Resolution – Mean Time to Repair/Resolve (Priority 1 Items)

Specification: Defect Resolution – Mean Time to Repair/Resolve (Priority 1 Items)

Definition: Mean Time to Repair (Priority 1 Items) will be calculated by determining time (stated in hours and minutes) representing the statistical mean for all Priority 1 Defects for in-scope deliverables in the Contract Month. “Time to Repair” is measured from time and Issue is received at the Contractor Issue/Defect tracking system to point in time when the Defect is resolved or workaround is in place and the Contractor submits the repair to the State for confirmation of resolution.

“Priority 1 Defect Service Request” means an incident where the State’s use of a solution service element has stopped or is so severely impacted that the State personnel cannot reasonably continue to work.

This Service Level begins upon Contractor presentation of a deliverable (generally code based) to the State for conducting Acceptance Testing and when this deliverable is initially migrated or otherwise used in a production environment.

Formula: Mean Time to Repair (Priority 1 Outages) =
$$\frac{\text{(Total elapsed time it takes to repair Priority 1 Defect Service Requests)}}{\text{(Total Priority 1 Defect Service Requests)}}$$

Measurement Period: Month

Data Source: Monthly Project Report

Frequency of Collection: Per Incident

Service Level Measures

Individual SL GYR State	Incident Resolution – Mean Time to Repair (Priority 1 Defects).
Green	<=24 hours
Yellow	>2 4 hours and <= 48 hours
Red	>48 hours

18.5.2 Defect Resolution – Mean Time to Repair/Resolve (Priority 2 Items)

Specification: Defect Resolution – Mean Time to Repair/Resolve (Priority 2 Items)

Definition: Mean Time to Repair (Priority 2 Items) will be calculated by determining time (stated in hours and minutes) representing the statistical mean for all Priority 2 Defects for in-scope deliverables in the Contract Month. “Time to Repair” is measured from time and Issue is received at the Contractor Issue/Defect tracking system to point in time when the Defect is resolved or workaround is in place and the Contractor submits the repair to the State for confirmation of resolution.

“Priority 2 Defect Service Request” means an incident where the State’s Software or Processing Error that results in a partial or intermittent system outage or unavailability, performance Items that result in undue delay of processing business cycle data and creation of a processing backlog, System performance and availability levels not adhering to agreed-upon SLAs, the State’s traditional performance levels, and generally accepted and customary industry standards for similar functions or capabilities, a temporary workaround identified but due to processing, hardware, labor or other considerations is deemed unreasonable by the State, or may be a recurring issue with identified or indeterminate cause.

This Service Level begins upon Contractor presentation of a deliverable (generally code based) to the State for conducting Acceptance Testing and when this deliverable is initially migrated or otherwise used in a production environment.

Formula:

$$\text{Mean Time to Repair (Priority 2 Outages)} = \frac{\text{(Total elapsed time it takes to repair Priority 2 Defect Service Requests)}}{\text{(Total Priority 2 Defect Service Requests)}}$$

Measurement Period: Accounting Month

Data Source: Monthly Project Report

Frequency of Collection: Per Incident

Service Level Measures

Individual SL GYR State	Incident Resolution – Mean Time to Repair (Priority 2 Defects).
Green	<= 72 hours
Yellow	> 72 hours and <= 90 hours
Red	> 90 hours

18.5.3 Defect Resolution – Mean Time to Repair/Resolve (Priority 3 Items)

Specification: Defect Resolution – Mean Time to Repair/Resolve (Priority 3 Items)

Definition: Mean Time to Repair (Priority 3 Items) will be calculated by determining time (stated in hours and minutes) representing the statistical mean for all Priority 3 Defects for in-scope deliverables in the Contract Month. “Time to Repair” is measured from time and Issue is received at the Contractor Issue/Defect tracking system to point in time when the Defect is resolved or workaround is in place and the Contractor submits the repair to the State for confirmation of resolution.

“Priority 3 Defect Service Request” means an incident where the State’s Software or Processing Error that results in a partial or intermittent system outage or unavailability, performance items that result in periodic, but not otherwise undue delay of processing business cycle data and creation without the creation of a processing backlog that spans a business cycle, system performance and availability levels not adhering to agreed-upon performance parameters, the State’s traditional performance levels, and generally accepted and customary industry standards for similar functions or capabilities, errors or omissions in the software, related software elements, operational processes or software integration suite for which a workaround exists, but have been reported to and accepted by the Contractor, an acceptable State agreed workaround has been identified and implemented, temporary workaround identified with State acceptable processing, hardware, labor or other considerations, may be a recurring issue with identified or indeterminate cause, and items otherwise not classified as a Priority 1 or Priority 2 Defect.

This Service Level begins upon Contractor presentation of a deliverable (generally code based) to the State for conducting Acceptance Testing and when this deliverable is initially migrated or otherwise used in a production environment.

Formula:

$$\text{Mean Time to Repair (Priority 3 Outages)} = \frac{\text{(Total elapsed time it takes to repair Priority 3 Defect Service Requests)}}{\text{(Total Priority 3 Defect Service Requests)}}$$

Measurement Period: Accounting Month

Data Source: Monthly Project Report

Frequency of Collection: Per Incident

Service Level Measures

Individual SL GYR State	Incident Resolution – Mean Time to Repair (Priority 3 Defects).
Green	≤ 7 calendar days
Yellow	> 7 calendar days and ≤ 10 calendar days
Red	> 10 calendar days

18.5.4 Service Levels – Testing Performance

Specification: System Test Execution Exit Quality Rate

Definition: System Test Execution Exit Quality Rate will be determined using the results of Contractor generated pre-test strategy, executed testing cases including functionality, performance, integration, interfaces, operational suitability and other test coverage items comprising a thorough Contractor executed system testing effort.

“System Test Execution Exit Quality Rate” means the inventory of all test cases performed in conjunction with Contractor system testing, or testing otherwise preceding the State’s User Acceptance Testing efforts, presentation of resultant test performance inclusive of identified errors or issues (by priority), impact areas and overall testing results to the State otherwise referred to as “Testing Results”.

This Service Level begins upon Contractor presentation of the aforementioned Testing Results to the State prior to the State conducting UAT. The initial service level shown for this SLA will be 90.0%, exclusive of Priority 1 issues (which must be resolved prior to presentation to the State) and will be validated during an initial measurement period. Following the initial measurement period, and for all releases, updates, enhancements or patches and as a result of any production or commercial use the initial Service Level will be 95%. The initial measurement period will be as mutually agreed by the Parties, not to exceed three months and only pertain to the first production release.

Formula

$$\text{Test Quality Exit Rate} = \frac{(\text{Total \# of Test Scripts Passed during Final Pass of System Test})}{(\text{Total \# of Test Scripts Executed during Final Pass of System Test})} \times 100$$

Measurement Period: Accounting Month

Data Source: Monthly Project Report

Frequency of Collection: At end of System Test

Service Level Measures

Individual SL GYR State	System Testing Test Execution Exit Quality Rate
Green	>= 90%
Yellow	>= 85%, <90%
Red	< 85%

18.5.5 Blocking Issues – Identification and Removal

Specification: Testing of Blocking Issues – Identification and Removal Rate

Definition: A “blocking issue” is an item that is non-compliant, or otherwise fails to meet the overall quality standard agreed for work comprising a release or otherwise described in an approved statement of work between the Contractor and the State, that without remediation causes testing or production efforts to be halted, delayed or blocked for a delivery element, a logical system function or set of functions up to and including the overall work product contracted by the State.

If a blocking issue is identified, and meets the standard of prohibiting the State to reasonably conclude testing and accepting a release or SOW in part or in full, meaning no more testing (or promotion to a production environment in a reliable or timely manner) can be completed prior to resolution of the blocking issue, the Contractor will remedy the issue or deliver suitable working and commercially viable alternatives to the State as to resume testing activities and meet the business requirement as requested by the State.

This Service Level begins upon Contractor presentation of the aforementioned Testing Results to the State prior to the State conducting UAT. The initial service level shown for this SLA will be 10.0% and will be validated during an initial measurement period. Following the initial measurement period, and as a result of any production or commercial use the initial Service Level will be adjusted to 5%. The initial measurement period will be as mutually agreed by the Parties, not to exceed three months.

Formula:

$$\text{\% of time lost to blocking issues} = \frac{(\text{Total Test Time Lost to Blocking Issues})}{(\text{Total Scheduled Test Time})} \times 100$$

Measurement Period: Accounting Month

Data Source: Monthly Project Report

Frequency of Collection: Per Incident

Service Level Measures

Individual SL GYR State	Blocking Issue Identification and Removal
Green	<= 10%
Yellow	>10%, <= 12%
Red	<= 15%

18.5.6 Regression Testing Performance – Issue Find/Fix Rate

Specification: Issue Find/Fix Rate

Definition: Regression Testing Issue find fix rate is the time the Contractor spends resolving issues identified during UAT testing as a percentage of the time required to develop the code content associated with a release, enhancement, maintenance fix or otherwise identified for production execution.

The State would like to ensure the Contractor has a prompt response to addressing issues detected during testing and ensure that the Contractor is well aligned with removal of issues detected during testing efforts and that there is a prompt return of the fix to be included in the regression testing process.

This Service Level begins upon Contractor presentation of the aforementioned Testing Results to the State prior to the State conducting UAT. The initial service level shown for this SLA will be 10.0% and will be validated during an initial measurement period. Following the initial measurement period, and as a result of any production or commercial use the initial Service Level will be adjusted to 5%. The initial measurement period will be as mutually agreed by the Parties, not to exceed three months.

“Time spent in Regression Fix” is the development time required for fixing UAT defects which cause UAT testing to stop or be delayed past the scheduled test completion date. The sum of this time is then rounded (using standard rounding) to result in the number of days.

“Time spent in Regression Test” is measured as the number of days that are added to the original UAT Test schedule due to test defect or issue resolution and additional testing having to occur due to regression testing of identified UAT defects.

“Total Development Time for Release in Days” is measured as the total time for the Release prior to the UAT phase for development and systems testing activities performed by the Contractor. Should issues be identified and resolved within the planned UAT period, this SLA shall not apply.

Formula:

$$\text{\% of Time Repairing Issues} = \frac{\text{Time spent in Regression Fix} + \text{Time Spent in Regression Test (Days)}}{\text{(Total Development Time for Release in Davs)}} \times 100$$

Measurement Period: Accounting Month

Data Source: Monthly Project Report

Frequency of Collection: At end of UAT phase for each release to Production

Service Level Measures

Individual SL GYR State	Issue Find/Fix Rate
Green	<= 10%
Yellow	>10%, <= 12%
Red	<= 15%

18.5.7 Code Coverage – Automated Test Beds

Specification: % Automated Code Coverage – Regression, Release and Performance Testing

Definition: Amount of Code that is covered using automated testing tools for performance, functionality or scenario testing pertaining to (re)testing items or releases that had been previously tested under prior releases OR performance testing of the system or release element and relationships between a release item and its relationships to production code.

The Contractor is to provide best practices in conjunction with the overall testing effort. To facilitate rapid and quality testing, with a high degree of code coverage, the Contractor will employ automated testing tools and techniques where possible to test core scenarios, scenario variations, regression testing and performance testing

This SL will commence upon the delivery of a function set to the Contractor System testing environment and be in effect during the overall testing effort including Contractor efforts, joint efforts or in support of the State activities as agreed and apply to initial testing elements, regression/fix elements, performance and integration testing prior to production use.

Formula:

$$\text{\% of Code covered by Automated tools} = \frac{\text{Number of Test Cases covered by Automated Testing Tool within a Testing Period} + \text{Total Number of Performance Test Cases covered by Automated Performance Test Tool}}{\text{Number of total Test Cases within a Testing Period} + \text{Total Number of Performance Test Cases within a Testing Period}} \times 100$$

Measurement Period: Weekly, During Testing

Data Source: Weekly Project Report

Frequency of Collection: Mutually Agreed Testing Periods

Service Level Measures

Individual SL GYR State	% Automated Code Coverage
Green	>75%
Yellow	>50%, <= 75%
Red	<= 50%

18.5.8 Service Levels – Project Performance

Specification: % Compliance Milestone Dates

Definition: Amount of committed and accepted Project Milestones achieved on time as per the Project plans.

The Contractor is to produce an overall Project plan inclusive of the milestones, activities and deliverables at the commencement of the Project. Due to the overlapping nature of phases, tasks and activities, a measurement period of 1 calendar month will be established to serve as the basis for the measurement window. Vendor will count all milestones, activities and deliverables to be completed during that measurement window and their corresponding committed delivery dates. Any date variations (positive or negative) will be recorded upon the State’s acceptance of the deliverable and used in the calculation of this SL.

This SL will commence upon Project initiation and will prevail until Project completion.

Formula:

$$\% \text{ Compliance, Milestone Dates} = \frac{\text{Total Number of Milestones (owned by Contractor) met within the measurement month}}{\text{Total Number of Milestones (owned by Contractor) planned to be met during the measurement month per the agreed upon list of milestones}} \times 100$$

Measurement Period: Monthly, During Project

Data Source: Weekly Project Report

Frequency of Collection: Weekly

Service Level Measures

Individual SL GYR State	% Compliance Milestone Dates
Green	> 90%
Yellow	>85%, <=90%
Red	<= 85%

18.5.9 Issue Reporting

Specification: % Compliance Issue Reporting

Definition: The reporting of any issues impacting the Project to the State for prompt resolution and possible solutions to the State. The Contractor is to promptly report all issues to the Project management and sponsorship personnel within the State upon detection of an issue that will impact overall Project delivery, Project quality, or overall effectiveness of the Project in its intended production operation mode. Wherever possible, the Contractor must include recommendations as to work-arounds, remedial actions, impact assessment and potential mitigation strategies the State may employ. This SL will commence upon Project initiation and will prevail until Project completion.

Formula:

$$\text{\% Compliance, Issue Reporting} = \frac{\# \text{ Project Issues Identified during reporting period} - \text{Issues not reported during period Status Reports} - \text{Other unreported Issues that arise or are discovered subsequent to reporting dates}}{\# \text{ Project Issues Identified during reporting period}} \times 100$$

Measurement Period: Monthly, During Project

Data Source: Weekly Project Report

Frequency of Collection: Weekly

Individual SL GYR State	% Compliance Issue Reporting
Green	>90%
Yellow	>85%, <=90%
Red	<= 85%

18.5.10 Deliverable Acceptance

Specification: % Deliverable Acceptance

Definition: The State’s ability to accept Contractor deliverables based on submitted quality and in keeping with initially defined standards and content for Contractor deliverables.

The Contractor must provide deliverables to the State in keeping with agreed levels of completeness, content quality, content topic coverage and otherwise achieve the agreed purpose of the deliverable between the State and the Contractor. For the avoidance of doubt, the deliverables contained in this RFP as they pertain to the Shared Services Implementation Project and general Ongoing Project Services delivery concepts associated with structured software development will represent the minimum set of expected deliverables.

Notwithstanding the State review and approval cycles, this SL will commence upon the delivery of a final deliverable for acceptance to the State, and any work/re-work to the final deliverable as a result of any State questions, required clarifications/amplifications, and conclude upon due completion of the required amendments.

This SL will commence upon Project initiation and will prevail until Project completion.

Formula:

$$\% \text{ Deliverable Acceptance} = \frac{\# \text{ Deliverables Accepted During Period (less the State review Time)}}{\# \text{ Deliverables Presented during Period}} \times 100$$

Measurement Period: Monthly, During Project

Data Source: Weekly Project Report

Frequency of Collection: Weekly

Service Level Measures

Individual SL GYR State	% Deliverable Acceptance
Green	>85%
Yellow	>80%, <=85%
Red	<= 80%

18.5.11 Support of State User Acceptance Testing Activities

Specification: Support of the State User Acceptance Testing (UAT) activities

Definition: The Contractor must support the State UAT activities based on their knowledge of the overall system, responsibility to maintain environments, regression test beds, automated tools and retained developers on the Project to affect prompt and quality resolutions to issues detected by the State during a UAT phase.

Testing environments are to be functional and available to the State to conduct UAT activities, configured with all required base configuration and test data, application code and other elements as required to support the overall State testing effort.

The Contractor must provide a system(s) to accept and track any issues, defects or questions arising from the State during the performance of UAT functions, and acknowledge all issues with an estimate to resolve these issues within 2 business hours of receipt of the issue.

This SL will commence upon the delivery of a function set to the State to perform any User Acceptance or Validation and be in effect during the overall State testing effort including Contractor efforts, joint efforts or in support of the State activities as agreed and apply to initial testing elements, regression/fix elements, performance and integration testing prior to production use.

NOTE: All issues, defects, or questions will be recorded in a mutually agreeable tool and will be acknowledged with an estimate to resolve within 2 business hours.

Formula:

$$\begin{aligned}
 & \text{\% UAT Support} = \frac{\begin{aligned} & \# \text{ Business Hours, Seven Days Per Week During UAT} \\ & \text{Period} \\ & - \text{ (minus)} \\ & (\# \text{ hours testing environments unavailable or unusable to} \\ & \text{perform testing} + \text{ number business hours beyond standard} \\ & \text{State inquiries are not acknowledged and estimated}) \end{aligned}}{\begin{aligned} & \# \text{ Business Hours, Seven Days Per Week During UAT} \\ & \text{Period} \end{aligned}} \times 100
 \end{aligned}$$

Measurement Period: Monthly, During Project

Data Source: Weekly Project Report

Frequency of Collection: Monthly

Service Level Measures

Individual SL GYR State	% UAT Support
Green	>85%
Yellow	>80%, <=85%
Red	<= 80%

18.5.12 Service Levels – Development Methodology Compliance

Specification: %SDLC Compliance.

Definition: The Contractor will present and adapt as required a Software Development Lifecycle (SDLC) Methodology to manage the end-to-end software delivery process. This process will be followed. The Contractor must provide as part of overall Project delivery a proven and tested SDLC to drive and govern the overall software development process and adapt wherever possible to accommodate State considerations and processes. Based on this SDLC and the prescribed development stages (e.g., requirements, design, build, test, deployment) and phase exit documentation, reviews and signoff, this process will be followed for the duration of all development or code based Projects contracted by the State.

Notwithstanding State review and approval cycles, this SL will commence upon Project initiation and will prevail until Project completion.

Formula:

$$\begin{aligned} &= \text{\# Deliverables, Milestones, Activities, Reviews and Signoffs} \\ &= \text{Missed Per Phase/SDLC Gate} \\ \text{\% SDLC Compliance} &= \frac{\text{\# Deliverables, Milestones, Activities, Reviews and Signoffs} - \text{Missed Per Phase/SDLC Gate}}{\text{\# Deliverables, Milestones, Activities, Reviews and Signoffs Required Per Phase/SDLC Gate}} \times 100 \end{aligned}$$

Measurement Period: Monthly, During Project

Data Source: Weekly Project Report

Frequency of Collection: Weekly

Service Level Measures

Individual SL GYR State	% SDLC Compliance
Green	>95%
Yellow	>90%, <=95%
Red	<= 90%

18.5.13 Service Levels–Project Delivery–Build/Test Activities as a Percentage of Overall Activities

Specification: % build and testing activities

Definition: The Contractor will perform (subject to other SLAs in effect) and prioritize deliverable construction efforts in keeping with overall Project plans and focus effort on deliverable creation and completion associated with the successful delivery of a working Project delivered with quality to a production environment.

The Contractor must report the overall date and quality considerations of the Project delivery for the SOW governing this SL, the amount of time doing constructive efforts in building software elements, deliverables, and associated documentation; and conducting testing (system, integration, interface and performance) as a percentage of overall activities during the measurement period.

This SL will commence upon Project initiation and will prevail until Project completion.

Prior to the Start of the Build and Test Phases, the State and Accenture will forecast the number of development objects and test scripts in a schedule (**planned** number submitted by month) for the phase. Each Team Lead will track the **actual** number of completed development objects and test scripts and report progress during status meetings with project leadership.

Formula:

$$\text{\% Estimating Accuracy} = \frac{\text{\% Time Spent in Build and Testing Activities Actual Number of Work Units Submitted in a Month (cumulative for phase or release)}}{\text{Actual Number of Work Units Submitted in a Month (cumulative)}} \times 100$$

100% Planned Number to be Submitted at Month End (cumulative for phase or release)

Measurement Period: Monthly, During Project

Data Source: Weekly Project Report

Frequency of Collection: Weekly

Service Level Measures

Individual SL GYR State	% Build and Testing Activities
Green	>75%
Yellow	>70%, <=75%
Red	<= 70%

18.5.14 Service Levels – Project Completion – Issues Detected and Resolved In Production

Specification: Issues Detected and Resolved in Production

Definition: During post-implementation the Contractor must continue to support and promptly resolve any issues emerging as a result of the implementation in a production environment for a period of 90 days or otherwise mutually agreed upon, or until such time as a Managed Services SL is in effect for the element in question.

The Contractor must measure all production exceptions, issues, or problems associated or in conjunction with the initial 90 day period associated with a move of a software release to a production environment regardless of the severity level unless otherwise agreed with the State. Function points from system and user acceptance testing will serve as the basis for counting the total number of elements associated with a release.

This SL will commence upon promotion of code associated with the Project to a production or commercial environment and will prevail until all issues are resolved to the State’s satisfaction or 90 days, whichever is longer.

Formula:

$$\frac{\text{Issues Identified and Resolved in Production}}{\frac{\text{Total Time Required to Resolve Issues Identified During initial 90 day production Period}}{\text{Total Hours included in a Production Release}}} \times 100$$

Measurement Period: Monthly, During Project

Data Source: Weekly Project Report

Frequency of Collection: Weekly

Service Level Measures

Individual SL GYR State	Issues Detected and Resolved in Production
Green	≤ 2%
Yellow	>2%, ≤3%
Red	>3%