

REQUEST FOR PROPOSALS

RFP NUMBER: 0A1055
DATE ISSUED: May 12, 2009

The State of Ohio, through the Department of Administrative Services, Information Technology Procurement Services, for the Department of Development is requesting proposals for:

DEV - Ohio Community Energy Assistance Network - OCEAN Phase II

INQUIRY PERIOD BEGINS: May 13, 2009
INQUIRY PERIOD ENDS: June 3, 2009
OPENING DATE: June 10, 2009
OPENING TIME: 1:00 P.M.
OPENING LOCATION: Department of Administrative Services
I.T. Procurement Services
Bid Room
4200 Surface Road
Columbus, Ohio 43228

This RFP consists of five parts and 10 attachments, totaling 112 consecutively numbered pages. Four supplements also are attached to this RFP with a beginning header page and an ending trailer page. Please verify you have a complete copy.

PART ONE: EXECUTIVE SUMMARY

Purpose. This is a Request for Competitive Sealed Proposals ("RFP") under Sections 125.071 and 125.18 of the Ohio Revised Code (the "Revised Code") and Section 123:5-1-8 of the Ohio Administrative Code (the "Administrative Code"). The Department of Development has asked the Department of Administrative Services to solicit competitive sealed proposals ("Proposals") for Design, Development, and Implementation of OCEAN Phase II (the "Project"), and this RFP is the result of that request.

If a suitable offer is made in response to this RFP, the State of Ohio (the "State"), through the Department of Administrative Services, may enter into a contract (the "Contract") to have the selected offeror (the "Contractor") perform all or part of the Project. This RFP provides details on what is required to submit a Proposal for the Project, how the State will evaluate the Proposals, and what will be required of the Contractor in performing the work.

This RFP also gives the estimated dates for the various events in the submission process, selection process, and performance of the work. While these dates are subject to change, prospective offerors must be prepared to meet them as they currently stand.

Once awarded, the term of the Contract will be from the award date until the Project is completed to the satisfaction of the State and the Contractor is paid or June 30, 2010, whichever is sooner. The State may renew this Contract for up to four (4) additional one-year term(s), subject to and contingent on the discretionary decision of the Ohio General Assembly to appropriate funds for this Contract in each new biennium. Any such renewal of all or part of the Contract also is subject to the satisfactory performance of the Contractor and the needs of the Department of Development.

The State may reject any Proposal if the offeror fails to meet a deadline in the submission or evaluation phases of the selection process or objects to the dates for performance of the Project or the terms and conditions in this RFP.

Background. The Ohio Department of Development (DEV), through the Office of Community Services (OCS) provides energy assistance to Ohioans in the form of payments to utility providers and by performing weatherization improvements to an applicant's residence. These and other community services are delivered through OCS, 52 Community Action Agencies (CAAs), and other local providers located throughout Ohio.

Currently, OCS and the local providers use various paper forms and software products to capture an applicant's request for assistance. The systems and applications currently used to support the assistance programs are disjointed, often not networked together within the same CAAs, and do not effectively support the transfer of information between CAAs for transient applicants. This same information is necessary to identify applicants eligible for Community Services Block Grant (CSBG) services, Home Weatherization Assistance Program (HWAP) services, Electric Partnership Program (EPP) services, and other social programs offered at the local providers. Generally, the software applications of various programs do not share data causing most applicant data to be entered multiple times at the same CAA. Usually, CAAs are unable to track multiple services to a single family preventing effective case management. Per the Governmental Performance and Review Act of 1993, there have been several federally driven requirements, which have mandated that Agencies report outcome measures or program impacts. Results Oriented Management for Accountability (ROMA) is the new reporting requirement attached to all CSBG funded agencies and requires outcome based reporting for all CAA programs. The architecture for outcome reporting does not currently exist in the services-driven client tracking software. Most CAAs have to manually compile outcome data to meet the federal reporting requirements.

Changing business requirements and technological advances offer challenges and opportunities for data collection and exchange. With more than seventy Community Service and Energy Assistance providers, there are numerous potential solutions to meet these demands. OCS feels that one coordinated solution is the most cost effective strategy for needed software development. OCS, the CAAs and other local

providers, and their sponsoring state associations are committed to working together in the design and implementation of Phase II of the OCEAN application to accomplish the goals and program activities addressed herein. Over time, the continued deployment of OCEAN will result in streamlined business practices and considerable cost savings.

The goal of OCEAN Phase I was to develop a web-based application to improve data capture, data reporting, and the delivery of benefits to customers. In order to expand the vision for this project, OCS reviewed similar projects being deployed by other states and incorporated direction from the local providers based upon survey results and on-site visits. The resulting project concept was the Ohio Community and Energy Assistance Network (OCEAN). OCEAN centralized the data collected by the CAAs into a single database and makes that data available to all CAAs. This includes the capability to access this data across and within the CAAs via a Web Portal interface.

OCEAN is a modular design based on the commonalities between the Home Energy Assistance Program (HEAP); Emergency Home Energy Assistance Program (E-HEAP); Percentage of Income Payment Plan (PIPP), Community Services Block Grant (CSBG) services, Home Weatherization Assistance Program (HWAP) services, Electric Partnership Program (EPP) services, and other assistance programs. The most important common thread between these programs is the data collected on each program's applicants that is used to determine their need for assistance and eligibility and for use in client tracking and reporting. To this end, OCS created a core system database that is built as the central hub of the system (Client Intake and Client Tracking Module) and provides the proper security controls, reporting capabilities, data inputs and outputs, intake forms, budget tools, backend activities and load requirements necessary to allow assistance program subparts (Web Forms, reports, etc) to connect, to enter, share and track data for applicants. The OCEAN design contemplated that each assistance program would be grouped into a module that would be designed with reports, web forms, and business workflows specific to that program. The various Assistance Program Modules will connect with the central database to complete the OCEAN system. Although all OCEAN modules were identified in the first phase of the OCEAN Project, OCS did not anticipate concurrent development of all modules.

The first phase of OCEAN encompassed identifying requirements, creating detailed designs, developing the approved design, acceptance testing, and support training for Program Modules 1 and 2.

Program Modules:

Phase I:

1) Client Intake and Client Tracking - This module has a central database, data entry capabilities, and reporting to support capture of common information found on the combined Energy Assistance and Community Services Block Grant applications, as well as information necessary to support other social programs offered by the Agencies. This module provides the capability to define the budgets, eligibility requirements, and client tracking functions to support the various assistance programs. It also provides the current interfaces to financial systems and utility providers. This central database serves as the hub for the various assistance program modules that provide program specific functions and reports to complete the OCEAN system. The capability to import and export data to and from the central database is provided.

2) Bill Payment Assistance [Home Energy Assistance Program (HEAP); Emergency Home Energy Assistance Program (E-HEAP); Percentage of Income Payment Plan (PIPP)] - Provide the specific reports and database structures for the HEAP, E-HEAP and PIPP assistance programs. This module works in addition to the Client Intake and Client Tracking Module to allow full functionality for these programs.

OCEAN Phase I was implemented in 2006 and included the client tracking and bill payment modules for the Regular HEAP, Emergency Assistance, and PIPP programs. Phase I was built knowing that additional phases would be added to the system. The OCEAN system is scalable in design so that as CAAs and numbers of applicants for assistance programs increase, the system expands with relative

ease and little expense. OCEAN is flexible enough to allow for the addition of programs, reporting mechanisms, and any other facilities. Phase II will include the analysis and functional requirements of the remaining DEV administered programs (CSBG, ROMA, HWAP, EPP), along with all other agency programs that relate to the Community Service and Energy Assistance client.

OCS, the CAAs and other local providers, and their sponsoring state associations are committed to working together in the design and implementation of OCEAN Phase II to accomplish the goals and program activities addressed herein. Over time, the deployment of OCEAN will result in streamlined business practices and considerable cost savings.

Currently, 54 energy assistance providers use OCEAN to capture information of applicants applying for energy assistance. This same information is necessary to identify applicants eligible for many Community Service, Energy Assistance and other social programs offered at the local providers. Furthermore, by providing the necessary software to process applicants for the various assistance programs, OCEAN will be a system that eliminates redundant data entry of applicant information while expanding the services that the applicant can be found eligible. The goal for this RFP is to complete the design and development of OCEAN Phase II. Each assistance program will be grouped into a module that will be designed with reports, web forms, and backend processes specific to that program. These Assistance Program Modules will be integrated within the current OCEAN database. The technical environment and requirements are located in Supplement Three.

Community Service Block Grant and other Social Programs (Community Services): The Community Services Block Grant (CSBG) is a federal, anti-poverty block grant, which funds the operations of a state-administered network of local agencies. This CSBG network consists of more than 52 Community Action Agencies (CAAs) that create, coordinate, and deliver programs and services to low-income Ohioans. Most agencies in the CSBG network are CAAs, created through the Economic Opportunity Act, a predecessor of the CSBG. Community representation and accountability are hallmarks of the CSBG network, where a tri-partite board governs agencies. This board structure consists of elected public officials, representatives of the low-income community, and appointed leaders from the private sector. Because the CSBG funds the central management and core activities of these agencies, the CSBG network is able to mobilize additional resources to combat the central causes of poverty. CSBG funds along with additional resources are used for a broad range of services such as employment, education, income management, housing, emergency services, nutrition, and transportation. Agencies establish various local program activities based on the needs assessed by the CAAs' community.

A client registers for CSBG programs by filling out a CSBG application. CAAs then key the clients CSBG applications into their local computer application to allow the CAA to track each client's request for a specific program. In the year 2001, there were 1,303,767 unduplicated services provided using CSBG funds.

Agencies also offer assistance programs beyond those operated under the guidelines and with funding of CSBG. These additional programs are very similar to the CSBG programs in terms of scope and target clients, but they are funded by sources other than the DEV. The funding sources for additional, e.g. local charities, businesses, and other state agencies, also have specific data collection and reporting requirements for the funds provided. DEV envisions the Community Services Module to perform the same functions for all social programs administered by a CAA, regardless of the funding source.

Results Oriented Management Accountability (ROMA) Reporting: Results-Oriented Management and Accountability (ROMA) is an interagency initiative promoting outcome-based management strategies for community, state, and federal programs participating in the CSBG programs. Designed by the Office of Community Services' Monitoring and Assessment Task Force in response to the 1993 Government Performance and Results Act (GPRA), ROMA provides a flexible architecture of six national goals that the CSBG network strives to achieve. Within these goals, agencies can show the outcomes they are achieving with CSBG funds, as well as the other programs they administer to assist low-income families and communities. ROMA provides CAAs with a standard to continually evaluate the effectiveness of their CSBG programs by tracking clients through program goals and capturing direct measurements. At the

start of a CSBG program, a CAA must set the goals and the measurable targets for each step of the program's life; from sign-up to completion. The CAA tracks each registered client as their program progresses. Quarterly, the CAAs tally completed goals along with the direct measurable benefit, compile a report and send the report to DEV. This insures that throughout the life of a program, CSBG dollars can be directly traced by client, result and sustained benefit to the client and the community.

ROMA Goals:

Goal 1: Low-income people become more self-sufficient.

Goal 2: The conditions in which low-income people live are improved.

Goal 3: Low-income people own a stake in their community

Goal 4: Partnerships among supporters and providers of services to low-income people are achieved.

Goal 5: Agencies increase their capacity to achieve results.

Goal 6: Low-income people, especially vulnerable populations, achieve their potential by strengthening family and other supportive systems.

To accomplish these goals, local CAAs have been encouraged to undertake a number of ROMA implementation actions that focus on results-oriented management and results-oriented accountability.

Results-Oriented Management

- Assess poverty needs and conditions within the community;
- Define a clear agency anti-poverty mission for community action and a strategy to address those needs, both immediate and longer term, in the context of existing resources and opportunities in the community;
- Identify specific improvements, or results, to be achieved among low-income people and the community; and
- Organize and implement programs, services, and activities, such as advocacy, within the agency and among "partnering" organizations, to achieve anticipated results.

Results-Oriented Accountability

- Develop and implement strategies to measure and record improvements in the condition of low-income people and the communities in which they live that result from community action intervention;
- Use information about outcomes, or results, among agency tripartite boards and staff to determine the overall effectiveness, inform annual and long-range planning, support agency advocacy, funding, and community partnership activities.

Home Weatherization Assistance Program: The Home Weatherization Assistance Program (HWAP) is a federally funded low-income residential energy efficiency program and is managed by OCS. The two major funding sources for HWAP are the U.S. Department of Energy and the U.S. Department of Health and Human Services. Funds from sources are sometimes obtained by DEV to support HWAP and may be allocated to the local energy assistance provider network. Funding levels vary based upon decisions made in Congress from year to year, but for the last couple of program years (April 1 to March 31) the funding has been over \$30 million dollars for Ohio. Funds are allocated within Ohio based upon a formula using census data and historical allocations. All expenditures by the local providers must be tracked by the source of the funding. Reimbursements are made to the local providers based upon their actual expenditures for the month, however, if a local provider's production is below their planned goal, their reimbursement may be adversely affected. In this case, the reimbursement will be the Average Unit Cost (previously determined and currently \$3,900) times the number of completed units or their actual expenditure for the month, whichever is less.

The purpose of the HWAP program is to reduce low-income households' energy use by performing various services such as insulating attic, walls and basement; performing blower door guided air leakage work; heating system repairs or replacements; and health and safety testing and inspections. Clients

receive these services based on an on-site energy audit and current cost effectiveness guidelines. Clients are eligible for HWAP services based upon having household income at or below 150% of the Federal Poverty Guidelines or having an occupant that is receiving Supplemental Security Income (SSI). This eligibility includes all Percentage of Income Payment Plan (PIPP) customers, but does not include all customers receiving HEAP.

In 2008, DEV contracted with 35 direct grantees to administer the Home Weatherization Assistance Program. In addition, three of these grantees oversee the operations of 24 delegate providers of service. In total, the Home Weatherization Assistance Program is provided to customers within Ohio by 59 entities. Providers complete an application process on an annual basis. Each provider's annual budget is based upon a formula driven allocation of funding designated to the local provider. The allocation formula takes into consideration the number of low income customers in a service territory and a stability factor from a historical perspective.

The Grantee Provider Management Plan (GPMP) is the application process completed by the local providers. The GPMP includes the local provider's proposed budget, staffing, assurances of insurance coverage, lobbying activities, and computer compatibility, along with training needs, justifications for budget numbers, and their individual priority point criteria. The GPMP is received by OCS, reviewed by staff for errors or omissions, and considered for approval. Once approved, a contract (Grant Agreement) is completed and distributed for signatures.

At the client-level, HWAP assistance is initiated when an applicant requests weatherization services on a combined Energy Assistance Program Application. Applications for rental property must also include permission from the landlord to be considered for weatherization benefits. Application data on potentially eligible residences is then distributed to the appropriate energy assistance agency.

Each energy assistance agency prioritizes its list of applicants to determine which should be contacted to schedule an energy audit by an HWAP inspector. The inspection of a client residence will review combustion appliance safety and efficiency, air leakage measurements, and insulation requirements, and suggest actions through consumer education that the client can address for the house. Based on this review and the current guidelines for efficiency improvement provided in the Weatherization Program Standards, the inspector will complete a work order for weatherization activities for the home. Once a work order is completed, a work crew will make any necessary repairs to the combustion appliances, install insulation and complete other measures as determined by the inspector. After the work crew completes the identified measures, the HWAP inspector returns to the house to verify that all necessary work has been completed, reinforces the consumer education previously discussed and ensures that no additional work is needed on the home. After weatherization, the average household saves about \$308 per year on its energy bills. A Low Use baseload program has been developed to allow HWAP providers access to EPP funds to install electric energy efficiency measures into homes that would not qualify for an EPP audit.

Energy assistance providers may contract with local contractors to perform the work on clients' homes. Contracted services may involve both a heating contractor and a weatherization contractor. Alternatively, energy assistance providers may have in-house staff perform the work or use a combination of staff and contractor. Some providers may contract for only heating unit activities, for example. Staffing decisions are up to the management / decision makers of the local provider organization. Providers using in-house staff will also have a material inventory that is purchased with the federal funds. This inventory needs to be tracked and any variance exceeding plus or minus 2% or \$2000 must be accounted for. Inventory items may range from pounds of nails or screws to bags / rolls of insulation to door weather-strip kits. The local providers are currently using multiple software packages to issue materials, accept returns, report materials in-progress, and end of month inventory (and ultimately completed units) to OCS. Two software packages predominately used by local providers in Ohio are Weather-Tite (developed by Automation Resources) and BROMA (developed by Broma Software). NOTE: The BROMA software is in the development stages of incorporating an inventory tracking system.

The local providers are required to submit two reports to OCS on the 10th of each month, a fiscal report [Financial Reimbursement Request] and a production report [Monthly Production Report with accompanying Building Weatherization Reports]. The fiscal report is submitted through an on-line system and submissions are reviewed and approved by OCS staff. The production report is submitted through a different on-line system and submissions are reviewed and approved by a different OCS staff person. Both reports need to be submitted and approved prior to vouchers being processed for payments. The current application (written in SQL Server and FoxPro) is called the Ohio Activity Tracking System (OATS). Information regarding financials (budgets, expenditures, etc.) and production (customer demographics, inventory values, tracking of labor hours and materials installed per unit, completed unit housing information, etc.) is located within the OATS database. Currently, local providers have the capability of downloading monthly reports from software that they have licensed (Weather-Tite or BROMA) into the on-line submission software. The new system must include the labor, materials, and specific installation (for example; sidewall work, attic work, air leakage work) from non-federal funding sources that the local provider may use to supplement the HWAP program on clients' homes. HWAP data must allow for tracking of services by residence/unit as well as by client. The HWAP program is primarily interested in the structure of the home, rather than the client. A unit (the actual building) can only be weatherized once, except that a unit weatherized prior to September 30, 1993, may be worked on again if a computerized audit determines that cost-effective measures can be completed. A client (the occupant) can move from one unit to another and receive HWAP services at multiple residences as long as each unit meets HWAP service guidelines. Therefore, the HWAP database must be able to track completed units based upon the address of the unit and not the identity of the client. Currently, approximately 6,000 - 7,000 units are weatherized annually, but DEV expects this number to increase based on expected federal funding increases.

There is currently no reporting of completed units or expenditure of funding that is required to be sent to the U.S. Department of Health and Human Services. However, there is a requirement to report to the U.S. Department of Energy (DOE). Reporting to DOE is done through software supplied by the DOE called WinSaga. This is software used by DOE and maintained by a contracted organization through DOE.

Electric Partnership Program: The Electric Partnership Program (EPP) program is available to PIPP eligible applicants and is managed by OCS. This program helps eligible customers reduce their electric energy consumption by providing energy saving appliances and light bulbs. The resulting reduction in energy consumption often enables eligible applicants to make their energy payments. The funding for the program is from a rider on the electrical usage by customers of the 4 investor-owned utilities in Ohio, First Energy, American Electric Power, Duke Energy, and Dayton Power and Light. Approximately \$12,000,000 is available for the EPP program each year.

The participating utility companies provide OCS energy consumption rates for their respective customers enrolled in PIPP. OCS breaks this list down by location and pre-consumption usage and distributes it to the appropriate energy assistance local provider. Based on the information in the list, each provider prioritizes the eligible clients to determine who should be contacted for an energy audit. Clients (with the exception of the Low Use program being developed) must have lived in the home for at least one-year prior to the energy audit. This allows a year of pre-consumption data to be reviewed.

Priority is determined based upon client's pre-consumption data. Households using over 6,000 kWh of electricity annually will receive a High Use Baseload Audit, which will encompass a two-hour metering of all refrigeration appliances and reviewing the usage of lights, and other electrical uses in the home. A maximum 10% variance between the pre-consumption data and the audit is allowed. Households using between 4,000 and 6,000 kWh of electricity annually will receive a Moderate Use Baseload plus Audit, which will encompass a one-hour metering of all refrigeration appliances (or being able to locate the existing appliance in a database) and the usage of lights. Households using over 6,000 kWh of electricity annually for heating or cooling will receive a Baseload plus Audit, which will encompass either a High Use or Moderate Use Baseload Audit and a Weatherization audit. The Weatherization audit is done to ensure that insulation and other weatherization measures can be installed in the home to reduce the heating or cooling load. Many of the measures (with the exception of replacement refrigeration

appliances and weatherization measures) are installed by the auditor during the initial visit. Follow-up visits may occur to enforce the customer education action items that are discussed during the initial visit. A Low-use program is being developed to be delivered by HWAP providers. A simplified reporting tool is being developed by the DEV IT department to address this need.

Information from the EPP energy audit is loaded into a software package called SMOC~ERS (South Middlesex Opportunity Council Energy Reporting System), which evaluates the cost-effectiveness of the retrofit activities. Measures with a Savings to Investment Ratio (SIR) of 1.0 or greater are considered cost effective to install. This software does not feed data into the OATS system for storage of customer information. It would be preferred to have one system that can track the client and residence information for both the HWAP and the EPP programs.

The monthly production reports and financial reports (invoicing) for the EPP program are to be submitted by the 20th of each month. These are submitted electronically using the SMOC~ERS software, but are not received via an on-line system. An access file is electronically sent to DEV.

There are currently ten providers of the EPP service, nine non-profit organizations and one for-profit entity. Eight of the nine non-profits are also providers for the HWAP program. Approximately 10,000 households receive service through the EPP program annually.

Objectives. The State has the following objectives it expects this Project to fulfill, and it will be the Contractor's obligation to ensure the Project meets these objectives:

The objective of this Request for Proposal (RFP) is to solicit competitive sealed proposals to Contract with a single Contractor, for a detailed System Design and Development of Ohio Community and Energy Assistance Network (OCEAN) Phase II. Phase II includes the following programs-Community Services Block Grant (CSBG), Results Oriented Management Accountability (ROMA), Electric Partnership Program (EPP), Home Weatherization Assistance Program (HWAP), Utility Sponsored Weatherization Programs, and other programs administered by Community Service and Energy Assistance providers. The performance of this contract directly pertains to goals contained in the Turnaround Ohio Government Accountability Plan- Revitalizing Our Cities and Towns. By designing, developing, and implementing OCEAN Phase II, OCS will enable the one-stop delivery of energy and other vital community services to Ohio's low-income families through its network of local providers. The Turnaround Ohio Plan can be found at: <http://csa.das.ohio.gov/TurnaroundOhio/tabid/63/Default.aspx>

Some of the goals of OCEAN Phase II are to provide more efficient customer service, streamline business practices, and modernize OCEAN technology into a user-friendly cost effective system.

Additional objectives of this Project are to implement a Single Demographic Repository of Statewide Clients (Eliminate Disparate Systems), to create a Central Client Intake Mechanism for Administered Programs (Eliminate Multiple Entry), and to implement a Central Database at the State Level Allowing for More Case Management Functions for HWAP, Utility-Sponsored Weatherization, EPP, CSBG, and Other Community Service Programs.

Overview of the Project's Scope of Work. The scope of work for the Project is provided in Attachment Two: Part One of this RFP. This section only gives a summary of that work. If there is any inconsistency between this summary and the Attachment's description of the work, the Attachment will govern.

OCEAN Phase II will expand Phase I system capability for the community service and energy assistance providers to perform one-stop delivery services for energy and other vital community services for Ohio's low-income families such as food and shelter.

The scope of services required includes validating the requirements, systems analysis and design, developing the logical design and detailed design, implementing the approved design, testing, training, implementation, and stabilization. Training of and knowledge transfer to DEV staff is required throughout the project.

Calendar of Events. The schedule for the RFP process and Project is given below. The State may change this schedule at anytime. If the State changes the schedule before the Proposal due date, it will do so through an announcement on the State Procurement Website's question and answer area for this RFP. The Website announcement will be followed by an amendment to this RFP, which will also be made available through the State Procurement Website. After the Proposal due date and before the award of the Contract, the State will make schedule changes through the RFP amendment process. Additionally, the State will make changes in the Project schedule after the Contract award through the change order provisions in the General Terms and Conditions Attachment to this RFP. It is each prospective offeror's responsibility to check the Website question and answer area for this RFP for current information regarding this RFP and its Calendar of Events through award of the Contract.

Dates:

Firm Dates

RFP Issued:	May 12, 2009
Inquiry Period Begins:	May 13, 2009
Inquiry Period Ends:	June 3, 2009 at 8:00 a.m.
Proposal Due Date:	June 10, 2009 at 1:00 p.m.

Estimated Dates

Award Date:	August 2009
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Estimated Project Dates

Project Work Begins:	August 2009
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There are references in this RFP to the Proposal due date. Unless it is clearly provided to the contrary in this RFP, any such reference means the date and time (Columbus, Ohio local time) that the Proposals are due and not just the date.

PART TWO: STRUCTURE OF THIS RFP

Organization. This RFP is organized into five parts and has ten attachments. The parts and attachments are listed below. The supplements to this RFP are listed below.

Parts:

- Part 1 Executive Summary
- Part 2 Structure of this RFP
- Part 3 General Instructions
- Part 4 Evaluation of Proposals
- Part 5 Award of the Contract

Attachments:

- Attachment One Evaluation Criteria
- Attachment Two Project Requirements and Special Provisions
- Attachment Three Requirements for Proposals
- Attachment Four General Terms and Conditions
- Attachment Five Sample Contract
- Attachment Six Sample Deliverable Submittal and Acceptance (Deliverable Sign-Off Form)
- Attachment Seven Offeror Certification Form
- Attachment Eight Offeror Profile Summary
- Attachment Nine Personnel Profile Summary
- Attachment Ten Cost Summary

Supplements:

- Supplement One W-9 Form
- Supplement Two OCEAN Phase II Business Requirements
- Supplement Three OCEAN Phase II Technical System Requirements
- Supplement Four OCEAN Glossary of Terms

PART THREE: GENERAL INSTRUCTIONS

The following sections provide details on how to get more information about how to respond to this RFP. All responses must be complete and in the prescribed format.

Contacts. The following person will represent the State during the RFP process:

Procurement Representative:

Cyrus Carter
Acquisition Analyst

During the performance of the Project, a State representative (the "Project Representative") will represent the Department of Development and be the primary contact for the Project. The State will designate the Project Representative in writing after the Contract award.

Inquiries. Offerors may make inquiries regarding this RFP anytime during the inquiry period listed in the Calendar of Events. To make an inquiry, offerors must use the following process:

- Access the State Procurement Website at <http://procure.ohio.gov/>;
- From the Navigation Bar on the left, select "Find It Fast";
- Select "Doc/Bid/Schedule #" as the Type;
- Enter the RFP number found on the first page of this RFP (the RFP number begins with zero followed by the letter "A");
- Click the "Find It Fast" button;
- On the document information page, click the "Submit Inquiry" button;
- On the document inquiry page, complete the required "Personal Information" section by providing:
 - First and last name of the prospective offeror's representative who is responsible for the inquiry,
 - Name of the prospective offeror,
 - Representative's business phone number, and
 - Representative's email address;
- Type the inquiry in the space provided including:
 - A reference to the relevant part of this RFP,
 - The heading for the provision under question, and
 - The page number of the RFP where the provision can be found; and
- Click the "Submit" button.

An offeror submitting an inquiry will receive an immediate acknowledgement the State has received the inquiry as well as an email acknowledging receipt. The offeror will not receive a personalized response to the question nor notification when the State has answered the question.

Offerors may view inquiries and responses on the State's Procurement Website by using the "Find It Fast" feature described above and by clicking the "View Q & A" button on the document information page.

The State usually responds to all inquiries within three business days of receipt, excluding weekends and State holidays. However, the State will not respond to any inquiries received after 8:00 a.m. on the inquiry end date.

The State does not consider questions asked during the inquiry period through the inquiry process as exceptions to the terms and conditions of this RFP.

Amendments to the RFP. If the State revises this RFP before the Proposals are due, it will announce any amendments on the State Procurement Website.

Offerors may view amendments by using the “Find It Fast” function of the State’s Procurement Webpage (described in the Inquiries Section above) and then clicking on the amendment number to display the amendment.

When an amendment to this RFP is necessary, the State may extend the Proposal due date through an announcement on the State Procurement Website. The State may issue amendment announcements anytime before 5:00 p.m. on the day before Proposals are due, and it is each prospective offeror’s responsibility to check for announcements and other current information regarding this RFP.

After the Proposal due date, the State will distribute amendments only to those offerors whose Proposals are under active consideration. When the State amends the RFP after the due date for Proposals, the State will permit offerors to withdraw their Proposals within five business days after the amendment is issued. This withdrawal option will allow any offeror to remove its Proposal from active consideration should the offeror feel the amendment changes the nature of the transaction so much that the offeror’s Proposal is no longer in its interest. Alternatively, the State may allow offerors with Proposals under active consideration to modify their Proposals in response to the amendment.

If the State allows offerors to modify their Proposals in response to an amendment, the State may limit the nature and scope of the modifications. Unless otherwise provided in the State’s notice, offerors must make any modifications or withdrawals in writing and submit them to the State within five business days after the amendment is issued at the address and in the same manner required for the submission of the original Proposals. If this RFP provides for a negotiation phase, this submission procedure will not apply to changes negotiated during that phase. The State may reject any modification that is broader in scope than the State has authorized in the announcement of the amendment and treat it as a withdrawal of the offeror’s Proposal.

Proposal Submittal. Each offeror must submit a technical section and a cost section as part of its total Proposal before the opening time on the Proposal due date. The offeror must submit the technical section as a separate package from the cost section of its Proposal, and each section must be submitted in its own separate, opaque package. The package with the technical section of the Proposal must be sealed and contain one originally signed technical section and 10 copies of the technical section, and the package with the cost section also must be sealed and contain 3 complete copies of the cost section of the Proposal. Further, the offeror must mark the outside of each package with either “OCEAN Phase II RFP – Technical Proposal” or “OCEAN Phase II RFP – Cost Summary,” as appropriate.

Included in each sealed package, the offeror also must provide an electronic copy of everything contained within the package on CD-ROM in Microsoft Office, Microsoft Project, and Adobe Acrobat format, as appropriate. If there is a discrepancy between the hard copy and the electronic copy of the Proposal, the hard copy will control, and the State will base its evaluation of the offeror’s Proposal on the hard copy.

Proposals are due no later than 1:00 p.m. on the Proposal due date. Proposals submitted by email, fax or other electronic means are not acceptable, and the State may reject them. Offerors must submit their Proposals to:

Department of Administrative Services
I.T. Procurement Services
Attn: Bid Room
4200 Surface Road
Columbus, Ohio 43228

The State may reject any Proposals or unsolicited modifications it receives after the deadline. An offeror that mails its Proposal must allow for adequate mailing time to ensure its timely receipt. Offerors also

must allow for potential delays due to increased security. The Bid Room accepts packages between the hours of 7:30 A.M. to 5:00 P.M. Monday through Friday, excluding State Holidays. No deliveries will be accepted before or after these hours without prior arrangements. Offerors must allow sufficient time since the State may reject late Proposals regardless of the cause for the delay.

Each offeror must carefully review the requirements of this RFP and the contents of its Proposal. Once opened, Proposals cannot be altered or withdrawn, except as allowed by this RFP.

By submitting a Proposal, the offeror acknowledges it has read this RFP, understands it, and agrees to be bound by its requirements. The State is not responsible for the accuracy of any information regarding this RFP that was gathered through a source other than the inquiry process described in the RFP.

Revised Code Section 9.24 prohibits the State from awarding a contract to any entity against whom the Auditor of State has issued a finding for recovery (a "Finding"), if the Finding is unresolved at the time of the award. This also applies to renewals of contracts. By submitting a Proposal, the offeror warrants that it is not subject to an unresolved Finding under Section 9.24 at the time of its submission. The offeror also warrants that it will notify the Department of Administrative Services in writing immediately upon becoming subject to such an unresolved Finding after submitting its Proposal and before the award of a Contract under this RFP. Should the State select the offeror's Proposal for award of a Contract, this warranty of immediate written notice will apply during the term of the Contract, including any renewals or extensions. Further, the State may treat any unresolved Finding against the Contractor that prevents a renewal of the Contract as a breach, in accordance with the provisions of Attachment Four, General Terms and Conditions.

The State may reject any Proposal if the offeror takes exception to the terms and conditions of this RFP, includes unacceptable assumptions or conditions in its Proposal, fails to comply with the procedure for participating in the RFP process, or fails to meet any requirement of this RFP. The State also may reject any Proposal it believes is not in its interest to accept and may decide not to award a contract to any or all of the offerors responding to this RFP.

Offerors may not prepare or modify their Proposals on State premises.

All Proposals and other material offerors submit will become the property of the State and may be returned only at the State's option. Offerors should not include any confidential information in a Proposal or other material submitted as part of the evaluation process. All Proposals will be open to the public after the State has awarded the Contract.

The State will retain all Proposals, or a copy of them, as part of the Contract file for at least three years. After the three-year retention period, the State may return, destroy, or otherwise dispose of the Proposals and any copies of them.

Waiver of Defects. The State may waive any defects in any Proposal or in the submission process followed by an offeror, but the State will only do so if it believes it is in the State's interest and will not cause any material unfairness to other offerors.

Multiple or Alternate Proposals. The State will not accept multiple Proposals from a single offeror or any alternative solutions or options to the requirements of this RFP. Additionally, any offeror that disregards a requirement in this RFP simply by proposing an alternative to it will have submitted a defective Proposal that the State may reject. Further, any offeror that submits multiple Proposals may have all its Proposals rejected.

Changes to Proposals. The State will allow modifications or withdrawals of Proposals only if the State receives them before the Proposal due date. No modifications or withdrawals will be permitted after the due date, except as authorized by this RFP.

Proposal Instructions. Each Proposal must be organized in an indexed binder ordered in the same manner as the response items are ordered in the applicable attachments to this RFP. The requirements for a Proposal's contents and formatting are contained in the attachments to this RFP. The State wants clear and concise Proposals, but offerors must answer questions completely and meet all the RFP's requirements.

The State is not liable for any costs an offeror incurs in responding to this RFP or from participating in the evaluation process, regardless of whether the State awards the Contract through this process, decides not to go forward with the Project, cancels this RFP for any reason, or contracts for the Project through some other process or through another RFP.

Location of Data. Unless the State agrees otherwise in writing, the selected offeror and its subcontractors must do all work related to the Project and keep all State data at the location(s) disclosed in the offeror's Proposal. If Attachment Two contains any restrictions on where the work may be done or where any State data may be kept, the State may reject any Proposal that proposes to do any work or make State data available outside of those geographic restrictions.

PART FOUR: EVALUATION OF PROPOSALS

Disclosure of Proposal Contents. The State will seek to open the Proposals in a manner that avoids disclosing their contents. The State also will seek to keep the contents of all Proposals confidential until the Contract is awarded, but the State will prepare a registry of Proposals that contains the name of each offeror. The public may inspect that registry after the State opens the Proposals.

Rejection of Proposals. The State may reject any Proposal that is not in the required format, does not address all the requirements of this RFP, objects to the terms or conditions of this RFP, or that the State determines is excessive in price or otherwise not in the State's interest to accept. In addition, the State may cancel this RFP, reject all the Proposals, and seek to do the Project through a new RFP or other means.

Evaluation of Proposals Generally. The evaluation process may consist of up to six distinct phases:

1. Initial review;
2. Technical evaluation;
3. Evaluation of costs;
4. Requests for more information;
5. Determination of responsibility; and
6. Contract Negotiations.

The State may decide whether phases four and six are necessary, and the State may rearrange the order in which it proceeds with the phases. The State also may add or remove sub-phases to any phase at any time, if the State believes doing so will improve the evaluation process.

Clarifications and Corrections. During the evaluation process, in the State's sole discretion, it may request clarifications from any offeror under active consideration and may give any offeror the opportunity to correct defects in its Proposal, if the State believes doing so would not result in an unfair advantage for the offeror, and it is in the State's interest. The State may reject any clarification that is non-responsive or broader in scope than what the State requested. If the State does so, or if the offeror fails to respond to the request for clarification, the State then may request a corrected clarification, consider the offeror's Proposal without the clarification, or disqualify the offeror's Proposal.

Corrections and clarifications must be completed off State premises.

Initial Review. The State will review all Proposals for their format and completeness. The State normally rejects incomplete or incorrectly formatted Proposals, though it may waive any defects or allow an offeror to submit a correction, if the State believes doing so would not result in an unfair advantage for the offeror

and it is in the State's interest. Further, if the Auditor of State does not certify a Proposal due to lateness, the State will not open it. After the initial review, the State will forward all timely, complete, and properly formatted Proposals to an evaluation team, which the Procurement Representative will lead.

Technical Evaluation. The State will evaluate each Proposal it has determined is timely, complete, and properly formatted. The evaluation will be scored according to the requirements identified in this RFP, including the requirements in Attachment One. Other attachments to this RFP may further refine these requirements, and the State has a right to break these requirements into components and weight any components of a requirement according to their perceived importance.

The State also may have the Proposals or portions of them reviewed and evaluated by independent third parties or various State personnel with experience that relates to the work or to a criterion in the evaluation process. Additionally, the State may seek reviews from end users of the Project or the advice or evaluations of various State personnel that have subject matter expertise or an interest in the Project. The State may adopt or reject any recommendations it receives from such reviews and evaluations or give them such weight as the State believes is appropriate.

During the technical evaluation, the State will calculate a point total for each Proposal that it evaluates. At the sole discretion of the State, it may reject any Proposal receiving a significant number of zeros for sections in the technical portions of the evaluation. The State may select those offerors submitting the highest rated Proposals for the next phase. The number of Proposals that advance to the next phase will be within the State's discretion, but regardless of the number of Proposals selected, they always will be the highest rated Proposals from this phase.

At any time during this phase, in the State's sole discretion, it may ask an offeror to correct, revise, or clarify any portions of its Proposal.

The State will document all major decisions and make these a part of the Contract file, along with the evaluation results for each Proposal considered.

Requirements. Attachment One provides requirements the State will use to evaluate the Proposals, including any mandatory requirements. If the offeror's Proposal meets all the mandatory requirements, the offeror's Proposal may be included in the next phase of the evaluation, which will consider other requirements described in a table in Attachment One.

In the case of any requirements for a team of people the offeror is proposing, the offeror must submit a team to do the work on the Project that collectively meets all the team requirements. However, the experience of multiple candidates may not be combined to meet a single requirement. Further, previous experience of the candidate submitted for a Project Manager position may not be used to meet any other team member requirements. Each candidate proposed for the Project team must meet at least one of the requirements.

This RFP asks for responses and submissions from offerors, most of which represent components of the requirements in Attachment One. While each requirement represents only a part of the total basis for a decision to award the Contract to an offeror, a failure by an offeror to make a required submission or meet a mandatory requirement normally will result in a rejection of that offeror's Proposal. The value assigned above to each requirement is only a value used to determine which Proposal is the most advantageous to the State in relation to the other Proposals that the State received. It is not a basis for determining the importance of meeting that requirement.

If the State does not receive any Proposal that meets all the mandatory requirements, the State may cancel this RFP. Alternatively, if the State believes it is in its interest, the State may continue to consider the highest-ranking Proposals despite their failure to meet all the mandatory requirements. In doing this, the State may consider one or more of the highest-ranking Proposals. The State may not consider any lower-ranking Proposals unless all Proposals ranked above it are also considered, except as provided below.

In any case where no Proposal meets all the mandatory requirements, it may be that an upper ranking Proposal contains a failure to meet a mandatory requirement the State believes is critical to the success of the RFP's objectives. When this is so, the State may reject that Proposal and consider lower ranking Proposals. Before doing so, the State may notify the offeror of the situation and allow the offeror an opportunity to cure its failure to meet that mandatory requirement.

If the offeror cures its failure to meet a mandatory requirement that the State has deemed critical to the success of the RFP's objectives, the State may continue to consider the offeror's Proposal. However, if the offeror is unwilling or unable to cure the failure, its Proposal may be rejected. The State then may continue to consider the other remaining Proposals, including, if the State so chooses, Proposals that ranked lower than the rejected Proposal.

Cost Evaluation. Once the technical merits of the Proposals are considered, the State may consider the costs of one or more of the highest-ranking Proposals. But it is within the State's discretion to wait until after any interviews, presentations, and demonstrations to evaluate costs. Also, before evaluating the technical merits of the Proposals, the State may do an initial review of costs to determine if any Proposals should be rejected because of excessive cost. Further, the State may reconsider the excessiveness of any Proposal's cost at any time in the evaluation process.

The State may select one or more of the Proposals for further consideration in the next phase of the evaluation process based on the price performance formula contained in Attachment One. The Proposal(s) selected for consideration in the next phase always will be the highest-ranking Proposal(s) based on this analysis. That is, the State may not move a lower-ranking Proposal to the next phase unless all Proposals that rank above it also are moved to the next phase, excluding any Proposals that the State disqualifies because of excessive cost or other irregularities.

If the State finds that it should give one or more of the highest-ranking Proposals further consideration, the State may move the selected Proposals to the next phase. The State alternatively may choose to bypass any or all subsequent phases and make an award based solely on its scoring of the preceding phases, subject only to its review of the highest-ranking offeror's responsibility, as described below.

Requests for More Information. The State may require some offerors to interview, make a presentation about their Proposals, or demonstrate their products or services. If the presentations, demonstrations, or interviews are held as part of the technical evaluation phase, all offerors that have Proposals under evaluation may participate. Alternatively, if the presentations, demonstrations, or interviews are held after the technical evaluation, the State normally will limit them to one or more of the highest ranking offerors. The State normally will limit such presentations, demonstrations, and interviews to areas in which it seeks further information from the highest ranking offeror or offerors. Typically, these discussions provide an offeror with an opportunity to do one or more of the following:

- Clarify its Proposal and ensure a mutual understanding of the Proposal's content;
- Show the features and functions of its proposed hardware, software, or solution; and
- Demonstrate the professionalism, qualifications, skills, and work knowledge of its proposed candidates.

The State will schedule the presentations, demonstrations, and interviews at its convenience and discretion. The State will determine the scope and format of any such presentations, demonstrations, and interviews and may record them. If the State moves more than one offeror to this phase, the scope and format of these presentations, demonstrations, and interviews may vary from one offeror to the next, depending on the particular issues or concerns the State may have with each offeror's Proposal.

The State normally will not rank interviews, demonstrations, and presentations. Rather, if the State conducts the interviews, demonstrations, or presentations as part of the technical evaluation, the State may use the information it gathers during this process in evaluating the technical merits of the Proposals. If the State holds the demonstrations, presentations, or interviews only for one or more of the top-ranking

offerors after the evaluation phase, the State may decide to revise its existing Proposal evaluations based on the results of this process.

Determination of Responsibility. The State may review the background of one or more of the highest-ranking offerors and its or their key team members and subcontractors to ensure their responsibility. For purposes of this RFP, a key team member is a person that an offeror identifies by name in its Proposal as a member of its proposed team. The State will not award the Contract to an offeror that it determines is not responsible or that has proposed candidates or subcontractors to work on the Project that are not responsible. The State's determination of an offeror's responsibility may include the following factors: experience of the offeror and its key team members and subcontractors, its and their past conduct on previous contracts, past performance on previous contracts, ability to execute this Contract properly, and management skill. The State may make this determination of responsibility based on the offeror's Proposal, reference evaluations, a review of the offeror's financial ability, and any other information the State requests or determines is relevant.

Some of the factors used in determining an offeror's responsibility, such as reference checks, may also be used in the technical evaluation of Proposals in phase two of the evaluation process. In evaluating those factors in phase two, the weight the State assigns to them, if any, for purposes of the technical evaluation will not preclude the State from rejecting a Proposal based on a determination that an offeror is not responsible. For example, if the offeror's financial ability is adequate, the value, if any, assigned to the offeror's relative financial ability in relation to other offerors in the technical evaluation phase may or may not be significant, depending on the nature of the Project. If the State believes the offeror's financial ability is inadequate, the State may reject the offeror's Proposal despite its other merits.

The State may make a responsibility determination at any time during the evaluation process, but it typically will do so only once it has evaluated the technical merits and costs of the Proposals. The State always will review the responsibility of an offeror selected for an award before making the award, if it has not already done so earlier in the evaluation process. If the State determines that the offeror selected for award is not responsible, the State then may go down the line of remaining offerors, according to rank, and determine responsibility with the next highest-ranking offeror.

Reference Checks. As part of the State's determination of an offeror's responsibility, the State may conduct reference checks to verify and validate the offeror's and its proposed candidates' and subcontractors' past performance. Reference checks that indicate poor or failed performance by the offeror or a proposed candidate or subcontractor may be cause for rejection of the offeror's Proposal. Additionally, the State may reject an offeror's Proposal as non-responsive if the offeror fails to provide requested reference contact information.

The State may consider the quality of an offeror's and its candidates' and subcontractors' references as part of the technical evaluation phase, as well as in the State's determination of the offeror's responsibility. The State also may consider the information it receives from the references in weighing any requirement contained in the technical evaluation phase, if that information is relevant to the requirement. In checking an offeror's or any of its proposed candidates' or subcontractors' references, the State will seek information that relates to the offeror's previous contract performance. This may include performance with other governmental entities, as well as any other information the State deems important for the successful operation and management of the Project and a positive working relationship between the State and the offeror. In doing this, the State may check references other than those provided in the offeror's Proposal. The State also may use information from other sources, such as third-party reporting agencies.

Financial Ability. Part of State's determination of an offeror's responsibility may include the offeror's financial ability to perform the Contract. This RFP may expressly require the submission of audited financial statements from all offerors in their Proposals, but if this RFP does not make this an express requirement, the State still may insist that an offeror submit audited financial statements for up to the past three years, if the State is concerned that an offeror may not have the financial ability to carry out the

Contract. Also, the State may consider financial information other than the information that this RFP requires as part of the offeror's Proposal, such as credit reports from third-party reporting agencies.

Contract Negotiations. The final phase of the evaluation process may be contract negotiations. It is entirely within the discretion of the State whether to permit negotiations. An offeror must not submit a Proposal assuming that there will be an opportunity to negotiate any aspect of the Proposal, and any Proposal that is contingent on the State negotiating with the offeror may be rejected. The State is free to limit negotiations to particular aspects of any Proposal or the RFP, to limit the offerors with whom the State negotiates, and to dispense with negotiations entirely. If negotiations are held, they will be scheduled at the convenience of the State, and the selected offeror or offerors must negotiate in good faith.

The State may limit negotiations to specific aspects of the RFP or the offeror's Proposal. Should the evaluation result in a top-ranked Proposal, the State may limit negotiations to only that offeror and not hold negotiations with any lower-ranking offeror. If negotiations are unsuccessful with the top-ranked offeror, the State then may go down the line of remaining offerors, according to rank, and negotiate with the next highest-ranking offeror. Lower-ranking offerors do not have a right to participate in negotiations conducted in such a manner.

If the State decides to negotiate simultaneously with more than one offeror, or decides that negotiations with the top-ranked offeror are not satisfactory and therefore negotiates with one or more of the lower-ranking offerors, the State then will determine if an adjustment in the ranking of the offerors with which it held negotiations is appropriate based on the negotiations. The Contract award, if any, then will be based on the final ranking of offerors, as adjusted.

Auction techniques that reveal one offeror's price to another or disclose any other material information derived from competing Proposals are prohibited. Any oral modification of a Proposal will be reduced to writing by the offeror as described below.

Following negotiations, the State may set a date and time for the offeror(s) with which the State conducted negotiations to submit a best and final Proposal. If negotiations were limited and all changes were reduced to signed writings during negotiations, the State need not require a best and final Proposal.

If best and final Proposals are required, they may be submitted only once, unless the State determines that it is in the State's interest to conduct additional negotiations. In such cases, the State may require another submission of best and final Proposals. Otherwise, discussion of or changes in the best and final Proposals will not be allowed. If an offeror does not submit a best and final Proposal, the State will treat that offeror's previous Proposal as its best and final Proposal.

The State usually will not rank negotiations and normally will hold them only to correct deficiencies in or enhance the value of the highest-ranked offeror's Proposal.

From the opening of the Proposals to the award of the Contract, everyone evaluating Proposals on behalf of the State will seek to limit access to information contained in the Proposals solely to those people with a need to know the information. The State also will seek to keep this information away from other offerors, and the State may not tell one offeror about the contents of another offeror's Proposal in order to gain a negotiating advantage.

Before the award of the Contract or cancellation of the RFP, any offeror that seeks to gain access to the contents of another offeror's Proposal may be disqualified from further consideration.

Negotiated changes will be reduced to writing and become a part of the Contract file, which will be available for public inspection after award of the Contract or cancellation of the RFP, provided the State does not plan to reissue the RFP. If the State plans to reissue the RFP, the Contract file will not be available until the subsequent RFP process is completed. Unless the State agrees otherwise in writing, the offeror must draft and sign the written changes and submit them to the State within five business

days. If the State accepts the changes, the State will give the offeror written notice of the State's acceptance, and the negotiated changes to the successful offer will become a part of the Contract.

Failure to Negotiate. If an offeror fails to provide the necessary information for negotiations in a timely manner, or fails to negotiate in good faith, the State may terminate negotiations with that offeror, remove the offeror's Proposal from further consideration, and seek such other remedies as may be available in law or in equity.

PART FIVE: AWARD OF THE CONTRACT

Contract Award. The State plans to award the Contract based on the schedule in the RFP, if the State decides the Project is in its best interest and has not changed the award date.

Under Ohio's anti-terrorism legislation, effective April 14, 2006, the selected offeror must complete a Declaration Regarding Material Assistance/Non-assistance to a Terrorist Organization to certify that the offeror has not provided material assistance to any terrorist organization listed on the Terrorist Exclusion List. The form and the Terrorist Exclusion List are available on the Ohio Homeland Security Website. The form must be submitted with the offeror's Proposal. If an offeror answers yes or fails to answer any question on the form, the State may not award the Contract to that offeror. The offeror may request the Department of Public Safety to review such a denial of an award. More information concerning this law is available at: <http://www.homelandsecurity.ohio.gov>.

Included with this RFP, as Attachment Five, is a sample of the Contract for the RFP. The State will issue two originals of the Contract to the Contractor proposed for award. The offeror must sign and return the two originals to the Procurement Representative. The Contract will bind the State only when the State's duly authorized representative signs all copies and returns one to the Contractor with an award letter, the State issues a purchase order, and all other prerequisites identified in the Contract have occurred.

The Contractor must begin work within 15 business days after the State issues a purchase order under the Contract. If the State awards a Contract pursuant to this RFP, and the Contractor is unable or unwilling to begin the work within the time specified above, the State may cancel the Contract, effective immediately on notice to the Contractor. The State then may return to the evaluation process under this RFP and resume the process without giving further consideration to the originally selected Proposal. The State also may seek such other remedies as may be available to the State in law or in equity for the selected offeror's failure to perform under the Contract.

Contract. If this RFP results in a Contract award, the Contract will consist of this RFP, including all attachments, written amendments to this RFP, the Contractor's accepted Proposal, and written, authorized amendments to the Contractor's Proposal. It also will include any materials incorporated by reference in the above documents and any purchase orders and change orders issued under the Contract. The form of the Contract is included as a one-page attachment to this RFP, but it incorporates all the documents identified above. The general terms and conditions for the Contract are contained in Attachment Four to this RFP. If there are conflicting provisions between the documents that make up the Contract, the order of precedence for the documents is as follows:

1. The one-page Contract (Attachment Five) in its final form;
2. This RFP, as amended;
3. The documents and materials incorporated by reference in the RFP;
4. The Contractor's Proposal, as amended, clarified, and accepted by the State; and
5. The documents and materials incorporated by reference in the Contractor's Proposal.

Notwithstanding the order listed above, change orders and amendments issued after the Contract is executed may expressly change the provisions of the Contract. If they do so expressly, then the most recent of them will take precedence over anything else that is part of the Contract. To be binding on the State, a duly authorized representative of the Department of Administrative Services must sign any change order under or amendment to the Contract.

ATTACHMENT ONE: EVALUATION CRITERIA

Mandatory Requirement. The first table lists this RFP's mandatory requirement. If the offeror's Proposal meets the mandatory requirement, the offeror's Proposal may be included in the next part of the technical evaluation phase described in the next table.

Mandatory Requirement	Reject	Accept
Within the last (5) years the offeror must have experience as the prime contractor for a minimum of two (2) system development projects that included design, development, systems integration, implementation, and training of a system of similar size and complexity. The offeror must explain how cited projects are similar in size and complexity to OCEAN Phase II.		

Scored Criteria. In the technical evaluation phase, the State will rate the technical merits of the Proposals based on the following requirements and the weight assigned to each requirement:

Scored Criteria	Weight	Does Not Meet	Meets	Exceeds	Greatly Exceeds
Offeror Mandatory Requirements					
Within the last (5) years the offeror must have experience as the prime contractor for a minimum of two (2) system development projects that included design, development, systems integration, implementation, and training of a system of similar size and complexity. The offeror must explain how cited projects are similar in size and complexity to OCEAN Phase II.	100	Reject	5	7	9
Personnel Requirements					
Project Manager	Weight	Does Not Meet	Meets	Exceeds	Greatly Exceeds
A minimum of twelve (12) months of experience as the project manager on a project of similar size and complexity employing the proposed System Development Methodology (SDM) from project inception to completion.	30	0	5	7	9
A minimum of sixty (60) months experience as the project manager	30	0	5	7	9
A minimum of sixty (60) months experience utilizing various project management tools (e.g., MS Project Suite) for planning and tracking projects (e.g., defining tasks, estimating timelines, and balancing resources) on a minimum of two (2) projects of similar size and complexity to OCEAN Phase II.	25	0	5	7	9
A minimum of sixty (60) months experience managing and completing the change management activities on a minimum of two (2) projects of similar size and complexity to OCEAN Phase II.	25	0	5	7	9

Technical Lead	Weight	Does Not Meet	Meets	Exceeds	Greatly Exceeds
A minimum of (60) months experience managing a technical team and its activities from inception through completion of a minimum of two (2) projects of similar size and complexity to OCEAN Phase II.	30	0	5	7	9
A minimum of sixty (60) months experience performing systems development activities in a technician role (e.g., analysis, design, and development) utilizing the proposed technologies(Microsoft Visual Studio .Net 2008, SQL Server) on a minimum of two (2) projects of similar size and complexity to OCEAN Phase II.	30	0	5	7	9
A minimum of twenty-four (24) months experience utilizing various project management tools for planning and tracking projects on a minimum of two (2) projects of similar size and complexity OCEAN Phase II.	30	0	5	7	9
Database Lead	Weight	Does Not Meet	Meets	Exceeds	Greatly Exceeds
A minimum of thirty-six (36) months performing database administrator duties utilizing MS SQL Server (2000 or later) on projects of similar size and complexity to OCEAN Phase II.	35	0	5	7	9
A minimum of twelve (12) months experience administering web-based database applications on a project of similar size and complexity to OCEAN Phase II.	35	0	5	7	9
A minimum of twelve (12) months experience performing database administration on MS SQL 2005 or later in a technician role (e.g. creating databases, backup/recovery, performance tuning etc.) on projects of similar size and complexity to OCEAN Phase II. Include a list of database administrative tools utilized.	30	0	5	7	9
Business Transformation Lead	Weight	Does Not Meet	Meets	Exceeds	Greatly Exceeds
Experience developing and implementing successful organizational assessment and transformation plans for a minimum of two (2) projects of similar size and complexity to OCEAN Phase II.	20	0	5	7	9
Experience developing and managing successful organizational transformation strategies and plans utilizing communication tools for a minimum of two (2) projects of similar size and complexity to OCEAN Phase II.	20	0	5	7	9
Experience in developing, utilizing and managing performance measurement for a	15	0	5	7	9

minimum of two (2) projects of similar size and complexity to OCEAN Phase II.					
Experience in successful implementing and managing learning management systems for a minimum of one (1) project of similar size and complexity to OCEAN Phase II.	20	0	5	7	9
Experience implementing and measuring performance change based on job functions for a minimum of two (2) projects of similar size and complexity to OCEAN Phase II.	15	0	5	7	9
Training Lead	Weight	Does Not	Meets	Exceeds	Greatly Exceeds
Experience in developing and implementing a training plan based on staff competency assessment by roles on a minimum of one (1) project of similar complexity and size to OCEAN Phase II.	25	0	5	7	9
Experience in preparing formal training, coaching and preparing competency assessment on a project similar in size and complexity to OCEAN Phase II.	20	0	5	7	9
Experience in developing on-line accessible training course curricula and additional online resources such as help on a project of similar size and complexity to OCEAN Phase II.	15	0	5	7	9
Experience in developing the tools, training techniques and technical assistance resources for staff and providers in a project of similar size and complexity to OCEAN Phase II.	15	0	5	7	9
A minimum of twelve (12) months experience using various project management tools for planning and tracking projects for a project of similar size and complexity to OCEAN Phase II.	15	0	5	7	9
Proposed Solution	Weight	Does Not Meet	Meets	Exceeds	Greatly Exceeds
Centralized Appointment Manager	25	0	5	7	9
Organized Parent – Child Relationship	25	0	5	7	9
Case Management and Referral	30	0	5	7	9
Advanced Assistance and Support	20	0	5	7	9
Electronic Source Verification	20	0	5	7	9
Role Based Security	30	0	5	7	9
Inventory Tools	35	0	5	7	9
Reporting Capabilities	30	0	5	7	9
Intake Forms	20	0	5	7	9
Utility Customer Batch Processing	20	0	5	7	9

Regulated Utility Interface	20	0	5	7	9
Offline Access	20	0	5	7	9
Community Service Program Administration	30	0	5	7	9
Electric Partnership Program	30	0	5	7	9
Home Weatherization Assistance Program	30	0	5	7	9
HWAP Program Administration	30	0	5	7	9
Activity Tracking System	30	0	5	7	9
OCEAN Phase I Enhancements	20	0	5	7	9
Technical Requirements	15	0	5	7	9
Plans					
Work Plans	Weight	Does Not Meet	Meets	Exceeds	Greatly Exceeds
Task 1 – Project Management	10	0	5	7	9
Task 2 – Business Transformation Management	20	0	5	7	9
Task 3 – Systems Analysis and Design	20	0	5	7	9
Task 4 – Development	25	0	5	7	9
Task 5 – Testing	25	0	5	7	9
Task 6 – Data Conversion	15	0	5	7	9
Task 7 – System Training	20	0	5	7	9
Task 8 - Implementation and Stabilization	25	0	5	7	9
Task 9 – Application Support, Maintenance, and Enhancement	20	0	5	7	9
Staffing Plan	20	0	5	7	9
Project Plan	30	0	5	7	9

Price Performance Formula. The evaluation team will rate the Proposals that meet the Mandatory Requirements based on the following criteria and respective weights.

Criteria	Percent	Points
Offeror Mandatory Requirement	5%	50
Personnel Requirements	20%	200
Proposed Solution	30%	300
Plans	20%	200
Total Design, Development, Implementation, and Maintenance Cost	20%	200

Total Enhancement Position Rates	5%	50
Total Points	100%	1000

To ensure the scoring ratio is maintained, the State will use the following formulas to adjust the points awarded to each offeror.

The offeror with the highest point total for the Offeror Requirements will receive 50 points. The remaining offerors will receive a percentage of the maximum points available based upon the following formula:

$$\text{Offeror Requirements Points} = (\text{Offeror Requirements Points} / \text{Highest Number of Offeror Requirements Points Obtained}) \times 50$$

The offeror with the highest point total for the Personnel Requirements will receive 200 points. The remaining offerors will receive a percentage of the maximum points available based upon the following formula:

$$\text{Personnel Requirements Points} = (\text{Personnel Requirements Points} / \text{Highest Number of Personnel Requirements Points Obtained}) \times 200$$

The offeror with the highest point total for the Proposed Solution will receive 300 points. The remaining offerors will receive a percentage of the maximum points available based upon the following formula:

$$\text{Proposed Solution Points} = (\text{Proposed Solution Points} / \text{Highest Number of Proposed Solution Points Obtained}) \times 300$$

The offeror with the highest point total for the Plans will receive 200 points. The remaining offerors will receive a percentage of the maximum points available based upon the following formula:

$$\text{Plans Points} = (\text{Plans Points} / \text{Highest Number of Plans Points Obtained}) \times 200$$

The offeror with the lowest proposed Total Design, Development, Implementation, and Maintenance Cost will receive 200 points. The remaining offerors will receive a percentage of the maximum cost points available based upon the following formula:

$$\text{Total Design, Development, Implementation and Maintenance Cost} = (\text{Lowest Total Design, Development, Implementation and Maintenance Cost} / \text{Offeror's Total Design, Development, Implementation and Maintenance Cost}) \times 200$$

The offeror with the lowest proposed Total Enhancement Hourly Rates Cost will receive 50 points. The remaining offerors will receive a percentage of the maximum cost points available based upon the following formula:

$$\text{Total Enhancement Hourly Rates Cost} = (\text{Lowest Total Enhancement Hourly Rates Cost} / \text{Offeror's Total Enhancement Hourly Rates Cost}) \times 50$$

Total Points Score: The total points score is calculated using the following formula:

$$\text{Total Points} = \text{Offeror Requirements Points} + \text{Personnel Requirements Points} + \text{Proposed Solution Points} + \text{Plans Points} + \text{Total Design, Development, Implementation and Maintenance Cost} + \text{Total Enhancement Hourly Rates Cost}.$$

ATTACHMENT TWO: PROJECT REQUIREMENTS AND SPECIAL PROVISIONS PART ONE: PROJECT REQUIREMENTS

This attachment describes the Project and what the Contractor must do to get the job done. It also describes what the Contractor must deliver as part of the completed Project (the "Deliverables"). Additionally, it gives a detailed description of the Project's schedule.

Scope of Work. The State will provide oversight for the entire Project, but the Contractor must provide overall project management for the tasks under this Contract, including the day-to-day management of its staff. The Contractor also must assist the State with coordinating State staff participating with the Project. And the Contractor must provide all administrative support for its staff and activities. Throughout the Project, the Contractor must employ ongoing project management techniques to ensure a comprehensive Project Plan is developed, executed, monitored, reported on, and maintained.

The Contractor must provide one full-time functional Project Manager throughout the Project lifecycle. This Project Manager must work on-site at 77 S. High St. Floor 25, Columbus, Ohio 43216.

The Contractor must employ the proposed Project Manager as a regular, full-time employee on the Proposal submission date and through acceptance of the Project. Additionally, the Contractor's full-time regular employees must perform at least 30% of the work required to complete the Project. The Contractor may use its personnel or subcontractor personnel to meet the remaining 70% of the work.

The Contractor also must propose a system development methodology that is defined, documented, and repeatable.

The State will provide staff, as it deems appropriate, to perform Project monitoring, will participate in quality assurance and configuration management tasks, and will participate in Project reviews. This section of the RFP describes the deliverables required for this project.

The Contractor must use an iterative system development approach to complete the implementation of OCEAN Phase II. The following tasks and deliverables represent all the work to be completed to successfully implement OCEAN Phase II. They do not necessarily represent a logical sequence for completion of the work to be performed.

DEV requires an iterative approach when it comes to the development of OCEAN Phase II. The System Analysis and Design of all functionalities of OCEAN should be done up front before any development is completed. After the analysis and design of all programs and functionalities is complete, development in an iterative approach can begin. DEV envisions that some of the development iterations for certain programs will not take as long as others and could be developed rather quickly in the start of the development phase. Development will be completed using both major and minor deployment releases. Major deployment releases will include:

- Major new features, architecture changes, new system components

Minor deployment releases will include:

- Minor new features, minor field changes(i.e. text or additional check box added) and/or bug fixes

Task 1 - Project Management:

The Contractor must create all project management Deliverables initially and update them as needed throughout the life of the Project.

Contractor Responsibilities.

1. Update and Maintain Project Plan and Schedule. The Project schedule submitted with the Contractor's proposal must be updated and submitted in electronic and paper form to DEV's staff for approval within fourteen (14) calendar days of the work start date. The revised project schedule will become the Contractor's master plan to fulfill the Contract. The Contractor must use Microsoft Project as the automated project management tool for the maintenance and presentation of the Project schedule during the Project. The Project schedule must be formally updated in conjunction with the monthly reporting requirements throughout the Project.

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 monthly reporting requirements during the Project; and
- Ensure the Project Plan allows adequate time (10 days) for the State to review, comment on, and approve all Deliverables.

2. Communication Plan. As part of the Project Management Task the Contractor must develop a communication plan that demonstrates sufficient services to ensure timely and appropriate generation, collection, and dissemination of project information. This includes the communications protocols and procedures for reporting to DEV stakeholders regarding project issues, changes via the Change Control, work activities, and deliverables. The Contractor must detail its procedure for assuring effective project management activities, specify all project management activities and responsibilities, and quantify how project progress will be measured and controlled. All materials generated as a result of the Communication Plan must be turned over to DEV at the completion of the implementation of OCEAN Phase II application.

3. Software Development Plan. The Software Development Plan is a comprehensive plan that gathers all information required to manage the project from a software development perspective. This plan is to be developed at the beginning of the Contractor's proposed methodology and updated as necessary. It describes the approach to the development of the software, and it should be designed as the top-level plan developed and used by managers to direct the development effort. It provides the Project Manager with the tools needed to plan the project schedule and resource needs, and to track the progress against the schedule. Guidance is provided to project team members to understand what they need to do, when they need to do it, and what other activities they are dependent upon.

A few of these sections were completed in Phase I. The Contractor will be required to update existing documents. Sections that are to be included in the Software Development Plan must include (but is not limited to):

- Iteration Plan
- Requirements Management Plan
- Risk Management Plan
- Business Modeling Guidelines
- User-Interface Guidelines
- Use-Case Modeling Guidelines
- Design Guidelines
- Programming Guidelines
- Test Guidelines
- Infrastructure Plan
- Configuration Management Plan
- System Security Plan
- Documentation Plan
- Quality Assurance Plan

- Problem Resolution Plan

4. Change Management Plan. The Contractor must develop a Change Management Plan which establishes the Change Management roles and responsibilities, policies, guidelines, processes and procedures necessary for controlling and managing the changes, both technical and other changes, during the life of OCEAN Phase II development project. This document will identify how changes are identified, defined, evaluated, approved, and tracked through completion.

5. Meeting Attendance and Reporting Requirements. The Contractor must provide periodic reporting and attend status meetings.

- Immediate Reporting - The Project Manager or a designee must immediately report any Project staffing changes to the Project Representative (See: Attachment Four: Part Two: Replacement Personnel).
- Weekly Meetings and Status Reports - Throughout the Project, the Contractor's Project Manager, and pertinent primary Project staff must attend weekly meetings with the DEV and stakeholders. The weekly meetings must follow a preset agenda and must allow the Contractor or the State the option to discuss other issues that concern either party.

The Contractor must provide written and electronic status reports on the Project, which are due to the DEV at least 24 hours before each weekly meeting. Weekly status reports must contain, at a minimum, descriptions of the following:

- An Executive Summary;
- Updated GANTT chart, along with a copy of the corresponding Project Plan files (i.e. MS Project) on electronic media acceptable to the State;
- Status of currently planned tasks, specifically identifying tasks not on schedule and a resolution plan to return to the planned schedule;
- Any issues encountered, proposed resolution, and their current disposition;
- Any issues that need to be addressed before proceeding to the next task;
- The results of any tests;
- Anticipated tasks to be completed in the next week;
- Tasks percentage completed between 0% and 100%;
- Updated project schedule;
- Proposed changes to the Project work breakdown structure and Project schedule, if any;
- Updated risk and mitigation planning; and
- Status of open issues.

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

6. Ad Hoc Meetings or Trainings: The Contractor's Project manager, or designee, must attend and participate in no more than 20 Project-related ad hoc meetings or trainings as requested. The Contractor may be required to prepare materials and make formal presentations at these meetings or trainings. Every year DEV attends many trainings or meetings throughout the State of Ohio that DEV is asked to present the current status of OCEAN. The Contractor will be responsible for producing the material and presenting it. The Contractor must submit the presentation to DEV no less than 48 hours prior to the date of the training or meeting.

7. Monthly Status Reports: The Contractor must submit a hardcopy and electronic status report, which is due to the State Project Manager by the close of business, the second working day following the end of each month during the Project.

Monthly status reports must contain, at a minimum, the following:

- An updated work breakdown structure from the Microsoft Project in electronic version;
- A description of the overall completion status of the Project in terms of the approved Project schedule;
- The plans for activities scheduled for the next month;
- The Deliverable status, with percentage of completion and time ahead or behind schedule for particular tasks;
- Identification of Contractor employees assigned to specific activities;
- Problems encountered, proposed resolutions and actual resolutions;
- An analysis of risk anticipated, proposed mitigation strategies and resolved risks;
- Any updates required in the change management strategy
- Testing status and test results; and
- Proposed changes to the project schedule, if any.

Contractor Deliverables. The Deliverables to be produced by the Contractor for the Project Management Task must include the following:

1. Update and Maintain Project Schedule;
2. Communication Plan;
3. Software Development Plan;
4. Change Management Plan;
5. Meeting Attendance and Reporting Requirements;
6. Ad Hoc Meetings or Trainings; and
7. Monthly Status Reports

Task 2 - Business Transformation Management:

The implementation of this project will bring about a cultural change for DEV and its stakeholders (including Community Services and Energy Assistance program providers located throughout the State), as well as changes to business processes and workflows. Success will be dependent on the acceptance and utilization of the system by the end user in support of their work.

For the purposes of this RFP, Business Transformation Management refers to promoting and fostering the awareness, acceptance, and implementation of new programs within the current OCEAN system, corresponding changes in business processes and workflows, and the definition and implementation of new work roles within the organization.

Business Transformation Management must begin with the initiation of the Contract and continue through the life of the Project.

Contractor Responsibilities

8. Create and Implement a Business Transformation Plan. The Contractor is responsible for creating and implementing a Plan to transition users to the new system. For the Plan, the contractor must:

- Develop and document strategies for preparing for and implementing the transition to the new system in a plan prepared according to currently accepted best practices within the business transformation management field.
- Develop and apply relevant metrics for accomplishing the plan.
- Ensure a cultural fit with new processes and systems.
- Communicate, which includes formal presentations, the project mission, vision, and strategy to stakeholders and organization liaisons.
- Coordinate the transformation plan with DEV.

- Ensure that users have the ability to function in their jobs after implementation (performance support).

9. Transformation Results Document. The Contractor must facilitate business transformation throughout the Project and document the results of the transformation. The Contractor will be responsible for working with DEV to implement business process changes and new business processes to support use of the new system. This includes:

- Identifying the impact that additional functional priorities will have on the current business processes,
- Detailing the operation of the system's driven business processes, job functions, and roles,
- Identifying the impact that those business processes will have on customers, employees, and other stakeholders
- Documenting any legislative regulations, administrative rules, and organization policies/procedures that may require modification in order to implement specific process changes.

10. Business Transformation Communication. The Contractor must provide Transformation Management Training, Role training, and Communicate changes to DEV. The training for the DEV management team must include how to develop and implement an effective organizational approach to manage the change resulting from the development and implementation. The Contractor is responsible for communicating the Business Transformation Process to DEV and organizations at all levels. This includes training all users affected by the transformation process in new practices, procedures and roles as defined throughout the transformation process. Additionally, the Contractor must provide clear communication mechanisms and assist DEV in effecting a transition to the new processes that result in increased job satisfaction, work productivity, and organizational effectiveness.

Contractor Deliverables. The Deliverables to be produced by the Contractor for the Business Transformation Task must include the following:

8. Business Transformation Plan
9. Transformation Results Document
10. Business Transformation Communication

Task 3 - System Analysis and Design

The Contractor must perform a detailed review and analyses of the System Requirements Document (SRD) provided and develop the detailed specifications required to construct and implement the new OCEAN Phase II. The major objectives of the System Analysis and Design task are as follows:

- Ensure that the Contractor has a thorough, detailed understanding of the Ohio Department of Development's Office of Community Services operation and its business requirements;
- Confirm, add to and refine the business requirements specified in this RFP (SRD) and supporting documents;
- Elaborate and document the requirements of the OCEAN Phase II;
- Support and participate in requirements management;
- Document the analysis of OCEAN Phase II; and
- Design OCEAN Phase II.

All requirements must be developed, designed and documented by the Contractor as part of this task, and system documentation is to be produced and approved by the State. The products of this task must be developed according to the approved detailed System Design Specification Documents developed during task, and must be consistent with the agreed upon standards developed in the Software Development Plan.

Contractor Responsibilities. The Contractor must complete activities consistent with its proposed methodology to accomplish the task objectives and meet all RFP requirements. This includes a desire to view rapid prototypes of requirements and design concepts, screens, content, and application flow. Workflow and performance simulation within design is also preferred. At a minimum, completion of this task must include the following activities:

11. Organization Visits: The Contractor along with DEV staff will conduct no more than 7 field visits within Ohio to gather detailed system design requirements at the following organization types: Community Action Agencies (CAAs), Home Weatherization Providers (that are not CAAs), and/or Utility companies. The visits will allow the Contractor to document design requirements at each of the organizations. This will also allow the Contractor to perform analysis of the current software systems available throughout the State for each program.

12. Review, Confirm and Refine Business and Technical Requirements. The Contractor must thoroughly review, confirm, and update if necessary, all the requirements specified in this RFP contained in the business and technical requirement documents). In addition, the Contractor must work with State staff to fully understand the scope, purpose, and implications of each requirement.

13. Construct Systems Requirements Specification (SRS). The Contractor must develop a System Requirements Specification Document. This System Requirements Specification Document must include use cases, business rules, and non-functional requirements (e.g., quality attributes, legal and regulatory requirements, standards, performance requirements, and design constraints). The Contractor must include the resource requirements which detail CPU, data storage, print, memory and time estimates for transaction and batch processes required for test, development and production of OCEAN Phase II in accordance with the Business and Technical Requirements in this RFP. These detailed requirements must be traceable back to the system requirements specified in the business requirements document. The specification for each requirement should include a means of measuring that the requirement has been satisfied. This measurement will be utilized to generate the necessary test cases for system and acceptance testing.

14. Requirements Traceability Matrix and Repository. The Contractor must build a requirements traceability matrix to track all requirements specified in the business and technical requirement documents and SRS. The requirements must be stored in a requirements management repository approved by the State that permits reporting of a specific requirement, selected requirements based on type or attributes, and a complete detailed listing of all requirements. This matrix and the repository will be used throughout the project to assure design; development, test, and the final production system meet the specified requirements.

15. Prepare Functional Specifications Document. Based upon the System Requirements Specification Document, the Contractor must prepare a Functional Specification Document. The Functional Specification Document must define the general architecture of the system, leveraging the existing architecture and focusing primarily on the use case view of the architecture. All models, diagrams, or flowcharts provided in this specification must be constructed by using the Unified Model Language (UML) version 1.3 or greater. A conceptual data model can be included in the specification as long as it is simple enough for a person untrained in data modeling to understand. The Functional Specification must include preliminary layouts or prototypes for screens, reports, notices, forms, and letters. The Contractor must provide and present the prototypes for DEV staff and other stakeholders for review throughout the design process. The Contractor must facilitate Joint Application Design (JAD) sessions with DEV staff and stakeholders to validate all layout and prototype designs. The Contractor must conduct walkthroughs of the prototypes with the DEV staff and technical resources and demonstrations during the development of the Functional Specification Document to enhance DEV's understanding and to facilitate the approval process. The specification for each application element (i.e. Screen, report, notice, etc.) must reference the business rules that must be enforced

by the element. The security necessary for each application element must also be defined in this specification. In addition, any alerts that are generated or influenced by each application element must be specified. All the elements of the Functional Specification Document must be traceable back to use cases and other requirements contained in the System Requirements Specification Document. The Contractor must prepare the Functional Specification Document with the understanding that its primary audience will be the business staff. The document must be written in language that can be understood by non-technical staff.

16. Prepare Detailed System Design Document. Based upon the approved Functional Specification Documents, the Contractor must prepare a detailed System Design Specification Document. The System Design Specification (SDS) Document must contain all the information necessary for application development. It must define the design and the complete architecture of the system. The design must leverage and expand upon the current environment in use by DEV for OCEAN Phase I.

All models, use cases, diagrams, or flowcharts provided in this specification must be constructed by using the Unified Model Language (UML) version 1.3 or greater, except for data models and hardware diagrams. A logical and physical data model must be included in the specification. The creation of the data model must be done in coordination with DEV Staff. Artifacts produced as a result of this activity should include but are not limited to: use cases, use case models, OCEAN site map(s), data element dictionary, logical data models, physical data model, deployment diagrams, activity diagrams, integration build plans, design packages, design models, interface design models, and supplementary specification documents.

The Logical Data Model (LDM) must be in third normal form (3NF) at a minimum. The finalized LDM must be presented for model review. The LDM must be formally approved by the State before work is done on the physical model. In addition, the finalized physical data model must be presented to State staff for a model review. The Contractor must provide and present the changes to prototypes for State staff to review throughout the design process. The Contractor must conduct walkthroughs and demonstrations of the System Design Specification Document with DEV Staff and technical resources during the development of the design specification to enhance the DEV's understanding and to facilitate the approval process. The design specification for each application element (i.e. Screen, report, notice, etc.) should include the structure of the element as a class model. The business rules defined in the Functional Specification Document must be documented as program edits that must be enforced by the element. The method of implementing security in each application element must also be defined in this specification. In addition, any alerts that are generated or influenced by each application element must be described. Application programming interfaces (APIs) utilized within the application to communicate between components and modules or with external systems must be defined in this specification as well. All the elements of the System Design Specification Document must be traceable back to the elements defined and documented in the Functional Specification Document. They must also trace forward into actual implementation components and test cases. The Contractor must prepare the System Design Specification Document with the understanding that its primary audience will be technical staff.

17. OCEAN Phase II Deployment Plan. The Contractor must develop an OCEAN Phase II deployment plan that details how OCEAN Phase II will be deployed to the user community. Deployment describes the end state of the application before it goes into production. After development and testing, the application is deployed. Below is an illustration of the current process.

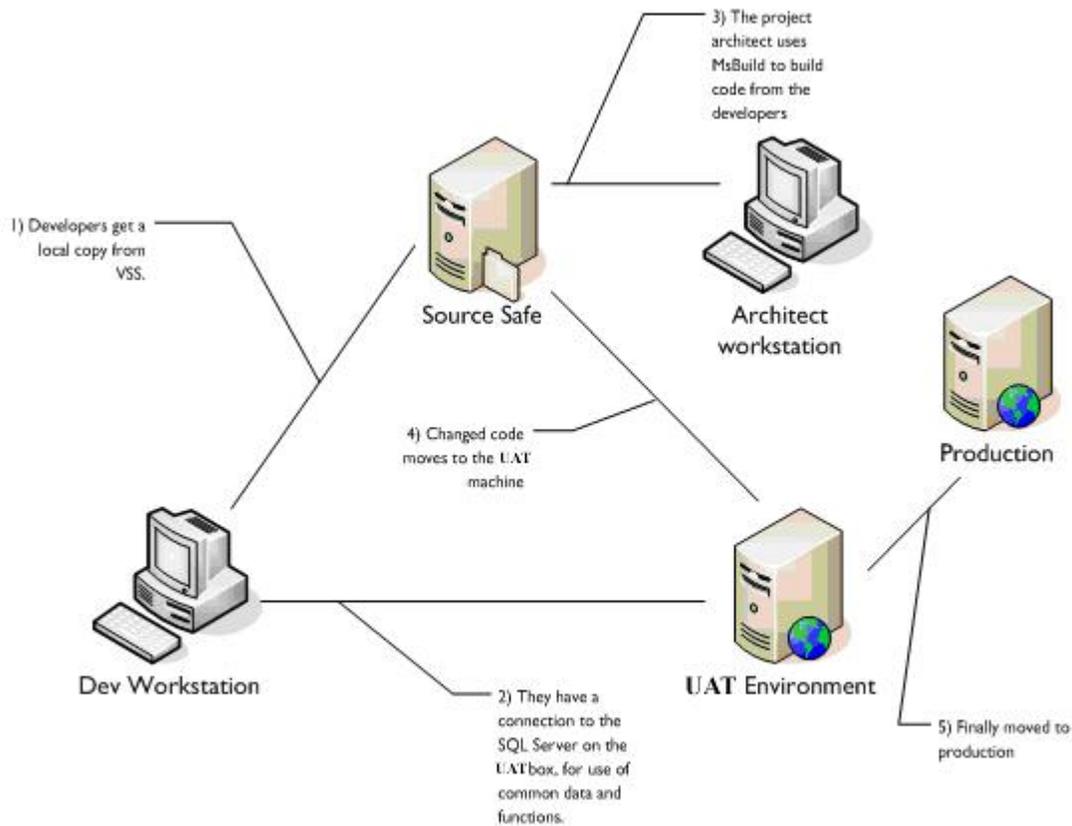


Figure 1: UAT MSBuild process

First, developers get a local copy of the working application components from Visual SourceSafe (VSS). The code is version controlled in VSS. The development environments have a local SQL Server, but can connect to the UAT SQL Server for the use of common data and functions. Development changes will be deployed to the UAT Environment using MSBuild. When a build cycle is complete, the project architect uses MSBuild to create a deployment-ready product that utilizes Xcopy the code to the UAT environment. Upon successful UAT, the code is promoted to the Production environment.

Contractor Deliverables. The Deliverables to be produced by the Contractor for the System Analysis and Design Task must include the following:

11. Organization visits;
12. Review, Confirm and Refine Business and Technical Requirements;
13. System Requirements Specification;
14. Requirements Traceability Matrix and Repository;
15. Functional Specifications Document;
16. Detailed System Design Document; and
17. OCEAN Phase II Deployment Plan.

Task 4 - Development

The development and testing of functionality required to meet the requirements identified in this RFP occurs during this task. All software is to be coded and unit-tested by the Contractor as part of this task, and system documentation is to be produced in a format mutually agreed upon by the Contractor and

DEV. The products of this task must be developed according to the approved detailed System Design Specification Document developed during the System Analysis and Design task, and must be consistent with the agreed upon standards. As mentioned earlier, DEV believes that a controlled, modular iterative approach to development will provide significant value to the State and represent the best approach to successfully implementing OCEAN Phase II. This section also addresses requirements for system and user documentation, as well as software development change management processes and procedures.

Contractor Responsibilities.

The Contractor is responsible for developing, testing, and maintaining all OCEAN application code in the development, test, and production environments. The Development Environment is located on each developer's workstation. The Contractor will be required to package all code deployments into the development, test, and production environments in a manner such that all code changes and related configuration changes are packaged via a software configuration management tool. All licenses including the development licenses for all OCEAN application code must either be transferred to the State or licensed in the State's name. The Contractor must create installation scripts for the release. The Contractor must execute these scripts in the development, test, and production environments. This release package must include release notes that document and identify all related application and system software related configuration changes. DEV prefers a methodology that allows for multiple development increments, in either parallel or sequential, with discrete testing for each such increment. At a minimum, the activities of this task must include the following:

18. Development Environment. The Contractor must develop, modify, enhance, and install software on each developer's workstations. This also may include implementation of commercial off the shelf and third party products as appropriate. The Contractor is responsible for identifying the hardware and software required for the OCEAN Development environments. The Contractor will supply this information at least 90 days before needing the environment setup.

The Contractor also is responsible for documenting a plan identifying how each component of the OCEAN production system will be proactively monitored. This plan will identify all software and/or hardware components to meet this requirement. The Contractor is responsible for specifying the proper configuration of these components once they are deployed into Production. The Contractor will assist with troubleshooting these components. The Contractor will supply this information at least 90 days before needing the environment setup.

19. Development and Unit Testing: The Contractor responsibilities for this Deliverable include programming, and unit testing on all system functions. The State requires an iterative methodology that allows for multiple development increments, either in parallel or sequential, with discrete testing for each such increment.

The Contractor must follow the development standards and document deviations from the approved development standards developed during Task 1, including the rationale behind the deviation. These deviations must be included in the test results.

The Contractor must develop the application software for the required interfaces as defined in the completed Detailed System Design Document. The Contractor must develop any bridges and integration code necessary for OCEAN to interface with other software and systems.

The Contractor must test all components (i.e. programs) as stand-alone entities. Unit testing ensures that a single component is resilient and will function correctly on a stand-alone basis (e.g. the modified component can take inputs and produce expected outputs).

20. Disaster Recovery Plan - The Contractor must develop a disaster recovery plan identifying how the production OCEAN system (to include application code, database, and non-OS related production software) will be recovered in the event of a disaster. The Contractor must supply a backup plan identifying how the application code and data is to be backed up and, if needed, recovered for normal business operations.

21. User Documentation. The Contractor must provide on-line user procedures, on-line help, and on-line policy documentation. All on-line documentation must be produced in HTML, DHTML, or XML help format. The Contractor must prepare user documentation for each business process. The Contractor must prepare draft user documentation during the development task and updated during the testing and implementation tasks, as appropriate. The Contractor will be responsible for the production and distribution of all user documentation updates in a timely manner. The following are minimum requirements for OCEAN user electronic documentation:

- The electronic documentation must be rules based driven using meta-data where ever possible, allowing for automatic updates to the documentation when system or requirement changes occur. The documentation must also include on-line, context-sensitive help screens for all OCEAN Phase II functions;
- The electronic documentation must include the use of content/document management capability to link, track, and update all documentation affected by a system or requirement change.
- The documentation must be available on-line via the OCEAN application and provide an online search capability with context-sensitive help;
- User documentation must be written and organized so that users not trained in data processing can learn from reading the documentation how to access the online windows/screens, reports, and perform all other user functions;
- User documentation must be written in a procedural, step-by-step format and should be aligned with the business transformation documents;
- User manuals must contain a table of contents and an index;
- Descriptions of error messages or validation errors for all fields incurring edits must be presented and the necessary steps to correct such errors must be provided;
- All system errors must be handled by a standardized error handling module that translates technical messages into commonly understood terminology;
- Abbreviations must be consistent throughout the documentation;
- Field names for the same fields on different records must be consistent throughout the documentation;
- Each user manual must contain illustrations of windows and screens used in OCEAN;
- Each user manual must contain a section describing all reports generated within OCEAN, which includes the following:
 - A narrative description of each report;
 - The purpose of the report;
 - Definition of all fields in the report, including detailed explanations of calculations used to create all data and explanations of all subtotals and totals; and
 - Definitions of all user-defined, report-specific code descriptions; and a copy of representative; and pages of each report.

- Desktop guide that includes appropriate instructions from this bullet list and that provides users with all the information they need for role-based access to the screens and functions that are necessary for their jobs; and
- Draft user documentation will be used as the basis for user acceptance testing and training, as well as final versions will be used for training before the start of operations.

22. Provide Software Change Management Process, Tools and Documentation. The Contractor must provide automated tools, processes, and documentation for software change management. The Contractor must conduct all activities in software change management to conduct an efficient, auditable and secure software development process. The software change management process must allow for iterative development and testing processes. The Contractor must provide electronic and paper copies, including flowcharts, of the processes and procedures that will be used to control the changes to program source code and all OCEAN required documentation.

23. Update Documentation. The Contractor must update at a minimum the following documents, as appropriate, with all development tasks. The documents to be updated at a minimum are:

- Technical Requirements;
- Technical Architecture;
- Requirement Specifications Document;
- Detailed System Design Document; and
- Requirements Traceability Matrix.

24. System Administration Manual. The Contractor must develop and maintain an OCEAN System Administration Manual detailing the business and technical functions and use of all OCEAN system administration functions. This manual must identify all administrative functions included in OCEAN and detail their operation and administration. This manual must be updated as required throughout the testing, training, and implementation phases of this project.

25. Operations Documentation. The Contractor must develop a complete operations document. This documentation will be provided at the end of the development task. The operations documentation must include overviews of the application, system structure, major processing, and required interfaces. This includes any required periodic maintenance tasks. The operations documentation must also describe the overall batch or background process schedule, including dependencies, sequencing, and timing. This documentation must be updated as required throughout the testing, training, and implementation phases of this project.

Contractor Deliverables. The Deliverables to be produced by the Contractor for the Development Task must include the following:

18. Development Environment;
19. Development and Unit Testing;
20. Disaster Recovery Plan;
21. User Documentation;
22. Software Change Management Tools and Documentation;
23. Update Documentation;
24. System Administration Manual; and
25. Operations Documentation.

Task 5 - Testing

All system components and development iterations must be subjected to testing performed by a test team composed of Contractor staff. DEV requires a testing methodology that requires a Model Office environment to be established which mirrors the production environment for integration testing to be performed. The system test team will function as system users during system testing and will document all test outcomes. The system test team must direct system testing and operate the system in accordance with the system testing plans. The system test team must provide all error resolution and other technical support as required.

Contractor Responsibilities. At a minimum, the Contractor must perform the following activities during this phase for each iteration developed:

- **System Test** - The Contractor must test modifications to a collection of components within the context of the system/sub-system in which they function. System testing ensures that the system functions as designed after development and modification of its components.
- **Integration Testing** - The Contractor must test modifications within the context of the integrated system. Integration testing helps ensure that the system will perform as designed after additions/modifications to components of OCEAN.
- **Load/Stress Test** - The Contractor performs this test to document that OCEAN will function within the normal workday, workweek, and work month schedule. The Load/Stress test must encompass the functionality of OCEAN Phase I plus all of the additional functionality added as part of Phase II. The Contractor must conduct load/stress testing to determine on-line, Web-access, and batch performance levels under expected system load conditions with production-sized databases. Load/stress testing must also be conducted to evaluate how the system performs under maximum stress conditions and to determine the maximum capacity within specified performance levels. The results of the load test may also result in re-work and system tuning if the processing schedule negatively affects OCEAN's ability to work a normal business day. The successful completion of load testing must assure DEV that they can successfully participate in the user acceptance testing.
- **User Acceptance Test (UAT)** - UAT demonstrates that the Contractor is ready to test functions for each development iteration of OCEAN. User acceptance testing will be conducted in the current UAT environment with test data. A testing group comprised of DEV and stakeholder staff will be created for UAT testing.

26. Test Plan. The Contractor must develop the proposed test plan for each testing type within each iteration. The Contractor must work with the State to develop test cases and scenarios for testing in this task. The plan must include the defined progress path to achieving acceptance testing. Additionally, the plan must show valid links from acceptance testing all the way back to achieve each functional requirement. The plan must clearly set forth how the system test is designed to fully test OCEAN Phase II functions and features. The plan must identify the inputs to the test, the steps in the testing process and the expected results. The plan must also identify any software tools used during testing and any State resources needed. The plan must address volume tests, concurrency tests, automated regression tests, and integration tests, to simulate real environmental variables. The plan must provide detailed descriptions of the test environment, methods, workflow, training required, and the management of the system testing process and the defect identification and resolution processes to be executed during the system test. The Contractor must take responsibility for the ultimate production of the plan.

27. Test Scripts. The Contractor must develop System Test Scripts based on the design Use Cases that thoroughly test the functionality of the system. These scripts should be step-by-step instructions that realize a test, enabling its execution. Test scripts may take the form of either documented textual instructions that are executed manually or computer readable instructions that enable automated test execution. The contractor must also develop Microsoft Visual Studio

2008 test scripts. These scripts will be a set of regression tests to assure that changes to the core system functionality or addition of new modules will not impede the functionality of existing modules.

28. Certificate of Preparation for Testing. The Contractor must provide a letter certifying that all necessary actions have been performed in preparation for the integration and UAT. In preparation for the tests, at a minimum, the Contractor must do the following:

- a. Create a test environment, meeting the specifications of the test plans;
- b. Install the system in the test environment;
- c. Ensure that sufficient and approved base test data is populated in the test database(s);
- d. Support the operation of the test system and deliver system output to the State as requested;
- e. Plan for documenting and resolving any errors encountered during system testing; and
- f. Provide adequate technical and other staff dedicated to testing support and problem resolution while the test is in progress.

The Contractor must lead and complete the development of test cases and scenarios with assistance from DEV. All test cases must be traced back to the requirements and use cases. The system testing team will enter test cases into the automated testing tool.

29. Test Results Document. The test team must test all OCEAN Phase II to demonstrate its functionality and performance characteristics. The Microsoft Visual Studio 2008 automated testing tool must be used throughout all of system testing. The automated testing tool must actively test all of the functions, process all types of input, test the system data interfaces and produce all reports. The State may require that certain types of cases and transactions be included in the software test. If major defects are found during system testing, the entire test script must be re-initiated and the test period must begin again. An example of a major defect is anything that stops the system/application from functioning or fails to deliver required functionality. The Contractor must use Gemini, a defect-tracking tool for formal defect tracking. The occurrence of defects and their resolutions must be recorded and maintained in the defect repository and reported in the test results document. The Contractor must prepare a software test results document. The software test results document must include enough information to permit the State to validate that the test has been successfully executed in accordance with the approved work plan.

30. Capacity Analysis Document. The Contractor must analyze and evaluate the performance of OCEAN including hardware and software. The result of this analysis must be included in a capacity analysis document. All performance monitoring results and summaries must be made available for review on a daily basis. All results and recommendations must be provided in the Capacity Analysis Document.

Minimum requirements for the capacity analysis document are:

Disk needs for:

- Database (index table space) in megs or gigs;
- FTP;
- Document Storage (text files, applications images); and
- Backups;

Memory and CPU needs:

- Web servers;
- Database servers; and

- All other system servers.

Real time transaction needs for:

- Number of transactions per second; and
- Average number of database accesses per transaction. This could be broken down by select, insert, update, and delete.

Database needs for:

- Number of tables/indices;
- Initial rows expected and growth rate per year; and
- Number of inserts, updates, deletes, and selects per day.

Application needs for:

- Number of batch programs;
- Number of Web servers;
- Number of database servers;

31. Performance Tuning Document. The Contractor must perform all application system modifications required to ensure system performance meets performance requirements as specified in the System Requirements Document (SRD). The Contractor may suggest changes to system settings (server, database, network, hardware and software) to improve performance. DEV may consider suggested changes to system settings as appropriate. All results and recommendations must be provided in the Performance Tuning Document.

Contractor Deliverables. The Deliverables to be produced by the Contractor for the Testing Task must include the following:

26. Test Plan;
27. Test Scripts;
28. Certification of Preparation for Testing;
29. Test Results Document;
30. Capacity Analysis Document; and
31. Performance Tuning Document.

Task 6 - Data Conversion

All historical and active data in the current Home Weatherization Assistance Program (HWAP) and Electric Partnership Programs (EPP) legacy systems that are needed to meet OCEAN requirements must be converted. Data volumes and formats are contained in the technical requirements supplement. DEV requires a sound conversion strategy and approach that addresses data conversion using conversion programs and manual data entry. The data conversion task involves planning, identifying, and analyzing conversion requirements, preparing conversion specifications, developing and testing conversion programs, and converting the data. Objectives of this task are described below:

- Data integrity;
- Data cleansing and purification;
- Data quality;
- Data verification;
- Data loads for testing purposes; and
- Data load completion.

Contractor Responsibilities. At a minimum, the activities of this task must include the following:

32. Data Conversion Plan. The Contractor must create a conversion plan that establishes the conversion environment and outlines strategies for both the automated and manual conversion of data. The data conversion plan must define the conversion environment and outline strategies

for both the automated and manual conversion of data. The data conversion plan at a minimum must:

- Identify how the conversion requirements will be confirmed and refined;
- Map out how the data elements in the legacy system will be analyzed;
- Identify how to match current OCEAN clients to HWAP and EPP served clients.
- Identify an overall approach to cleansing data;
- Define the format and content of the conversion specification deliverable;
- Identify the approach the Contractor will use for manual data conversion;
- Create the schedule for conversion activities; and
- Keep the data conversion consistent with the implementation schedule.

The conversion plan must elaborate how the integrity and confidentiality of the data will be protected throughout the conversion process. The Contractor will not be permitted to take or transmit any real data off-site for testing, cleansing, or any other processing.

33. Develop and Provide Conversion Programs. The Contractor must either write programs to extract data from the current systems, or utilize existing extract routines if possible. The Contractor must develop or provide any training, documentation, maintenance, or enhancement software identified in the conversion specification document as being required to support the conversion from the existing to new system. The contractor must provide a letter certifying that the programs utilized for conversion are error free and fit for the task of performing the conversion.

34. Conversion Test Plan. The Contractor must conduct a system test of all conversion software to demonstrate its functionality and performance before conversion. The system test must actively use all of the conversion functions, process all types of input, and produce all conversion reports. Before conducting the system test, the Contractor must submit, for DEV review and approval, a conversion test plan that clearly sets forth how the process is designed to fully test the functions and features of the conversion software. The plan must identify the inputs to the test, the steps in the testing process and the expected results, and any software tools used during testing. DEV may require that certain types of data be included in the conversion test. The Contractor must submit a conversion test results report that permits DEV to validate that the test has been successfully executed in accordance with the approved plan.

35. Conversion and Conversion Results. – The Contractor must convert data for UAT and Production environments. This will include running conversion programs; performing manual data conversion as necessary; performing quality control; reporting on outcomes and converting data in preparation for system operation. The Contractor must provide a Data Conversion Results Document that contains statistics and outcomes from converting the HWAP and EPP data. The format of this document must be mutually agreed upon by the Contractor and DEV during the data conversion planning effort. The Contractor must perform a final conversion of all data as a part of the system wide implementation task. All converted data will be verified prior to any other use of the system, and DEV will sign off on the conversion results.

Contractor Deliverables. The Deliverables to be produced by the Contractor for the Data Conversion Task must include the following:

32. Data Conversion Plan;
33. Develop and Provide Conversion Programs;
34. Conversion Test Plan; and
35. Conversion and Conversion Results.

Task 7 - Training:

DEV requires the Contractor to provide training to all DEV staff and DEV stakeholders composed of users and technical staff. As a result of this implementation, DEV expects the current roles and responsibilities of staff and management to change. The Contractor must address these role changes by delivering general and tailored training to each functional grouping of users and managers. This requires just in time training upon implementation of each major release. This includes individual training session by organizational role. The Contractor will be responsible for the development and delivery of various methods of training such as but not limited to classroom style, Web, computer, and video-based. DEV will provide classrooms at five regional locations throughout the State of Ohio. DEV may, at its sole discretion, record any training sessions and use any training materials for future training, user documentation, or promotional use.

The Contractor must develop a learning management system for delivering, tracking, and managing each of the trainings. With the learning management system, the contractor must track all users who have received each type or types of training. The learning management system must have the ability to manage and track training records of individual users of OCEAN. Users must be able to register for classes using the developed learning management system.

Training must be provided in the following categories:

- **Community Service and Energy Assistance Providers Staff.** The Contractor must provide classroom “style of instruction” for each job function with job aids. The training must be geared toward the understanding and performance of each job function and the overall operation of the new functions within OCEAN. The Contractor must provide this training for Community Service and Energy Assistance providers staff. The class size must be determined by the function under instruction. Additionally, the Contractor must provide up to ten classrooms “style of instruction” at the regional training sites. The Contractor will be required to train approximately 500 people.
- **Staff and Management.** The Contractor must provide classroom “style of instruction” for each job function with job aids. The training must be geared toward the understanding and performance of each job function and the overall operation of the new functions within OCEAN. The Contractor must provide this training for DEV staff and management personnel. The class size must be determined by the function under instruction. Training for Staff and Management will be conducted at the Ohio Department of Development. The Contractor will be required to train approximately 100 people.
- **Technical Training.** The Contractor must train DEV technical staff in the tools and techniques utilized in the proposed technical approach. The Contractor must train DEV technical staff to manage all OCEAN system functions so that DEV can continue to support the system after implementation. Technical training must occur at the primary project site. Training will be provided to DEV personnel who have varying computer skills. Training for Technical Staff will be conducted at the Ohio Department of Development. The Contractor will be required to train approximately 20 people.

Contractor Responsibilities.

36. Training Data Contractor must create a training database that is representative of the production data but does not contain any actual personal identifiable information. The database will be smaller than the production database. This data will be used for training purposes only. The Contractor must create and provide a script for this database to be wiped clean and recreated. DEV will provide secured access to the training database for each training session.

37. Training Plan. The Contractor must create, maintain and update, as required, the approved statewide training plan.

- The training plan must provide an overview of training methodology;
- The training plan must identify the training courses and associated course objectives and competency descriptions, including the format and content of all training material to be developed by the Contractor;
- The training presentation style must be hands-on, instructor led;
- The training schedule must identify the number of users to be trained, the number of training sessions offered, and the length of each training course;
- The training program must include the number of sessions required for user training and management training;
- The training plan must define hardware, software, and supplies required for the training environment;
- The training plan must define procedures for implementing and maintaining a training database;
- The training plan must provide for evaluation of training sessions and feedback to the DEV;
- The training program must identify potential impact to on-going business operations and determine methods to minimize impact to on-going business operations. Due to the nature and timing of work performed all of the trainees' functional groupings of staff and managers cannot be trained during the same session. There must be adequate coverage's for business functions to proceed.
- Training must be coordinated with DEV to ensure that training meets the objectives and for performance support once trainees complete training.

38. Develop and Provide Training Materials. The Contractor must develop all training materials including training guides, speaker notes, and course curriculums (including training objectives and outcomes). The Contractor must also incorporate the use of on-line help, on-line policy and procedure manuals, and hard copy user manuals. All training materials must be reviewed and approved by DEV prior to the start of the training. The Contractor must provide sufficient copies of all training materials for all users plus a reserve equal to 5% of the total number of trainer and trainee copies. The vendor must provide all electronic source documents, including graphics, used in the development and presentation of all aspects of training. The Contractor must provide a demonstration capability of the major functions in the system. This demo must provide basic "dummy" data, and allow the user to enter or modify information to simulate actual use of the system. This demo must be utilized for training and made a part of the final system so that new users accessing it will have an online demo to assist in learning the system's functionality.

39. Certificate of Completed Training. Training must be implemented in accordance with the Contractor's approved Training Plan. The Contractor will be responsible for conducting training of all DEV users and technical staff. Upon completion of the training the contractor must submit a letter certifying that all training has been completed.

40. Prepare Feedback Survey Instrument and Analysis Report. The Contractor must specify the expected performance and the expected outcomes of each type of training in the Training Plan. In conjunction with this the Contractor must develop evaluation tools to determine whether the trainings produced the expected results. The evaluation must consist of various tests administered to trainees at each training session. This tool must be used to identify weaknesses of the training program and specific revisions that need to be made. This tool must also be utilized for implementation training to assess the effectiveness of the training sessions. Information regarding the actual training results must be provided in a feedback analysis report. The trainers for all training must implement the feedback survey tool.

Contractor Deliverables. The Deliverables to be produced by the Contractor for the Training Task must include the following:

36. Training Data;
37. Training Plan;
38. Training Materials;
39. Certificate of Completed Training; and
40. Feedback Survey and Analysis Report.

Task 8 - Implementation and Stabilization

A controlled, phased approach to the implementation will provide significant value to the DEV and represent the best approach to successfully deploying OCEAN Phase II to all stakeholders. The State requires implementation in an iterative manner that will include multiple production releases. Stabilization is required for the first six months of OCEAN Phase II production operations and begins upon implementation of the final iteration. The purpose of stabilization is to ensure that OCEAN Phase II is a reliable and dependable system that meets the needs of DEV and its stakeholders.

Contractor Responsibilities.

41. Implementation Plan. The Contractor must produce and update the plan as necessary to reflect all Project changes that directly impact implementation. The most critical update to the plan during this task is the development of a contingency plan for mitigating and resolving those risks that have been identified as impacting implementation. It must address the strategies for business and system continuity planning as a result of implementation issues. The contingency plan must include one or more alternate solutions for each risk that are acceptable to DEV. The Contractor must execute the contingency plan as issues arise during implementation, upon approval of DEV. The Contractor, upon approval of DEV, must implement OCEAN Phase II in accordance with the Contractor's approved implementation plan.

The implementation plan must describe to the State how the Contractor will implement OCEAN Phase II. The plan must detail the approach for coordinating the following:

- Development of an implementation activities check list;
- Final data conversion activities;
- Implementation schedule based on the iterative development approach;
- The process for developing a contingency plan for identifying, communicating, resolving risks and maintaining the current production capability if the implementation is delayed. This contingency plan must be developed during the Implementation task;
- Activities required effectively implementing, operating, and maintaining OCEAN. In addition to the activities, the plan must include, but not be limited to, staffing requirements by staff type and skill level, and the activities that must be performed by this staff.

42. Implementation Certification. The Contractor must provide an implementation certification letter that certifies that the completed iteration is ready for production. The certification letter must confirm at a minimum:

- All staff training activities required have been completed;
- All data required for the iteration has been converted, cleaned and accepted; and
- All production databases have been appropriately sized and are ready for production processing to begin.

43. Stabilization. From the final implementation for the first six months of OCEAN Phase II production operations, the Contractor must ensure that OCEAN Phase II is a reliable and dependable system that meets the needs of DEV and its stakeholders. During stabilization, the Contractor must provide maintenance and support of OCEAN Phase II, which includes updates, patches and repairs; correction of application defects; and on-site technical support which must be provided from the implementation project team.

In addition to the metrics and timeframes established for correcting application defects, the Contractor must ensure, at a minimum, that the following metrics are included and documented for problems encountered during the stabilization period:

- Severity of problem;
- Type of problem;
- Number of problems;
- Anticipated response time;
- Resolution;
- Frequency of problem occurrence; and
- Problem source(s).

The Contractor must use criteria and thresholds based on the metrics described, when assessing the stability of OCEAN Phase II. At the conclusion of the stabilization period, the Contractor must provide a written certification letter that stabilization is complete.

44. Stabilization Period Benchmarking Report. To determine the growth and reliability of the system, implementation staff must perform benchmarking during the stabilization period (to include tests against predetermined response times), as designed by the Contractor, prior to final acceptance. All Performance monitoring results and summaries must be made available for review on a daily basis. The Contractor must perform all application software, file structure, database, and system software modifications necessary to ensure system performance reaches acceptable levels in the production environments, based upon the results of the benchmarks or the capacity simulation models. Documentation of changes made must be provided in a Stabilization Period Benchmarking Report and included in the Final Implementation Report.

45. Final Implementation Report. The Contractor must produce an implementation report detailing the results of all implementation activities upon project acceptance.

46. Present OCEAN Phase II to the State for Final Acceptance. Upon successful completion of the acceptance period, the Contractor must submit OCEAN Phase II for acceptance. OCEAN Phase II must undergo a successful acceptance before State acceptance of OCEAN Phase II. The system presented for final acceptance must account for all required functionality, training, documentation and any other requirements of this RFP for that particular phase.

47. System Documentation. The Contractor must provide to DEV all system documentation for OCEAN Phase II at the time the system is implemented, however, the system documentation must be updated throughout the project. System documentation must be versioned. OCEAN PHASE II Systems Documentation must be provided within 60 days following implementation. During the conclusion of the implementation task, the Contractor must prepare updates to OCEAN PHASE II systems documentation to incorporate all changes, corrections, and enhancements to OCEAN PHASE II made as a result of the completion of all open items and defects. One electronic copy of the final version of OCEAN PHASE II systems documentation must be provided to DEV. The OCEAN PHASE II systems documentation must:

- Be available and updated on electronic media as approved by DEV and must be maintainable after turnover;
- Have all narrative created and maintained in Microsoft Office (compatible with DEV version) and Visio, and be provided to DEV on request on electronic media;
- Be organized in a format that facilitates updating, and revisions must be clearly identified;
- Include system and subsystem narratives that are understandable by non-technical personnel
- Contain an overview of the system, including:
 - Narrative of the entire system;
 - Description and flowcharts showing the flow of major processes in the system;
 - Multiple sets of hierarchical, multi-level charts that give a high, medium, and detail view of the system, for both on-line and batch processes;

- Description of the operating environment;
- Program documentation to include, at a minimum:
 - Program narratives, including process specifications for each, the purpose of each, and the relationships between the programs and modules;
 - A list of input and output files and reports, including retention;
 - File layouts;
 - File names and dispositions;
 - Specifics of all updates and manipulations;
 - Program source listing;
 - Comments in the internal identification division of the listing, identifying changes to the program by date, author, and reason;
 - Comments in the internal procedure division of the listing, identifying each subroutine and each major entrance, exit, and function of the subroutine;
 - Detailed program logic descriptions and edit logic (or decision tables), including, at a minimum, the sources of all input data, each process, all editing criteria, all decision points and associated criteria, interactions and destination links with other programs, and all outputs; and
 - Physical file definitions and data models;
- For all files, including intermediate and work files: file descriptions and record layouts, with reference to file names and numbers; data element names, numbers, number of occurrences, length, and type; record names, numbers, and lengths; and file maintenance data, such as number of records, file space, and any other data necessary to manage the data or utilize the documentation;
- Lists, by identifying name, of all files, inputs, and outputs with cross-references to the programs in which they are used;
- Entity relationship diagrams for all relational databases;
- Contain a data element dictionary that must include, for each data element:
 - A unique data element number;
 - A standard data element name;
 - A narrative description of the data element;
 - A list of data names used to describe the data element;
 - A table of values for each data element;
 - The source of each data element;
 - A list of programs using the data element, describing the use of input, internal, or output; and
 - A list of files containing the data element;
- Operations run documentation with schedules and dependencies

Contractor Deliverables. The Deliverables to be produced by the Contractor for the Implementation and Stabilization Task must include the following:

41. Implementation Plan;
42. Implementation Certification;
43. Stabilization;
44. Stabilization Period Benchmark Report;
45. Final Implementation Report;
46. Present OCEAN Phase II for final acceptance; and
47. System Documentation.

Task 9 – Application Support, Maintenance, and Enhancement

The Contractor will be responsible for Maintenance, Enhancements, and Application Level 3 Support during the first year of operation. After the first year, the State may choose not to renew this portion of the Contract. The Contractor is required to provide support during the warranty period. However, not all warranty work must be included in the cost of the application support,

maintenance and enhancement task during year 1. This task describes the Contractor's responsibilities for the maintenance, support, and enhancement of OCEAN.

Ongoing corrections of OCEAN will be characterized as maintenance and ongoing changes to OCEAN for additional functionality will be characterized as an enhancement. Level 3 Support must be available during the State's regular business hours, 8 am to 5 pm, Eastern Time, Monday through Friday. Adequate coverage is essential to maintain a stable production environment.

Contractor staff working on this task must have been involved in tasks 3 and 4 above. No new Contractor staff members can be used for application support without DEV approval.

Contractor Responsibilities. During this task, the Contractor must provide technical support and assistance with maintaining operations of OCEAN.

Level 3 Support: The Contractor must provide Level 3 Support for the OCEAN Help Desk. If the OCEAN Help Desk staff (Level 1) or the DEV technical team (Level 2) can not resolve a problem submitted to the OCEAN Help Desk, the Contractor will be responsible for resolving the issue.

- **Updates, Patches and Repairs:** The Contractor must update, patch, and repair the application software components in the development and UAT environment and package software changes for promotion to production. All updates, patches, and repairs must be fully and successfully tested before migration to production.
- For implementation of updates, patches, and repairs of OCEAN the Contractor must work with DEV to coordinate releases with regularly scheduled maintenance releases.
- **Correction of Application Defects:** The Contractor must correct application defects, which are application malfunctions or functional deviations from DEV approved application design. No requirements or design changes are involved in the correction of application defects. The Contractor must take corrective action and ensure that the application performs as designed.

The Contractor must use the following definitions of resolution priority for application defects discovered during production:

- **Critical:** issue/problem has caused, or has potential to cause, the entire system to go down or to become unavailable;
- **High:** issue/problem directly affects users and a large number are prevented from using the system. High-priority problems include those that render a site unable to function, make key functions of the system inoperable, significantly slow processing of data or severely corrupt data;
- **Medium:** all other issues/problems. Medium-priority problems include those errors that render minor and non-critical functions of the system inoperable or unstable, and other problems that prevent stakeholders or administrators from performing some of their tasks; and
- **Low:** all service requests and other problems that prevent a stakeholder from performing some tasks, but in situations where a workaround is available.

The Contractor must log all application defects in DEV's defect tracking tool (Gemini) within two business hours of notification of the defect.

The Contractor must review all critical and high-priority problems immediately. The Contractor must review all medium- and low-priority problems within four business hours of receipt of the problem report.

Problems and inquiries that cannot be resolved immediately upon receipt by the Contractor will be classified into the following categories of complexity:

- **Low:** the problem is a known issue, or an immediate solution is available;
- **Medium:** the problem appears to be a bug or data problem; and
- **High:** the problem is hard to trace and is likely to need extensive troubleshooting.

The Contractor must submit a written report of the analysis to the DEV upon completion of the analysis and diagnosis that identifies the proposed resolution, if it can be identified at that time, and the anticipated completion date/time.

Once the resolution is defined (if not defined with initial diagnosis), the Contractor must confer with DEV to confirm approval of resolution.

The Contractor must correct system fatal errors and abnormal ends, and the software defects causing such problems. On-line fatal errors and abnormal ends must be corrected within 24 hours from the time that the problem occurs unless DEV has approved additional time for corrective action. All other OCEAN issues and defects must be resolved within timeframes specified in the following table:

Issue Resolution Time Frames

Complexity	Resolution Priority		
	Low	Medium	High
Low	3 Business Days	1 Business Day	1 Business Day
Medium	7 Business Days	3 Business Days	1 Business Day
High	10 Business Days	4 Business Days	2 Business Days

Upon correction of the problem, the Contractor must notify DEV that the problem is resolved.

The Contractor must fix all application defects unless the Contractor is not authorized to fix the defect. All defect resolution will have to be approved by DEV.

For all system-related problems, the Contractor must work with State staff to diagnose and develop a plan to resolve all such issues. Resolutions may require the Contractor to monitor and tune OCEAN to maintain system performance or correct deficiencies or problems with the functionality of subsequent OCEAN enhancements.

Enhancement: During this task, the Contractor will be responsible for application enhancements to OCEAN approved by DEV. These enhancements may be caused by changes in State regulatory requirements or by requests from DEV or its stakeholders.

For the implementation of enhancements, the Contractor must work with DEV to coordinate the release of the enhancements with regularly scheduled maintenance.

Work Hours and Conditions. Contractor is required to work with DEV staff. Normal working hours for DEV staff are 8:00 a.m. to 5:00 p.m. with a one-hour lunch period for a total of eight working hours per day. Contractor may have to work under unusual working conditions which may include operation of a computer terminal for long periods of time, working in excess of eight hours per day, working on Saturdays, Sundays, and state holidays.

Work Location. The Contractor will be provided office space at the DEV office at 77 S. High St., Columbus, Ohio 43216 to use as their work area for the duration of the project. The Contractor will also be provided conference rooms for project related meetings based upon availability. DEV will provide appropriate computer equipment to the Contractor, such as desktops, Internet connectivity, printer equipment, telephones, and office supplies during the life of the project. Laptops owned by the Contractor are prohibited at DEV; all laptops must be DEV – owned. All work performed for this project must be completed at DEV. Purchase order number must appear on all statements and time sheets. Off-site work can be completed with DEV approval.

PART TWO: SPECIAL PROVISIONS

Submittal of Deliverables. The Contractor must perform its tasks in a timely and professional manner that produces Deliverables that fully meet the Contract's requirements. The Contractor must complete its work in steps that will result in Deliverables associated with those steps, and the Contractor must provide the required Deliverables no later than the due dates proposed in the RFP or included in the Contractor's Project Plan as approved by the State. At the time of delivery of a written Deliverable, the Contractor must submit an original and one copy of each Deliverable, plus an electronic copy. The Contractor must provide the electronic copy in a file format acceptable to the State. Also, with each Deliverable, the Contractor must submit a Deliverable Submittal Form signed by the Project Manager. (See Attachment Six of the RFP.)

By submitting a Deliverable, the Contractor represents that, to the best of its knowledge, it has performed the associated tasks in a manner that meets the Contract's requirements.

The Contractor must provide all Deliverables to the Project Representative, who will review (or delegate review of) the materials or documents within a 10-day period after receipt, as specified in the Project Plan.

If the State determines that a Deliverable is not in compliance, the Project Representative will document the reason for non-compliance on the Deliverable Submittal Form and send the form to the Project Manager. At no expense to the State, the Contractor then must bring the Deliverable into conformance and re-submit it to the Project Representative within ten business days. The State's 10-day review cycle will re-start upon re-submission of the deliverable.

If the State agrees the Deliverable is compliant, the Project Representative will indicate that by signing the Deliverable Submittal Form and returning a copy of it to the Contractor. In addition, if the Project Representative or designee determines that the State should make a payment associated with the Deliverable, the Project Representative will indicate that the payment should be made on the Deliverable Submittal Form.

The State form authorizing payment (Attachment Six) and the payment itself do not indicate that the State has accepted the Deliverables associated with the payment. The State's acceptance of the Deliverables that are part of developing the Project is conditioned on a successful performance test upon completion of the Project.

Status reports are not subject to a review and approval process.

The Contractor's Fee Structure. The Contract award will be for a total design development, implementation and maintenance cost, payable in accordance with the schedule below:

The Contractor's Fee Structure is based on a payment milestone and the completion and acceptance of Deliverables associated with that payment milestone. The payment schedule identifies the payment milestone and Deliverable that may be associated with multiple iterations.

For example, the Contractor may propose four iterations for the first payment milestone for Task 3 (Deliverables 17 and 22). The payment for the completion of each task will be calculated on a percentage of the total design development, implementation and stabilization cost for DDI for tasks 1 through 8 then divided by the number of iterations proposed by the Contractor. Therefore, the payment per iteration would be determined as follows: (Payment percentage 6%; Assume a total price design, development, implementation and stabilization cost for tasks 1 through 8 = \$2,000,000; number of proposed iterations = 4; Calculation: \$2,000,000 x 6% = \$120,000; \$120,000 / 4 = \$30,000. The payment per iteration would be \$30,000.)

If there is a zero in the proposed iteration column, that payment milestone will be paid once upon acceptance of the identified deliverables associated with that payment milestone.

Payment Milestone / deliverable	Payment (percentage of Design, Development and Implementation Tasks 1-8)	Proposed iterations	Payment upon DEV Acceptance of:
Task 1 – Project Management	5%	0	1. Updated Project Plan 2. Communication Plan 3. Software Development Plan 4. Change Management Plan
Task 2 - Business Transformation	4%	Iterations	8. Create and Implement a Business Transformation Plan
Task 2 - Business Transformation	3%	Iterations	9. Transformation Results Document
Task 2 – Business Transformation	3%	Iterations	10. Business Transformation Communication
Task 3 – System Analysis and Design	5%	0	11. Organization Visits
Task 3 – System Analysis and Design	2%	0	12. Review, Confirm and Refine Business and Technical Requirements
Task 3 – System Analysis and Design	2%	0	13. Construct Systems Requirements Specification (SRS)
Task 3 – System Analysis and Design	5%	0	14. Requirements Traceability Matrix and Repository
Task 3 – System Analysis and Design	2%	0	15. Functional Specifications Document
Task 3 – System Analysis and Design	2%	0	16. Detailed System Design Document
Task 3 – System Analysis and Design	2%	0	17. OCEAN Phase II Deployment Plan
Task 4 – Development	3%	0	18. Development Environment
Task 4 – Development	2%	0	20. Disaster Recovery Plan
Task 4 – Development	2%	Iterations	21. User Documentation
Task 4 – Development	2%	Iterations	22. Software Change Management Process, Tools, and Documentation
Task 4 – Development	1%	Iterations	23. Update Documentation
Task 4 – Development	2%	Iterations	24. System Administration Manual 25. Operations Documentation
Task 4 – Development	2%	Iterations	19. Development and Unit Testing
Task 5 – Testing	3%	0	26. Test Plan

Task 5 – Testing	3%	Iterations	27. Test Scripts
Task 5 – Testing	3%	Iterations	28. Certificate of Preparation for Testing
Task 5 – Testing	5%	Iterations	29. Test Results Document
Task 5 – Testing	3%	Iterations	30. Capacity Analysis Document
Task 5 – Testing	3%	Iterations	31. Performance Tuning Document
Task 6 – Data Conversion	1%	0	32. Data Conversion Plan
Task 6 – Data Conversion	1%	0	33. Develop and Provide Conversion Programs
Task 6 – Data Conversion	1%	0	34. Conversion Test Plan
Task 6 – Data Conversion	1%	0	35. Conversion and Conversion Results
Task 7 – System Training	4%	Iterations	36. Training Data 37. Training Plan
Task 7 – System Training	4%	Iterations	38. Develop and Provide Training Materials
Task 7 – System Training	2%	0	39. Certificate of Completed Training
Task 7 – System Training	2%	Iterations	40. Prepare Feedback Survey Instrument and Analysis Report
Task 8 – Implementation and Stabilization	2%	Iterations	41. Implementation Plan
Task 8 – Implementation and Stabilization	2%	Iterations	42. Implementation Certification
Task 8 – Implementation and Stabilization	3%	0	43. Stabilization 44. Stabilization Benchmarking Report
Task 8 – Implementation and Stabilization	3%	0	45. Final Implementation Report
Task 8 – Implementation and Stabilization	2%	0	46. Present OCEAN Phase II to the State for Final Acceptance
Task 8 – Implementation and Stabilization	3%	Iterations	47. System Documentation

The State will withhold 10% of all payments for Design, Development, and Implementation as retainage and will pay the retainage only upon final acceptance of OCEAN Phase II deliverables by the State.

Task 9 is excluded from the payment schedule because the work (activities and Deliverables) will be paid on a monthly basis. The annual price for Task 9 will be divided by 12 and paid monthly.

Upon receipt of a signed Deliverable Submittal Form (Attachment Six) indicating the State agrees that the Deliverable identified in the work breakdown structure is compliant or that the Contractor has met an applicable milestone and payment should be made, the Contractor may submit an invoice for that Deliverable or milestone, according to the payment schedule identified above.

Reimbursable Expenses. None.

Bill to Address. The contractor must submit invoices in quadruplicate (1 original and 3 copies) for completed services by the first business day of each month to the billing address on the purchase order. Contractor's federal tax identification number and purchase order number must appear on all statements and time sheets. One copy of the PRIOR APPROVED status reports must be submitted with the invoice. The provisions of Ohio Revised Code, Section 126.30 will also apply to any contract between the parties.

Location of Data. None.

ATTACHMENT THREE: REQUIREMENTS FOR PROPOSALS

Proposal Format. Each Proposal must include sufficient data to allow the State to verify the total cost for the Project and all of the offeror's claims of meeting the RFP's requirements. Each Proposal must respond to every request for information in this attachment, whether the request requires a simple "yes" or "no" or requires a detailed explanation. Simply repeating the RFP's requirement and agreeing to comply may be an unacceptable response and may cause the Proposal to be rejected.

These instructions describe the required format for a responsive Proposal. The offeror may include any additional information it believes is relevant. An identifiable tab sheet must precede each section of a Proposal, and each Proposal must follow the format outlined below. All pages, except pre-printed technical inserts, must be sequentially numbered. Any material deviation from the format outlined below may result in a rejection of the non-conforming Proposal.

Each Proposal must contain the following:

- Vendor Information Form (OBM-3456)
- Subcontractor Letters
- Offeror Certification Form
- Minimum Financial Requirements
- Offeror Profile Summary Form
- Personnel Profile Summaries
- Proposed Solution
 - Centralized Appointment Manager
 - Organized Parent-Child Relationship
 - Case Management and Referral
 - Advanced Assistance and Support
 - Electronic Source Verification
 - Role Based Security
 - Inventory Tools
 - Reporting Capabilities
 - Intake Forms
 - Utility Customer Batch Processing
 - Regulated Utility Interface
 - Offline Access
 - Community Service Program Administration
 - Electric Partnership Program
 - Home Weatherization Assistance Program
 - HWAP Program Administration
 - Activity Tracking System
 - OCEAN Phase I Enhancements
 - Technical Requirements
- Work Plan
- Staffing Plan
- Time Commitment
- Assumptions
- Project Plan
- Support Requirements
- Equipment and System Elements
- Pre-Existing Materials
- Commercial Materials
- Terms for Commercial Materials
- Bond Commitment
- Conflict of Interest Statement
- Proof of Insurance
- Payment Address
- Legal Notice Address
- W-9 Form
- Declaration Regarding Terrorist Organizations
- Cost Summary (must be separately sealed)

Vendor Information Form. The offeror must submit a signed and completed Vendor Information Form (OBM-3456) for itself and for each subcontractor the offeror plans to use under the Contract. The form is available at <http://obm.ohio.gov/forms/OAKS.asp>.

Subcontractor Letters. For each proposed subcontractor, the offeror must attach a letter from the subcontractor, signed by someone authorized to legally bind the subcontractor, with the following included in the letter:

1. The subcontractor's legal status, federal tax identification number, D-U-N-S number, and principal place of business address;
2. The name, phone number, fax number, email address, and mailing address of a person who is authorized to legally bind the subcontractor to contractual obligations;
3. A description of the work the subcontractor will do;
4. A commitment to do the work if the offeror is selected; and
5. A statement that the subcontractor has read and understood the RFP and will comply with the requirements of the RFP.

Offeror Certification Form. The offeror must complete Attachment Seven, Offeror Certification Form.

Minimum Financial Requirements. If the offeror has audited financial statements, it must provide them for the past three years. If the offeror's most recently completed fiscal year is not yet audited, the previous three years may be acceptable. If the offeror has no audited financial records, it may submit its financial statements for the last three years without an auditor's certification.

Offeror Profile Summary Form. This RFP includes an Offeror Profile Summary Form as an attachment. The offeror must use this form and fill it out completely to provide the required information.

The Offeror Profile Summary Form contained in this document has been customized for the applicable offeror requirements. (Refer to Attachment Eight.) Each page of the form may contain minor variations. If an offeror elects to duplicate the form electronically, the offeror must carefully review each page of the form to ensure that it has been copied accurately. Failure to duplicate the form exactly may lead to the rejection of the offeror's Proposal.

Each offeror must meet all the mandatory requirements in the RFP. If an offeror does not meet all the mandatory requirements, the State may reject the offeror's Proposal as non-responsive.

The various sections of the Offeror Profile Summary Forms are described below:

- a) **Mandatory Experience and Qualifications.** The offeror must complete this section to demonstrate that it has the experience needed to meet the RFP's mandatory requirements. (Refer to Attachment Eight.) For each reference, the offeror must provide the following information:
 - **Contact Information.** The offeror must provide a client contact name, title, phone number, email address, company name, and mailing address. The offeror also must include the same information for an alternate client contact, in case the State cannot reach the primary contact. Failure to provide this information or providing information that is inaccurate or out of date may result in the State not including the reference in the evaluation process or rejecting the offeror's Proposal. The contact information given must be for a person within the client's organization and not a co-worker or a contact within the offeror's organization, subsidiaries, partnerships, etc.
 - **Project Name.** The offeror must provide the name of the project where it obtained the mandatory experience.

- Dates of Experience. The offeror must complete this area with a beginning month and year and an ending month and year to show the length of time the offeror performed the work, not just the length of time the offeror was engaged by the reference.
- Description of the Related Service Provided. The State will not assume that, since the experience requirement is provided at the top of the page, all descriptions on that page relate to that requirement. The offeror must reiterate the experience being described, including the capacity in which the work was performed and the role of the offeror on the Project. It is the offeror's responsibility to customize the description to clearly substantiate the qualification.
- Description of how the related service shows the offeror's experience, capability, and capacity to develop the Deliverables and to achieve this Project's milestones.

The offeror must list each project experience separately and completely every time it is referenced, regardless of whether it is on the same or different pages of the form.

- b) **Required Experience and Qualifications.** The offeror must complete this section to demonstrate that it meets the requirements for experience. For each reference, the offeror must provide the information in the same manner as described above under item a, Mandatory Experience and Qualifications.

THE OFFEROR MAY NOT USE THE EXPERIENCE OR QUALIFICATIONS OF A SUBCONTRACTOR TO MEET ANY OF THE ABOVE MANDATORY QUALIFICATIONS OR EXPERIENCE. THESE MUST BE FULFILLED EXCLUSIVELY THROUGH THE QUALIFICATIONS AND EXPERIENCE OF THE OFFEROR. If the offeror seeks to meet any of the other qualifications and experience through a subcontractor, the offeror must identify the subcontractor by name in the appropriate part of the Offeror Profile Summary Form, in Attachment Eight to this RFP, for each reference.

Personnel Profile Summaries. Each Proposal must include a profile for each key member of the proposed work team. This RFP includes Personnel Profile Summary Forms as Attachment Nine, and the offeror must use these forms and fill them out completely for each reference.

The Personnel Profile Summary Forms contained in this RFP have been customized for the applicable candidate requirements. Each page of the forms may contain minor variations. If an offeror elects to duplicate the forms electronically, the offeror must carefully review each form to ensure that it has been copied accurately. Failure to duplicate the forms exactly may lead to the rejection of the offeror's Proposal.

The offeror must propose a Project team that collectively meets all the requirements in this RFP, as demonstrated through the Personnel Profile Summary Forms. Each team member may have mandatory requirements listed in this RFP that the team member must individually meet. The offeror must name all candidates proposed, and each must meet the technical experience for the candidate's position.

The State will not consider a candidate's overlapping months of experience toward meeting the experience requirements in this RFP. Therefore, for each requirement for a key position, the Personnel Profile Summary Forms for the candidate must demonstrate that the candidate meets the requirement through a work experience that does not overlap in time with any other work experience used to meet the same requirement for the position.

The offeror must demonstrate that all candidate requirements have been met by using the Personnel Profile Summary Forms. The various sections of the forms are described below:

- a) Candidate References. If the offeror provides less than three projects, the offeror must explain why. The State may reject the Proposal if less than three projects are given for a candidate.
- b) Education and Training. The offeror must use this section to list the education and training of the proposed candidate and demonstrate, in detail, the proposed candidate's ability to properly

perform under the Contract. The offeror must show how the candidate's education and training relates to the requirements of the RFP.

c) Mandatory Experience and Qualifications.

The offeror must complete this section to show how a candidate meets the mandatory experience requirements, if any are applicable to that candidate. If any candidate does not meet the mandatory requirements for the position the candidate is proposed to fill, the offeror's Proposal may be rejected as non-responsive.

For each reference, the offeror must provide the following information:

- Candidate's Name.
- Contact Information. The offeror must completely fill out the client contact name, title, phone number, email address, company name, and mailing address. The offeror must include the same information for an alternate client contact, in case the State cannot reach the primary contact. Failure to provide this information may result in the State not including the reference experience in the evaluation process. It also may be a basis for rejecting the Proposal as non-responsive. The offeror must give contact information for a person in the client's organization and not a co-worker or a contact in the offeror's organization, subsidiaries, partnerships, etc.
- Dates of Experience. The offeror must complete this section with a beginning month and year and an ending month and year to show the length of time a candidate performed the technical experience being described, not just the length of time the candidate worked for the company.
- Description of the Related Service Provided. The State will not assume that, since the technical requirement is provided at the top of the page, all descriptions on that page relate to that requirement. The offeror must reiterate the technical experience being described, including the capacity in which the candidate gained the experience and the role of the candidate in the project as it relates to this Project. It is the Contractor's responsibility to customize the description to clearly substantiate the candidate's qualification.

The candidate's project experience must be listed separately and completely every time it is referenced, regardless of whether it is on the same or different pages of the form.

d) Required Experience and Qualifications. The offeror must complete this section to show how its candidate meets the experience requirements. (Refer to Attachment Nine.) For each reference, the following information must be provided:

- Candidate's Name.
- Contact Information. The client contact name, title, phone number, email address, company name, and mailing address must be completely filled out. The same information must be included for an alternate client contact, in case the State cannot reach the primary contact. Failure to provide requested contact information may result in the State not including the experience in the evaluation process or rejecting the offeror's Proposal. The contact information given must be for a person within the client's organization and not a co-worker or a contact within the offeror's organization, subsidiaries, partnerships etc.
- Dates of Experience. The offeror must complete this section with a beginning month and year and an ending month and year to show the length of time the candidate performed the technical experience being described, not just the length of time the candidate worked for the company.
- Description of the Related Service Provided. The State does not assume that, since the technical requirement is provided at the top of the page, all descriptions on that page relate to that requirement. Offerors must reiterate the technical experience being described, including

the capacity in which the experience was performed and the role of the candidate in the project as it relates to this Project. It is the Offeror's responsibility to customize the description to clearly substantiate the candidate's qualification.

The candidate's project experience must be listed separately and completely every time it is referenced, regardless of whether it is on the same or different pages of the form.

Proposed Solution. The offeror must describe in detail how its proposed solution meets the functional and technical requirements described in this RFP (See Attachments Two and Three of the RFP). The offeror may not simply state that the proposed solution will meet or exceed the specified requirements. Instead, the offeror must provide a written narrative for each requirement that shows that the offeror understands the business and the technical requirements of this RFP and how the offeror's proposed solution meets those requirements.

All the specifications given in this RFP for equipment and other system elements are minimum system requirements. The offeror may recommend features or other elements in excess of the minimum but must clearly identify them as such, provide the rationale behind the recommendations, and explain how they will benefit the State. The recommendations may not result in additional evaluation credit being given.

Work Plan. The offeror must fully describe its approach, methods, and specific work steps for doing the work on this Project and producing the Deliverables. The State encourages responses that demonstrate a thorough understanding of the nature of the Project and what the Contractor must do to get the Project done well. The work plan must also include how the deliverables and work are completed in an iterative development life cycle.

The State seeks insightful responses that describe proven, state-of-the-art methods. Recommended solutions should demonstrate that the offeror will be prepared to quickly undertake and successfully complete the required tasks. The offeror's work plan should clearly and specifically identify personnel assignments and the number of hours by individual for each task.

A work plan must be completed for each task described in Attachment Two.

Staffing Plan. The offeror must provide a staffing plan that identifies all the personnel by position that the offeror proposes and that are required to do the Project. The staffing plan must show each individual's responsibilities on the Project. The State also requires a staffing plan that matches the proposed Project key personnel and qualifications to the activities and tasks that will be completed on the Project. In addition, the plan must have the following information:

- A matrix matching each team member to the staffing requirements in this RFP;
- A contingency plan that shows the ability to add more staff if needed to ensure meeting the Project's due date(s); and
- The number of people onsite at the State location at any given time to allow the State to plan for the appropriate workspace.

Time Commitment. The offeror must submit a statement and a chart that clearly indicate the time commitment of the proposed Project Manager and the offeror's proposed team members for this Project during each phase of the System Development Life Cycle. The offeror also must include a statement indicating to what extent, if any, the Project Manager may work on other projects 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.

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 reject the Proposal. No assumptions may be included regarding negotiation, terms and conditions, or requirements.

Project Plan. The State encourages responses that demonstrate a thorough understanding of the nature of the Project and what the Contractor must do to get the Project done properly. To this end, the offeror must submit a Project Plan that the offeror will use to create a consistent and coherent management plan for the Project. The Project Plan must include detail sufficient to give the State an understanding of how the offeror's knowledge and approach will:

- Manage the Project;
- Guide Project execution;
- Document planning assumptions and decisions;
- Facilitate communication among stakeholders;
- Define key management review as to content, scope, and schedule; and
- Provide a baseline for progress measurement and Project control.

At a minimum, the offeror's Project Plan must include the following:

- Detailed Project schedule with a work breakdown structure for all Tasks, Project Deliverables and milestones. The schedule must include resource leveling and clearly demonstrate how the Project will become fully operational by the delivery date. The offeror also must identify and describe all risk factors associated with the Project;
- Description of the offeror's proposed organization(s) and management structure responsible for fulfilling the Contract's requirements;
- Description of the Project issue resolution and escalation process; and
- If the offeror chooses to use subcontractors, a description of its approach to managing its subcontractors effectively.

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.
- DEV will provide a knowledgeable, dedicated project team whose composition includes both business and technical staff. DEV intends some of these individuals will function on the project team for only short periods while others will remain on the team for the duration of the project. The state will supply up to 5 full time equivalents from business staff and up to 5 full time equivalents from technical staff. The key persons for the State's project team will consist of the OCEAN Project Manger, OCS IT Manager and subject matter experts (SMEs) from the business areas, and others; and
- The Offeror must provide administrative support for its staff.

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 unwilling or unable to meet the requirements.

The Contractor will be provided office space at the DEV office at 77 S. High St., Columbus, Ohio 43216 to use as their work area for the duration of the project. The Contractor will also be provided conference rooms for project related meetings based upon availability. DEV will provide appropriate computer equipment to the Contractor, such as desktops, Internet connectivity, printer equipment, telephones, and

office supplies during the life of the project. Laptops owned by the Contractor are prohibited at DEV; all laptops must be DEV – owned.

Equipment and System Elements. The offeror must identify all proposed equipment needed for the Project during the installation, customization (as applicable), implementation, and ongoing operations that leverages the existing technical environment. The offeror's Proposal must include the proposed manufacturer's name and model for all equipment. Additionally, the offeror must identify any equipment that the State will require for the implementation and ongoing operation of the Project that is not otherwise specified in this RFP.

The equipment and other system specifications in this RFP are minimum Project requirements. The offeror may include features, equipment, or other elements in excess of the minimum but must clearly identify them as such. All elements of the proposed solution must meet the mandatory technical requirements for the Project. If any element of the proposed solution does not meet the minimum requirements, the offeror's Proposal may be rejected as non-responsive.

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.

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.

Terms for Commercial Materials. 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.

Bond Commitment. The selected offeror must provide a performance bond. The amount of the performance bond must be equal to at least ten percent of the total amount of the Contract, and the bond must remain in place through the term of the Contract and may be renewed or continued annually with the approval of the State. Therefore, each offeror must enclose a letter of commitment from a bonding company for an appropriate performance bond with its Proposal.

The offeror must list the actual cost of securing the performance bond in its Cost Summary, Attachment Ten. The State will pay only the actual cost of the performance bond and may request a certified copy of the invoice from the bonding company for documentation. If the cost of the bond on the Cost Summary and the cost shown on the bonding company's invoice do not match, the State will pay whichever is less.

Conflict of Interest Statement. Each Proposal must include a statement indicating whether the offeror or any people that may work on or benefit from the Project through the offeror have a possible conflict of interest (e.g., employed by the State of Ohio, etc.) and, if so, the nature of that conflict. The State may reject a Proposal in which an actual or apparent conflict is disclosed. The State also may terminate the Contract if it discovers any actual or apparent conflict of interest that the offeror did not disclose in its Proposal.

Proof of Insurance. The offeror must provide the certificate of insurance in the form that Attachment Four requires. The policy may be written on an occurrence or claims made basis.

Payment Address. The offeror must give the address to which the State should send payments under the Contract.

Legal Notice Address. The offeror must give the name, title, and address to which the State should send legal notices under the Contract.

W-9 Form. The offeror must complete the attached W-9 form in its entirety. The offeror must submit at least one originally signed W-9. All other copies of a Proposal may contain copies of the W-9. The offeror must indicate on the outside of the binder which Proposal contains the originally signed W-9.

Declaration Regarding Terrorist Organizations. The offeror must complete a Declaration Regarding Material Assistance/Non-assistance to a Terrorist Organization in its entirety. The offeror must submit at least one originally signed copy of this form, which should be included with the offeror's originally signed Proposal. All other copies of the offeror's Proposal may contain copies of this form. The form is available at: <http://www.homelandsecurity.ohio.gov>.

Declaration of Material Assistance. In accordance with R.C. 2909.33(C), I certify that I meet one of the following conditions:

1. I have not received, nor will receive as a result of this contract, an aggregate amount greater than one hundred thousand dollars (\$100,000) in business or funding, excluding personal benefits, from the state, instrumentalities, or political subdivisions during the current fiscal year;

Or

2. (a.) I have received, or will receive as a result of this contract, an aggregate amount greater than one hundred thousand dollars (\$100,000) in business or funding, excluding personal benefits, from the state, instrumentalities, or political subdivisions during the current fiscal year.

And,

- (b.) I have either pre-certified with the Office of Budget and Management, or have completed the Declaration of Material Assistance form as directed on page 2 of the Invitation to Bid, (Item D), certifying that I have not provided material assistance to any organization on the Terrorist Exclusion List, as that term is defined in R.C. 2909.21.

Cost Summary. This RFP includes a Cost Summary Form provided as an attachment. Offerors may not reformat this form. Each offeror must complete the Cost Summary Form in the exact format provided, since the State may reject any Proposal with a reformatted Cost Summary Form or that is not separately sealed. (See: Part Three: General Instructions, Proposal Submittal.)

The Cost Summary Form must not include exceptions, additional terms and conditions, or assumptions.

The offeror's total cost for the entire Project must be represented as the not-to-exceed fixed price.

The State will not be liable for or pay any Project costs that the offeror does not identify in its Proposal.

ATTACHMENT FOUR: GENERAL TERMS AND CONDITIONS

PART ONE: PERFORMANCE AND PAYMENT

Statement of Work. The RFP and the Contractor's Proposal (collectively, the "RFP Documents") are a part of this Contract and describe the work (the "Project") the Contractor will do and any materials the Contractor will deliver (the "Deliverables") under this Contract. The Contractor must do the Project in a professional, timely, and efficient manner and will provide the Deliverables in a proper fashion. The Contractor also must furnish its own support staff necessary for the satisfactory performance of the Project.

The Contractor will consult with the appropriate State representatives and others necessary to ensure a thorough understanding of the Project and satisfactory performance. The State may give instructions to or make requests of the Contractor relating to the Project, and the Contractor will comply with those instructions and fulfill those requests in a timely and professional manner. Those instructions and requests will be for the sole purpose of ensuring satisfactory completion of the Project and will not amend or alter the scope of the Project.

Term. Unless this Contract is terminated or expires without renewal, it will remain in effect until the Project is completed to the satisfaction of the State, including all optional renewal periods for maintenance or continuing commitments, and the Contractor is paid. However, the current General Assembly cannot commit a future General Assembly to an expenditure. Therefore, this Contract will automatically expire at the end of each biennium, the first of which is June 30, 2011. The State may renew this Contract in the next biennium by issuing written notice to the Contractor of the decision to do so. This expiration and renewal procedure also will apply to the end of any subsequent biennium during which the Project continues, including any optional renewal periods. Termination or expiration of this Contract will not limit the Contractor's continuing obligations with respect to Deliverables that the State paid for before termination or limit the State's rights in such.

The State's funds are contingent upon the availability of lawful appropriations by the Ohio General Assembly. If the General Assembly fails to continue funding for the payments and other obligations due as part of this Contract, the State's obligations under this Contract will terminate as of the date that the funding expires without further obligation of the State.

The Project has a completion date that is identified in the RFP Documents. The RFP Documents also may have several dates for the delivery of Deliverables or reaching certain milestones in the Project. The Contractor must make those deliveries, meet those milestones, and complete the Project within the times the RFP Documents require. If the Contractor does not meet those dates, the Contractor will be in default, and the State may terminate this Contract under the termination provision contained below.

The State also may have certain obligations to meet. Those obligations, if any, are also listed in the RFP Documents. If the State agrees that the Contractor's failure to meet the delivery, milestone, or completion dates in the RFP Documents is due to the State's failure to meet its own obligations in a timely fashion, then the Contractor will not be in default, and the delivery, milestone, and completion dates affected by the State's failure to perform will be extended by the same amount of time as the State's delay. The Contractor may not rely on this provision unless the Contractor has in good faith exerted reasonable management skill to avoid an extension and has given the State meaningful written notice of the State's failure to meet its obligations within five business days of the Contractor's realization that the State's delay may impact the Project. The Contractor must deliver any such notice to both the Project Representative and Procurement Representative and title the notice as a "Notice of State Delay." The notice must identify any delay in detail, as well as the impact the delay has or will have on the Project. Unless the State decides, in its sole and exclusive judgment, that an equitable adjustment in the Contractor's Fee is warranted in the case of an extended delay, an extension of the Contractor's time to perform will be the Contractor's exclusive remedy for the State's delay. Should the State determine that an equitable adjustment in the Contractor's Fee is warranted, the equitable adjustment will be handled as

a Change Order under the Changes Section of this Contract, and the extension of time and equitable adjustment will be the exclusive remedies of the Contractor for the State's delay.

The State seeks a complete Project, and the Contractor must provide any incidental items omitted in the RFP Documents as part of the Contractor's not-to-exceed fixed price. The Contractor also must fully identify, describe, and document all systems that are delivered as a part of the Project. Unless expressly excluded elsewhere in the RFP, all hardware, software, supplies, and other required components (such as documentation, conversion, training, and maintenance) necessary for the Project to be complete and useful to the State are included in the Project and the not-to-exceed fixed price.

Compensation. In consideration of the Contractor's promises and satisfactory performance, the State will pay the Contractor the amount(s) identified in the RFP Documents (the "Fee"), plus any other expenses identified as reimbursable in the RFP Documents. In no event, however, will payments under this Contract exceed the "not-to-exceed" amount in the RFP Documents without the prior written approval of the State and, when required, the Ohio Controlling Board and any other source of funding. The Contractor's right to the Fee is contingent on the complete and satisfactory performance of the Project or, in the case of milestone payments or periodic payments of an hourly, daily, weekly, monthly, or annual rate, all relevant parts of the Project tied to the applicable milestone or period. Payment of the Fee also is contingent on the Contractor delivering a proper invoice and any other documents the RFP Documents require. An invoice must comply with the State's then current policies regarding invoices and their submission. The State will notify the Contractor in writing within 15 business days after it receives a defective invoice of any defect and provide the information necessary to correct the defect.

The Contractor must send all invoices under this Contract to the "bill to" address in the RFP Documents or in the applicable purchase order.

The State will pay the Contractor interest on any late payment, as provided in Section 126.30 of the Ohio Revised Code (the "Revised Code"). If the State disputes a payment for anything covered by an invoice, within 15 business days after receipt of that invoice, the State will notify the Contractor, in writing, stating the grounds for the dispute. The State then may deduct the disputed amount from its payment as a nonexclusive remedy. If the Contractor has committed a material breach, in the sole opinion of the State, the State also may withhold payment otherwise due to the Contractor. Both parties will attempt to resolve any claims of material breach or payment disputes through discussions among the Project Manager, the Contractor's Project executive, the Project Representative, and the State Contract Management Administrator. The State will consult with the Contractor as early as reasonably possible about the nature of the claim or dispute and the amount of payment affected. When the Contractor has resolved the matter to the State's satisfaction, the State will pay the disputed amount within 30 business days after the matter is resolved. The State has no obligation to make any disputed payments until the matter is resolved, and the Contractor must continue its performance under this Contract pending resolution of the dispute or claim.

If the State has already paid the Contractor on an invoice but later disputes the amount covered by the invoice, and if the Contractor fails to correct the problem within 30 calendar days after written notice, the Contractor must reimburse the State for that amount at the end of the 30 calendar days as a nonexclusive remedy for the State. On written request from the Contractor, the State will provide reasonable assistance in determining the nature of the problem by giving the Contractor reasonable access to the State's facilities and any information the State has regarding the problem.

If the RFP Documents provide for any retainage, the State will withhold from each invoice paid the percentage specified in the RFP Documents as retainage. The State will pay the retainage only after the State has accepted the Project, and then only in accordance with the payment schedule specified in the RFP Documents. The State will withhold all amounts under this section arising from claims or disputes in addition to any retainage specified in the RFP Documents.

Reimbursable Expenses. The State will pay all reimbursable expenses identified in the RFP Documents, if any, in accordance with the terms in the RFP Documents and, where applicable, Section

126.31 of the Revised Code. The Contractor must assume all expenses that it incurs in the performance of this Contract that are not identified as reimbursable in the RFP Documents.

In making any reimbursable expenditure, the Contractor always must comply with the more restrictive of its own, then current internal policies for making such expenditures or the State's then current policies. All reimbursable travel will require the advance written approval of the State's Project Representative. The Contractor must bill all reimbursable expenses monthly, and the State will reimburse the Contractor for them within 30 business days of receiving the Contractor's invoice.

Right of Offset. The State may set off the amount of any Ohio tax liability or other obligation of the Contractor or its subsidiaries to the State, including any amounts the Contractor owes to the State under this or other contracts, against any payments due from the State to the Contractor under this or any other contracts with the State.

Certification of Funds. None of the rights, duties, or obligations in this Contract will be binding on the State, and the Contractor will not begin its performance until all the following conditions have been met:

- (a) All statutory provisions under the Revised Code, including Section 126.07, have been met;
- (b) All necessary funds are made available by the appropriate State entities;
- (c) If required, the Controlling Board of Ohio approves this Contract; and
- (d) If the State is relying on federal or third-party funds for this Contract, the State gives the Contractor written notice that such funds are available.

Employment Taxes. All people furnished by the Contractor (the "Contractor Personnel") are employees or subcontractors of the Contractor, and none are or will be deemed employees or contractors of the State. No Contractor Personnel will be entitled to participate in, claim benefits under, or become an "eligible employee" for purposes of any employee benefit plan of the State by reason of any work done under this Contract. The Contractor will pay all federal, state, local, and other applicable payroll taxes and make the required contributions, withholdings, and deductions imposed or assessed under any provision of any law and measured by wages, salaries, or other remuneration paid by or which may be due from the Contractor to the Contractor Personnel. The Contractor will indemnify, defend (with the consent and approval of the Ohio Attorney General), and hold the State harmless from and against all claims, losses, liability, demands, fines, and expense (including court costs, defense costs, and redeemable attorney fees) arising out of or relating to such taxes, withholdings, deductions, and contributions with respect to the Contractor Personnel. The Contractor's indemnity and defense obligations also apply to any claim or assertion of tax liability made by or on behalf of any Contractor Personnel or governmental agency on the basis that any Contractor Personnel are employees or contractors of the State, that the State is the "joint employer" or "co-employer" of any Contractor Personnel, or that any Contractor Personnel are entitled to any employee benefit offered only to eligible regular fulltime or regular part-time employees of the State.

Sales, Use, Excise, and Property Taxes. The State is exempt from any sales, use, excise, and property tax. To the extent sales, use, excise, or any similar tax is imposed on the Contractor in connection with the Project, such will be the sole and exclusive responsibility of the Contractor. Further, the Contractor will pay such taxes, together with any interest and penalties not disputed with the appropriate taxing authority, whether they are imposed at the time the services are rendered or a later time.

PART TWO: PROJECT AND CONTRACT ADMINISTRATION

Related Contracts. The Contractor warrants that the Contractor has not and will not enter into any contracts without written approval of the State to perform substantially identical services for the State, such that the Project duplicates the work done or to be done under the other contracts.

Other Contractors. The State may hold other contracts for additional or related work, including among others independent verification and validation (IV&V) work for this Project. The Contractor must fully cooperate with all other contractors and State employees and coordinate its work with such other

contractors and State employees as may be required for the smooth and efficient operation of all related or additional work. The Contractor may not act in any way that may unreasonably interfere with the work of any other contractors or the State's employees. Further, the Contractor must fully cooperate with any IV&V contractor assigned to this Project. Such cooperation includes expeditiously providing the IV&V contractor with full and complete access to all Project work product, records, materials, personnel, meetings, and correspondence as the IV&V contractor may request. Additionally, the Contractor must include the obligations of this provision in all its contracts with its subcontractors that work on this Project.

Subcontracting. The Contractor may not enter into subcontracts related to the Project after award without written approval from the State. Nevertheless, the Contractor will not need the State's written approval to subcontract for the purchase of commercial goods that are required for satisfactory completion of the Project. All subcontracts will be at the sole expense of the Contractor unless expressly stated otherwise in the RFP Documents.

The State's approval of the use of subcontractors does not mean that the State will pay for them. The Contractor will be solely responsible for payment of its subcontractor and any claims of subcontractors for any failure of the Contractor or any of its other subcontractors to meet the performance schedule or performance specifications for the Project in a timely and professional manner. The Contractor will hold the State harmless for and will indemnify the State against any such claims.

The Contractor assumes responsibility for all Deliverables whether it, a subcontractor, or third-party manufacturer produces them in whole or in part. Further, the Contractor will be the sole point of contact with regard to contractual matters, including payment of all charges resulting from the Contract. Further, the Contractor will be fully responsible for any default by a subcontractor, just as if the Contractor itself had defaulted.

If the Contractor uses any subcontractors, each subcontractor must have a written agreement with the Contractor. That written agreement must incorporate this Contract by reference. The agreement also must pass through to the subcontractor all provisions of this Contract that would be fully effective only if they bind both the subcontractor and the Contractor. Among such provisions are the limitations on the Contractor's remedies, the insurance requirements, record keeping obligations, and audit rights. Some sections of this Contract may limit the need to pass through their requirements to subcontracts to avoid placing cumbersome obligations on minor subcontractors. This exception is applicable only to sections that expressly provide an exclusion for small-dollar subcontracts. Should the Contractor fail to pass through any provisions of this Contract to one of its subcontractors and the failure damages the State in any way, the Contractor must indemnify the State for the damage.

Record Keeping. The Contractor must keep all financial records in accordance with generally accepted accounting principles consistently applied. The Contractor also must file documentation to support each action under this Contract in a manner allowing the documentation to be readily located. Additionally, the Contractor must keep all Project-related records and documents at its principal place of business or at its office where the work was performed.

Audits. During the term of this Contract and for three years after the payment of the Contractor's Fee, on reasonable notice and during customary business hours, the State may audit the Contractor's records and other materials that relate to the Project. This audit right also applies to the State's duly authorized representatives and any person or organization providing financial support for the Project.

Insurance. The Contractor must provide the following insurance coverage at its own expense throughout the term of this Contract:

- (a) Workers' compensation insurance, as required by Ohio law, and, if some of the Project will be done outside Ohio, the laws of the appropriate state(s) where work on the Project will be done. The Contractor also must maintain employer's liability insurance with at least a \$1,000,000.00 limit.

(b) Commercial General Liability insurance coverage for bodily injury, personal injury, wrongful death, and property damage. The defense cost must be outside of the policy limits. Such policy must designate the State of Ohio as an additional insured, as its interest may appear. The policy also must be endorsed to include a blanket waiver of subrogation. At a minimum, the limits of the insurance must be:

\$ 2,000,000 General Aggregate
\$ 2,000,000 Products/Completed Operations Aggregate
\$ 1,000,000 Per Occurrence Limit
\$ 1,000,000 Personal and Advertising Injury Limit
\$ 100,000 Fire Legal Liability
\$ 10,000 Medical Payments

The policy must be endorsed to provide the State with 30-days prior written notice of cancellation or material change to the policy. And the Contractor's Commercial General Liability must be primary over any other insurance coverage.

(c) Commercial Automobile Liability insurance with a combined single limit of \$500,000.

(d) Professional Liability insurance covering all staff with a minimum limit of \$1,000,000 per incident and \$3,000,000 aggregate. If the Contractor's policy is written on a "claims made" basis, the Contractor must provide the State with proof of continuous coverage at the time the policy is renewed. If for any reason the policy expires, or coverage is terminated, the Contractor must purchase and maintain "tail" coverage through the applicable statute of limitations.

The certificate(s) must be in a form that is reasonably satisfactory to the State as to the contents of the policies and the quality of the insurance carriers. All carriers must have at least an "A-" rating by A.M. Best.

Performance Bond. The Contractor must provide the Procurement Representative with a performance bond in the amount required by the RFP Documents within 30 business days after receipt of a purchase order for this Contract. The bond must be issued by a company authorized by Ohio's Department of Insurance to do business in Ohio and must indemnify the State against all direct damages it suffers from any failure of the Contractor to perform properly.

Failure of the Contractor to provide the performance bond on or before the date it is required will result in a breach of this Contract without a cure period and termination or suspension (or ultimately both) of this Contract for cause. The performance bond must remain in place through the term of the contract but may be renewed or continued annually with the approval of the State. Further, the terms of the bond must reflect the terms of this section, or the State will reject it and treat the failure of conformance as a failure by the Contractor to deliver the bond in a timely fashion.

Concurrent with the delivery of the performance bond, the Contractor must provide the State with a certified copy of the invoice for the bond from the bonding company. The State will reimburse the Contractor for the lesser of the amount of the performance bond reflected on the bonding company's certified invoice or the cost shown on the Cost Summary of the Contractor's proposal.

Replacement Personnel. If the RFP Documents contain the names of specific people who will work on the Project, then the quality and professional credentials of those people were material factors in the State's decision to enter into this Contract. Therefore, the Contractor must use all commercially reasonable efforts to ensure the continued availability of those people. Also, the Contractor may not remove those people from the Project without the prior written consent of the State, except as provided below.

The Contractor may remove a person listed in the RFP Documents from the Project, if doing so is necessary for legal or disciplinary reasons. However, the Contractor must make a reasonable effort to give the State 30 calendar days' prior, written notice of the removal.

If the Contractor removes a person listed in the RFP Documents from the Project for any reason other than those specified above, the State may assess liquidated damages in the amount of \$1,500.00 for every day between the date on which the individual was removed and the date that this Contract is terminated or the individual's qualified replacement, selected in accordance with the process identified in this section, starts performing on the Project. The State also may provide the Contractor with written notice of its default under this section, which the Contractor must cure within 30 days. Should the Contractor fail to cure its default within the 30 day cure period, this Contract will terminate immediately for cause, and the State will be entitled to damages in accordance with the Suspension and Termination Section of this Contract due to the termination. Should the State assess liquidated damages or otherwise be entitled to damages under this provision, it may offset these damages from any Fees due under this Contract.

The Contractor must have qualified replacement people available to replace any people listed in the RFP Documents by name or identified as a key individual on the Project. When the removal of a listed person is permitted under this Section, or if a person becomes unavailable, the Contractor must submit the resumes for two replacement people to the State for each person removed or who otherwise becomes unavailable. The Contractor must submit the two resumes, along with such other information as the State may reasonably request, within five business days after the decision to remove a person is made or the unavailability of a listed person becomes known to the Contractor.

The State will select one of the two proposed replacements or will reject both of them within ten business days after the Contractor has submitted the proposed replacements to the State. The State may reject the proposed replacements for any legal reason. Should the State reject both replacement candidates due to their failure to meet the minimum qualifications identified in the RFP Documents, or should the Contractor fail to provide the notice required under this Section or fail to provide two qualified replacement candidates for each removed or unavailable person, the Contractor will be in default and the cure period for default specified elsewhere in this Contract will not apply. In any such case, the State will have the following options:

- (a) The State may assess liquidated damages in the amount of \$1,500.00 for every day between the date on which the Contractor failed to provide the applicable notice, failed to provide the two replacement candidates, or the date the State rejected all candidates for cause and the date on which the Contractor affects a cure or the Contract expires without renewal or is terminated.
- (b) The State may terminate this Contract immediately for cause and without any cure period.

Should the State exercise its option under item (a) above, it nevertheless will be entitled anytime thereafter to exercise its option under item (b) above. Additionally, should the State terminate this Contract under this provision, it will be entitled to damages in accordance with the Suspension and Termination Section of this Contract due to the termination. Should the State assess liquidated damages or otherwise be entitled to damages under this provision, it may offset these damages from any Fees due under this Contract.

The State may determine that the proposed replacement candidates meet the minimum qualifications of this Contract and still substantially reduce the value the State perceived it would receive through the effort of the original individual(s) the Contractor proposed and on whose credentials the State decided to enter into this Contract. Therefore, the State will have the right to reject any candidate that the State determines may provide it with diminished value.

Should the State reject both proposed candidates for any legal reason other than their failure to meet the minimum qualifications identified in the RFP Documents, the State may terminate this Contract for its convenience.

The State has an interest in providing a healthy and safe environment for its employees and guests at its facilities. The State also has an interest in ensuring that its operations are carried out in an efficient, professional, legal, and secure manner. Therefore, the State will have the right to require the Contractor to remove any individual involved in the Project, if the State determines that any such individual has or may interfere with the State's interests identified above. In such a case, the request for removal will be treated as a case in which an individual providing services under this Contract has become unavailable, and the Contractor must follow the procedures identified above for replacing unavailable people. This provision also applies to people that the Contractor's subcontractors engage, if they are listed by name or as a key person in the RFP Documents.

Suspension and Termination. The State may terminate this Contract if the Contractor defaults in meeting its obligations under this Contract and fails to cure its default within the time allowed by this Contract, or if a petition in bankruptcy (or similar proceeding) has been filed by or against the Contractor. The State also may terminate this Contract if the Contractor violates any law or regulation in doing the Project, or if it appears to the State that the Contractor's performance is substantially endangered through no fault of the State. In any such case, the termination will be for cause, and the State's rights and remedies will be those identified below for termination for cause.

On written notice, the Contractor will have 30 calendar days to cure any breach of its obligations under this Contract, provided the breach is curable. If the Contractor fails to cure the breach within 30 calendar days after written notice, or if the breach is not one that is curable, the State will have the right to terminate this Contract immediately on notice to the Contractor. The State also may terminate this Contract in the case of breaches that are cured within 30 calendar days but are persistent. "Persistent" in this context means that the State has notified the Contractor in writing of the Contractor's failure to meet any of its obligations three times. After the third notice, the State may terminate this Contract on written notice to the Contractor without a cure period if the Contractor again fails to meet any obligation. The three notices do not have to relate to the same obligation or type of failure. Some provisions of this Contract may provide for a shorter cure period than 30 calendar days or for no cure period at all, and those provisions will prevail over this one. If a particular section does not state what the cure period will be, this provision will govern.

The State also may terminate this Contract for its convenience and without cause or if the Ohio General Assembly fails to appropriate funds for any part of the Project. If a third party is providing funding for the Project, the State also may terminate this Contract should that third party fail to release any Project funds. The RFP Documents normally identify any third party source of funds for the Project, but an absence of such in the RFP Documents will not diminish the State's rights under this section.

The notice of termination, whether for cause or without cause, will be effective as soon as the Contractor receives it. Upon receipt of the notice of termination, the Contractor must immediately cease all work on the Project and take all steps necessary to minimize any costs the Contractor will incur related to this Contract. The Contractor also must immediately prepare a report and deliver it to the State. The report must be all-inclusive and must detail the work completed at the date of termination, the percentage of the Project's completion, any costs incurred in doing the Project to that date, and any Deliverables completed or partially completed but not delivered to the State at the time of termination. The Contractor also must deliver all the completed and partially completed Deliverables to the State with its report. However, if the State determines that delivery in that manner would not be in its interest, then the State will designate a suitable alternative form of delivery, which the Contractor must honor.

If the State terminates this Contract for cause, it will be entitled to cover for the Project by using another Contractor on such commercially reasonable terms as the State and the covering contractor may agree. The Contractor will be liable to the State for all costs related to covering for the Project to the extent that such costs, when combined with payments already made to the Contractor for the Project before

termination, exceed the costs that the State would have incurred under this Contract. The Contractor also will be liable for any other direct damages resulting from its breach of this Contract or other action leading to termination for cause.

If the termination is for the convenience of the State, the Contractor will be entitled to compensation for any work on the Project that the Contractor has performed before the termination. Such compensation will be the Contractor's exclusive remedy in the case of termination for convenience and will be available to the Contractor only once the Contractor has submitted a proper invoice for such, with the invoice reflecting the amount that the State determines it owes to the Contractor. The State will make that determination based on the lesser of the percentage of the Project completed or the hours of work performed in relation to the estimated total hours required to perform the entire Project.

The State will have the option of suspending rather than terminating the Project, if the State believes that doing so would better serve its interests. In the event of a suspension for the convenience of the State, the Contractor will be entitled to receive payment for the work performed before the suspension. In the case of suspension of the Project rather than termination for cause, the Contractor will not be entitled to any compensation for any work performed. If the State reinstates the Project after suspension for cause, rather than terminating this Contract after the suspension, the Contractor may be entitled to compensation for work performed before the suspension, less any damage to the State resulting from the Contractor's breach of this Contract or other fault. Any amount due for work before or after the suspension for cause will be offset by any damage to the State from the default or other event giving rise to the suspension.

In the case of a suspension for the State's convenience, the State will calculate the amount of compensation due to the Contractor for work performed before the suspension in the same manner as provided in this section for termination for the State's convenience. The Contractor will not be entitled to compensation for any other costs associated with a suspension for the State's convenience, and the State will make no payment under this provision to the Contractor until the Contractor submits a proper invoice. If the State decides to allow the work to continue rather than terminating this Contract after the suspension, the State will not be required to make any payment to the Contractor other than those payments specified in this Contract and in accordance with the payment schedule specified in this Contract for properly completed work.

Any notice of suspension, whether with or without cause, will be effective immediately on the Contractor's receipt of the notice. The Contractor will prepare a report concerning the Project just as is required by this Section in the case of termination. After suspension of the Project, the Contractor may not perform any work without the consent of the State and may resume work only on written notice from the State to do so. In any case of suspension, the State retains its right to terminate this Contract rather than to continue the suspension or resume the Project. If the suspension is for the convenience of the State, then termination of the Contract will be a termination for convenience. If the suspension is with cause, the termination will also be for cause.

The State may not suspend the Project for its convenience more than twice during the term of this Contract, and any suspension for the State's convenience may not continue for more than 30 calendar days. If the Contractor does not receive notice to resume or terminate the Project within the 30-day suspension, then this Contract will terminate automatically for the State's convenience at the end of the 30 calendar day period.

Any default by the Contractor or one of its subcontractors will be treated as a default by the Contractor and all of its subcontractors. The Contractor will be solely responsible for satisfying any claims of its subcontractors for any suspension or termination and must indemnify the State for any liability to them. Notwithstanding the foregoing, each subcontractor must hold the State harmless for any damage caused to them from a suspension or termination. They must look solely to the Contractor for any compensation to which they may be entitled.

Representatives. The State's representative under this Contract will be the person identified in the RFP Documents or in a subsequent notice to the Contractor as the "Project Representative." The Project Representative will review all reports the Contractor makes in the performance of the Project, will conduct all liaison with the Contractor, and will accept or reject the Deliverables and the completed Project. The Project Representative may delegate his responsibilities for individual aspects of the Project to one or more managers, who may act as the Project Representative for those individual portions of the Project.

The Contractor's Project Manager under this Contract will be the person identified on the RFP Documents as the "Project Manager." The Project Manager will be the Contractor's liaison with the State under this Contract. The Project Manager also will conduct all Project meetings and prepare and submit to the Project Representative all reports, plans, and other materials that the RFP Documents require from the Contractor.

Either party, upon written notice to the other party, may designate another representative. However, the Contractor may not replace the Project Manager without the approval of the State if that person is identified in the RFP Documents by name or as a key individual on the Project.

Work Responsibilities. The State will be responsible for providing only those things, if any, expressly identified in the RFP Documents. If the State has agreed to provide facilities or equipment, the Contractor, by signing this Contract, warrants that the Contractor has either inspected the facilities and equipment or has voluntarily waived an inspection and will work with the equipment and facilities on an "as is" basis.

The Contractor must assume the lead in the areas of management, design, and development of the Project. The Contractor must coordinate the successful execution of the Project and direct all Project activities on a day-to-day basis, with the advice and consent of the Project Representative. The Contractor will be responsible for all communications regarding the progress of the Project and will discuss with the Project Representative any issues, recommendations, and decisions related to the Project.

If any part of the Project requires installation on the State's property, the State will provide the Contractor with reasonable access to the installation site for the installation and any site preparation that is needed. After the installation is complete, the Contractor must complete an installation letter and secure the signature of the Project Representative certifying that installation is complete and the Project, or applicable portion of it, is operational. The letter must describe the nature, date, and location of the installation, as well as the date the Project Representative certified the installation as complete and operational.

Unless otherwise provided in the RFP Documents, the Contractor is solely responsible for obtaining all official permits, approvals, licenses, certifications, and similar authorizations required by any local, state, or federal agency for the Project and maintaining them throughout the duration of this Contract.

Changes. The State may make reasonable changes within the general scope of the Project. The State will do so by issuing a written order under this Contract describing the nature of the change ("Change Order"). Additionally, if the State provides directions or makes requests of the Contractor without a change order, and the Contractor reasonably believes the directions or requests are outside the specifications for the Project, the Contractor may request a Change Order from the State. The parties will handle such changes as follows: The Contractor will provide pricing to the State. The State will execute a Change Order once it and the Contractor have agreed on the description of and specifications for the change, as well as any equitable adjustments that need to be made in the Contractor's Fee or the performance schedule for the work. Then within five business days after receiving the Change Order, the Contractor must sign it to signify agreement with it.

If a change causes an increase in the cost of, or the time required for, the performance of the Project, the Contractor must notify the State in writing and request an equitable adjustment in its Fee, the delivery schedule, or both before the Contractor signs the Change Order. If the Contractor claims an adjustment

under this section in connection with a change to the Project not described in a written Change Order, the Contractor must notify the State in writing of the claim within five business days after the Contractor is notified of the change and before work on the change begins. Otherwise, the Contractor will have waived the claim. In no event will the State be responsible for any increase in the Fee or revision in any delivery schedule unless the State expressly ordered the relevant change in writing and the Contractor has complied with the requirements of this section. Provided the State has complied with the procedure for Change Orders in this section, nothing in this clause will excuse the Contractor from proceeding with performance of the Project, as changed.

Where an equitable adjustment to the Contractor's Fee is appropriate, the State and the Contractor may agree upon such an adjustment. If the State and the Contractor are unable to agree, either party may submit the dispute to the senior management of the Contractor and the senior management of the State's Department of Administrative Services for resolution. If within 30 calendar days following referral to senior management, the claim or dispute has not been resolved, the Contractor must submit its actual costs for materials needed for the change (or estimated amount if the precise amount of materials cannot be determined) and an estimate of the hours of labor required to do the work under the Change Order. The Contractor must break down the hours of labor by employee position, and provide the actual hourly pay rate for each employee involved in the change. The total amount of the equitable adjustment for the Change Order then will be made based on the actual cost of materials (or estimated materials) and actual rate for each person doing the labor (based on the estimated hours of work required to do the change). Labor rates will be increased by 25% to cover benefits and taxes. The equitable adjustment for the Change Order then will be set based on this amount, plus 15% to cover overhead and profit. This amount will be the not-to-exceed amount of the Change Order. If the change involves removing a requirement from the Project or replacing one part of the Project with the change, the State will get a credit for the work no longer required under the original scope of the Project. The credit will be calculated in the same manner as the Contractor's Fee for the change, and the not-to-exceed amount will be reduced by this credit.

The Contractor is responsible for coordinating changes with its subcontractors and adjusting their compensation and performance schedule. The State will not pay any subcontractor for the Change Order. If a subcontractor will perform any work under a Change Order, that work must be included in the Contractor's not-to-exceed amount and calculated in the same manner as the Contractor's equitable adjustment for the portion of the work the Contractor will perform. The Contractor will not receive an overhead percentage for any work a subcontractor will do under a Change Order.

If the RFP Documents provide for the retainage of a portion of the Contractor's Fee, all equitable adjustments for Change Orders also will be subject to the same retainage, which the State will pay only on completion and acceptance of the Project, as provided in the RFP Documents.

Excusable Delay. Neither party will be liable for any delay in its performance that arises from causes beyond its control and without its negligence or fault. The delayed party must notify the other promptly of any material delay in performance and must specify in writing the proposed revised performance date as soon as practicable after notice of delay. In the event of any such excusable delay, the date of performance or of delivery will be extended for a period equal to the time lost by reason of the excusable delay. The delayed party also must describe the cause of the delay and what steps it is taking to remove the cause. The delayed party may not rely on a claim of excusable delay to avoid liability for a delay if the delayed party has not taken commercially reasonable steps to mitigate or avoid the delay. Things that are controllable by the Contractor's subcontractors will be considered controllable by the Contractor, except for third-party manufacturers supplying commercial items and over whom the Contractor has no legal control.

Independent Status of the Contractor. The parties are independent of one another, and the Contractor's Personnel may act only in the capacity of representatives of the Contractor and not as representatives of the State. Further, the Contractor's Personnel will not be deemed for any purpose to be employees, representatives, or agents of the State. The Contractor assumes full responsibility for the actions of the Contractor's Personnel while they are performing under this Contract and will be solely

responsible for paying the Contractor's Personnel (including withholding, and paying income taxes and social security, workers' compensation, disability benefits and the like). The Contractor may not commit, and is not authorized to commit, the State in any manner. The Contractor's subcontractors will be considered the agents of the Contractor for purposes of this Contract.

Publicity. The Contractor may not advertise or publicize that it is doing business with the State or use this Contract or the Contractor's relationship with the State as a marketing or sales tool, unless the State agrees otherwise in writing.

PART THREE: OWNERSHIP AND HANDLING OF INTELLECTUAL PROPERTY AND CONFIDENTIAL INFORMATION

Confidentiality. The State may disclose to the Contractor written material or oral or other information that the State treats as confidential ("Confidential Information"). Title to the Confidential Information and all related materials and documentation the State delivers to the Contractor will remain with the State. The Contractor must treat such Confidential Information as secret, if it is so marked, otherwise identified as such, or when, by its very nature, it deals with matters that, if generally known, would be damaging to the best interest of the public, other contractors, potential contractors with the State, or individuals or organizations about whom the State keeps information. By way of example, information must be treated as confidential if it includes any proprietary documentation, materials, flow charts, codes, software, computer instructions, techniques, models, information, diagrams, know-how, trade secrets, data, business records, or marketing information. By way of further example, the Contractor also must treat as confidential materials such as police and investigative records, files containing personal information about individuals or employees of the State, such as personnel records, tax records, and so on, court and administrative records related to pending actions, any material to which an attorney-client, physician-patient, or similar privilege may apply, and any documents or records excluded by Ohio law from public records disclosure requirements.

The Contractor may not disclose any Confidential Information to third parties and must use it solely to do the Project. The Contractor must restrict circulation of Confidential Information within its organization and then only to people in the Contractor's organization that have a need to know the Confidential Information to do the Project. The Contractor will be liable for the disclosure of such information, whether the disclosure is intentional, negligent, or accidental, unless otherwise provided below.

The Contractor will not incorporate any portion of any Confidential Information into any work or product, other than a Deliverable, and will have no proprietary interest in any of the Confidential Information. Furthermore, the Contractor must cause all of its Personnel who have access to any Confidential Information to execute a confidentiality agreement incorporating the obligations in this section.

The Contractor's obligation to maintain the confidentiality of the Confidential Information will not apply where such: (1) was already in the Contractor's possession before disclosure by the State, and such was received by the Contractor without obligation of confidence; (2) is independently developed by the Contractor; (3) except as provided in the next paragraph, is or becomes publicly available without breach of this Contract; (4) is rightfully received by the Contractor from a third party without an obligation of confidence; (5) is disclosed by the Contractor with the written consent of the State; or (6) is released in accordance with a valid order of a court or governmental agency, provided that the Contractor (a) notifies the State of such order immediately upon receipt of the order and (b) makes a reasonable effort to obtain a protective order from the issuing court or agency limiting disclosure and use of the Confidential Information solely for the purposes intended to be served by the original order of production. The Contractor must return all originals of any Confidential Information and destroy any copies it has made on termination or expiration of this Contract.

Information that may be available publicly through other sources about people that is personal in nature, such as medical records, addresses, phone numbers, social security numbers, and similar things are nevertheless sensitive in nature and may not be disclosed or used in any manner except as expressly authorized in this Contract. Therefore, item (3) in the preceding paragraph does not apply, and the

Contractor must treat such information as Confidential Information whether it is available elsewhere or not.

The Contractor may disclose Confidential Information to its subcontractors on a need-to-know basis, but the Contractor first must obligate them to the requirements of this section.

Ownership of Deliverables. The State owns all Deliverables that the Contractor produces under this Contract, including any software modifications, and documentation, with all rights, title, and interest in all intellectual property that come into existence through the Contractor's custom work being assigned to the State. Additionally, the Contractor waives any author rights and similar retained interests in custom-developed material. The Contractor must provide the State with all assistance reasonably needed to vest such rights of ownership in the State. The Contractor will retain ownership of all tools, methods, techniques, standards, and other development procedures, as well as generic and preexisting shells, subroutines, and similar material incorporated into any custom Deliverable ("Pre-existing Materials"), if the Contractor provides the non-exclusive license described in the next paragraph.

The Contractor may grant the State a worldwide, non-exclusive, royalty-free, perpetual license to use, modify, and distribute all Pre-existing Materials that are incorporated into any custom-developed Deliverable rather than grant the State ownership of the Pre-existing Materials. The State may distribute such Pre-existing materials to third parties only to the extent required by governmental funding mandates. The Contractor may not include in any custom Deliverable any intellectual property unless such has been created under this Contract or qualifies as Pre-existing Material. If the Contractor wants to incorporate any Pre-existing Materials into a custom Deliverable, the Contractor must first disclose that desire to the State in writing and seek the State's approval for doing so in advance. The State will not be obligated to provide that approval, unless the Contractor disclosed its intention to do so in the RFP Documents. On the Contractor's request, the State will incorporate into any copies of a custom Deliverable any proprietary notice that the Contractor included with the original copy, if that notice is reasonably necessary to protect the Contractor's interest in any Pre-existing Materials contained in the custom Deliverable.

Subject to the limitations and obligations of the State with respect to Pre-existing Materials, the State may make all custom Deliverables available to the general public without any proprietary notices of any kind.

For Deliverables that include custom materials such as software, scripts, or similar computer instructions developed for the State, the State is entitled to the source material. Scripts and similar functionality may not be locked or otherwise protected from access by the State, unless the State has any passwords or other tools necessary to access the material. Source material must include annotations or comments according to industry standards. Further, the State is entitled to any working papers the Contractor has developed during the performance of the Project that would reasonably assist the State in using the Deliverables that include source materials or that would help the State protect its interests in the Deliverable or update, modify, or otherwise maintain the Deliverable. This also includes all design and architectural materials, such as schemas.

License in Commercial Material. As used in this section, "Commercial Material" means anything that the Contractor or a third party has developed at private expense, is commercially available in the marketplace, subject to intellectual property rights, and readily copied through duplication on magnetic media, paper, or other media. Examples include written reports, books, pictures, videos, movies, computer programs, and computer source code and documentation.

Any Commercial Material that the Contractor intends to deliver as a Deliverable must have the scope of the license granted in such material disclosed in the RFP Documents or as an attachment referenced in the RFP Documents, if that scope of license is different from the scope of license contained in this section for Commercial Materials.

Except for Commercial Material that is software (“Commercial Software”), if the Commercial Material is copyrighted and published material, then the State will have the rights permitted under the federal copyright laws for each copy of the Commercial Material delivered to it by the Contractor.

Except for Commercial Software, if the Commercial Material is patented, then the State will have the rights permitted under the federal patent laws for each copy of the Commercial Material delivered to it by the Contractor.

Except for Commercial Software, if the Commercial Material consists of trade secrets, then the State will treat the material as confidential. In this regard, the State will assume all obligations with respect to the Commercial Material that the Contractor assumes under the Confidentiality section of this Contract with respect to the State’s Confidential Information. Otherwise, the State will have the same rights and duties permitted under the federal copyright laws for each copy of the Commercial Material delivered to it by the Contractor, whether or not the material is copyrighted when delivered to the State.

For Commercial Software, the State will have the rights in items (1) through (6) of this section with respect to the software. The State will not use any Commercial Software except as provided in the six items below or as expressly stated otherwise in this Contract. The Commercial Software may be:

1. Used or copied for use in or with the computer or computers for which it was acquired, including use at any State installation to which such computer or computers may be transferred;
2. Used or copied for use in or with a backup computer for disaster recovery and disaster recovery testing purposes or if any computer for which it was acquired is inoperative;
3. Reproduced for safekeeping (archives) or backup purposes;
4. Modified, adapted, or combined with other computer software, but the modified, combined, or adapted portions of the derivative software incorporating any of the Commercial Software will be subject to same restrictions set forth in this Contract;
5. Disclosed to and reproduced for use on behalf of the State by support service contractors or their subcontractors, subject to the same restrictions set forth in this Contract; and
6. Used or copied for use in or transferred to a replacement computer.

Commercial Software delivered under this Contract is licensed to the State without disclosure restrictions unless it is clearly marked as confidential or secret. The State will treat any Commercial Software that is marked as confidential or secret as Confidential Information to the extent that such is actually the case.

PART FOUR: REPRESENTATIONS, WARRANTIES, AND LIABILITIES

General Warranties. The Contractor warrants that the recommendations, guidance, and performance of the Contractor under this Contract will: (1) be in accordance with sound professional standards and the requirements of this Contract and without any material defects; and (2) unless otherwise provided in the RFP Documents, be the work solely of the Contractor. The Contractor also warrants that: (1) no Deliverable will infringe on the intellectual property rights of any third party; and (2) the Contractor's work and the Deliverables resulting from that work will be merchantable and fit for the particular purposes described in the RFP Documents.

Additionally, with respect to the Contractor's activities under this Contract, the Contractor warrants that: (1) the Contractor has the right to enter into this Contract; (2) the Contractor has not entered into any other contracts or employment relationships that restrict the Contractor's ability to perform the contemplated services; (3) the Contractor will observe and abide by all applicable laws and regulations, including those of the State regarding conduct on any premises under the State's control and security for the State's data, systems, and networks; (4) the Contractor has good and marketable title to any goods delivered under this Contract and in which title passes to the State; (5) the Contractor has the right and ability to grant the license granted in any Deliverable in which title does not pass to the State; and (6) the Contractor is not subject to any unresolved findings of the Auditor of State under Revised Code Section

9.24 and will not become subject to an unresolved finding that prevents the extension or renewal of this Contract.

The warranties regarding material defects, merchantability, and fitness are one-year warranties. All other warranties will be continuing warranties. If any portion of the Project fails to comply with these warranties, and the Contractor is so notified in writing, the Contractor must correct such failure with all due speed or must refund the amount of the compensation paid for such portion of the Project. The Contractor also must indemnify the State for any direct damages and claims by third parties based on a breach of these warranties. This obligation of indemnification will not apply where the State has modified or misused the Deliverable and the claim is based on the modification or misuse. The State will give the Contractor notice of any such claim as soon as reasonably practicable. If a successful claim of infringement is made, or if the Contractor reasonably believes that an infringement claim that is pending may actually succeed, the Contractor must do one of the following things: (1) modify the Deliverable so that it is no longer infringing; (2) replace the Deliverable with an equivalent or better item; (3) acquire the right for the State to use the infringing Deliverable as it was intended for the State to use under this Contract; or (4) remove the Deliverable and refund the amount the State paid for the Deliverable and the amount of any other Deliverable or item that requires the availability of the infringing Deliverable for it to be useful to the State.

Software Warranty. If this Contract involves software as a Deliverable, then, on acceptance and for 12 months after the date of acceptance of any Deliverable that includes software, the Contractor warrants as to all software developed under this Contract that: (a) the software will operate on the computer(s) for which the software is intended in the manner described in the relevant software documentation, the Contractor's Proposal, and the RFP Documents; (b) the software will be free of any material defects; (c) the Contractor will deliver and maintain relevant and complete software documentation, commentary, and source code; and (d) the source code language used to code the software is readily available in the commercial market, widely used and accepted for the type of programming involved, and support programming in the language is reasonably available in the open market; and (e) the software and all maintenance will be provided in a professional, timely, and efficient manner.

For Commercial Software licensed from a third party that is incorporated into a Deliverable, and for which the State has not approved a separate license agreement governing that Commercial Software's warranties as part of the RFP process, the Contractor represents and warrants that it has done one of the following things: (a) obtained the right from the third-party licensor to commit to the warranties and maintenance obligations in this Section; (b) obtained a binding commitment from the licensor to make those warranties and maintenance obligations directly to the State; or (c) fully disclosed in the RFP Documents any discrepancies between the requirements of this section and the commitment the third-party licensor has made.

In addition, for Commercial Software that is incorporated into a Deliverable, the Contractor will: (a) maintain or cause the third-party licensor to maintain the Commercial Software so that it operates in the manner described in the RFP Documents (or any attachment referenced in the RFP Documents) and relevant Commercial Software documentation; (b) supply technical bulletins and updated user guides; (c) supply the State with updates, improvements, enhancements, and modifications to the Commercial Software and documentation and, if available, the commentary and the source code; (d) correct or replace the Commercial Software and/or remedy any material programming error that is attributable to the Contractor or the third-party licensee; (e) maintain or cause the third-party licensor to maintain the Commercial Software and documentation to reflect changes in the subject matter the Commercial Software deals with; (f) maintain or obtain a commitment from the third-party licensor to maintain the Commercial Software so that it will properly operate in conjunction with changes in the operating environment in which it is designed to operate.

For purposes of the warranties and the delivery requirements in this Contract, software documentation means well written, readily understood, clear, and concise instructions for the software's users as well as a system administrator. The software documentation will provide the users of the software with meaningful instructions on how to take full advantage of all of the capabilities designed for end users. It

also means installation and system administration documentation for a system administrator to allow proper control, configuration, and management of the software. Source code means the uncompiled operating instructions for the software. However, the Contractor will not be obligated to provide source code for Commercial Software unless it is readily available from the licensor. The source code must be provided in the language in which it was written and will include commentary that will allow a competent programmer proficient in the source language to readily interpret the source code and understand the purpose of all routines and subroutines contained within the source code.

Equipment Warranty. If any electrical equipment, mechanical device, computer hardware, telecommunications hardware, or other type of physical machinery ("Equipment") will be a part of any Deliverable, the following warranties apply. The Contractor warrants that the Equipment fully complies with all government environmental and safety standards applicable to the Equipment. The Contractor also warrants for one year from the acceptance date of the Equipment that the Equipment will perform substantially in accordance with specifications described in the RFP Documents, the user manuals, technical materials, and related writings published by the manufacturer for the Equipment. The foregoing warranties will not apply to Equipment that is modified or damaged after title passes to the State.

The Contractor must notify the State in writing immediately upon the discovery of any breach of the warranties given above.

The Contractor must do the following if any Equipment does not meet the above warranties:

- (a) Cause the Equipment to perform as required, or, if that is not commercially practicable, then;
- (b) Grant the State a refund equal to the amount the State paid for the Equipment or, if such has not been individually priced, the manufacturer's suggested retail price for the Equipment.

Except where the Contractor's breach of a warranty makes it not possible for the State to do so, the State will return the affected Equipment to the Contractor in the case of a refund under the previous paragraph.

GENERAL EXCLUSION OF WARRANTIES. THE CONTRACTOR MAKES NO WARRANTIES, EXPRESS OR IMPLIED, OTHER THAN THOSE EXPRESS WARRANTIES CONTAINED IN THIS CONTRACT.

Indemnity for Property Damage and Bodily Injury. The Contractor must indemnify the State for all liability and expense resulting from bodily injury to any person (including injury resulting in death) and damage to tangible or real property arising out of the performance of this Contract, provided that such bodily injury or property damage is due to the negligence or other tortious conduct of the Contractor, its employees, agents, or subcontractors. The Contractor will not be responsible for any damages or liability to the extent caused by the negligence or willful misconduct of the State, its employees, other contractors, or agents.

Limitation of Liability. Neither party will be liable for any indirect, incidental, or consequential loss or damage of the other party, including but not limited to lost profits, even if the parties have been advised, knew, or should have known of the possibility of such damages. Additionally, neither party will be liable to the other for direct or other damages in excess of two times the not-to-exceed fixed price of this Contract. The limitations in this paragraph do not apply to any obligation of the Contractor to indemnify the State against claims made against it or for damages to the State caused by the Contractor's negligence or other tortious conduct.

PART FIVE: ACCEPTANCE AND MAINTENANCE

Standards of Performance and Acceptance. There will be a period for performance testing of the completed Project. During the performance period, the State, with the assistance of the Contractor, will perform acceptance testing. The performance period will last up to 90 calendar days, during which time the Project must meet the standard of performance required by the RFP Documents for 30 consecutive calendar days. The performance criteria in the RFP Documents will be supplemented with the relevant user manuals, technical materials, and related writings, to the extent that the specifications in those writings supplement and refine rather than contradict the performance criteria in the RFP Documents. Acceptance of the Project depends on a successful completion of the performance period defined in this section and the RFP Documents. This section applies to the Project, and any part of it, as well as replacements or substitutes for the Project after completion of a successful performance period.

If the Project does not meet the standard of performance during the initial performance period, the State will give the Contractor details about the problems in a timely manner and in a useful and relevant form. Until the Contractor demonstrably corrects all outstanding problems, the second performance period will not start, and the State will not accept the Project (or part thereof). The second performance test will continue on a day-by-day basis until the standard of performance is met for a total of 30 consecutive calendar days or until the 90-day performance period has ended without meeting the standard of performance.

If the Project fails to meet the standard of performance after 90 calendar days from the start of the second performance period, the Contractor will be in default and will not have a cure period. In addition to all other remedies the State may have under this Contract, the State may request a correction or replacement of the relevant portion of the Project.

The Project may have components that can be tested for acceptance individually. If that is so, there may be acceptance criteria listed on the RFP Documents for each part of the Project that will be independently tested and accepted. However, unless the RFP Documents expressly provide otherwise, the failure of any independently tested component to meet its acceptance criteria will give the State the right to reject the entire Project. Alternatively, if the State determines that it is in the State's interest to reject only the part of the Project that was independently and unsuccessfully tested, it may do so. If the State chooses this option, the State will be entitled to a refund or credit toward the Contractor's Fee equal to the cost of acquiring a replacement for the rejected component.

The acceptable level of performance for the Project will be 98.5%, unless otherwise specified in the RFP Documents. The performance level for the Project is computed by dividing the sum of the uptime by the number of working hours during the test time. "Uptime" means the total hours, rounded to the nearest quarter hour, during which all components of the Project are operational and all functions of the Project are available to its users. The number of "working hours" means the total number of working hours for the period during which the Project was scheduled to be available to its users. Uptime and downtime will be measured in hours and quarter hours.

The Project "downtime" is that period when any part of the Project is inoperable due to failure of the Project or a particular Deliverable to operate according to the specifications in the RFP Documents, the user documentation, or the published technical specifications. During a period of downtime, the State may use operable components of the Project when that will not interfere with repair of inoperable components of the Project. Downtime will start from the time the State notifies the Project Manager of the inoperable condition of the Project until the Project is returned in proper operating condition.

The Project will not be accepted until the performance period is complete.

Should it be necessary, the State may delay the start of the performance period, but the delay will not exceed 30 consecutive calendar days after the scheduled date for implementation of the Project. Such a delay will not be considered a suspension of work under the Suspension and Termination section of this Contract.

Passage of Title. Title to any Deliverable will pass to the State only on acceptance of the Deliverable. All risk of loss, regardless of the cause, will remain with the Contractor until title to the Deliverable passes to the State.

Software Maintenance. If this Contract involves software as a Deliverable, then, during the warranty period, as well as any optional maintenance periods that the State exercises, the Contractor must correct any material programming errors that are attributable to the Contractor within a reasonable period of time. However, the State must notify the Contractor, either orally or in writing, of a problem with the software and provide sufficient information for the Contractor to identify the problem.

The Contractor's response to a programming error will depend upon the severity of the problem. For programming errors that slow the processing of data by a small degree, render minor and non-mandatory functions of the System inoperable or unstable, or require users or administrators to employ workarounds to fully use the software, Contractor will respond to the request for resolution within four business hours. Furthermore, the Contractor must begin working on a proper solution for the problem within one business day, dedicating the resources required to fix the problem. For any defects with more significant consequences, including those that render key functions of the system inoperable or significantly slow processing of data, the Contractor will respond within two business hours of notice. The Contractor also must begin working on a proper solution for the problem immediately after responding and, if requested, provide on-site assistance and dedicate all available resources to resolving the problem.

For software classified as Commercial Software in the Ownership of Deliverables section and for which the State has not signed a separate license agreement, the Contractor must acquire for the State the right to maintenance for one year. That maintenance must be the third-party licensor's standard maintenance program, but at a minimum, that maintenance program must include all, updates, patches, and fixes to the software. It also must include a commitment to keep the software current with the operating environment in which it is designed to function (and, if applicable, the subject matter covered by the software) and to correct material defects in the software in a timely fashion. Additionally, the Contractor must obtain a commitment from the licensor to make maintenance available for the product for at least four years after the first year of maintenance. The Contractor also must obtain a commitment from the licensor to limit increases in the annual Fee for maintenance to no more than 7% annually. If the licensor is unable to provide maintenance during that five-year period, then the licensor must be committed to doing one of the following two things: (a) give the State a *pro rata* refund of the license fee based on a five-year useful life; or (b) release the source code for the software (except third party software) to the State for use by the State solely for the purpose of maintaining the copy(ies) of the software for which the State has a proper license. For purposes of receiving the source code, the State agrees to treat it as confidential and to be obligated to the requirements under the Confidentiality section of this Contract with respect to the source code. That is, with respect to the source code that the State gets under this section, the State will do all the things that the Confidentiality section requires the Contractor to do in handling the State's Confidential Information.

Equipment Maintenance. If this Contract involves Equipment as a Deliverable, then, upon Equipment delivery and for 12 months after acceptance, the Contractor must provide Equipment maintenance to keep the Equipment in or restore the Equipment to good working order. If the State exercises its right to any optional maintenance periods, the Contractor's obligations hereunder will extend to those periods as well. This maintenance must include preventative and remedial maintenance, installation of safety changes, and installation of engineering changes based upon the specific needs of the individual item of Equipment. This maintenance must include the repair, replacement, or exchange deemed necessary to keep the Equipment in good working condition. For purposes of this Contract, Equipment restored to good working condition means Equipment that performs in accordance with the manufacturer's published specifications and the RFP Documents.

The Contractor must exert its best efforts to perform all fault isolation and problem determination attributed to the Equipment covered under this Contract.

The following services are outside the scope of this Contract:

- a. Maintenance to bring the Equipment into compliance with any law, rule, or regulation if such law, rule, or regulation was not in effect on the acceptance date.
- b. Repair and replacement work or increase in maintenance time as a result of damage or loss resulting from casualty or the State's misuse of the Equipment, damage resulting from improper packing or failure to follow prescribed shipping instructions (if such is done by the State), failure of electrical power, air conditioning or humidity control, use of supplies not approved by the original manufacturer of the Equipment as described or included in the Contractor's Proposal, or causes other than ordinary use of the Equipment.
- c. Furnishing supplies or accessories, making specification changes, or adding or removing approved accessories, attachments, or other devices.
- d. Maintenance or any increase in maintenance time resulting from any maintenance or inappropriate connection to other equipment (not done by the Contractor) that results in damage to the Equipment.
- e. Activities required to restore the Equipment to good operating condition if the problem has resulted from someone other than Contractor's authorized service personnel repairing, modifying, or performing any maintenance service on the Equipment.

Equipment Maintenance Standards. This section applies if Equipment will be a Deliverable under this Contract.

The Contractor must complete all remedial Equipment maintenance within eight business hours after notification by the State that maintenance is required. In the case of preventative maintenance, the Contractor must perform such in accordance with the manufacturer's published schedule and specifications. If maintenance is not completed or substitute equipment provided within eight hours after notification by the State, the Contractor will be in default.

All maintenance also must meet any standards contained in the RFP Documents. Failure of the Contractor to meet or maintain these requirements will provide the State with the same rights and remedies specified elsewhere in the RFP Documents for default, except that the Contractor will only have eight hours to remedy the default.

The Contractor must provide adequate staff to provide the maintenance required by this Contract.

Equipment Maintenance Continuity. This section applies if Equipment will be a Deliverable under this Contract.

If the Contractor is unable to provide maintenance services to meet the State's ongoing performance requirements for Equipment delivered under this Contract, and if, in the State's sole opinion, the Contractor is unlikely to resume providing warranty services that meet the State's ongoing performance requirement, the Contractor will be in default. The State then will be entitled to the remedies in the default section of this Contract. However, the State will also be entitled to the following items from the Contractor: (a) all information necessary for the State to perform the maintenance, including logic diagrams, maintenance manuals and system and unit schematics, as modified by the Contractor; and (b) a listing of suppliers capable of supplying necessary spare parts.

Any information in items (a) and (b) above that is rightfully identified by the Contractor as confidential information will be maintained in confidence by the State, except where disclosure to a third party is necessary for the State to continue the maintenance. However, any third party to whom disclosure is made must agree to hold such proprietary information in confidence and to make no further disclosure of it. Further, any such confidential information will be used solely to perform the Contractor's maintenance obligations hereunder and will be returned to the Contractor upon completion of such use.

Principal Period of Maintenance (General). This section applies if software or Equipment will be a Deliverable under this Contract.

The Contractor must make maintenance available nine working hours per weekday, between 8:00 a.m. and 5:00 p.m. Travel time and expenses related to remedial and preventive maintenance will not be considered billable but will be included in the Contractor's firm, fixed Fee for the Project during the warranty period and a part of the annual maintenance Fee during later annual maintenance periods.

Maintenance Access (General). This section applies if software or Equipment will be a Deliverable under this Contract.

The Contractor must keep the Project in good operating condition during the warranty period and any annual maintenance period during which the State contracts for continued maintenance. The State will provide the Contractor with reasonable access to the Project to perform maintenance. All maintenance that requires the Project to be inoperable must be performed outside the State's customary working hours, except when the Project is already inoperable. Preventive or scheduled maintenance will be performed at mutually agreeable times, within the parameters of the manufacturer's published schedule.

Key Maintenance Personnel (General). This section applies if software or Equipment will be a Deliverable under this Contract.

The Contractor must identify all key people responsible for providing maintenance on the Project, furnish the State with a means of identifying these people, furnish the State with their credentials, and notify the State at least 30 calendar days in advance of any reductions in staffing levels of key people at the office serving the State.

PART SIX: CONSTRUCTION

Entire Document. This Contract is the entire agreement between the parties with respect to its subject matter and supersedes any previous agreements, whether oral or written.

Binding Effect. This Contract will be binding upon and inure to the benefit of the respective successors and assigns of the State and the Contractor.

Amendments – Waiver. No change to any provision of this Contract will be effective unless it is in writing and signed by both parties. The failure of either party at any time to demand strict performance by the other party of any of the terms of this Contract will not be a waiver of those terms. Waivers must be in writing to be effective, and either party may at any later time demand strict performance.

Severability. If any provision of this Contract is held by a court of competent jurisdiction to be contrary to law, the remaining provisions of this Contract will remain in full force and effect to the extent that such does not create an absurdity.

Construction. This Contract will be construed in accordance with the plain meaning of its language and neither for nor against the drafting party.

Headings. The headings used herein are for the sole sake of convenience and may not be used to interpret any section.

Notices. For any notice under this Contract to be effective, it must be made in writing and sent to the address of the appropriate contact provided elsewhere in the Contract, unless such party has notified the other party, in accordance with the provisions of this section, of a new mailing address. This notice requirement will not apply to any notices that this Contract expressly authorized to be made orally.

Continuing Obligations. The terms of this Contract will survive the termination or expiration of the time for completion of Project and the time for meeting any final payment of compensation, except where such creates an absurdity.

Time. Unless otherwise expressly provided, any reference in this document to a number of days for an action or event to occur means calendar days, and any reference to a time of the day, such as 5:00 p.m., is a reference to the local time in Columbus, Ohio.

PART SEVEN: LAW AND COURTS

Compliance with Law. The Contractor must comply with all applicable federal, state, and local laws while performing under this Contract.

Drug-Free Workplace. The Contractor must comply with all applicable state and federal laws regarding keeping a drug-free workplace. The Contractor must make a good faith effort to ensure that all the Contractor's Personnel, while working on state property, will not have or be under the influence of illegal drugs or alcohol or abuse prescription drugs in any way.

Sweatshop Free. By the signature affixed to this RFP, Offeror certifies all facilities used for the production of the supplies or performance of services offered in the RFP are in compliance with applicable domestic labor, employment, health and safety, environmental and building laws. This certification applies to any and all suppliers and/or subcontractors used by the Offeror in furnishing the supplies or services described in the RFP and awarded to the Offeror. If the State receives a complaint alleging non-compliance with sweatshop free requirements, the State may enlist the services of an independent monitor to investigate allegations of such non-compliance on the part of the Contractor, any sub-contractors or suppliers used by the Contractor in performance of the Contract. If allegations are proven to be accurate, the Contractor will be advised by the State of the next course of action to resolve the complaint and the Contractor will be responsible for any costs associated with the investigation. Items that will be considered in an investigation include, but are not limited to standards for wages, occupational safety and work hours.

Conflicts of Interest. None of the Contractor's Personnel may voluntarily acquire any personal interest that conflicts with their responsibilities under this Contract. Additionally, the Contractor may not knowingly permit any public official or public employee who has any responsibilities related to this Contract or the Project to acquire an interest in anything or any entity under the Contractor's control, if such an interest would conflict with that official's or employee's duties. The Contractor must disclose to the State knowledge of any such person who acquires an incompatible or conflicting personal interest related to this Contract. The Contractor also must take steps to ensure that such a person does not participate in any action affecting the work under this Contract. However, this will not apply when the State has determined, in light of the personal interest disclosed, that person's participation in any such action would not be contrary to the public interest.

Ohio Ethics Law and Limits on Political Contributions. The Contractor certifies that it is currently in compliance and will continue to adhere to the requirements of the Ohio ethics laws. In accordance with Executive Order 2007-01S, the Contractor, by signature on the Contract, certifies: (1) it has reviewed and understands Executive Order 2007-01S, (2) has reviewed and understands the Ohio ethics and conflicts of interest laws, and (3) will take no action inconsistent with those laws and this order. The Contractor understands that failure to comply with Executive Order 2007-01S is, in itself, grounds for termination of the Contract and may result in the loss of other contracts or grants with the State. The Contractor also certifies that all applicable parties listed in Division (I)(3) or (J)(3) of Ohio Revised Code Section 3517.13 are in full compliance with Divisions (I)(1) and (J)(1) of Ohio Revised Code Section 3517.13.

Security & Safety Rules. When using or possessing State data or accessing State networks and systems, the Contractor must comply with all applicable State rules, policies, and regulations regarding data security and integrity. And when on any property owned or controlled by the State, the Contractor must comply with all security and safety rules, regulations, and policies applicable to people on those premises.

Declaration Regarding Terrorism. Pursuant to Ohio Revised Code Section 2909.33, unless Contractor has been pre-certified, the Contractor must complete a Declaration Regarding Material Assistance/non-

assistance to Terrorist Organizations (“Declaration”) in its entirety to enter into this Contract and to renew it. If the State discovers that the Contractor submitted a false Declaration to obtain this Contract or any renewal of it, this Contract will terminate for cause, and the State will be entitled to the damages specified in this Contract for such a termination. Should this Contract require renewal for completion of any services the Contractor performs under it or for the State to obtain maintenance for any Deliverable acquired during the term of this Contract, the Contractor must submit a new Declaration as part of that process. The Contractor’s failure to submit an acceptable Declaration in such a situation will entitle the State to damages as in the case of a termination of this Contract for cause.

Unresolved Finding for Recovery. If the Contractor was subject to an unresolved finding of the Auditor of State under Revised Code Section 9.24 on the date the parties sign this Contract, the Contract is void. Further, if the Contractor is subject to an unresolved finding of the Auditor of State under Revised Code Section 9.24 on any date on which the parties renew or extend this Contract, the renewal or extension will be void.

Equal Employment Opportunity. The Contractor will comply with all state and federal laws regarding equal employment opportunity and fair labor and employment practices, including Ohio Revised Code Section 125.111 and all related Executive Orders.

Before a contract can be awarded or renewed, an Affirmative Action Program Verification Form must be submitted to the DAS Equal Opportunity Division to comply with the affirmative action requirements. Affirmative Action Verification Forms and approved Affirmative Action Plans can be found by going to the Equal Opportunity Departments web site: <http://www.das.ohio.gov/eod/aapv.htm>

Injunctive Relief. Nothing in this Contract is intended to limit the State's right to injunctive relief, if such is necessary to protect its interest or to keep it whole.

Assignment. The Contractor may not assign this Contract or any of its rights or obligations under this Contract without the prior, written consent of the State. The State is not obligated to provide its consent to any proposed assignment.

Governing Law. This Contract will be governed by the laws of Ohio, and venue for any disputes will lie exclusively with the appropriate court in Franklin County, Ohio.

**ATTACHMENT FIVE
SAMPLE CONTRACT**

**A CONTRACT BETWEEN
THE DEPARTMENT OF ADMINISTRATIVE SERVICES
ON BEHALF OF THE _____
AND**

(CONTRACTOR)

THIS CONTRACT, which results from RFP 0A1055, entitled _____, is between the State of Ohio, through the Department of Administrative Services, on behalf of _____, and _____ (the "Contractor").

This Contract consists of the referenced RFP, including all its attachments and supplements, written amendments to the RFP, the Contractor's Proposal, and written, authorized amendments to the Contractor's Proposal. It also includes any materials incorporated by reference in the above documents and any purchase orders and Change Orders issued under the Contract. The form of the Contract is this one page document, which incorporates by reference all the documents identified above. The General Terms and Conditions for the Contract are contained in an attachment to the RFP. If there are conflicting provisions among the documents that make up the Contract, the order of precedence for the documents is as follows:

1. This document;
2. The RFP, as amended;
3. The documents and materials incorporated by reference in the RFP;
4. The Contractor's Proposal, as amended, clarified, and accepted by the State; and
5. The documents and materials incorporated by reference in the Contractor's Proposal.

Notwithstanding the order listed above, Change Orders and amendments issued after the Contract is executed may expressly change the provisions of the Contract. If they do so expressly, then the most recent of them will take precedence over anything else that is part of the Contract.

This Contract has an effective date of the later of _____, 20____, or the occurrence of all conditions precedent specified in the General Terms and Conditions.

TO SHOW THEIR AGREEMENT, the parties have executed this Contract as of the dates below.

CONTRACTOR

STATE OF OHIO
DEPARTMENT OF ADMINISTRATIVE SERVICES

SAMPLE - DO NOT FILL OUT

By: _____

By: Hugh Quill

Title: _____

Title: Director

Date: _____

Date: _____

**ATTACHMENT SIX
SAMPLE DELIVERABLE/MILESTONE SUBMITTAL FORM**

Client Name:	[Insert Client Name]
Project Name:	[Insert Project Name]
Contract Number:	[Insert Contract Number]
Deliverable To Be Reviewed or Milestone Attained:	[Insert Deliverable/Milestone Name and Work Breakdown Structure Task #]
Date Deliverable Submitted for Review or Milestone Achievement Date:	[Insert Applicable Date]

The **[insert Deliverable/milestone name]** Deliverable/milestone is complete. This Deliverable/milestone has been completed/attained by **[insert Corporate name]** in accordance with the requirements specified in the RFP and Project Plan. Please obtain signatures below indicating the compliance of **[insert Deliverable/milestone name]**. Please obtain all signatures within **XX** calendar days of the Submitted or Achievement Date, above, **[insert date XX calendar days from submitted date]**.

Please contact _____ at **XXX-XXX** with any questions.

Sincerely,

**[Insert Company Name]
[Insert Project Name] Project Manager**

Printed Name
Contractor Project Manager
 {Same as person signing above}

COMPLIANT: Deliverable Payment Authorized: Yes _____ No _____ N/A _____ _____ Signature of State Project Representative/Date
--

NOT COMPLIANT: Describe reason(s) for non-compliance: (Continue on back if necessary) _____ Signature of State Project Representative/ Date Payment <u>Not</u> Authorized

**ATTACHMENT SEVEN
OFFEROR CERTIFICATION FORM**

1. The offeror is not currently subject to an “unresolved” finding for recovery under Revised Code Section 9.24, and the offeror will notify the Procurement Representative any time it becomes subject to such a finding before the award of a Contract arising out of this RFP.
2. The offeror certifies that it will not and will not allow others to perform work for the State of Ohio outside the geographic limitations contained in Attachment Two or take data that belongs to the State of Ohio outside the geographic limitations contained in Attachment Two without express written authorization from the State.
3. The offeror certifies that its responses to the following statements are true and accurate. The offeror’s answers apply to the last seven years. Please indicate yes or no in each column.

Yes/No	Description
	The offeror has had a contract terminated for default or cause.
	The offeror has been assessed any penalties in excess of \$10,000.00, including liquidated damages, under any of its existing or past contracts with any organization (including any governmental entity).
	The offeror was the subject of any governmental action limiting the right of the offeror to do business with that entity or any other governmental entity.
	Trading in the stock of the company has ever been suspended with the date(s) and explanation(s).
	The offeror, any officer of the offeror, or any owner of a 20% interest or greater in the offeror has filed for bankruptcy, reorganization, a debt arrangement, moratorium, or any proceeding under any bankruptcy or insolvency law, or any dissolution or liquidation proceeding.
	The offeror, any officer of the offeror, or any owner with a 20% interest or greater in the offeror has been convicted of a felony or is currently under indictment on any felony charge.

If the answer to any item above is affirmative, the offeror must provide complete details about the matter. While an affirmative answer to any of these items will not automatically disqualify an offeror from consideration, at the sole discretion of the State, such an answer and a review of the background details may result in a rejection of the Proposal. The State will make this decision based on its determination of the seriousness of the matter, the matter’s possible impact on the offeror’s performance under the Contract, and the best interest of the State.

4. The offeror certifies that neither it nor any of its people that may work on or benefit from the Contract through the offeror has a possible conflict of interest (e.g., employed by the State of Ohio, etc.) other than the conflicts identified immediately below:

Potential Conflicts (by person or entity affected)

(Attach an additional sheet if more space is need.)

The State may reject a Proposal in which an actual or apparent conflict is disclosed. And the State may cancel or terminate the Contract for cause if it discovers any actual or apparent conflict of interest that the offeror did not disclose in its Proposal.

5. The offeror certifies that all its and its subcontractors' personnel provided for the Project will have a valid I-9 form on file with the offeror or subcontractor, as appropriate, and will have presented valid employment authorization documents, if they are not United States citizens.
6. The offeror certifies that its regular, fulltime employees will perform at least 30% of the work on the Project.
7. The following is a complete list of all subcontractors, if any, that the offeror will use on the Project, if the State selects the offeror to do the work:

The offeror certifies it has obtained and submitted a subcontractor letter, as required by Attachment Three, for each subcontractor it plans to use on the project.

Please provide the following information for a contact person who has authority to answer questions regarding the offeror's Proposal:

Name:	
Title:	
Mailing Address:	
Office Phone Number:	
Cell Phone Number:	
Fax Number:	
Email Address:	

Signature

Name

Title

Company Name

Company D-U-N-S Number

**ATTACHMENT NINE
PERSONNEL PROFILE SUMMARY**

CANDIDATE REFERENCES

Candidate's Name:

References. Provide three references for which the proposed candidate has successfully demonstrated meeting the requirements of the RFP on projects of similar size and complexity in the past five years. The name of the person to be contacted, phone number, company, address, brief description of project size and complexity, and date (month and year) of employment must be given for each reference. These references must be able to attest to the candidate's specific qualifications.

The reference given should be a person within the client's organization and not a co-worker or a contact within the offerors organization.

If less than three references are provided, the offeror must explain why. The State may disqualify the Proposal if less than three references are given.

Client Company:	Client Contact Name:	Client Contact Title:	
Client Address:		Client Contact Phone Number:	
Project Name:	Beginning Date of Employment: Month/Year	Ending Date of Employment: Month/Year	
Description of services provided that are in line with those to be provided as part of this Project:			
Description of how client project size and complexity are similar to this project:			

**ATTACHMENT NINE
PERSONNEL PROFILE SUMMARY**

CANDIDATE EDUCATION AND TRAINING

Candidate's Name:

Education and Training. This section must be completed to list the education and training of each proposed candidate and must demonstrate in detail the proposed candidate's ability to properly execute the Contract based on the relevance of the education and training to the requirements of the RFP.

EDUCATION AND TRAINING	MONTHS/ YEARS	WHERE OBTAINED	DEGREE/MAJ OR YEAR EARNED
College			
Technical School			
Other Training			

**ATTACHMENT NINE
PERSONNEL PROFILE SUMMARY**

**CANDIDATE REQUIREMENTS
PROJECT MANAGER CONTINUED**

Candidate's Name:

Requirement: A minimum of sixty (60) months experience utilizing various project management tools (e.g., MS Project Suite) for planning and tracking projects (e.g., defining tasks, estimating timelines, and balancing resources) on a minimum of two (2) projects of similar size and complexity to OCEAN Phase II.

Company:	Contact Name: Primary or Alternate	Contact Title:	
Address:		Contact Phone Number:	
		Email Address:	
Project Name:		Beginning Date of Expr: Month/Year	Ending Date of Expr: Month/Year
Description of technical experience, capacity performed, and role related to services to be provided for this Project:			

**ATTACHMENT NINE
PERSONNEL PROFILE SUMMARY**

**CANDIDATE REQUIREMENTS
PROJECT MANAGER CONTINUED**

Candidate's Name:

Requirement: A minimum of sixty (60) months experience managing and completing the change management activities on a minimum of two (2) projects of similar size and complexity to OCEAN Phase II.

Company:	Contact Name: Primary or Alternate	Contact Title:	
Address:		Contact Phone Number:	
		Email Address:	
Project Name:		Beginning Date of Expr: Month/Year	Ending Date of Expr: Month/Year
Description of technical experience, capacity performed, and role related to services to be provided for this Project:			

**ATTACHMENT NINE
PERSONNEL PROFILE SUMMARY**

**CANDIDATE REQUIREMENTS
TECHNICAL LEAD CONTINUED**

Requirement: A minimum of sixty (60) months experience performing systems development activities in a technician role (e.g., analysis, design, and development) utilizing the proposed technologies(Microsoft Visual Studio .Net 2008, SQL Server) on a minimum of two (2) projects of similar size and complexity to OCEAN Phase II.

Company:	Contact Name: Primary or Alternate _____	Contact Title:	
Address:		Contact Phone Number:	
		Email Address:	
Project Name:		Beginning Date of Expr: Month/Year	Ending Date of Expr: Month/Year
Description of technical experience, capacity performed, and role related to services to be provided for this Project:			

**ATTACHMENT NINE
PERSONNEL PROFILE SUMMARY**

**CANDIDATE REQUIREMENTS
TECHNICAL LEAD CONTINUED**

Candidate's Name:

Requirement: A minimum of twenty-four (24) months experience utilizing various project management tools for planning and tracking projects on a minimum of two (2) projects of similar size and complexity OCEAN Phase II.

Company:	Contact Name: Primary or Alternate	Contact Title:	
Address:		Contact Phone Number:	
		Email Address:	
Project Name:		Beginning Date of Expr: Month/Year	Ending Date of Expr: Month/Year
Description of technical experience, capacity performed, and role related to services to be provided for this Project:			

**ATTACHMENT NINE
PERSONNEL PROFILE SUMMARY**

**CANDIDATE REQUIREMENTS
DATABASE LEAD CONTINUED**

Requirement: A minimum of twelve (12) months experience administering web-based database applications on a project of similar size and complexity to OCEAN Phase II.

Company:	Contact Name: Primary or Alternate	Contact Title:	
Address:		Contact Phone Number:	
		Email Address:	
Project Name:		Beginning Date of Expr: Month/Year	Ending Date of Expr: Month/Year
Description of technical experience, capacity performed, and role related to services to be provided for this Project:			

**ATTACHMENT NINE
PERSONNEL PROFILE SUMMARY**

**CANDIDATE REQUIREMENTS
BUSINESS TRANSFORMATION LEAD**

Candidate's Name:

Requirement: Experience developing and implementing successful organizational assessment and transformation plans for a minimum of two (2) projects of similar size and complexity to OCEAN Phase II.

Company:	Contact Name: Primary or Alternate	Contact Title:	
Address:		Contact Phone Number:	
		Email Address:	
Project Name:		Beginning Date of Expr: Month/Year	Ending Date of Expr: Month/Year
Description of technical experience, capacity performed, and role related to services to be provided for this Project:			

**ATTACHMENT NINE
PERSONNEL PROFILE SUMMARY**

**CANDIDATE REQUIREMENTS
BUSINESS TRANSFORMATION LEAD **CONTINUED****

Requirement: Experience developing and managing successful organizational transformation strategies and plans utilizing communication tools for a minimum of two (2) projects of similar size and complexity to OCEAN Phase II.

Company:	Contact Name: Primary or Alternate	Contact Title:	
Address:		Contact Phone Number:	
		Email Address:	
Project Name:		Beginning Date of Expr: Month/Year	Ending Date of Expr: Month/Year
Description of technical experience, capacity performed, and role related to services to be provided for this Project:			

**ATTACHMENT NINE
PERSONNEL PROFILE SUMMARY**

**CANDIDATE REQUIREMENTS
BUSINESS TRANSFORMATION LEAD CONTINUED**

Candidate's Name:

Requirement: Experience in developing, utilizing and managing performance measurement for a minimum of two (2) projects of similar size and complexity to OCEAN Phase II.

Company:	Contact Name: Primary or Alternate	Contact Title:	
Address:		Contact Phone Number:	
		Email Address:	
Project Name:		Beginning Date of Expr: Month/Year	Ending Date of Expr: Month/Year
Description of technical experience, capacity performed, and role related to services to be provided for this Project:			

**ATTACHMENT NINE
PERSONNEL PROFILE SUMMARY**

**CANDIDATE REQUIREMENTS
BUSINESS TRANSFORMATION LEAD CONTINUED**

Requirement: Experience in successful implementing and managing learning management systems for a minimum of one (1) project of similar size and complexity to OCEAN Phase II.

Company:	Contact Name: Primary or Alternate	Contact Title:	
Address:		Contact Phone Number:	
		Email Address:	
Project Name:		Beginning Date of Expr: Month/Year	Ending Date of Expr: Month/Year
Description of technical experience, capacity performed, and role related to services to be provided for this Project:			

**ATTACHMENT NINE
PERSONNEL PROFILE SUMMARY**

**CANDIDATE REQUIREMENTS
BUSINESS TRANSFORMATION LEAD CONTINUED**

Candidate's Name:

Requirement: Experience implementing and measuring performance change based on job functions for a minimum of two (2) projects of similar size and complexity to OCEAN Phase II.

Company:	Contact Name: Primary or Alternate	Contact Title:	
Address:		Contact Phone Number:	
		Email Address:	
Project Name:		Beginning Date of Expr: Month/Year	Ending Date of Expr: Month/Year
Description of technical experience, capacity performed, and role related to services to be provided for this Project:			

**ATTACHMENT NINE
PERSONNEL PROFILE SUMMARY**

**CANDIDATE REQUIREMENTS
TRAINING LEAD**

Candidate's Name:

Requirement: Experience in developing and implementing a training plan based on staff competency assessment by roles on a minimum of one (1) project of similar complexity and size to OCEAN Phase II.

Company:	Contact Name: Primary or Alternate	Contact Title:	
Address:		Contact Phone Number:	
		Email Address:	
Project Name:		Beginning Date of Expr: Month/Year	Ending Date of Expr: Month/Year
Description of technical experience, capacity performed, and role related to services to be provided for this Project:			

**ATTACHMENT NINE
PERSONNEL PROFILE SUMMARY**

**CANDIDATE REQUIREMENTS
TRAINING LEAD CONTINUED**

Requirement: Experience in preparing formal training, coaching and preparing competency assessment on a project similar in size and complexity to OCEAN Phase II.

Company:	Contact Name: Primary or Alternate	Contact Title:	
Address:		Contact Phone Number:	
		Email Address:	
Project Name:		Beginning Date of Expr: Month/Year	Ending Date of Expr: Month/Year
Description of technical experience, capacity performed, and role related to services to be provided for this Project:			

**ATTACHMENT NINE
PERSONNEL PROFILE SUMMARY**

**CANDIDATE REQUIREMENTS
TRAINING LEAD CONTINUED**

Candidate's Name:

Requirement: Experience in developing on-line accessible training course curricula and additional online resources such as help on a project of similar size and complexity to OCEAN Phase II.

Company:	Contact Name: Primary or Alternate	Contact Title:	
Address:		Contact Phone Number:	
		Email Address:	
Project Name:		Beginning Date of Expr: Month/Year	Ending Date of Expr: Month/Year
Description of technical experience, capacity performed, and role related to services to be provided for this Project:			

**ATTACHMENT NINE
PERSONNEL PROFILE SUMMARY**

**CANDIDATE REQUIREMENTS
TRAINING LEAD CONTINUED**

Requirement: Experience in developing the tools, training techniques and technical assistance resources for staff and providers in a project of similar size and complexity to OCEAN Phase II.

Company:	Contact Name: Primary or Alternate	Contact Title:	
Address:		Contact Phone Number:	
		Email Address:	
Project Name:		Beginning Date of Expr: Month/Year	Ending Date of Expr: Month/Year
Description of technical experience, capacity performed, and role related to services to be provided for this Project:			

**ATTACHMENT TEN
COST SUMMARY**

The Scope of Work and Contractor's Fee Structure are based on the completion and acceptance of defined deliverables, however the Cost Summary requires each offeror to price the project for each process defined in the requirements, for stabilization, and for maintenance.

Design, Development, Implementation, and Stabilization	Cost
1. Centralized Appointment Manager	\$
2. Organized Parent – Child Relationship	\$
3. Case Management and Referral	\$
4. Advanced Assistance and Support	\$
5. Electronic Source Verification	\$
6. Role Based Security	\$
7. Inventory Tools	\$
8. Reporting Capabilities	\$
9. Intake Forms	\$
10. Utility Customer Batch Processing	\$
11. Regulated Utility Interface	\$
12. Offline Access	\$
13. Community Service Program Administration	\$
14. Electric Partnership Program	\$
15. Home Weatherization Assistance Program	\$
16. HWAP Program Administration	\$
17. Activity Tracking System	\$
18. OCEAN Phase I Enhancements	\$
Stabilization Period	\$
Total Design, Development, Implementation, and Stabilization Cost (Subtotal)	\$
Annual Maintenance Fee – Year 1 after acceptance	\$
Annual Maintenance Fee – Year 2	\$
Annual Maintenance Fee – Year 3	\$
Annual Maintenance Fee – Year 4	\$
Total Maintenance Cost (Subtotal)	\$
Total Design, Development, Implementation and Maintenance Cost (Total)	\$

**ATTACHMENT TEN
COST SUMMARY
CONTINUED**

Enhancements will be negotiated via the Contract Changes language in Attachment Four. The changes will be negotiated as a fixed price change utilizing the enhancement positions below and an estimated number of hours required to complete the work. Each offeror must complete the table below by providing an hourly rate for the personnel identified and multiply each hourly rate by the weight provided to calculate the total weighted cost.

Enhancement Positions	Hourly Rate		Weight	Total Weighted Cost
Project Manager	\$	x	3	\$
Technical Lead	\$	x	2	\$
Database Lead	\$	x	2	\$
Business Transformation Lead	\$	x	1	\$
Training Lead	\$	x	1	\$
Developer	\$	x	5	\$
Business Analyst	\$	x	4	\$
Database Analyst	\$	x	4	\$
Trainer	\$	x	2	\$
Total Enhancement Hourly Rates				\$

Performance Bond Cost
\$

SUPPLEMENTAL INFORMATION HEADER

The following pages contain supplemental information for this competitive document. The supplemental information is contained between this header and a trailer page. If you receive the trailer page, all supplemental information has been received.

If you do not receive the trailer page of this supplement, use the inquiry process described in the document to notify the Procurement Representative.

Note: portions of the supplemental information provided may or may not contain page numbers. The total number of pages indicated on the cover page does not include the pages contained in this supplement.

Supplement 1

W-9 Form

Request for Taxpayer Identification Number and Certification

**Give form to the
 requester. Do NOT
 send to the IRS.**

Please print or type

Name (If joint names, list first and circle the name of the person or entity whose number you enter in Part I below. **See instructions on page 2 if your name has changed.**)

Business name (Sole proprietors see instructions on page 2.)

Please check appropriate box: Individual/Sole proprietor Corporation Partnership Other ▶

Address (number, street, and apt. or suite no.)

Requester's name and address (optional)

City, state, and ZIP code

Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. For individuals, this is your social security number (SSN). For sole proprietors, see the instructions on page 2. For other entities, it is your employer identification number (EIN). If you do not have a number, see **How To Get a TIN** below.

Social security number								

OR

Employer identification number								

Note: If the account is in more than one name, see the chart on page 2 for guidelines on whose number to enter.

Part II For Payees Exempt From Backup Withholding (See Part II instructions on page 2)

List account number(s) here (optional)

Part III Certification

Under penalties of perjury, I certify that:

- The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), **and**
- I am not subject to backup withholding because: **(a)** I am exempt from backup withholding, or **(b)** I have not been notified by the Internal Revenue Service that I am subject to backup withholding as a result of a failure to report all interest or dividends, or **(c)** the IRS has notified me that I am no longer subject to backup withholding.

Certification Instructions.—You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because of underreporting interest or dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, the acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally payments other than interest and dividends, you are not required to sign the Certification, but you must provide your correct TIN. (Also see **Part III instructions** on page 2.)

Sign Here

Signature ▶

Date ▶

Section references are to the Internal Revenue Code.

Purpose of Form.—A person who is required to file an information return with the IRS must get your correct TIN to report income paid to you, real estate transactions, mortgage interest you paid, the acquisition or abandonment of secured property, cancellation of debt, or contributions you made to an IRA. Use Form W-9 to give your correct TIN to the requester (the person requesting your TIN) and, when applicable, (1) to certify the TIN you are giving is correct (or you are waiting for a number to be issued), (2) to certify you are not subject to backup withholding, or (3) to claim exemption from backup withholding if you are an exempt payee. Giving your correct TIN and making the appropriate certifications will prevent certain payments from being subject to backup withholding.

Note: If a requester gives you a form other than a W-9 to request your TIN, you must use the requester's form if it is substantially similar to this Form W-9.

What Is Backup Withholding?—Persons making certain payments to you must withhold and pay to the IRS 31% of such

payments under certain conditions. This is called "backup withholding." Payments that could be subject to backup withholding include interest, dividends, broker and barter exchange transactions, rents, royalties, nonemployee pay, and certain payments from fishing boat operators. Real estate transactions are not subject to backup withholding.

If you give the requester your correct TIN, make the proper certifications, and report all your taxable interest and dividends on your tax return, your payments will not be subject to backup withholding. Payments you receive will be subject to backup withholding if:

- You do not furnish your TIN to the requester, or
- The IRS tells the requester that you furnished an incorrect TIN, or
- The IRS tells you that you are subject to backup withholding because you did not report all your interest and dividends on your tax return (for reportable interest and dividends only), or
- You do not certify to the requester that you are not subject to backup withholding under 3 above (for reportable

interest and dividend accounts opened after 1983 only), or

- You do not certify your TIN. See the Part III instructions for exceptions.

Certain payees and payments are exempt from backup withholding and information reporting. See the Part II instructions and the separate **Instructions for the Requester of Form W-9**.

How To Get a TIN.—If you do not have a TIN, apply for one immediately. To apply, get **Form SS-5**, Application for a Social Security Number Card (for individuals), from your local office of the Social Security Administration, or **Form SS-4**, Application for Employer Identification Number (for businesses and all other entities), from your local IRS office.

If you do not have a TIN, write "Applied For" in the space for the TIN in Part I, sign and date the form, and give it to the requester. Generally, you will then have 60 days to get a TIN and give it to the requester. If the requester does not receive your TIN within 60 days, backup withholding, if applicable, will begin and continue until you furnish your TIN.

Note: Writing "Applied For" on the form means that you have already applied for a TIN **OR** that you intend to apply for one soon.

As soon as you receive your TIN, complete another Form W-9, include your TIN, sign and date the form, and give it to the requester.

Penalties

Failure To Furnish TIN.—If you fail to furnish your correct TIN to a requester, you are subject to a penalty of \$50 for each such failure unless your failure is due to reasonable cause and not to willful neglect.

Civil Penalty for False Information With Respect to Withholding.—If you make a false statement with no reasonable basis that results in no backup withholding, you are subject to a \$500 penalty.

Criminal Penalty for Falsifying Information.— Willfully falsifying certifications or affirmations may subject you to criminal penalties including fines and/or imprisonment.

Misuse of TINs.—If the requester discloses or uses TINs in violation of Federal law, the requester may be subject to civil and criminal penalties.

Specific Instructions

Name.—If you are an individual, you must generally enter the name shown on your social security card. However, if you have changed your last name, for instance, due to marriage, without informing the Social Security Administration of the name change, please enter your first name, the last name shown on your social security card, and your new last name.

Sole Proprietor.—You must enter your individual name. (Enter either your SSN or EIN in Part I.) You may also enter your business name or "doing business as" name on the business name line. Enter your name as shown on your social security card and business name as it was used to apply for your EIN on Form SS-4.

Part I—Taxpayer Identification Number (TIN)

You must enter your TIN in the appropriate box. If you are a sole proprietor, you may enter your SSN or EIN. Also see the chart on this page for further clarification of name and TIN combinations. If you do not have a TIN, follow the instructions under **How To Get a TIN** on page 1.

Part II—For Payees Exempt From Backup Withholding

Individuals (including sole proprietors) are not exempt from backup withholding. Corporations are exempt from backup withholding for certain payments, such as interest and dividends. For a complete list of exempt payees, see the separate Instructions for the Requester of Form W-9.

If you are exempt from backup withholding, you should still complete this form to avoid possible erroneous backup withholding. Enter your correct TIN in Part I, write "Exempt" in Part II, and sign and date the form. If you are a nonresident alien or a foreign entity not subject to backup withholding, give the requester a completed **Form W-8**, Certificate of Foreign Status.

Part III—Certification

For a joint account, only the person whose TIN is shown in Part I should sign.

1. Interest, Dividend, and Barter Exchange Accounts Opened Before 1984 and Broker Accounts Considered Active During 1983. You must give your correct TIN, but you do not have to sign the certification.

2. Interest, Dividend, Broker, and Barter Exchange Accounts Opened After 1983 and Broker Accounts Considered Inactive During 1983. You must sign the certification or backup withholding will apply. If you are subject to backup withholding and you are merely providing your correct TIN to the requester, you must cross out item 2 in the certification before signing the form.

3. Real Estate Transactions. You must sign the certification. You may cross out item 2 of the certification.

4. Other Payments. You must give your correct TIN, but you do not have to sign the certification unless you have been notified of an incorrect TIN. Other payments include payments made in the course of the requester's trade or business for rents, royalties, goods (other than bills for merchandise), medical and health care services, payments to a nonemployee for services (including attorney and accounting fees), and payments to certain fishing boat crew members.

5. Mortgage Interest Paid by You, Acquisition or Abandonment of Secured Property, Cancellation of Debt, or IRA Contributions. You must give your correct TIN, but you do not have to sign the certification.

Privacy Act Notice

Section 6109 requires you to give your correct TIN to persons who must file information returns with the IRS to report interest, dividends, and certain other income paid to you, mortgage interest you paid, the acquisition or abandonment of secured property, cancellation of debt, or contributions you made to an IRA. The IRS uses the numbers for identification purposes and to help verify the accuracy of your tax return. You must provide your

TIN whether or not you are required to file a tax return. Payers must generally withhold 31% of taxable interest, dividend, and certain other payments to a payee who does not give a TIN to a payer. Certain penalties may also apply.

What Name and Number To Give the Requester

For this type of account:	Give name and SSN of:
1. Individual	The individual
2. Two or more individuals (joint account)	The actual owner of the account or, if combined funds, the first individual on the account ¹
3. Custodian account of a minor (Uniform Gift to Minors Act)	The minor ²
4. a. The usual revocable savings trust (grantor is also trustee)	The grantor-trustee ¹
b. So-called trust account that is not a legal or valid trust under state law	The actual owner ¹
5. Sole proprietorship	The owner ³
For this type of account:	Give name and EIN of:
6. Sole proprietorship	The owner ³
7. A valid trust, estate, or pension trust	Legal entity ⁴
8. Corporate	The corporation
9. Association, club, religious, charitable, educational, or other tax-exempt organization	The organization
10. Partnership	The partnership
11. A broker or registered nominee	The broker or nominee
12. Account with the Department of Agriculture in the name of a public entity (such as a state or local government, school district, or prison) that receives agricultural program payments	The public entity

¹ List first and circle the name of the person whose number you furnish.

² Circle the minor's name and furnish the minor's SSN.

³ You must show your individual name, but you may also enter your business or "doing business as" name. You may use either your SSN or EIN.

⁴ List first and circle the name of the legal trust, estate, or pension trust. (Do not furnish the TIN of the personal representative or trustee unless the legal entity itself is not designated in the account title.)

Note: If no name is circled when more than one name is listed, the number will be considered to be that of the first name listed.

Supplement 2

OCEAN Phase II

Business Requirements

Business Requirements: **OCEAN Phase II**

May 8, 2009

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I. High Level Overview

This Business Requirements document is designed to define a specification of what the Office of Community Services (OCS) wants from OCEAN Phase II. It consists of global and program specific details that will determine the functionality of the software.

I.1. General Description

The Ohio Department of Development manages state and federal grant funds for community service and energy assistance programs that are directed by Community Action Agencies (CAA) and other organizations. OCS developed OCEAN, a web-based software package that provides for client intake, determination and reporting.

Because of the overwhelming success of OCEAN, Phase II will expand to include more program service offerings, including features for weatherization, community service, and electric use reduction programs.

I.2. Program Objectives

The goal of Phase II is to provide for agency programs and additional application-wide features. The programs are:

- Weatherization Programs
 - Home Weatherization Assistance Programs (HWAP);
 - Utility Sponsored Programs;
- Electric Partnership Program (EPP);
- Community Service Programs
 - Community Services Block Grant (CSBG);
 - Community Service Programs Not Funded by CSBG;
 - Results Oriented Management Accountability (ROMA) Reporting; and,
- OCEAN Enhancements.

I.3. Document Overview

This document defines the functional requirements for OCEAN Phase II for the above programs. The global requirements are the universal features that all of the aforementioned programs will utilize, and are defined in chapters 2 – 14. The report definitions are listed at the end of each program chapter as well as within the Appendix.

2. Centralized Appointment Manager

The Centralized Appointment Manager is a module that manages appointment calendars for organizational programs or other scheduling needs. Though calendar tags will be dynamic, some of the proposed uses include:

- Summer/Winter Crisis Program Appointment Scheduling
- PIPP Re-verification
- HWAP/CSBG Client Intake Appointments
- HWAP/EPP Inspector Schedules
- HWAP Crew Job Schedules

2.1. Requirements

2.1.1. OCEAN will provide an appointment manager: i.e. Microsoft Outlook's Calendar module or Google Calendar.

2.1.2. The appointment manager will support multiple calendars.

2.1.3. The appointment manager will provide view-only access to specified calendars.

2.1.4. The appointment manager provides for viewing only selected calendars.

2.1.5. The appointment manager will allow only specified calendars to be user viewable based on role.

2.1.6. The appointment manager will support default appointment length, location or asset.

For instance, HEAP appointments might be 45 minutes long. All default appointments made on the HEAP calendar will have 45 minute lengths and may be overridden by the user.

2.1.7. OCEAN will provide a calendar as a tagged set of appointments.

For instance, the HEAP calendar is a set of appointments that are tagged with 'HEAP'.

2.1.8. An organization will have the capability to customize and manage their own set of calendars using the appointment manager.

2.1.9. The individual calendars cannot duplicate staff to prevent double booking.

A given calendar can be marked with 'working hours'; to prevent the IVR from scheduling an appointment outside those hours. Working hours can be overridden by a human user, however.

2.1.10. OCEAN will provide appointments as the core object in the appointment manager.

Appointments have a time and place and are tagged with people.

2.1.11. Appointments must be RFC 2445 compliant.

2.1.12. Appointments on a specific calendar can be tagged with a staff member, a client record, a program and a location.

2.1.13. Appointments can have any start date and time, end date and time, and can be of any duration.

2.1.14. If the user creates an appointment in the past, the user will be warned.

2.1.15. Appointments can be added to the manager using an XML Web Service for IVR integration.

2.1.16. Cancelled appointments are not deleted, but are instead marked as cancelled.

3. Interactive Voice Response (IVR)

The Phase II IVR will be a multi-functional system directly integrated with OCEAN data. It is planned to be marketed as a statewide 800 number for all energy questions. The IVR can not be assigned a cost at this time, it will be handle using the change management process.

3.1. Requirements

3.1.1. The IVR will integrate with the OCEAN appointment scheduling system via procedures and services that each agency can customize for their specific program needs.

3.1.2. All static information lookups from the IVR to OCEAN will be made through the data warehouse.

3.1.3. The IVR will be able to communicate appointments and queries to OCEAN 24 hours a day, 7 days a week.

3.1.4. To authenticate customer records, caller will be prompted for limited client demographics.

3.1.5. OCEAN will provide the IVR with text (text to speech) announcements and general information customized by agency.

For example:

- Eligibility Requirements
- Office Hours/Locations
- Driving Directions
- Holiday Schedules
- Start/End Dates & Program Schedule

3.1.6. OCEAN will provide the IVR with automatic appointment scheduling customized for a certain number of days in advance based on each specific program business need for client data; for example HEAP is 14 days.

3.1.7. OCEAN will provide the IVR with the ability to read a list of days and times that the appointment scheduler does not accept new appointments.

3.1.8. OCEAN will cue the IVR to provide an outgoing reminder call to the client that program application appointment is due.

The outgoing message will include the following information:

- Appointment Time
- Directions
- Information Regarding Required Documentation for Program Eligibility

3.1.9. OCEAN will be able to process a cancelled appointment through the IVR.

This will apply when a client receives a reminder appointment and are unable to make the appointment. This will remove the appointment from the calendar and allow for scheduling another client for the involved timeframe.

3.1.10. OCEAN will allow the IVR to manage agency programs at one site or multiple satellites to meet client needs.

For instance, manage HEAP applications from one site, or HEAP/Housing/Head Start applications from one or multiple sites.

3.1.11. OCEAN will provide the IVR the status and related information of any program applied for by the client.

4. Organization Parent-Child Relationship

Community Service and Energy Assistance programs are often funded via state and federal grants. These grants are provided to organizations that may delegate the program administration to smaller regional based organizations. OCEAN must recognize these organizational relationships.

4.1. Requirements

4.1.1. OCEAN must possess functionality to recognize a Parent-Child relationship between organizations.

4.1.2. OCEAN must be able to identify the Parent-Child type in a one-to-many structure.

For example, relationships may include:

- EPP Grantee to EPP Delegate
- HWAP Grantee to HWAP Delegate
- Agency to Contractor
- Main Office to Satellite Site

4.1.3. OCEAN will assume the reverse relationship between Children and Parents.

4.1.4. OCEAN must enable the Parent with the ability to view and edit select Child records.

4.1.5. OCEAN must maintain a historical record of all changes made to any record by a Parent or a Child.

4.1.6. OCEAN must provide functionality to customize access to the Home Weatherization Assistance Program (HWAP) program activity.

OCEAN must have the ability to recognize and provide access to HWAP program details based upon Grantee and Delegate assignments.

4.1.6.1. OCEAN must permit HWAP Grantees to view Delegate organization program details.

4.1.6.2. OCEAN must limit HWAP Delegates ability to viewing only their specific organization program details.

4.1.6.3. OCEAN must permit the Office of Community Services (OCS) to view all Grantee and Delegate program details.

4.1.7. OCEAN must provide functionality to customize access to the Electric Partnership Program (EPP) program activity.

4.1.7.1. OCEAN must permit EPP Grantees to view Delegate organization program details.

4.1.7.2. OCEAN must limit EPP Delegates ability to viewing only their specific program details.

4.1.7.3. OCEAN must permit OCS to view all Grantee and Delegate program details.

5. Case Management and Referral

Upon initial client Intake, OCEAN must provide a Case Management and Referral function for the assistance programs within OCEAN.

5.1. Requirements

5.1.1. OCEAN must possess the functionality to reference minimum eligibility requirements for the following assistance programs:

- Community Service Programs
- Electric Partnership Program (EPP)
- Home Weatherization Assistance Program (HWAP)
- Home Energy Assistance Program (HEAP)
- Summer Crisis Program
- Winter Crisis Program

5.1.2. OCEAN must perform the calculations necessary to determine minimum eligibility requirements.

5.1.3. OCEAN must enable the client benefit list to be printed and/or e-mailed for client reference.

Client intake personnel must be able to generate a single benefit eligibility list which will include, but not limited to:

- Program Name
- Program Purpose/Goal
- Program Benefit(s)/Service(s) Provided
- Program Timeline(s): Service Period, Application Deadlines
- Program Service Area
- Program Administrative Contact Name
- Program Administrative Contact Number
- Program Administrative Contact Address
- Program Administrative Contact E-mail Address
- Program Administrative Contact Website

6. Advanced Assistance and Support

Currently, agency staff that are using OCEAN Phase I have access to a central Help Desk hotline and e-mail address at the Ohio Department of Development (ODOD) main office for receiving system support and help. In Phase II the following business requirements will further enhance this support:

6.1. Requirements

All requirements are in addition to the existing support options afforded by the OCEAN Help Desk.

- 6.1.1. The help desk support team will be able to view the end-user's desktop without any specific client side set-up.***
- 6.1.2. Online chat between Help Desk support team and end-user will be available as a help system in accordance with the ODOD policy.***
- 6.1.3. Pre-recorded online tutorials will be made available.***
- 6.1.4. RoboHelp documentation will be finished and published.***
- 6.1.5. Help desk events will be tracked in application comments.***
- 6.1.6. System status will be shown to the user on login.***

7. Electronic Source Verification

OCEAN will allow for electronic interface among State of Ohio, federal and local agencies that have agreed to provide access to their systems to verify client information for a submitted application. This new functionality will assist the OCEAN users with a faster response time for retrieving the most current income verification and providing more efficient appointment intake processing for various program applications.

Client information will be able to be verified using publicly available electronic sources in lieu of physical documentation. There are a number of systems that grant county organizations some level of reporting access in order to make the verification of information easier.

7.1. Requirements

7.1.1. Details about a client's application will be able to be verified in real time if the application warrants such verification.

7.1.2. Details about all client applications will have the ability to be verified in a batch at the time of determination.

7.1.3. Name and Social Security Number must be verifiable.

7.1.3.1. At the time of intake, the system will confirm the status of the provided Social Security Number and the provided name with the US Social Security Administration (USSSA) or a delegate.

7.1.3.2. The name history will be checked in the event of a failed check with the USSSA.

7.1.3.3. Intake personnel will have the ability to override the data verification, but the fact that the verification failed will be kept as part of the record.

7.1.4. Address must be verifiable.

7.1.4.1. At intake, the existence of the provided address will be confirmed.

7.1.4.2. The zip code will be verified as containing the provided street number.

7.1.4.3. The ZIP+4 code will be discovered if not provided.

7.1.4.4. At determination, the address will be confirmed with appropriate government agencies.

7.1.4.5. If the address is not matched to the client, the determination will not fail but will be flagged for review.

7.1.5. Income must be verifiable.

7.1.5.1. At determination, both taxable and non-taxable income will be confirmed for validity.

7.1.5.2. If the client income sources are not validated, the record will be flagged for case review.

7.1.5.3. At determination, a search will be performed for other income sources not provided as part of the application.

7.1.5.4. If other income sources are found, the record will be flagged for case review.

7.1.6. Utility costs must be verifiable.

7.1.6.1. At intake, any utility information already made available as part of the client record should be added automatically to the application.

7.1.6.2. At determination, complete utility data for the client will be made available for further review by the case worker.

7.1.6.3. If the intake worker had indicated that the customer did not provide utility information at intake, then the information gathered from the utility company will be used for the determination.

7.1.6.4. If the customer provided information is not in agreement with the utility company provided information, then the record will be flagged for case review.

8. Role Based Security

There is an existing role-based security system developed as part of Phase I. Some enhancements to this system will need to be made to meet the following requirements.

8.1. Requirements

- 8.1.1. Roles can be organization specific or global in scope.**
- 8.1.2. Organization administrator will be a role that has administrative rights within a given organization.**
- 8.1.3. Organization role access is defined by the organization administrator or the system administrator.**
- 8.1.4. System administrators will have the ability to add users to the organization administrator role.**
- 8.1.5. Global role access is defined by the system administrator.**
- 8.1.6. Authenticated users can be a member of more than one role.**
- 8.1.7. Access to program specific information will be secured by role.**
- 8.1.8. Similar to fields, program details have list, view and edit security levels.**
- 8.1.9. Access to program specific information will be secured by organization.**
- 8.1.10. The security model will make assumptions about a role's ability to view, add and change information for a specific program or OCEAN feature.**
- 8.1.11. The security model's assumptions about security for a given role can be overridden at a program, page or field level.**
- 8.1.12. Users can be assigned individual permissions just as a role can.**
- 8.1.13. Pages can be inaccessible, read-only or read-write depending on role.**
- 8.1.14. Fields can be inaccessible, read-only or read-write depending on role.**
- 8.1.15. Program details can be list-only, view-only or editable depending on role.**
- 8.1.16. Some data security flow information is present in the large program requirements, and should be followed as written.**

8.1.17. Create a model for locking the ability to edit fields at certain points of the process.

For instance, the Application Status field should be locked after Determination.

8.1.17.1. Any field will have the ability to be locked based on a value of another field.

8.1.17.2. This will be implemented at the control level.

9. Inventory Tool

The agencies use an inventory tracking tool to monitor their materials and supplies for the Weatherization and/or EPP programs. Their inventory consists of items used to weatherize homes and save on electrical usage, such as insulation, tubes of caulk, water heater jackets, and CFL light bulbs. The requirement is for a real time material management process to track and audit inventory.

OCEAN Phase II will incorporate this functionality for the local Weatherization organizations and EPP Providers to maintain their inventory. Once created, other agency inventory usage can utilize this tool for other program needs, such as Community Services programs. The organizations can keep track and report inventory used for program benefits, such as bus tokens, gift baskets, and food pantry meals.

9.1. Requirements

9.1.1. The inventory tool will be a global function and linked to an organization and their OCEAN program for navigation.

This will allow all users to have access to the inventory function with a search and filter by program and year to specify the inventory.

9.1.2. OCEAN must contain several inventory categories and data elements to track the materials.

The inventory data elements will include but, are not limited to:

- Item Number
- Item Name
- Warehouse Location

9.1.3. Inventory model will be First In First Out (FIFO).

9.1.4. OCEAN must have the functionality necessary to allow organizations to track and reconcile their inventory.

9.1.5. OCEAN must identify the purchase date and cost in order to link costs to the Weatherization and EPP program work order costs.

New purchased inventory data elements will include but, are not limited to:

- Order Date
- Purchase Order Number
- Requested Order Date
- Vendor
- Quantity
- Other Financial Order Details

9.1.6. Inventory tracking must enable a “check-in and check-out” function for work orders.

OCEAN must contain the ability to track materials checked out for jobs, along with returned materials not used that are checked back into the warehouse.

- Work Order Number
- Check-in and Check-out Dates
- User Name
- Quantity
- Truck and/or Work Crew

9.1.7. OCEAN must allow functionality to update inventory to indicate inactive items.

OCEAN inventory will be stored and can be viewed for historical needs. This will allow access to real time inventory and current inventory.

9.1.8. OCEAN must display inventory on-hand with fiscal calculations.

9.2. Reports

9.2.1. OCEAN inventory reports will be generated for inventory tracking and management.

Inventory reports will include, but are not limited to:

- Purchase Order Inventory Status
- Total Program Inventory On-Hand with Costs
- Individual Work Order Material Reports
- Monthly Inventory Expense Report
- Inventory Adjustments with Date Ranges
- Materials Over/Under Report

I0. Reporting Capability

This section specifies the requirements for the replacement reporting engine.

The reports within this document and the Appendix have been evaluated for complexity on a scale of 1 – 7. A complexity of “1” indicates two or fewer joins, and few parameter requirements. A complexity of “5” indicates fifteen or more joints, and sophisticated parameter requirements. An additional point is added each for complex layouts, and complex export, viewing, or usage.

The reports detailed within this document are comprised of the following:

Complexity	Percentage
1	5%
2	23%
3	34%
4	24%
5	9%
6	4%
7	1%

I0.1. Requirements

10.1.1. The reporting environment must allow for on-demand on-screen viewing.

10.1.2. OCEAN will provide functionality to print all reports.

10.1.3. The reporting environment must allow for file export such as Microsoft Access, Microsoft Excel, Microsoft Word, and Adobe Acrobat (PDF).

10.1.4. Rewrite the existing reports into Report Definition Language (RDL).

10.1.4.1. The existing reports defined in the Appendix will be rewritten to run using the new reporting engine.

10.1.4.2. These reports, currently in Cognos, will be rebuilt using the Report Definition Language (RDL) supported by Microsoft SQL Server.

10.1.4.3. The reports will maintain current functionality.

10.1.4.4. The reports will maintain the current appearance.

10.1.5. New reports must be created as listed in the Appendix.

10.1.5.1. The new reports defined in the Appendix will be written to run using the new reporting engine.

10.1.6. The reporting environment must be web-driven.

10.1.7. The reporting environment must use the same authentication and authorization as OCEAN.

10.1.8. The reporting environment must reside on a reporting server with a data warehouse.

10.1.9. The reporting engine will gather summary data from the transactional database to a data warehouse periodically.

10.1.10. The reporting server must be able to scale to support 500 concurrent users.

10.1.11. OCEAN will provide the capability to produce reports for given parameters.

The report parameters will include, but are not limited to:

- Start Date
- End Date
- Organization
- Program Type

10.1.12. OCEAN will provide the capability to produce ad hoc reports on data stored in OCEAN.

10.1.13. OCEAN will provide batch processing for some reports.

10.1.14. OCEAN will provide the capability to print a limited number of production reports while not connected to the internet.

Inspectors currently print various forms, work orders, Building Weatherization Reports (BWR) at the property site from the data entered from inspection and work order detail.

II. Intake Forms

OCEAN currently uses an umbrella intake application with effective ‘modules’ for program types. The first such module was HEAP and PIPP which included Winter Crisis and Summer Crisis. This intake application consists of three parts, including client details which are essentially demographics, client associations, family members, and income sources.

In adding new modules a few minor changes to the intake application are required. This section defines the requirements for those changes.

II.1. Requirements

II.1.1. The Client Details section must include additional demographics as defined by the agencies and organizations.

II.1.2. The user will be able to add new programs to the system.

In the Programs list of the Client Intake form, all active agency programs must to be listed. In order to collect the correct program details, OCEAN must be set up for the new program.

II.1.3. The system will be able to obtain program specific information.

Agency Community Service programs sometimes have specific information that needs to be collected. The system should be able to collect this information.

II.1.4. Input validation will be dynamically built based on the specifics of the program selected.

II.1.5. Programs must be able to provide for instance of use, as well as annual participation.

Energy programs are annual; many other programs are as needed. For example, when a client comes in for monthly distribution of bus tokens, the OCEAN user should be able to record that the customer came in and received a benefit disbursement. There is no membership to a bus token program; the user is just collecting an OCEAN ID and marking the distribution of 100 tokens. A user will apply again in the future; perhaps the next month, next week or in two years. There is not an application process; there is just a tracking of service provided.

II.1.6. Program listings must be agency specific.

Currently, all agencies can see all programs in the Available Programs checkbox. In Phase II, there should be global as well as agency specific programs in that list.

II.1.7. Application forms will be accessible from the reporting system.

All of the customer forms – which should be printable from the OCEAN reporting engine – will be made available from OCEAN.

12. Utility Customer Batch Processing

Currently a file is transferred from a utility to Office of Community Services (OCS) quarterly that includes the usage for all HEAP and PIPP-eligible clients. The requirement is to change the file format to that listed below and change to a monthly pattern.

12.1. Requirements

12.1.1. Change the Customer Information Report (CIR) file format to the following:

Field Name	Length	Type
Record Type	10	Numeric
Bill Account Number	20	Character
First Name	25	Character
Middle Initial	5	Character
Last Name	30	Character
Street Address	57	Character
Suppl Unit Designator	10	Character
Addr Unit Designator	10	Character
City	30	Character
Zip Code	5	Numeric
SSN	9	Numeric
Agency Field	20	Character
Number in Household	5	Numeric
Last Calendar Mo Hshld Inc	10,2	Numeric
3 Mo Gross Inc	10,2	Numeric
12 Mo Gross Inc	10,2	Numeric
Customer Id	10	Character
Intent to Pay	1	Character
Payment Amount	10,2	Numeric
Split Payment	1	Character
PIPP reverification	1	Character
PIPP Enrollment	1	Character
County	10	Character
HEAP Grant Number	5	Numeric
Utility Code	5	Character
Vendor Code (State issued)	3	Numeric
Agency Code	2	Character
PIPP Amount	10,2	Numeric
Over 65	1	Character
Totally and permanently disabled	1	Character
Heat Type	1	Character
Date Received by OCS	8	Date
PIPP Drop	1	Character

Field Name	Length	Type
PIPP Drop Reason ID	2	Numeric
DC Poverty Ratio	3	Numeric
Payment ID	36	Character
DC Reject Code	2	Numeric
DC Change Code	1	Numeric
Utility ID	36	Character
File Type	1	Numeric
EnergySourceID	36	Character
PIPP Enrollment Status ID	1	Numeric
PIPP Enrollment Reject Code	2	Numeric
Intent Status ID	1	Numeric
Intent Reject Code	2	Numeric
PIPP Reverification Status ID	1	Numeric
PIPP Reverification Reject Code	2	Numeric
PIPP Drop Status ID	1	Numeric
PIPP Drop Reject Code	2	Numeric
Arrearage Credit Amount	10,2	Numeric
Phone Number	10	Numeric
Utility Type	1	Numeric
Monthly Usage	5	Numeric
Read Indicator	1	Character
Read Date	8	Date
Customer Payment	10,2	Numeric
HEAP Payment	10,2	Numeric
Other Payment	10,2	Numeric
Cumulative Arrearage	10,2	Numeric
PIPP Active	1	Character
Disconnect	1	Character
Year to Date Usage	10,2	Numeric
Utility Client Identifier	50	Character
Month ID	2	Numeric
Date Processed	8	Date
PIPP Payment Amount	10,2	Numeric
Bill Amount	10,2	Numeric
Last Reverification Date	8	Date
Medical Certification	1	Character
Pre-PIPP Debt	10,2	Numeric
Arrearage Amount Applied	10,2	Numeric
Filler	107	Character
End of record/carriage return	4	

12.1.2. Change the processing schedule to monthly.

12.1.3. Systematically update existing OCEAN clients that do not have current utility usage data with the latest information.

12.1.4. Allow for user data entry and view in OCEAN the client's electric and gas history usage collected from the utilities.

13. Regulated Utility Interface

In addition to the batch file processing specified in chapter 12, it is required that OCEAN provide a web service interface for utility data processing.

13.1. Requirements

13.1.1. Customer utility data will be made available for read and update through a standards based web service.

Data includes, but it not limited to:

- Account Number
- Utility Bill Data
- Utility Monthly Kilowatt per Hour Consumption
- Last Twelve (12) Months Average Usage
- Shutoff Notices
- Transfer Program Payments
- PIPP Program Status Information

13.1.2. Communication for this service will be protected by Secure Sockets Layer (SSL).

13.1.3. Authentication for this service will be via digital certificate.

13.1.4. All transactions made through this service will be logged.

14. Offline Access

OCEAN is a web-based application supported on the server by Internet Information Services. There is a requirement for portions of the system to be available for offline use.

14.1. User Story

The best example for this requirement is the current EPP tool. The EPP tool is a third-party application written in Microsoft Access 2003 that provides data entry for Electric Partnership Program (EPP) audits. It accepts demographic data of customers, and calculates baseload electric usage with usage information entered by an auditor. It is deployed to mobile devices that are managed by the EPP Providers.

The deployment of the EPP tool is beneficial because auditors have all of the information needed to conduct audits right at their fingertips. Combined with a portable printer, the auditor becomes a self-contained unit, not required to go back to the office for anything relating to the audit. An auditor can arrive at the customer's house, perform the audit, enter the usage, calculate the baseload usage, consumption, get a collection of measures, and implement them.

However, there are a number of problems with this scenario the way it is working now. First, every time the software is updated – even to add a new model of refrigerator – all 180 EPP audit computers must be manually updated by the agencies, some of whom have little in the way of technical staff. Second, the EPP tool is a proprietary tool, and changes made necessary by State of Ohio statute are sometimes difficult to implement.

Therefore, it is required that OCEAN, which will be incorporating the EPP tool functionality, has an offline access mode. This mode will be in place to provide the off-site auditing capability of the EPP tool without using the inflexibility of a third party product like Microsoft Access.

The auditor comes into the agency office with a mobile device. OCEAN provides the auditor with the EPP schedule for the week. OCEAN transfers the demographic data plus the current lookup fields into an offline cache and provides the auditor with an offline use version of the screens needed to perform the audit. The auditor then disconnects from the network and goes to the first client.

EPP program requirements are specified in chapter 17, but offline mode is an environmental concern. EPP and the EPP tool are being used here as an example, but there are other applications throughout OCEAN that could benefit from offline use such as:

- Central Intake
- Weatherization Inspections
- Inventory Processing

The goal is to create a model for offline access that can be implemented in other parts of OCEAN over time.

14.2. Requirements

14.2.1. The capability to collect and review specific data in OCEAN must be available offline.

14.2.2. OCEAN must cache certain records selected by the user.

14.2.3. Cached data must be editable.

14.2.4. The offline forms will be able to create new data related to the cached data.

14.2.5. Offline forms will have the capability to synchronize the offline form data with OCEAN upon returning online.

The offline forms will be able to edit data that is cached, and create new data that is related to the cached data. When the forms are returned to an internet accessible network, data will be synchronized with the OCEAN database. After synchronization is deemed successful, cached data will be removed from the local machine.

14.2.6. OCEAN will handle update conflicts with a latest-updated record wins model.

14.2.7. OCEAN synchronization may be location limited.

Based on the needs of a specific agency, the synchronization of a device might have to be location limited. This would prevent a user from synchronizing from anywhere except approved IP numbers.

14.2.8. Local cached data must be encrypted.

14.2.9. Synchronized data must be time limited.

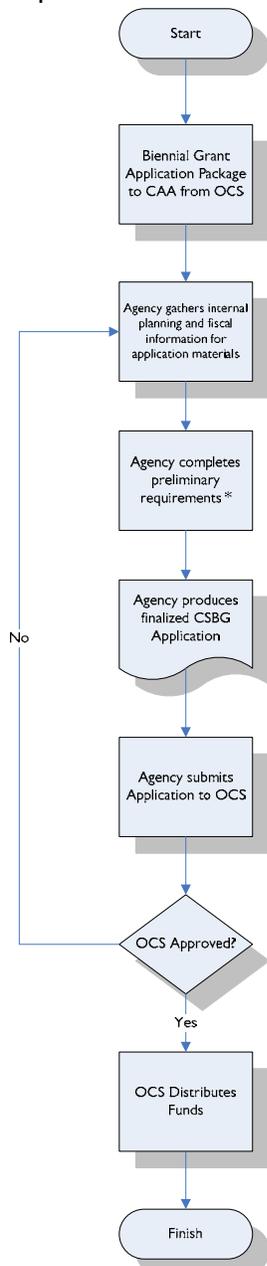
14.2.10. OCEAN user passwords must be required to access the local application.

15. Community Service Programs Grant

In order to administer Community Service programs with Community Services Block Grant (CSBG) funding, each organization must compete and submit a CSBG application.

15.1. CSBG Application Workflow

This process workflow is a visual representation of the current “As-Is” model.



* Preliminary Requirements are the forms, declarations & certifications that are required as part of the CSBG application process.

15.2. CSBG Application

15.2.1. OCEAN must allow organizations access to CSBG Grant application materials.

Organizations must have access to all instructions and documentation relative to the CSBG Grant Application process found in the CSBG Grant Application Package. This will include but, may not be limited to the following:

- Plan Instructions
- Needs Assessment (OCS Form 302)
- Budget (OCS Forms 106 – 122)
- CSBG Justification for Budget Revision Form (OCS Forms 89 – 93)
- Application Attachment Instructions
- Board Roster (OCS Form 128)
- Certification Regarding Lobbying
- Certification Regarding Drug-Free Workplace
- Certification Regarding Debarment
- Certification Regarding Tobacco Smoke
- Grantee Total Funding Breakdown by Program
- Generated Income Detail
- CSBG Property Inventory List (OCS Form 124)
- Declaration Regarding Material Assistance/Non-Assistance To A Terrorist Organization
- Grantee Profile Update
- OCS Required CSBG Forms & Attachments Checklist
- Instructions for Completing (current PY) CAA Quarterly [ROMA] Workplans
- ROMA Goals
- Framework Codes
- Program Codes
- ROMA Quarterly Reports
- CSBG Budget Summary
- Board Authorization – Board Meeting Minutes
- CDD Cost Principal Forms
- T&TA Grant Summary
- CSBG Application Cover (OCS Form 301)

15.2.2. OCEAN must possess functionality enabling organizations to include all completed forms, declarations, and certifications.

Organizations must have the ability to include the set of predefined CSBG and non-CSBG specific forms, declarations, and certifications into OCEAN as required for the CSBG Grant submission.

15.2.3. OCEAN must include functionality enabling organizations to complete calculations within application forms.

OCEAN must possess functionality enabling organizations to perform the calculations required to complete various forms within their CSBG Grant application package.

15.2.4. OCEAN must provide an application status indicator.

Once an organization has submitted their CSBG Grant application, the following key status events will be indicated and available for view by an organization:

- Successful Submission Confirmation
- Rejection Notification with Specific Rejection Details
- Pending
- Approval Notification
- Grant Agreement Processed

15.2.4.1. OCEAN must provide an associated free text field for each status.

OCEAN must incorporate an associated free text field with each status option to store status details.

15.2.5. OCEAN must provide grant status notification.

OCEAN must possess functionality to generate a status notification e-mail to the CAA for each of the following key status events:

- Successful Submission Confirmation
- Rejection Notification with Specific Rejection Details
- Approval Notification
- Grant Agreement Processed

15.2.6. Finalized CSBG Grant agreement detail must be stored in OCEAN.

The CSBG Grant Agreement will still be mailed by the Office of Community Services (OCS) to the CAA, and returned by mail with the appropriate approval signatures. OCEAN must possess the functionality to allow the CSBG Grant Agreement to be viewed by the CAA once it has been signed and returned to OCS.

15.2.7. OCEAN must enable predefined data fields within the CSBG Grant application to migrate into the Community Service program set-up.

15.2.7.1. OCEAN must permit migrated data to be edited.

15.2.8. OCEAN must enable predefined data fields within the CSBG Grant application to migrate into the Results Oriented Management and Accountability (ROMA) Workplan.

15.2.8.1. OCEAN must permit migrated data to be edited.

15.2.9. OCEAN must enable organizations the ability to apply for an amendment to the initial CSBG Grant application.

15.2.10. OCEAN must possess the functionality to maintain historical CSBG Grant application data.

OCEAN must incorporate functionality that ensures all previous CSBG Grant application submissions are maintained and accessible for reference.

15.2.11. OCEAN must possess functionality to generate the CSBG Grant Agreement letter.

Once an organization has received CSBG Grant approval and determination, OCEAN must generate the CSBG Grant Agreement letter.

16. Community Service Program Administration

Community Service programs are administered exclusively by Community Action Agencies (CAA) and are determined on an agency-by-agency basis. The process identified in this document represents the processes which are common to all Community Service programs.

16.1. Other Community Service Program Management

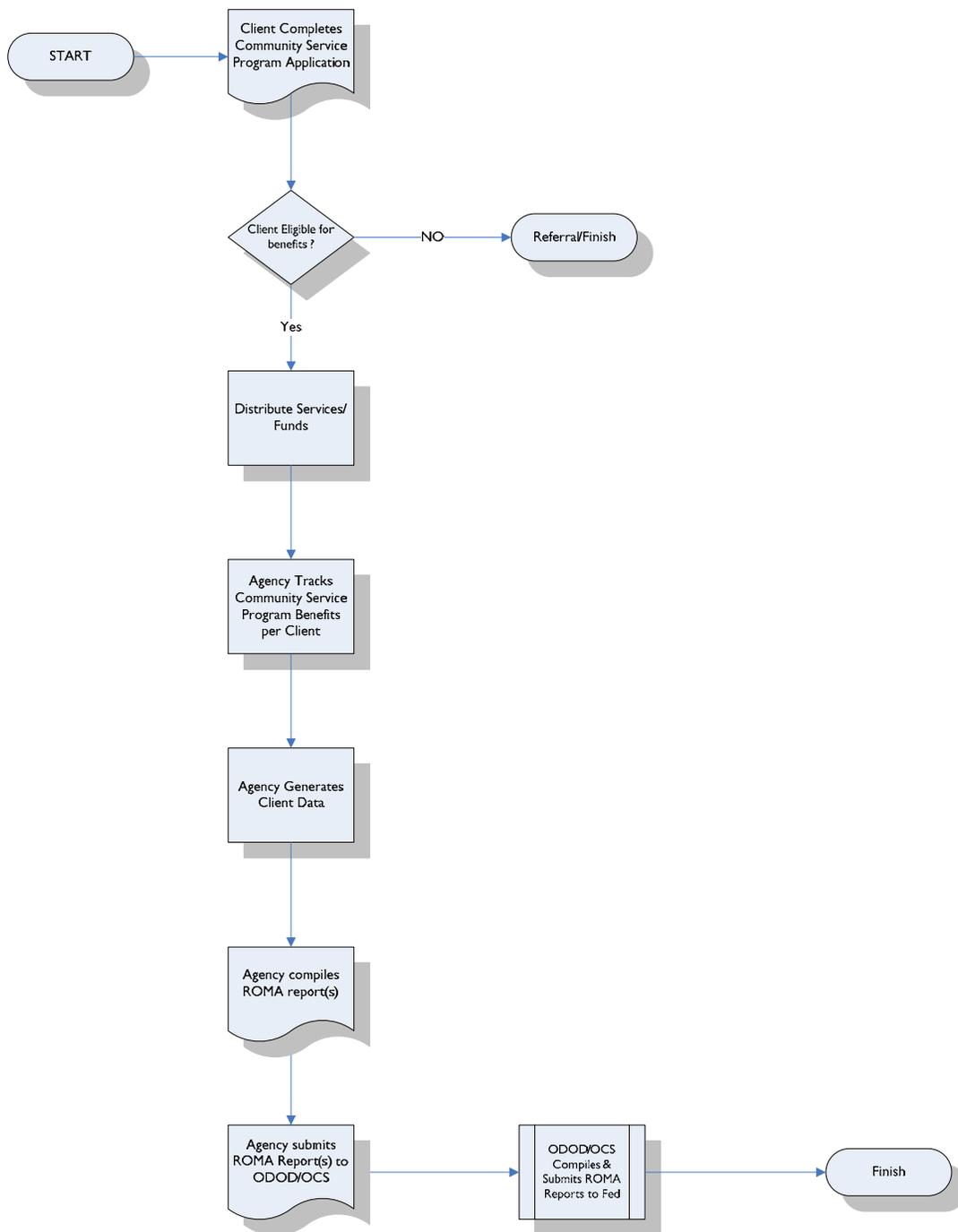
In addition to the programs that are funded by the Community Services Block Grant (CSBG), CAAs offer other assistance programs. These programs are similar in terms of scope, client targets, and administration, but are funded by sources other than Ohio Department of Development (ODOD). These programs have specific data collection needs and reporting requirements but will be administered using the same processes and procedures as those utilized for the administration of CSBG.

Here is a list of Community Service programs from fourteen (14) common program benefit categories:

1. Meals on Wheels (Nutrition)
2. Head Start (Daycare)
3. Community Action Transit System (Transportation)
4. Foster Grandparent (Senior Program)
5. Employment and Training System (Employment)
6. Low Income Tax Payer Clinic (Tax Assistance)
7. Individual Development Accounts (Finance)
8. Emergency Food and Shelter Program (Homeless Assistance & Prevention)
9. Adult Basic and Literacy Education Program (Education)
10. Prescription Drug Benefit Program (Health)
11. Youth Builder (Youth Services)
12. Offender Workforce Development (Ex-Offender)
13. Health Clinics (Healthcare)
14. Recycling (Community Development)

16.2. Process Workflow

This process workflow is a visual representation of the current “As-Is” model. The model details only those processes which are common among all organizations that administer Community Service programs.



16.3. Program Set-up

16.3.1. OCEAN must enable Community Action Agencies (CAAs) to customize each of their programs within OCEAN.

OCEAN must enable agencies to customize their programs upon initial set-up.

16.3.1.1. Customizable Service and Benefit.

OCEAN must allow CAAs the ability to detail the service and benefit details provided by the Community Service program.

16.3.1.2. This detail should include the data provided in the Community Service program referral list:

- Program Name
- Program Purpose/Goal
- Program Benefit(s)/Service(s) Provided
- Program Timeline(s): Service Period, Application Deadlines
- Program Service Area
- Program Administrative Contact Name
- Program Administrative Contact Number
- Program Administrative Contact Address
- Program Administrative Contact E-mail Address
- Program Administrative Contact Website

16.3.1.3. OCEAN must allow CAAs to customize eligibility requirements.

OCEAN must allow programs that are not funded solely by CSBG funds to customize eligibility requirements in order to satisfy partnership criteria on a per program basis per CAA.

16.3.1.3.1. OCEAN must allow eligibility fields to be editable.

In order to accommodate changes in eligibility requirements real time, eligibility requirements fields must be editable.

16.3.1.3.2. OCEAN must provide a viewable change log detailing eligibility requirement changes.

16.3.2. OCEAN must possess the ability to select a Framework Code.

OCEAN must allow CAAs to select a Framework Code from an all-inclusive list.

16.3.3. OCEAN must possess the functionality to populate associated ROMA Goal.

The Framework Codes are associated to one of the ROMA Goals. OCEAN must possess the functionality to auto-populate the associated ROMA Goal within the program set-up.

16.3.4. OCEAN must possess functionality to populate associated Target Area.

The Framework Code has associated language that is used to identify the Target Area. OCEAN must possess the functionality to auto-populate the associated Target Area within the program set-up.

16.3.5. OCEAN must enable predefined data fields to migrate from program set-up into the Results Oriented Management and Accountability (ROMA) Workplan.

These fields will include, but are not limited to:

- ROMA Goal
- Target Area
- Partnership Details

16.3.5.1. OCEAN must permit migrated data to be edited.

16.3.6. OCEAN must enable the customization of partnerships.

OCEAN must allow organizations to establish and customize partners. This partnership detail will include, but not limited to:

- Name & address
- Website
- Tax ID
- Fund Amount(s)

16.3.7. CAAs must have the ability to link programs to a specific service target.

OCEAN must provide CAAs with the ability to associate programs with the problem(s) they are targeted to improve. These problems are:

- Employment
- Education
- Income Management
- Housing
- Emergency Services
- Nutrition
- Self-Sufficiency
- Health
- Linkages
- Other

16.3.8. OCEAN must enable print capability of CSBG program set-up details.

OCEAN must enable CAAs to print a summary of each program.

16.3.9. OCEAN must allow CSBG programs to have multiple funding sources.

OCEAN must allow multiple funding sources to contribute to a single CSBG program.

16.3.10. OCEAN must enable the Client Needs Checklist to be customized per organization.

OCEAN must permit each organization to customize the Client Needs Checklist to reflect the programs and services administered by that particular organization.

16.4. Results Oriented Management and Accountability (ROMA) Workplan

A ROMA Workplan must be completed for each program administered within the CAA.

16.4.1. OCEAN must enable predefined data fields from within the ROMA Workplan to migrate into the CSBG Grant application.

16.4.1.1. OCEAN must permit migrated data to be edited.

16.4.2. OCEAN must facilitate the completion of the Customer Funnel as a stand-alone document.

OCEAN must require CAAs to complete the required Customer Funnel which includes incremental Milestones.

16.4.2.1. OCEAN must possess the functionality to migrate Milestone data into the CSBG Grant Application.

The final Milestone within the Customer Funnel serves as the “Performance Target” within the CSBG Grant application. OCEAN must possess the functionality to migrate this data.

16.4.2.2. OCEAN must enable print capability of Customer Funnel.

OCEAN must enable CAAs to print the Customer Funnel.

16.4.3. OCEAN must facilitate the completion of the Developmental Framework as a stand-alone document.

OCEAN must require CAAs to complete the required Developmental Framework.

16.4.3.1. OCEAN must enable print capability of the Developmental Framework.

OCEAN must enable CAAs to print the Developmental Framework.

16.4.4. OCEAN must enable the population and tracking of program projections and actuals.

OCEAN must enable CAAs the ability to incrementally update annual projections and/or actuals within each ROMA Workplan.

16.4.5. OCEAN must enable the population and tracking of program quarterly expenditures.

OCEAN must enable CAAs the ability to incrementally update quarterly expenditures within each ROMA Workplan.

16.4.6. OCEAN must enable program edits to migrate into ROMA Workplans.

OCEAN must capture updates made to the program set-up fields and migrate into the ROMA Workplan.

16.4.7. OCEAN must provide status options relative to quarterly ROMA reporting.

OCEAN must possess functionality to indicate a status relative to the quarterly ROMA reporting submission process. This should include:

- Successful Submission Confirmation
- Rejection Notification with Specific Rejection Details
- Approval Pending

16.4.8. OCEAN must possess functionality to lock data quarterly.

OCEAN must allow for ROMA quarterly reports to be locked for editing once they have been finalized and approved by the OCS Field Representatives.

16.4.9. OCEAN must provide ability to save historical ROMA Workplan data.

Organizations must have the ability to save ROMA Workplan data from previous application cycles.

16.4.10. OCEAN must provide ability to view historical ROMA Workplan data.

Organizations must have the ability to view historical ROMA Workplan data from previous application cycles.

16.4.11. OCEAN must enable historical information to be retrieved.

OCEAN must provide functionality allowing CAAs the option to retrieve previous ROMA Workplan data for input into new application.

16.4.12. OCEAN must possess print capability of ROMA Workplans.

OCEAN must allow CAAs the ability to print ROMA Workplans when desired.

16.5. Client Intake

The Community Service program will use the basic Client demographic details found within the initial OCEAN Client intake screens. This includes but, is not limited to, the following: Client Details (demographics), Client Associations (family members), and Income Sources for eligibility determination.

16.5.1. OCEAN must have a Community Service program indicator.

OCEAN must have an indicator within the “Programs” section of the OCEAN detail screens which will navigate to the Community Service module.

16.5.2. OCEAN must contain a Community Service program application.**16.5.2.1. OCEAN must populate Client demographic details.**

OCEAN must automatically populate application data from the initial intake screens within OCEAN into the Community Service program.

16.5.3. OCEAN must contain a Client Needs Checklist.

OCEAN must contain a checklist for review with the Client upon initial intake. The data obtained within the individual Client Needs Checklist will populate the Organizational Needs Assessment report.

16.5.3.1. Client Needs Checklist must have “Other” category.

The Client Needs Checklist must have the option to enter data not identified on the checklist via the use of an “Other” field. Capturing the data within an “Other” field will allow it to be captured for reporting purposes.

16.5.4. OCEAN must possess the functionality to perform eligibility calculations.

OCEAN must possess the functionality to perform necessary calculations used to determine eligibility based on the requirements established within the program set-up.

16.5.5. OCEAN must allow CAAs ability to override system eligibility determination.

OCEAN must enable CAAs with the ability to approve a client application that has been determined ineligible.

16.5.6. OCEAN must enable print capability of Community Service program application.

OCEAN must possess the functionality to enable the CAA to print the completed Community Service program application to obtain for client signature.

16.5.7. OCEAN must have a viewable application status screen.

OCEAN must allow for CAAs to view the current and historical application status.

16.5.8. OCEAN must capture denial details.

OCEAN must have the ability to capture details relative to why a client was denied services.

16.5.9. OCEAN must have capability to identify all eligible benefits.

OCEAN must have the ability to identify all Community Service and assistance programs for which a client is eligible upon completion of the Community Service program application.

16.5.9.1. OCEAN must enable an eligible benefit list which can be printed and/or e-mailed for client reference.

Community Service program intake personnel must be able to generate a single benefit eligibility list which will include, but not limited to:

- Program Name
- Program Purpose/Goal
- Program Benefit(s)/Service(s) Provided
- Program Timeline(s): Service Period, Application Deadlines
- Program Service Area
- Program Administrative Contact Name
- Program Administrative Contact Number
- Program Administrative Contact Address
- Program Administrative Contact E-mail Address
- Program Administrative Contact Website

16.5.9.2. OCEAN must enable eligible benefit list to be e-mailed to client.

16.5.10. OCEAN must store and display historical data.

OCEAN will contain functionality enabling specific client historical program data to be viewed and aggregated for reporting.

16.6. Benefit Tracking

In addition to utilizing the global OCEAN inventory tracking function, Community Action Agencies will track specific program benefits according to the following requirements.

16.6.1. OCEAN must allow for inventory to be linked to an individual client.

OCEAN must allow program benefits/services administered to each client to be tracked.

16.6.2. OCEAN must allow for inventory to be linked to a funding source within the program.**16.6.3. OCEAN must allow for inventory (benefit/service) to be linked to the program.****16.6.4. OCEAN must track inventory details.**

OCEAN must track the following inventory details at a minimum, but not limited to:

- Date
- Quantity
- Value
- Location

16.7. Reports and Letters**16.7.1. OCEAN must incorporate functionality to aggregate data from predefined data fields for the Annual IS Report.****16.7.2. OCEAN must possess the functionality to enable the compilation of the summary reports as required for completion of the Annual IS Report.**

Community Action Agencies as well as the Office of Community Services must have the ability within OCEAN to compile summary reports. This will include but, not limited to the following:

- Total Agency Funding Report
- Agency Funds by Service Category
- Agency Funds by Demographic Category
- CSBG Expenditures by Category Report
- CSBG Success Stories Narrative Report
- National Performance Indicators
- Annual Client Characteristics Report (OCS Form 316)

16.7.3. OCEAN must contain an Organizational Needs Assessment report.

OCEAN must contain an Organizational Needs Assessment report which will be populated based upon the information obtained from the individual Client Needs Checklist. The Organizational Needs Assessment report will be used to populate the Needs Assessment form required for the CSBG Grant application (OCS Form 302).

16.7.4. OCEAN must possess functionality that will enable generation of eligibility status letter.

Once a Client has completed the Community Service program application and eligibility has been determined, OCEAN will generate a status letter advising the following:

- Confirmation
- Pending
- Denial

16.7.5. OCEAN must allow OCS to extract data as needed.

OCEAN must possess the functionality to allow OCS to extract and/or compile data per CAA as needed.

16.7.6. OCEAN must allow CAAs to extract data as needed.

OCEAN must provide functionality enabling CAAs to extract and compile data as needed to satisfy internal and external reporting requirements.

17. Electric Partnership Program (EPP)

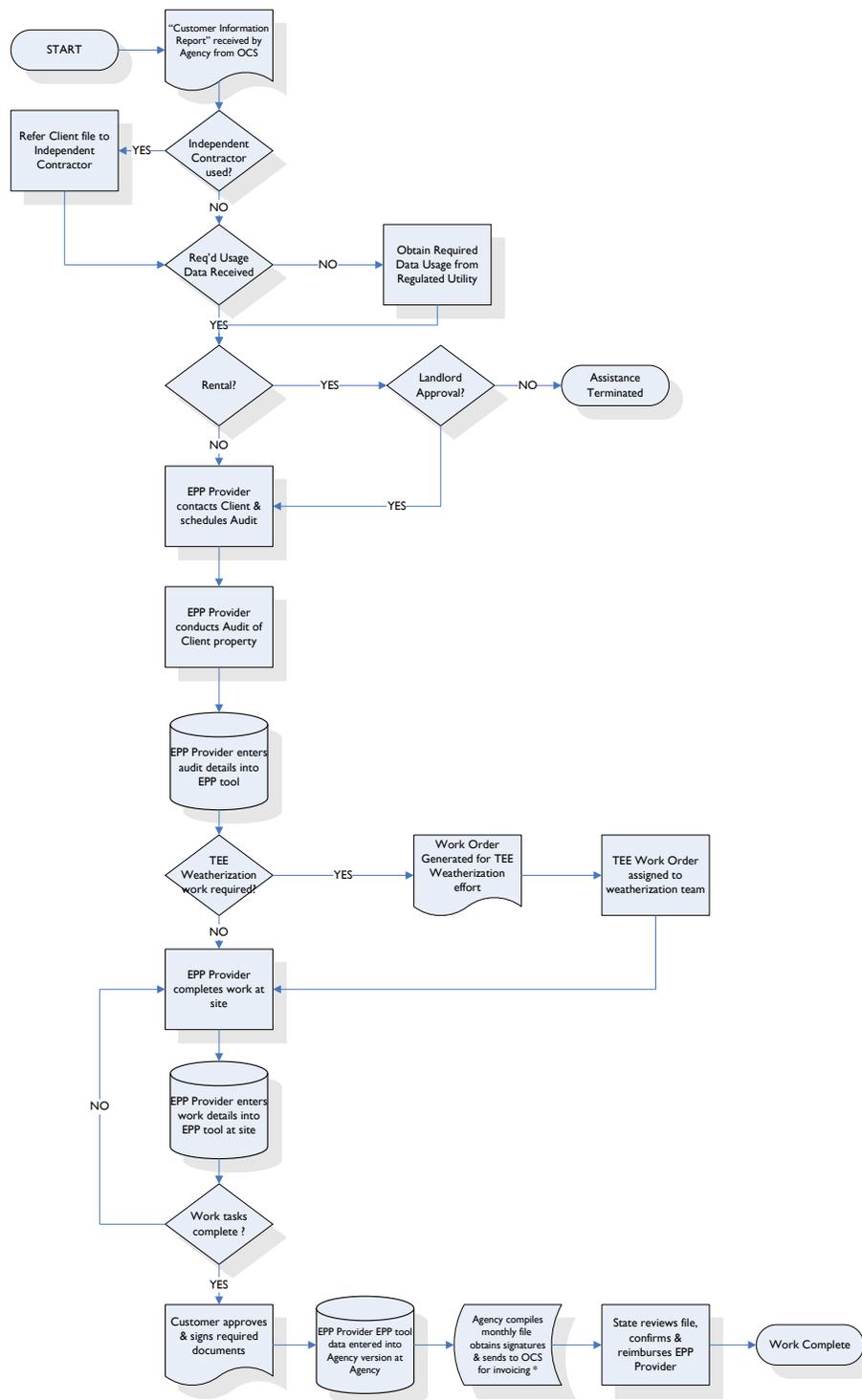
The existing business processes used to manage the Electric Partnership Program (EPP) are effective and work to enable the program's success. However - the technical processes surrounding the use of the existing licensed proprietary tool are inefficient in administering the program. The overall business requirement for the EPP application within OCEAN is to ensure that all of the data currently gathered, stored, and accessed from within the existing tool can be stored and accessed within OCEAN.

Working Off-line: OCEAN must possess the functionality that will allow all program administrators to perform all functions relative to EPP program dispensation while not connected to the internet. This process is defined within chapter 14.

Maintaining Current Processes: The assumption when capturing business requirements for EPP is that the current business processes would remain in effect. In instances where the business processes will change or, could be enhanced through the development and implementation of an EPP application into OCEAN, it is recommended that these business requirements be revisited referencing the new business processes.

17.1. Process Workflow

This process workflow is a visual representation of the current “As-Is” model. The model details only those processes which are common among all organizations that administer the EPP.



* Separate invoices are compiled, approved & submitted for TEE weatherization work

17.2. Budget Tool

17.2.1. OCEAN must maintain EPP budget details for each organization independently.

OCEAN must have the functionality to maintain current budget details for each EPP provider organization independently.

17.2.2. OCEAN must possess the functionality to perform calculations.

OCEAN must have the functionality to perform the calculations necessary to update all budget data once an activity is recorded as well as execute funding notifications.

17.2.3. OCEAN must possess the functionality to maintain historical record of all budget data.

OCEAN must maintain a historical log which captures all budget activity per organization per grant period.

17.2.4. OCEAN must possess the functionality to allow the Office of Community Services (OCS) to aggregate data.

OCEAN must permit OCS to aggregate data from the independent EPP provider organizations as needed for reporting.

17.2.5. OCEAN must possess the functionality to lock EPP budget details.

OCEAN must enable OCS with the ability to lock the budget tool per organization once the grant year has ended or, whenever needed for audit purposes.

17.2.6. OCEAN must allow data within the EPP budget tool to be viewed.

OCEAN must incorporate the functionality to enable individual organizations and OCS to view the current and historical data within the EPP budget tool.

17.2.7. OCEAN must allow data within the EPP budget tool to be printed.

OCEAN must allow screens within the data tool to be printed in order to capture the required approval signatures.

17.2.8. OCEAN must capture specific EPP Grant data.

OCEAN must capture EPP Grant details including but, not limited to:

- Grant Period
- Total Grant Award
- Total Amount of Grant Award per Utility
- Total Reimbursement Outstanding (reimbursement pending)
- Total Reimbursement Outstanding (reimbursement pending) per Utility
- Initial Cash Disbursement
- Initial Cash Disbursement per Utility
- Total Amendment Disbursement Amount
- Total Amendment Disbursement Amount per Utility

17.2.9. OCEAN must capture specific EPP budget activity data.

OCEAN must capture EPP budget activity data, including by not limited to:

- Total Cash Reimbursed Year-to-Date
- Total Cash Reimbursed Year-to-Date per Utility
- Total Year-to-Date Expenditures (OCS Form 702)
- Total Year-to-Date Expenditures (OCS Form 702) per Utility
- Total Available Grant Balance
- Total Available Grant Balance per Utility
- Date of Reimbursement
- Method Of Reimbursement
- Free text Field for Reimbursement Details

17.2.10. OCEAN must capture specific EPP expenditure activity data per utility.

OCEAN must capture EPP expenditure details including but, not limited to:

- Training Allocation
- Training Spend per Report Period
- Training Spend year-to-Date
- Balance of Training Allocation
- Computer Hardware/Software Allocation
- Computer Hardware/Software Spend per Report Period
- Computer Hardware/Software Spend Year-to-Date
- Balance of Computer Hardware/Software Allocation
- Program Operations Allocation by Baseload, Weatherization, Other
- Program Operations Spend per Report Period by Baseload, Weatherization, Other
- Program Operations Spend Year-to-Date by Baseload, Weatherization, Other
- Balance of Program Operations Allocation by Baseload, Weatherization, Other

17.2.11. OCEAN must possess the functionality to execute notifications regarding low funding.**17.2.12. OCEAN must have the ability to notify an individual EPP Provider when funding reaches a predetermined balance per utility and overall.****17.2.13. OCEAN must capture the EPP Provider Request for Proposal (RFP) document.**

OCEAN must have a method of capturing the actual RFP provided to the Office of Community Services by each EPP Provider for reference purposes.

17.2.14. OCEAN must capture the EPP Provider contract.

OCEAN must have a method of capturing the actual contract between OCS and each EPP Provider for reference purposes.

17.3. Client Intake

The EPP will use the basic client demographic details found within the initial OCEAN client intake screens. This includes but, is not limited to, the following: Client Details (demographics), Client Associations (family members), and Income Sources (eligibility determination).

17.3.1. OCEAN must have an EPP indicator.

OCEAN must have an indicator within the “Programs” section on the initial OCEAN detail screens which will navigate to the EPP application.

17.3.2. OCEAN must contain an EPP module.

17.3.3. OCEAN must contain an EPP screen.

17.3.3.1. OCEAN must fill Client Demographic details.

OCEAN must automatically populate the data from the initial intake screens in OCEAN directly into associated fields within the EPP application.

17.3.3.2. OCEAN EPP application must have an organization field.

The OCEAN EPP application must contain a field that indicates the organization that is administering the program.

17.3.4. Organization must have access to accurate electric utility data within OCEAN.

OCEAN must contain current utility-related data that is accessible by EPP provider organizations. This data will include at a minimum:

- Current PIPP Participants
- PIPP-eligible Clients
- Full Previous 12 Months of Utility Usage

17.3.5. Client account information from regulated utility companies must be updated on a frequent and consistent basis.

Organizations must have access via OCEAN to a list of PIPP and PIPP-eligible clients from the regulated utilities that is updated on a consistent basis. The recommendation is that the information is provided monthly.

17.3.6. The ability to identify and categorize usage must be incorporated into OCEAN.

OCEAN must possess the functionality to identify and categorize PIPP and PIPP-eligible utility customers from the information provided by the regulated utility companies into the following categories: Low (< 4,000 KWh), Moderate (4,000 – 6,000 KWh), High (> 6,000 KWh), and TEE (High Usage with >6,000 KWh heating/cooling).

17.3.7. Usage categories must be editable within OCEAN.

OCS must have the ability to edit usage category definitions for Low, Moderate, High, and TEE usage.

17.3.8. OCEAN must include a rental (“owner occupied”) property indicator.

OCEAN must possess an indicator signifying whether or not a property is “owner-occupied” to be included with the basic client demographic detail on the initial screens within OCEAN.

17.3.9. OCEAN must contain an intuitive forms library within the EPP application.

The EPP benefit will be administered using a single linear model which is agreed upon as a common practice by all program administrators including the Community Action Agencies (CAAs), Honeywell, COAD, and sub-contracted organizations.

17.3.9.1. OCEAN must contain all EPP specific forms requiring completion.

OCEAN must contain all of the forms relative to the management and administration of EPP including, but limited to:

- Installation Authorization
- Landlord Installation Authorization
- Landlord Site Visit Authorization
- Refrigerator and Freezer Order
- Site Visit Authorization
- Landlord Weatherization Agreement
- Suggested Action
- Budget Amendment Form

17.3.10. OCEAN must incorporate print functionality.

OCEAN must possess the functionality to print the EPP client intake application as well as any of the forms within the forms library that require signature approval.

17.4. EPP Audit**17.4.1. OCEAN must possess the ability to capture audit details.****17.4.2. OCEAN must enable audit details to be entered directly into the EPP client record.**

If auditors are able to connect to the internet while working remotely at a property site, OCEAN must allow the input of audit details directly into the EPP client record.

17.4.3. OCEAN must possess functionality to perform calculations.

OCEAN must have the functionality to perform various calculations that are used to determine the cost-effectiveness of administering program benefits.

17.4.3.1. The following information must be captured within the audit portion of the EPP client record in order to perform calculations:

Existing Data Elements in OCEAN:

- First Name
- Last Name
- Social Security Number
- Address
 - Street
 - Apt #
 - Zip
 - City
 - Account Number
 - Building Type
- Rental
- Landlord Information
 - Name
- Owner
- Utility
- Fuel Type
- Heat in Rent
 - County
- Annual Income
- Phone
- Household Demographic
 - Occupants
 - Disabled
 - Native Americans
 - Migrant Workers
- Phone
- Status

New Data Elements:

- Trip Type
- Trip Date
- Auditor Name
- Client Education Materials
- Free Text Field
- Measure
- Action
- Appliance
- Watts
- Hours
- Quantity
- Spring Rate (“Spring Rt”)
- Summer Rate (“Summer Rt”)
- Winter Rate (“Winter Rt”)
- Spring/Fall Auto-calculation
- Summer Auto-calculation
- Winter Auto-calculation
- Appliance
- Electric Energy Use kWh (Current)
- Electric Energy Use kWh (Proposed)
- Family Action
- Potential Savings
- Customer Signature
- Energy Manager Signature
- Energy Manager
- Referral Type
- Job Number
- Seasonal Electric Usage (Winter Usage, Summer Usage, Spring/Fall)
- Monthly To Seasonal Conversion
- Additional Information
 - Large Pond on site within 300’, surface area > Heated square ft and average depth > 10’ (radio button)
 - Pitched roof within 15 degree of solar south (radio button)
 - DHW drain with minimum 4’ of uninterrupted vertical height within 20 ft. of the water heater (radio button)
 - Electric furnace with ducts (radio button)
 - Natural gas on-site (radio button)
- Arrearage (free text, numerical)
- Payment (free text, numerical)

17.4.4. OCEAN must enable categorization of audit output activities.

OCEAN must allow each activity executed as a result of the audit finding to be categorized as a “Customer Action” or “Audit Measure”.

Existing Data Elements in OCEAN:

- Utility Name
- Account Number
- Customer Name
- Energy Manager

New Data Elements:

- Job Number
- Energy Savings for Installed Measure
- Annual Electricity Savings (kWh)
- Annual Dollar Savings
- Appliance
- New Hours
- Cost Effective
- Appliance Use Estimate
- Watt-hours Per Day (Spring/Fall, Summer, Winter)
- Annual Electricity Usage (kWh) Estimate
- Annual Electricity Cost Estimate
- Percent of Total Usage Estimate

17.4.5. OCEAN must enable calculations necessary to perform required analysis.

OCEAN must possess the functionality necessary to perform the calculations in order to complete various analyses including, but not limited to:

- Savings-to-Investment Ratio (SIR)
- 10% Gap Analysis (Summary versus Comparison)
- Annual Electricity Usage
- Annual Electricity Cost
- Percent of Total Usage Estimate

17.4.6. OCEAN must possess the functionality to prevent approval of a Measure with < 1.0 Savings-to-Investment Ratio (SIR).

OCEAN must have the functionality to disallow the submission of any Measure that does not have a SIR of 1.0 or greater.

17.4.7. OCEAN must include functionality to print analyses.

OCEAN must possess ability to print various analyses while not connected to the internet.

17.4.8. OCEAN must store historical analyses data.

OCEAN must possess the functionality to maintain historical analyses data for future reference.

17.4.9. OCEAN must enable analysis to be viewed.

OCEAN must enable organizations and OCS with the ability to view current and historical information within the client audit.

17.4.10. OCEAN must enable selection of funding sources at Measure level.

OCEAN must enable the selection of a funding source for each Measure indicated at the audit.

17.4.11. OCEAN must allow for invoice amount to be indicated at Measure level.

OCEAN must allow the total cost of each measure to be entered for each measure at the Measure level indicated at the audit.

17.5. Job Activities Log**17.5.1. OCEAN must support a Job Activities Log status function.**

OCEAN must provide ability to identify the status of job activities.

17.5.2. OCEAN must allow for each Measure to be listed separately.

Within the Job Activities Log, OCEAN must contain allow for each measure to be listed separately as an isolated event. For example – organizations could track installation of light bulbs separately from refrigerator delivery and installation.

17.5.2.1. OCEAN must enable each Measure to have independently associated status and status updates.**17.5.2.2. OCEAN must include installation date within status details.****17.5.2.3. OCEAN must incorporate the functionality to allow for free text notes to accompany each status event.****17.5.3. OCEAN must adhere to existing client record identification.**

OCEAN must incorporate existing client record identification (“job number”) for reference, tracking, and reporting purposes.

17.5.4. OCEAN must assign and associate an identifier to the existing client record.

OCEAN must assign a unique identifier to each client record within EPP and ensure that it is associated with any existing organization-level identifier(s).

17.5.5. OCEAN must capture and populate Audit findings.

OCEAN must possess functionality to capture Audit findings and populate them automatically within the appropriate fields within the Job Activities Log.

17.5.6. OCEAN must maintain historical Job Activities Log detail.

OCEAN must have the ability to store historical data from the Job Activities Log as well as enable organizations to retrieve and view that data.

17.5.7. OCEAN must incorporate print functionality.

OCEAN must possess the functionality to print current and historical Job Activities Log details.

17.6. Product Management Tracking

17.6.1. OCEAN must contain an “Inventory Cost & Standard Guide” for reference.

17.6.1.1. The “Inventory Cost & Standard Guide” must contain guidelines for all time and materials required to administer the EPP benefit.

The Inventory Cost & Standard Guide will be used as a reference for costs associated with the “installed measures” including time (labor) as well as other program fees which may be assessed. Further - the Inventory Cost & Standard Guide will provide guidelines to ensure that the installed measures meet with the energy efficiency standards identified within EPP.

17.6.1.2. OCEAN must enable the “Inventory Cost & Standard Guide” to be customized at organizational level by OCS.

The Inventory Cost & Standard Guide will be maintained and administered at the organizational level. OCEAN must enable organizations to populate and edit as needed.

17.6.2. OCEAN must allow for Savings-to-Investment Ratio (SIR) exclusion.

OCEAN must permit selection of a Measure for exclusion from the SIR calculation requirement.

17.6.3. OCEAN must maintain historical “Inventory Cost & Standard Guide” detail.

OCEAN must have the ability to store historical data from the Inventory Cost & Standard Guide as well as enable organizations to retrieve and view that data.

17.6.4. OCEAN must incorporate print functionality.

OCEAN must possess the functionality to print the Inventory Cost & Standard Guide details.

17.7. Invoicing

17.7.1. OCEAN must enable an organization to identify & submit EPP jobs for invoicing.

OCEAN must provide functionality that will enable each organization to identify and select their completed EPP jobs.

17.7.2. OCEAN must possess the functionality to prevent invoice submission once funding has been exhausted.

OCEAN must have the ability to halt invoice submissions to OCS once an EPP Provider’s funding has been depleted per utility and/or overall.

17.7.3. OCEAN must enable compilation of selected jobs.

OCEAN must possess the functionality to allow organizations to compile a single invoice for submission to the OCS on a monthly basis.

17.7.4. Invoice data must be available in a functional format.

The data for the monthly summary must be available in a format that can be compiled, output, and printed in order to obtain the required organization approval signatures from the Program Manager and Fiscal Officer.

17.7.5. OCEAN must allow invoicing based on Job Activities Log Measures.

OCEAN must allow invoices to be generated on a monthly basis according to funding sources as identified within the Job Activities Log Measures determined at the audit findings.

17.7.6. OCEAN must update the Job Activities Log line item with invoice status.

OCEAN must update the Job Activities Log per line item with invoice status detail once the invoice has been submitted to OCS.

17.7.7. OCEAN must screen invoice submissions via an eligibility calculation.

OCEAN must perform the Savings-to-Investment Ratio calculation to determine eligibility of each job for reimbursement by OCS via the invoice process.

17.7.8. OCEAN must possess functionality to indicate invoice processing status.

OCEAN must possess functionality to indicate the following invoice processing statuses:

- Invoice Received by OCS
- Invoice Payment Rejected (with Details) by OCS
- Invoice Payment Approved by OCS
- Invoice Payment Issued by OCS
- Invoice Payment Received by organization

17.8. Reports and Letters**17.8.1. OCEAN must provide the organization the ability to produce reports directly from the application.**

OCEAN must provide the organization with the functionality to access the data in a usable and consumable format as needed for reporting.

17.8.2. OCEAN must enable organizations, including OCS, to select jobs by organization and/or utility.

OCEAN must enable the selection of jobs by organization and/or utility for the purpose of reporting.

17.8.3. OCEAN must enable organizations, including OCS, to determine total spend per organization.

OCEAN must enable the determination of total spend relative to job cost by organization and/or utility for the purpose of reporting.

17.8.4. OCEAN must enable organizations, including OCS, to select jobs by referral code.

OCEAN must enable the selection of jobs according to referral code by organization and/or utility for the purpose of reporting.

17.8.5. OCEAN must enable organizations, including OCS, to aggregate Measures and Actions.

OCEAN must enable the selection of jobs according to Measure and/or Action by organization for the purpose of reporting.

17.8.6. OCEAN must enable organizations, including OCS, to compile a Client list.

OCEAN must incorporate the functionality to permit organizations and OCS to compile a list of clients by organization, county, and client demographic detail.

17.8.7. OCEAN must enable organizations, including OCS, to compile a list of jobs by status.

OCEAN must incorporate the functionality to enable organizations and OCS to compile a list of jobs according to their associated Job Activities Log status per organization.

17.8.8. OCEAN must enable EPP auditors to run the various analysis summaries.

OCEAN must enable EPP Auditors to perform a variety of analysis at the client site and record those results within the EPP client record, including but not limited to:

- Savings-to-Investment Ratio (SIR)
- 10% Gap Analysis (Summary Calculations versus Comparison Calculations)
- Annual Electricity Cost
- Annual Electricity Usage
- Percent of Total Usage Estimate

17.8.9. OCEAN must incorporate all letters necessary to facilitate the EPP program benefit.

OCEAN must include the functionality to create, complete, generate, and store the letters and forms necessary to administer the EPP program benefit including but, not limited to:

- Grant Agreement
- First Amendment to Grant Agreement
- Grant Information Form
- OCS Request for Budget

I 8. Home Weatherization Assistance Program (HWAP) Grant

The Home Weatherization Assistance Program (HWAP) is a federally funded low-income, residential, energy-efficiency grant program managed by the Office of Community Services (OCS). This office provides policy and oversight, secures/distributes funds to the HWAP providers and provides interface with federal funding agencies.

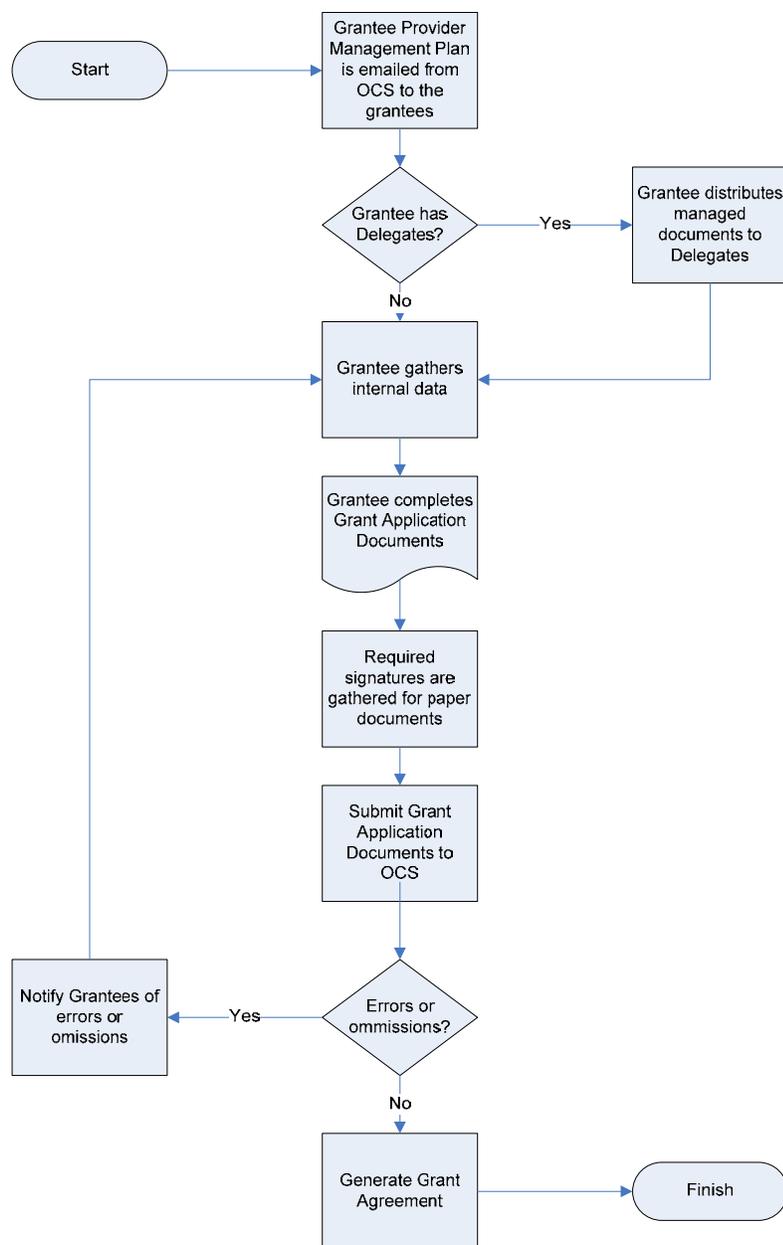
The focus of this chapter covers the business requirements for the HWAP Grantee Provider Management Plan (GPMP) Grant Application process. The GPMP grant application is completed on an annual basis along with a proposed budget by the HWAP grantees (35 in total). Three of these grantees also have a total of twenty-four (24) delegate providers.

The GPMP grant application business requirements are defined in the following sections of this document:

- Grant Workflow
- Grant Application Intake/Submission
- Grant Application Approval

18.1. Online Grant Workflow

This process workflow is a visual representation of the current “As-Is” model.



18.2. Grant Application Intake and Submission

18.2.1. OCEAN must provide the authorized user a real time view of the instructional and informational documentation contained in the HWAP GPMP and Grant Amendment documents.

Current grant application documents include:

- Office Department of Development (ODOD) Informational Cover Letter
- Documentation with ODOD Pre-Populated Grantee Budget Information
- Pre Instructions Documents
 - Budget Guidelines
 - EPP Low-Use Program Document
 - Plan Instructions
 - Planning Considerations
 - OWTC Cancellation Policy
 - GPMP Plan Year Document for Completing Budget Information
- Completion of Plan Documents
 - Contracting Attachment
 - Prior Approval Attachment
 - CDD Cost Principles Based Charges
 - Shared Equipment
 - Indirect Cost Charges
 - Delegate Information
 - Certification/Administrative Forms (Attachments F, G, J, K, L & M)
 - Grantee GPMP Operations/Attachment Document (pages 11-14)
- Post-Review Plan
 - GPMP Review Tool for the Grant Plan Year for OCS staff
- Grant Amendment Documents
 - Request For HWAP Budget Amendment Office of Community Services
 - Request For HWAP Budget Amendment Instructions
 - First Amendment to Grant Agreement
 - Grant Information Form
- Grant Agreement and Approval Cover Letter

18.2.2. Authorized users must have real time access to all applicable plan documentation for entering or updating data to complete the GPMP grant application.

18.2.3. OCEAN must provide for incremental completion of the GPMP grant application.

This will allow the user the capability to access and work on the application documents at various time intervals versus a single session.

18.2.4. OCEAN must provide capability to view previous historic GPMP application data for grant submissions.

This historic data needs to be accessible to the user for retrieval or reference purposes.

18.2.5. OCEAN must provide functionality to access and retrieve GPMP historic data for input into the new grant application.

This is for static information that does not change from each annual application intake process.

18.2.6. OCEAN must provide data feed or calculation functionality to complete the current applicable plan documentation.

18.2.7. OCEAN must provide functionality to submit/resubmit completed grant application.

18.2.8. User capability should obtain real time GPMP grant application status code.

Grant status codes will include, but are not limited to:

- Initial/New
- Pending/Incomplete
- Submitted
- Rejected
- Final Submission
- Approved
- Grant Amendment(s) Created
- Grant Amendment(s) Approved

18.2.9. OCEAN must provide notifications between OCS staff and grantees throughout the status changes within the GPMP grant application process.

18.2.10. OCEAN must provide users the capability to access OCS rejected GPMP grant application for issues detected during the review process that need corrected and resubmitted.

18.2.11. OCEAN must provide the authorized user access to the instructional and Request for HWAP Budget Amendment documents.

18.2.12. Authorized users must have access to the HWAP Budget Amendment documentation for entering or updating data for multiple modifications to initiate the amendment process for OCS approval.

18.2.13. OCEAN must provide the capability for the user to print and attach all completed documentation requiring signatures necessary to submit the GPMP grant application and amendments.

18.3. Grant Application Approval

18.3.1. OCEAN must provide access to authorized OCS staff to view, edit, and track submitted GPMP grant application and amendments.

18.3.2. OCEAN must provide OCS staff access to Grantee/Provider Management Plan Review document for entering issues detected during the review process.

- 18.3.3. OCEAN must provide functionality for multiple approvals of the submitted GPMP grant application.***
- 18.3.4. OCEAN must have capability to store current plan year final approved GPMP Grant Application for future retrieval and amendment purposes.***
- 18.3.5. OCEAN must provide functionality for OCS staff to access submitted HWAP Budget Amendment document for one or multiple modifications of the approved grant application throughout the year.***
- 18.3.6. OCEAN must provide functionality for OCS staff to access grant information documents and amendment to Grant Agreement document to enter or update data submitted on the Request for HWAP Budget Amendment.***
- 18.3.7. OCEAN must provide functionality for users to enter notes or comments throughout the GPMP application process.***
- 18.3.8. OCEAN must provide functionality for OCS staff to print document, acquire signatures, and release modified Grant Amendment to Grant Agreement to authorized grantee staff.***

19. HWAP Program Administration

The Home Weatherization Assistance Program (HWAP) provides services such as attic, wall, and basement insulation; blower-door-guided air leakage reduction; and other energy conservation services to help reduce low-income household energy use.

There are other weatherization funded programs from utility companies throughout Ohio that are administered for the low income clients at the local weatherization organization. This section covers the processes and requirements for state funded and utility sponsored weatherization programs.

The home weatherization service business requirements are defined in the following sections of this document:

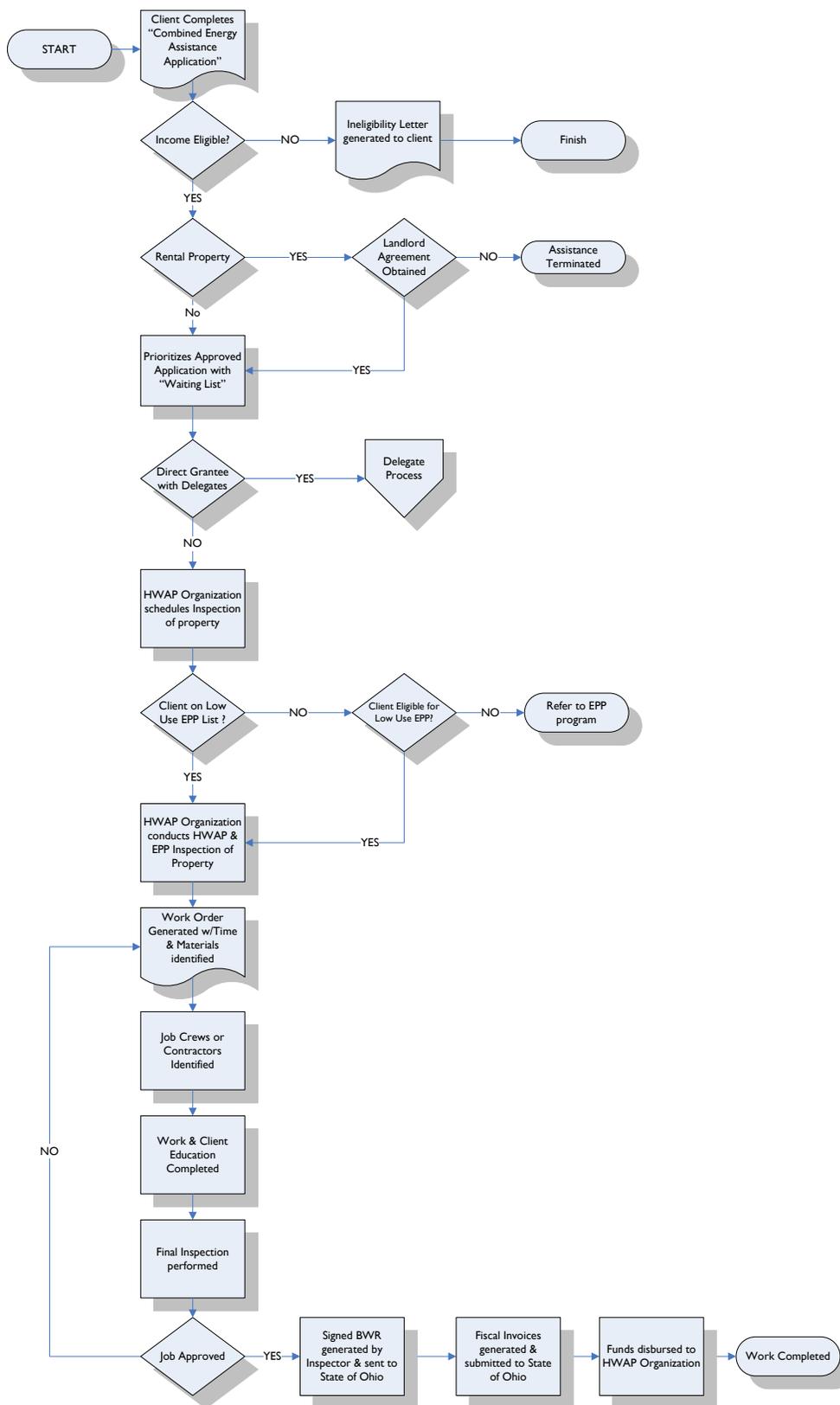
- HWAP Workflow Processes
- Program Set-Up
- Client Intake
- Initial Inspection
- Work Order
- Final Inspection
- Reports

19.1. HWAP Process Workflows

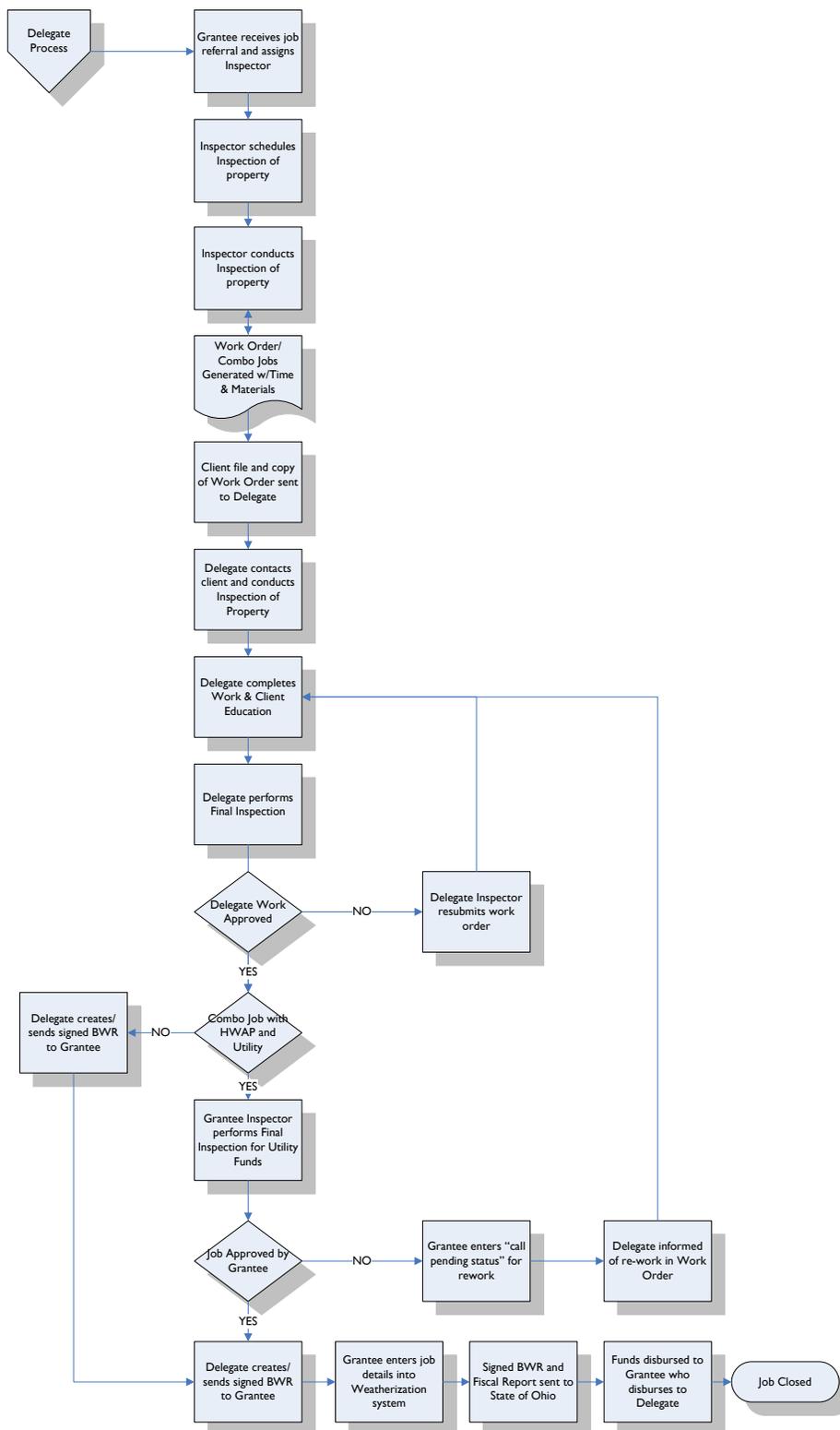
The following “As Is” workflows provide a visual of the current HWAP processes. These workflows detail only those processes that are common among the providers administering the HWAP program:

- HWAP Workflow (Direct Grantee)
- HWAP Workflow (Direct Grantee with Delegates)

19.2. Process Workflow (HWAP Direct Grantee)



19.3. Process Workflow (HWAP Direct Grantee with Delegates)



19.4. Program Set-Up

19.4.1. The HWAP module will be added to the OCEAN Programs section by the Office of Community Services (OCS) using the existing program set-up that is in OCEAN.

The program set-up data elements will include, but are not limited to:

- Program Name
- Program Purpose
- Program Services Provided
- Program Timeline(s): Service Period, Application Deadlines
- Start Date
- End Date
- Status
- Statewide Priority Point System

19.4.2. OCEAN must allow providers to customize the organization details within the program set-up.

19.4.3. OCEAN will allow providers to establish benefit service detail for the HWAP program.

The HWAP benefit service detail will include, but not limited to:

- Program Service Area
- Program Administrative Contact Name
- Program Administrative Contact Phone Number
- Program Administrative Contact Address
- Program Administrative Contact e-mail Address
- Program Administrative Contact Website

19.4.4. OCEAN will allow Providers to establish Funding Sources at an organizational level at initial program set-up.

19.4.4.1. To accommodate eligibility requirement changes, providers need to be able to edit the eligibility requirements field.

19.4.4.2. OCEAN will provide for online view of change log listing the eligibility changes.

19.4.5. OCEAN will allow providers to establish and customize a Priority Point system based on their established priority code category descriptions and points for each category.

19.4.6. OCEAN will allow Providers to establish and customize at an organizational level the specific Inventory Labor and Material Cost Basis Guidelines for the weatherization work.

19.4.7. OCEAN will be able to print the program set-up details.

19.5. Client Intake

Client Intake for HWAP will use and build on Phase I of the OCEAN client centric design modular used for the OCS Energy Assistance Programs. Clients currently select a checkbox on the Energy Assistance Programs application when applying for home weatherization services. The Energy Assistance Programs intake process dynamically consists of user data input to the OCEAN screens; Client Details (Demographics), Client Associations (family members), Utility Information, Landlord approval, and Income Sources for eligibility determination.

19.5.1. HWAP will use the existing OCEAN client intake web form with the indicator for when client applies for weatherization services.

19.5.2. OCEAN must be able to administer/view/manage a Priority Point system:

19.5.2.1. OCEAN must be able to calculate the client's total priority point rating based on the HWAP Provider's category priority codes and place on the provider's priority waiting list/report.

19.5.2.2. OCEAN must provide for real time view of the client's total weatherization priority points on the client intake web form.

19.5.3. OCEAN must be able to display the historical property data when a unit has received home weatherization services.

19.5.4. OCEAN will display the name of the utility program if the client has received weatherization services from one of these programs.

19.5.5. OCEAN must allow for an override/denial option for determining eligibility when units have previously received home weatherization services.

19.5.6. OCEAN will display the current utility-related data for gas and electric usage for the previous 12 months and determine if EPP Low Use or EPP High Use applies.

19.5.7. OCEAN must provide capability to show if property is client-owned or rental requiring landlord approval prior to auditing the property.

19.5.8. OCEAN must include functionality to determine client eligibility for the home weatherization application.

19.5.9. OCEAN must provide functionality for view of application status.

19.5.10. OCEAN must provide the capability to enter free text notes regarding client information.

19.5.11. OCEAN must provide the capability to filter and view notes by full text comment type category index.

19.5.12. OCEAN must provide for ability to print blank intake application from OCEAN to be given to client or sent regular mail.

Also, display the link for energyhelp.ohio.gov to retrieve application forms.

19.5.13. OCEAN must provide for ability to print static OCEAN application for updating information that can be handed to client or sent regular mail.

19.5.14. OCEAN must provide for ability to print completed OCEAN intake application for signature purposes or client records.

19.6. Initial Inspection

During the Client Intake process, HWAP Providers determine a client's eligibility point rating score and place the client on a priority list. This list is used to contact the client to set up an appointment for the initial inspection. The Inspector records the initial inspection information on the HWAP Data Collection Documents.

19.6.1. OCEAN must allow for multiple unit inspections conducted by multiple organizations.

19.6.2. OCEAN must provide a Work Order Checklist to view and enter data to identify and track gaps during the job process.

19.6.3. The Work Order Checklist must contain an Other field to identify data not noted on the checklist that needs to be captured for reporting purposes.

19.6.4. OCEAN must automatically populate client demographic fields from initial Client Intake screen into the Inspection screen.

19.6.5. OCEAN must provide capability to enter all information that is required for the unit on the entire HWAP Data Collection document for the initial inspection.

For example:

- Household Information
- Building Information
- Consumption Information for BTUs Per Year
- Back Draft Tests
- Heating System Information
- Gas Oven Information
- Water Heater Information
- Blower Door Testing
- Pressure Pan Testing
- Room-To-Room Pressure Testing with the Distribution Fan On
- Mechanical Exhaust
- Evidence of Moisture Problems/Related Medical Conditions such as Asthma/Bronchitis
- Sidewall Insulation Measurement Elements
- Floor Insulation Measurement Elements

- Mobile Home Elements
- Sidewall Calculation Formula for Cellulose Usage Amount
- Attic Insulation Elements
- Attic and Roofing Knee Wall Measurement Elements
- Electrical Service Information (Comments Section after this one)
- Air Conditioning
- Compact Fluorescent Bulbs Info if participating in Electric Efficiency Program
- Waterbed Information
- Refrigerator/Freezer Information
- Mobile Home Inspection Electrical/Air Conditioning Information
- Building Diagram and Description of Floor Plan and Elevation Site Plan
- Data Collection Form Composite Sheet for Funding Information
- Building Check Job Order Sheet of Work to be Completed
- Materials and Crew Labor Composite Sheet
- House Diagnostics Data Collection Form for various Tested Zone Methods
- Worst Case Draft Form for various Testing Options
- Building Type Classification and Description Categories, Permanent Parcel Number and Ward Number
- NEAT Audit

19.6.6. OCEAN must provide capability to print all HWAP documents for signatures or informational distribution.

The following utility sponsored forms will be included, but not limited to:

- Client Information Guide for Receiving Home Weatherization Services
- Contractor Insulation Certification Document
- Homeowner/Authorized Agent Certification
- Apparent Temperature (Relative Humidity/Temperature Ranges)
- Landlord/Tenant Rental Agreement
- Energy Savers Partnership Plan (EPP) Provider/Client Certification Agreement
- Liability Release Form Signed by Property Owner
- Client Signed Acknowledgment of Receipt of Lead-Based Paint Pamphlet
- HWAP Mold Assessment and Release Document
- Utility Sponsored Inspection Packet Document Samples:
 - Warm Choice Authorization (varies based on utility company)
 - Columbia Gas of Ohio Liability Release of all Claims
 - Housewarming Furnace Replacement Document
 - Conservation Program Job Close-Out Document
- Sidewall Insulation Authorization

19.6.7. OCEAN must provide functionality to generate client documentation when the initial home inspection determines there are existing unsafe conditions.

19.6.7.1. This document states that services are being deferred along with a detailed list of exactly what repairs or changes must be made before weatherization services can be provided.

19.6.7.2. OCEAN must inform the client that when the repairs are completed, the client may request that weatherization resume under the original application.

19.6.8. OCEAN must allow for printing of Initial Inspection with partial completion information as well as completed information for client record.

19.7. Work Order

19.7.1. OCEAN must provide the functionality to create a Housing Unit ID and Work Order Job Number for tracking and reporting based on unit address for completed units.

19.7.2. OCEAN must allow search functionality by Housing Unit ID and Job Number ID.

19.7.3. OCEAN must provide functionality to enter multiple jobs on same work order at a site with multiple units.

These jobs need to be managed and tracked independently.

19.7.4. OCEAN must provide status functionality.

HWAP Work Order statuses will include, but are not limited to:

- Approved
- Denied
- Pending
- Suspended
- Reactivated
- Referred
- Closed

19.7.5. OCEAN must provide capability to document notes and comments around a Work Order status.

19.7.6. OCEAN must provide capability to document client refusal and date of refusal when the client will not allow a required weatherization measure to be performed.

19.7.7. OCEAN must provide capability to create Job Material Requisition document per individual job number.

Job Material Requisition document details will include, but are not limited to:

- Material Requisitioned
- Installed
- Returned
- Work Task Code

19.7.8. OCEAN must provide the capability to track utility company job referrals such as Columbia Gas WarmChoice and Dominion HouseWarming.

19.7.9. OCEAN must provide capability to create Material Packing List of inventory items that need to be loaded on vehicle for the job.

19.7.10. OCEAN must be able to generate a Work Order and Purchase Order Request document to be provided to the Contractor detailing the work to be performed at a task level for labor and material cost.

19.7.11. OCEAN must allow for Inventory tracking to be updated at the Provider level for each Job Material Requisition document.

19.7.12. OCEAN must allow for Inventory tracking to be updated per Work Order based on used and unused inventory.

19.7.13. OCEAN must be able to identify and calculate daily Work Costs per funding and per program.

The daily Work Costs will include, but are not limited to:

- Work Crew Hours
- Crew Names
- Inventory Costs (qty, unit costs, contractor costs, units used/returned)
- Crew Wages (or hourly rate)
- The Work Order Cost details must be Provider security level role based
- Comment Section

19.7.14. OCEAN must allow work order inventory to be tracked at a specific labor cost task level basis dependent on the funding source paying for the service provided.

19.7.15. OCEAN must link the Work Order tasks and materials back to the identified funding sources.

19.7.16. OCEAN must provide for the rollup of the total costs at the Work Order level.

19.7.17. OCEAN must provide functionality to capture Contractor's Work Order Invoice for time and material cost and the funding sources used.

19.8. Final Inspection

Once the weatherization job has been completed as defined on the Client Work Order, the HWAP Providers complete the Building Weatherization Report (BWR) signifying that the weatherization service is complete and approved.

19.8.1. OCEAN must allow for multiple inspections to be provided by multiple organizations.

19.8.2. OCEAN must provide the capability to reactivate the Work Order along with notes and comments for tasks that fail during the final inspection.

19.8.3. OCEAN must allow for the reopening of a closed Work Order along with the notes and comments for the originally omitted tasks.

19.8.4. OCEAN must provide the capability for provider to identify and submit Work Orders for invoicing and submission based on Work Order job completion for material installed, material cost, and labor cost.

19.8.5. OCEAN must provide capability to define client satisfaction of work performed be completed online.

19.8.6. OCEAN must provide for client follow-up survey letter to be generated at a specified timeframe after the job has been completed for quality assurance.

19.9. Reports and Letters

OCEAN must provide the capability to produce reports and letters for all relevant data for client such as landlord rental property agreement, property work order audit information, funding, and provider inventory tracking.

19.9.1. OCEAN will provide the functionality to create and add all of the HWAP reports, forms and letters to the system.

These reports, forms and letters will include, but not limited to:

Name	Description
Management Summary	Overview of the activity for the month
Monthly Expense Report	Monies spent on inventory
Monthly Production Report	Detail of the activity for the month
Client Eligibility Letter	Eligibility/Priority List Rating Information
Client Denial Letter	Letter explaining weatherization denial reason
Client Un-safe Unit Letter	Letter detailing reason work is being deferred
Client Letter	Letter explaining weatherization work done
Client HWAP Application Closed	Letter sent due to lack of landlord response
Client Job Satisfaction List	Completed by client when job is finished
Client Survey Letter	Follow-up regarding job quality status or issues
Priority List	List of clients ready for work to be performed
Building Weatherization Report (BWR)	Detailed unit description of work performed
BWR-R Reports	Detailed description of rework performed
Reopened Work Order	BWR generated due to rework requirements
Job Cost Report	Detailed job analysis of hours/materials used
Job Cost Summary	Monthly summary of client data and job costs
Inventory on Hand	Quantity/cost of the Organization's inventory
Material Packing List	List of material to load on vehicle for job
Inventory Adjustments by Date Range	List of changes to inventory over time

Name	Description
Jobs Appearing in MPR Summary	Jobs and costs in the current MPR
Monthly Production Report Audit	Demographic details for homes
HWAP Results by Subgrantee	Minimum/actual units by subgrantee
Utility EPP Usage by Subgrantee	List of units paid by utility and grantee
Weatherization Status Report	Summary of agency projected versus actual
Utility Sponsored Agency Production	Projected and actual for specified utility weatherization program
Billing Report	Invoices to utilities for USF jobs
Rental Referral Heating Unit Cost	Cost Estimates for all Rentals
Heating Cost Estimates for One Rental	Cost Estimates for one rental at a time
Single Heating Unit Contractor Report	Job data detail by date for single Contractor
All Heating Unit Contractor Summary	Job data detail by date for all Contractors
All Weatherization Contractor Summary	Job Cost for all Referred Contractors by date
Gas Stove Billing Report	Invoice for gas stoves installed for a date range
Labor Composite Sheet	Breakdown of labor cost for a job number
Materials Over/Short Report	Number over or short of inventory
Labor Summary	Crew work hours by work performed
GPMP Approval Letter	Cover letter that goes with grant agreement
GPMP Grant Agreement	HWAP agreement between ODOD/Grantees
Weatherization Applicant Report	Report of current weatherization applicants
Daily Crew Time Record	Report of hours/tasks/inventory for job
Client Job Satisfaction Report	New for client responses of jobs performed
Grant Monitoring Report	New report for OCS monitoring information

20. Activity Tracking System

The Ohio Energy Office (OEO) Activity Tracking System (OATS) is a Microsoft SQL Server database with a FoxPro front end owned by the OCS. This system stores Home Weatherization Assistance Program (HWAP) financial information (such as budgets and expenditures) and production information (such as client demographics, inventory values, tracking of labor hours and materials installed per unit, and completed unit housing information). OATS consists of two HTML web-based reporting tools known as HWAP Production Reporting System and HWAP Financial Reporting System.

Currently, the weatherization organizations use a variety of options such as Vendor software, Microsoft Office, in-house developed applications, and manual documents for tracking and reporting production and financial data. This data is then uploaded monthly to these two web-based systems and sent to OCS via the OATS website.

These reports create the Monthly Production Report that is used by the State of Ohio showing the activity detail for the month.

The OATS business requirements are divided into the following category sections:

- HWAP Monthly File Transfer
 - HWAP Monthly Production E-File Transfer – all Grantee and Delegate Weatherization Organizations.
 - HWAP Monthly Fiscal Reporting – 35 Grantees
- HWAP Reports

20.1. HWAP Monthly E-File Transfer

OCEAN must allow for file transfers directly into OCEAN for the weatherization organizations that maintain their current software as described above for HWAP processing.

20.1.1. Production Electronic File Transfer

All weatherization organizations will upload and submit their monthly production Building Weatherization Reports (BWR) of the clients completed and in-progress housing units into the OCEAN database. The following reports create the Monthly Production Report that is used by the State of Ohio showing the activity detail for the month:

- BWR-S-E-Monthly Report
- BWR Multi-Family E-Monthly Report
- BWR Attachment
- BWR Revised E-Monthly

20.1.2. Financial Electronic File Transfer

The thirty-five (35) weatherization grantees will submit and report reimbursement expenses for financial reporting to the OCEAN database. The financial reports are used for organization reimbursement from OCS.

20.2. Requirements

20.2.1. OCEAN must accept the current OATS vendor file import functionality for on-going monthly production and financial reporting.

Refer to the Technical Requirements document for the OATS file structure and other import requirements.

20.2.2. The OATS file import layout will be updated and altered to include additional weatherization data elements.

20.3. Reports and Letters

20.3.1. OCEAN must provide functionality to create all OATS reports.

The OATS reports will include, but are not limited to:

Report	Description
State File	Export of data for a month to the state
Audit Trail Export	Fixed-length file with clients/work performed
Client Export	Fixed-length file of all clients
Job and Client Export	Fixed-length file with clients/work performed
HWAP Grant Status Report	Summary of funds used by sources/projects
All Code Referrals Report	Utility referrals to agency for service
Monthly Production Summary Report	Quantities of jobs done by job type
Monthly Production Delegate Summary Report	Quantities of jobs done by job type by Delegates
Financial Reimbursement Request Report	Budget detail by code type for completed production
HWAP Monthly Report	Labor/Health/Safety Inventory for projects
PINS 1 Report	OEE HWAP Completed Units Production Report
PINS 2 Report	OEE HWAP Unit Labor Production Information
PINS 3 Report	OEE HWAP Unit Inventory Production Information
Grantees Blower Door Reports	6 Month/12 Month Pass/Fail Job Number details
Grantees OVERALLS Reports	Various reports for all housing type pass/fail details
Materials Accountability Analysis Report	Grantees Inventory/Materials Expenditure
Federal Weatherization Reports	Production/financial data for Department of Energy

20.3.2. OCEAN will provide the capability to access and print reports at the organization relationship level.

20.3.3. OCEAN will provide the capability to perform simple calculations required to produce the various reports.

OCS staff use these reports and enter the specified production and financial data into the Vendor WinSaga software to meet the federal Department of Energy (DOE) reporting requirement.

21. OCEAN Phase I Enhancements

These enhancements will be implemented as part of the Phase II project.

21.1. Requirements

21.1.1. Revise the Determination process, which is currently a Microsoft SQL Server process into a class-based, encapsulated distributable process.

21.1.1.1. The determination process will be recoded into a business tier operation from the current data tier operation.

21.1.1.2. The determination process will be able to be used as part of a batch process and an on-demand service as needed.

21.1.1.3. The determination process will perform all tasks of the existing process.

21.1.1.4. New program business rules will be supported by the revised determination process.

21.1.2. With the new Determination process, implement asynchronous, near-real time official determination.

21.1.2.1. If business rules dictate, the determination process will run in real time as the application is being completed.

21.1.2.2. The application system will update the status screen asynchronously when there is enough information in the client application to run determination.

21.1.3. Revise the Payment Batching process, which is currently a Microsoft SQL Server process, into a class-based, encapsulated distributable process.

21.1.3.1. The Payment Batching process will be recoded into a business tier operation from the current data tier operation.

21.1.3.2. The Payment Batching process will be able to be used as part of a batch process and an on-demand service as needed.

21.1.3.3. The Payment Batching process will perform all tasks of the existing process.

21.1.3.4. New program business rules will be supported by the revised payment batching process.

21.1.4. Overlay a Business Object model over the existing OCEAN tables, for use in the user interface.

21.1.4.1. Significant business entities, as described in the Systems Architecture section of the Technical Requirements document, will be made into business objects for use by the user interface.

21.1.4.2. The user interface will be altered to update these entities using the business objects rather than direct interaction with the database.

21.1.4.3. The Determination and Payment Batching processes will integrate the new objects.

21.1.5. Implement a data archiving process.

21.1.5.1. Applications older than a configurable date will be archived.

21.1.5.2. Archived applications will be removed from the transactional system.

21.1.5.3. Archived application details will be removed from the data warehouse.

21.1.5.4. Determined application instances (the fact that a person received a service) will not be archived from the data warehouse.

21.1.6. Implement an OCEAN Inbox feature with information that is user and/or organization specific.

21.1.6.1. This feature will provide user specific notifications from a menu within the OCEAN navigational structure.

21.1.6.2. Open applications assigned to the user will be the OCEAN Inbox.

21.1.6.3. If the user is marked as the next user in a workflow for a grant or reporting process, that fact will be noted in the invoice.

21.1.6.4. A list of the five most recent applications taken will be in the OCEAN Inbox.

21.1.6.5. System wide or organizational announcements are included.

21.1.7. Refine the Search screen usability to reduce Social Security Number (SSN) collisions.

21.1.7.1. Client search will intelligently compare individual fields in the case of no exact match.

21.1.7.2. A number of options will be displayed before the add screen is presented.

21.1.7.3. In the case of a true collision, the user will be given the option to remove the SSN from the older record and place it in case review.

21.1.8. Rewrite specific pages using contemporary AJAX.

21.1.8.1. Sections will be tabbed rather than collapsible.

21.1.8.2. Grids will be populated with AJAX-compliant XML.

21.1.8.3. Popup boxes and notifications will be replaced with floating windows.

21.1.8.4. Validation will not require post back.

21.1.8.5. Lists that are awaiting data for update will be clearly marked as such.

21.1.9. Provide a facility to resend applications to utilities.

21.1.9.1. In accordance with the utility interface, daily records of applications marked as not being received will be reportable.

21.1.9.2. Applications not received will be batched and resent to representing utility company.

21.1.9.3. Resent applications will be marked as 'resent'.

21.1.10. Add a 'last touched date' and the username of the user who made the change to important existing tables.

21.1.10.1. Date should be automatically inserted by the database.

21.1.10.2. Username will be retrieved from the security system.

21.1.11. Rewrite the system use of the term 'expiration date'. The use is inconsistent.

21.1.11.1. It is required that the term 'expiration date' be more carefully defined, and replaced with a more specific term.

21.1.11.2. The 'expiration date' will be changed in appropriate tables, and replaced with the new more declarative term as decided in design.

Table	Column
tblAdditionalBenefit	ExpirationDate
tblAgencyReplenishment	ExpirationDate
tblAppProgramEnergySourceStopReason	ExpirationDate
tblAppProgramStopReason	ExpirationDate
tblAuditClientAddress	ExpirationDate
tblClientAddress	ExpirationDate
tblClientAppProgram	ExpirationDate
tblClientIncome	ExpirationDate
tblClientIncomeAppProgram	ExpirationDate
tblClientPhone	ExpirationDate

Table	Column
tblClientRelationship	ExpirationDate
tblContact	ExpirationDate
tblContactAddress	ExpirationDate
tblContactOrganization	ExpirationDate
tblContactPhone	ExpirationDate
tblEnergySource	ExpirationDate
tblOrganizationAddress	ExpirationDate
tblOrganizationContact	ExpirationDate
tblOrganizationPhone	ExpirationDate
tblOrganizationRelationship	ExpirationDate
tblPayStopReason	ExpirationDate
tblProgram	ExpirationDate
tblProgramFundingSource	ExpirationDate
tblVoucherPayment	ExpirationDate
tblVoucherPayPullReason	ExpirationDate
tblVoucherPayReturnCode	ExpirationDate
tblWarrantPayReturnCode	ExpirationDate
uvApplication	ExpirationDate
uvClientRelationship	ExpirationDate
uvEnergySource	ExpirationDate
uvProgram	ExpirationDate

21.1.12. Change the income source collection mechanism so that income is related to an application, rather than a client and is able to be marked for expiration.

21.1.12.1. When income is added to OCEAN it will be attached to an application and not a client.

21.1.12.2. Income should now be added to the household set-up page, there will be an 'Add Income' button above the income section of the household set-up page.

21.1.12.3. Whenever income is added it will add to the household income calculation on the household set-up page; for example 30-day, 90-day, and 1-year income totals.

21.1.12.4. Allow users to delete income in OCEAN.

21.1.12.5. A 'delete income' button will also be added to the income pop-up (or income edit) page to allow the user to delete income for an application.

21.1.12.6. Whenever income is removed it will be removed from the household income calculation on the household set-up page; for example 30-day, 90-day, and 1-year income totals.

21.1.12.7. The user will be allowed to add an income deduction to the application.

21.1.12.8. *Income Deduction will be a separate button on the household set-up page to allow the user to add a deduction to the application.*

21.1.12.9. *Income entered as a deduction will be subtracted from the client's other income, but the client should never have negative income, their income should be zero.*

Other income examples include, but are not limited to:

- Child Support Paid
- Health Insurance Paid

21.1.12.10. *Pay date of the income will be available on the Household set-up.*

21.1.13. *All changes to customer applications made after determination require a note of explanation.*

21.1.13.1. *User notes will be required for anything that alters the state of an application.*

21.1.14. *Provide the ability to attach a digital document to records through the web interface.*

21.1.14.1. *Attaching a digital document to a client record will be accomplished through the user interface.*

21.1.14.2. *There will be a list of attached documents, with date, document type and user who attached the document, in date order.*

21.1.14.3. *There will be a button that allows the user to browse their local machine for a document and then save it to the OCEAN server.*

21.1.14.4. *OCEAN will limit the size and type of attachments.*

Supplement 3

OCEAN Phase II

Technical System

Requirements

Technical Requirements: **OCEAN Phase II**

May 8, 2009

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I. High Level Overview

This Technical requirements document is designed to define the environment in which a software application is to be built. It defines the technical rather than the business needs for the product, such as, scalability, security, extensibility and integration.

I.1. General Description

The Ohio Department of Development manages state and federal grant funds for community service and energy programs that are directed by Community Action Agencies (CAA) and other organizations. Office of Community Services (OCS) developed OCEAN, a web-based software package that provides for client intake, determination and reporting.

Because of the overwhelming success of OCEAN, Phase II will expand for more program service offerings, including features for weatherization, community service, and electric use reduction programs.

I.2. Program Objectives

The goal of Phase II is to provide for agency programs and additional application wide features. The programs are:

- Weatherization Programs
 - Home Weatherization Assistance Programs (HWAP);
 - Utility sponsored programs;
- Electric Partnership Program (EPP);
- Community Service Programs
 - Community Services Block Grant (CSBG);
 - Community Services Not Funded by CSBG;
 - Results Oriented Management Accountability (ROMA) Reporting; and,
- OCEAN Enhancements.

I.3. Document Overview

This document includes non-functional requirements for OCEAN Phase II for the above programs.

I.3.1. Technical Requirements

The technical requirements document includes:

- Security controls
- Database design
- Data inputs and outputs
- Load requirements

2. Reference Architecture

The reference architecture represents an 'As - Is' map of OCEAN Phase I. This section provides an overview of existing development environments, user-side arrangement and database objects.

OCEAN Phase I is a two-tier, client-centric web application, primarily written using Microsoft tools and Cognos reporting. The existing application architecture is sufficient to support the production and development environments, but the current reporting subsystem does not scale to future needs and will be replaced in Phase II.

The application is currently in active development, and there is a maintenance staff that is adding features on an ongoing basis. The application has a two month build cycle with business-rule-driven hot fixes being implemented regularly.

Between the procurement process and the start of the OCEAN Phase II project, the reference architecture may change. Features that are listed in this document for inclusion in Phase II might be completed by onsite staff as part of Phase I. For instance, SQL Reporting Services might be installed and some reports converted before the start of the project.

2.1. Development Environment

The current development environment is a well-structured system with a development, test and production layer. Developers work on local machines with code checked out from Visual SourceSafe and local databases for development. There is an intermediate SQL Server in the test environment which is used for checking interaction with existing data functionality. Applications are built centrally using nant and deployed to a central User Acceptance Test environment that is also used for training.

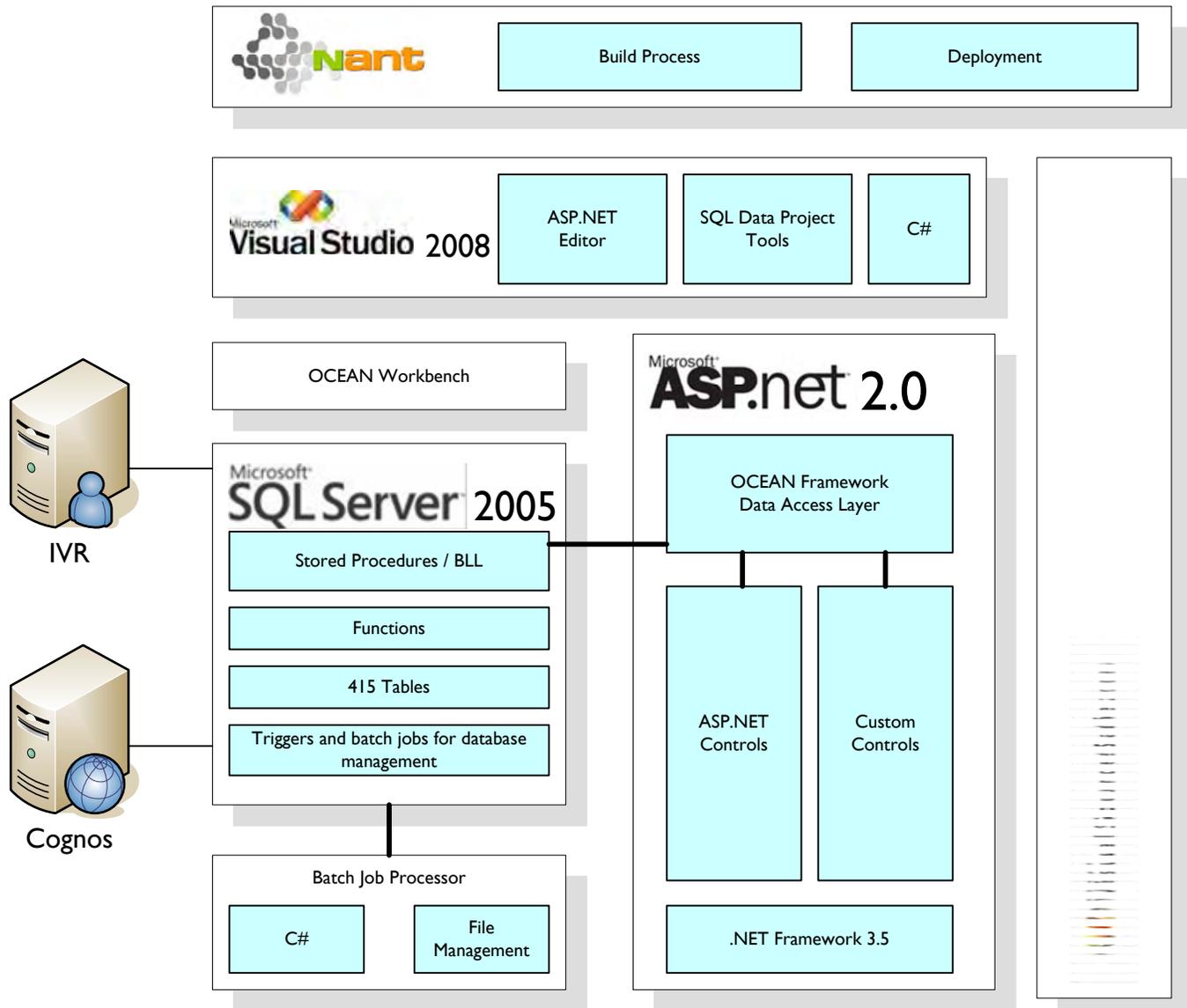


Figure 1: Current Development Environment

The IVR and COGNOS environments are standalone applications with their own development and deployment environment.

The OCEAN Workbench is a homegrown tool used to manage the tremendous amount of SQL Server code – both T-SQL stored procedures and functions – that are being developed separately, on many different developer workstations.

2.2. Runtime Environment

In runtime, the OCEAN system appears to the user as a traditional, internet accessible web application. The reporting subsystem interfaces with the user interface using the COGNOS Web viewer, but the user must exit the OCEAN environment to use the reporting system. Many of the reports are currently in HTML to get around this limitation.

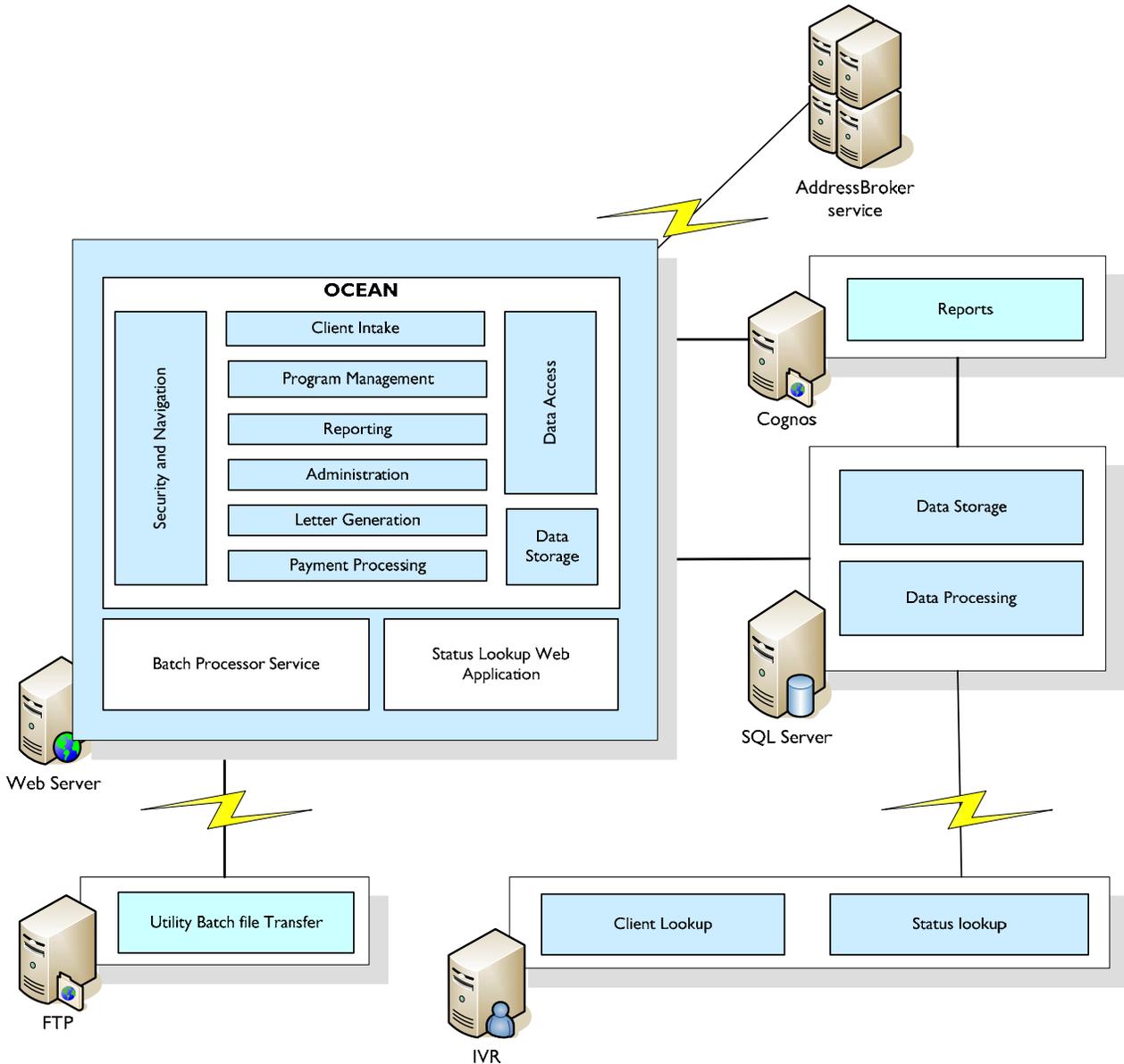


Figure 2: Current Runtime Environment

The FTP system is logically a separate process from OCEAN, as is the IVR. The batch processor handles the data movement among the separate systems.

2.3. Database

The database layer encapsulates the majority of the business logic in the system. There are 415 tables in a highly normalized third form SQL Server 2005 database and 469 stored procedures that have significantly complex business logic code. Phase II will define a methodology of database development and scalability that will not complicate the environment between the two phases. The existing database is shown here for completeness:

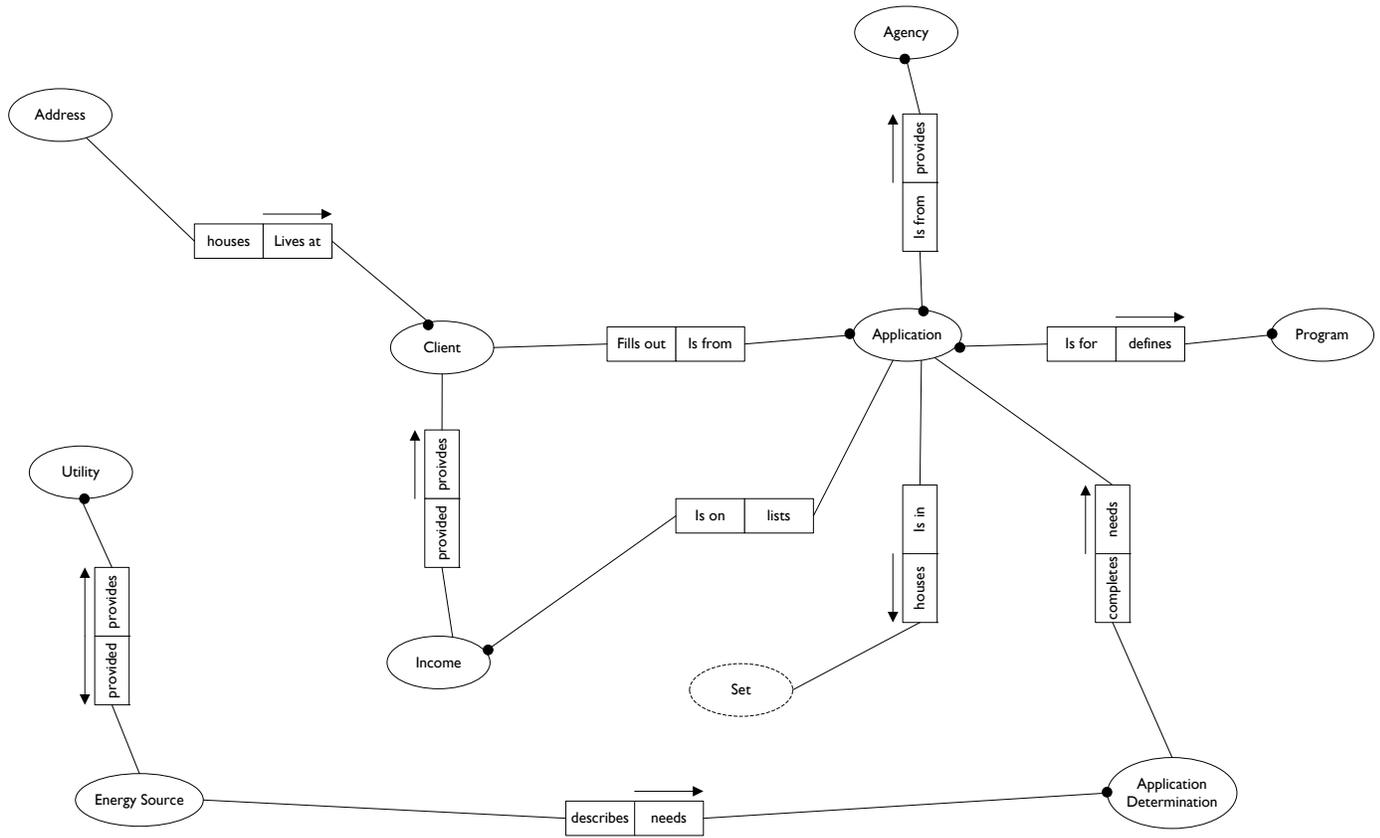


Figure 3: Current OCEAN Object Role Model

While the overall scheme of relationships in the existing database is very straightforward, the depth of normalization and openness to change within the schema is significant. Each of the concepts above has as many as twenty component parts.

By way of example, here is an entity relationship diagram (ERD) of the Program entity in the “Current OCEAN Object Role Model” above:

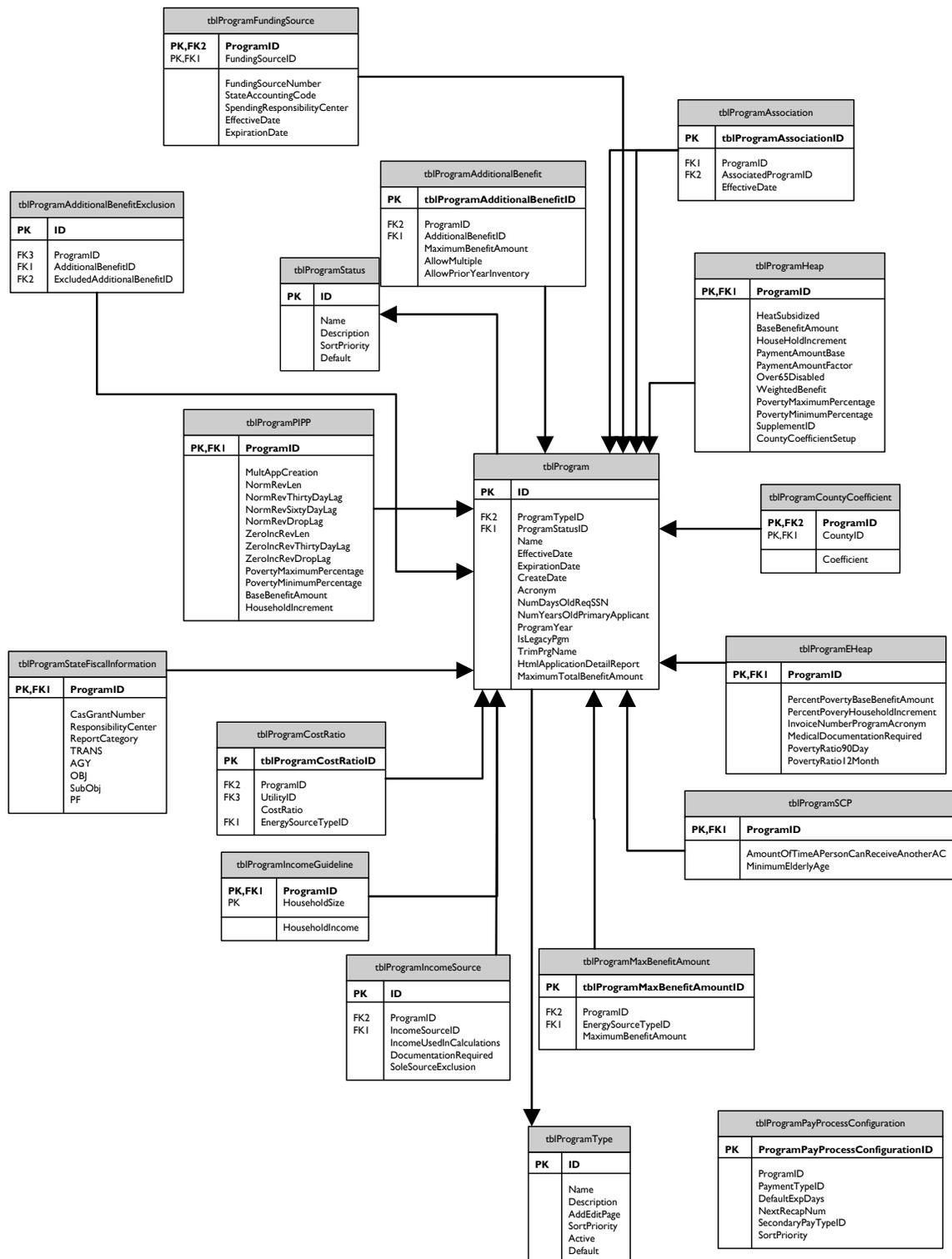


Figure 4: Program ERD

3. System Architecture

The System Architecture described in this section is the 'To Be' architecture that is composed of the development, runtime, and data environments as they will be implemented in the new system.

3.1. Development Environment

The current development environment is MSBuild-centric. Additionally, the reporting services and IVR have been integrated into the total application space, so they appear in the development environment as well.

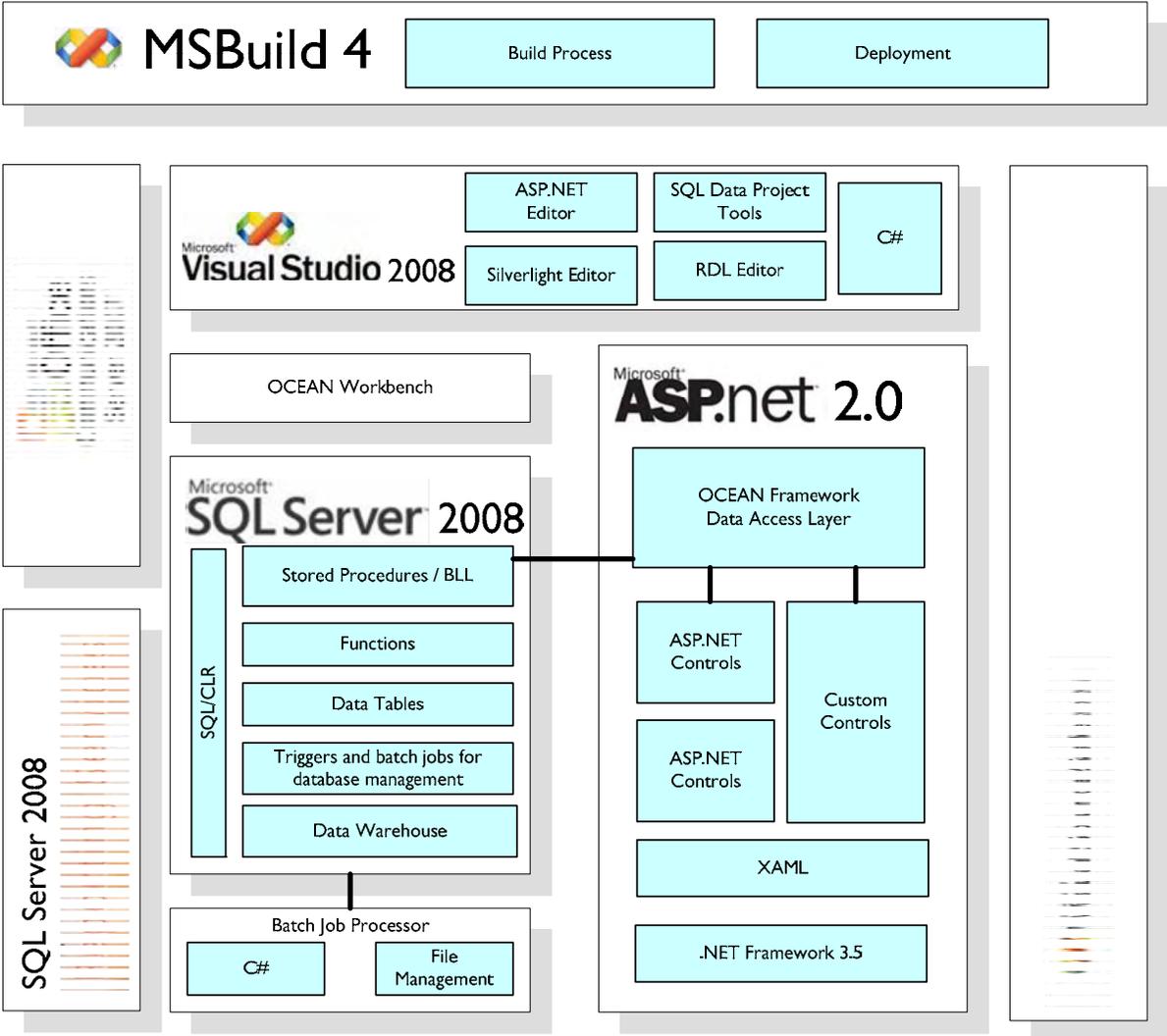


Figure 5: Development Environment Diagram

All development tools have been upgraded. Here are the environment pieces that will be upgraded or implemented as part of Phase II:

1. SQL Server 2008
2. IIS 7
3. SQL Reporting Services 2008 replaces Cognos
4. Office Communications Server 2007
5. MSBuild 4.0 replaces nant as the build and deployment environment

Due to infrastructure constraints, Team Foundation Server will not be used, so Visual SourceSafe 2005 will continue as source control provider.

3.2. Runtime Environment

From the user perspective, an integrated viewpoint is the goal. Utilities, customers and organizations will use the same environment. Changes made via the IVR are instantly available to the OCEAN user interface, and the reporting system must be updated within a few minutes. The reporting subsystem will be integrated into the interface on OCEAN rather than a separate Cognos Web viewer.

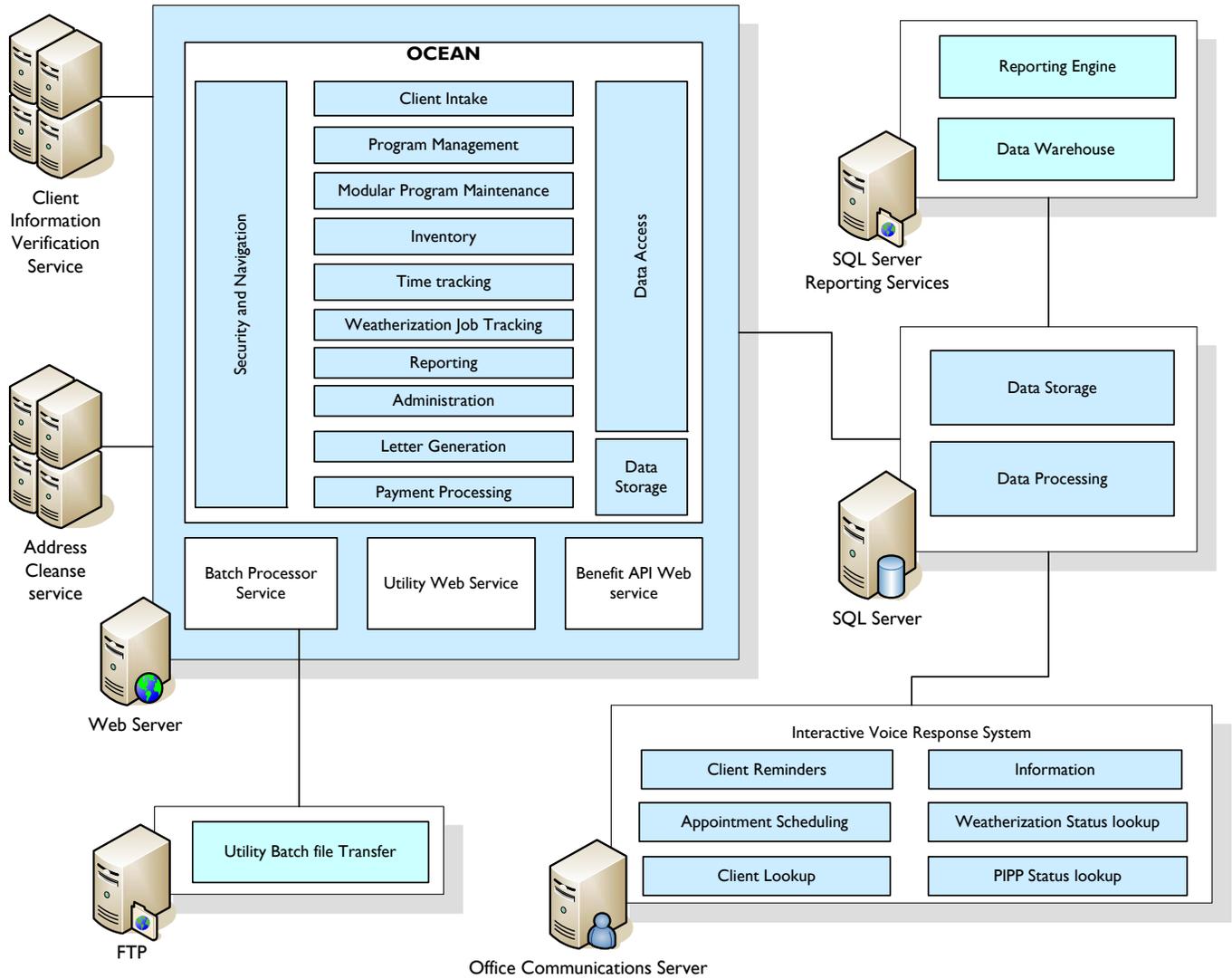


Figure 6: Runtime Environment Diagram

Utility companies will still use the FTP system and a nightly file transfer as part of OCEAN Phase II, but will be able to manage files and audit information via the user interface or XML web services.

3.3. Database

The OCEAN Phase II database will be an extension of what has already been set up for Phase I. Because Phase I was designed to be modular and is highly relational, adding tables to the existing system will be the most effective extensibility path.

Each subsystem being developed as part of Phase II will have a unique set of data requirements that is demonstrated by the Object Role Models (ORM) below. In keeping with the segment delivery cycle hoped for in Phase II, each ORM could be developed as a separate delivered schema.

3.3.1. Community Services

The goal of the Community Services section of the Phase II system is to collect enough information about the programs offered to populate the ROMA reports required by the state and federal reporting departments. As such, the core roles of Program, Service, and Client need to be present.

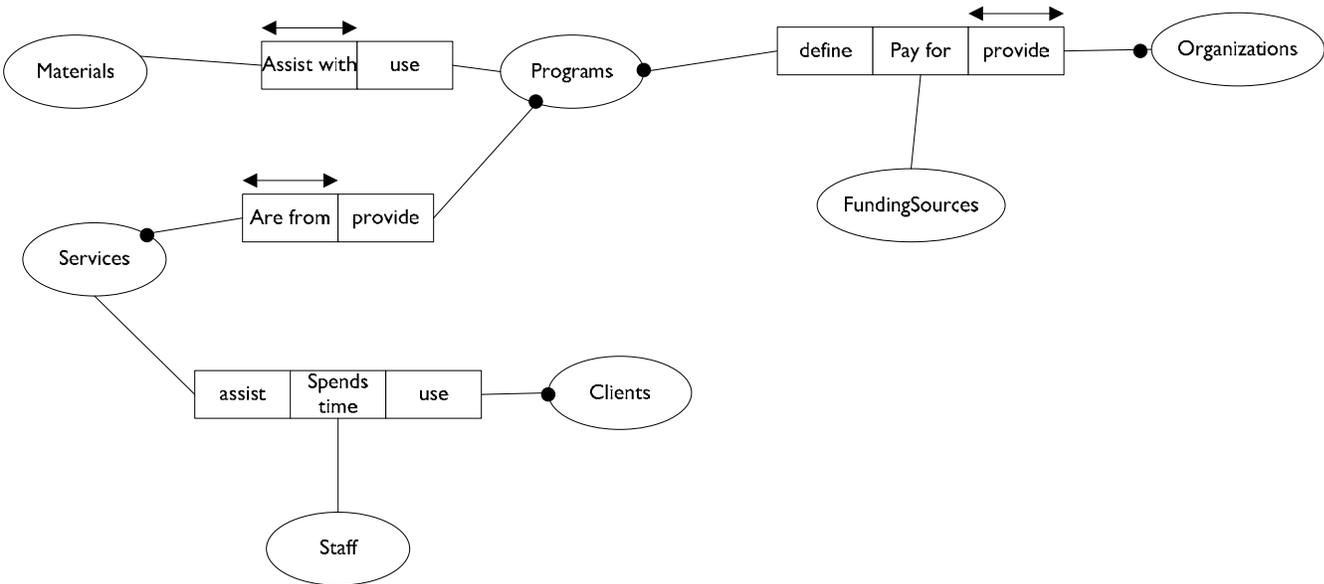


Figure 7: Example Community Services / ROMA ORM

The Community Services modules will be developed in a phased approach. Starting with a performed service, the goal is to add details about the service, then a multi-program approach as shown in the example, finally culminating in a full time / materials / cost integration with the grant itself.

3.3.2. Home Weatherization Assistance Program (HWAP)

The HWAP model for Phase II is property (as in land and house) focused. The address is the main focus of weatherization.

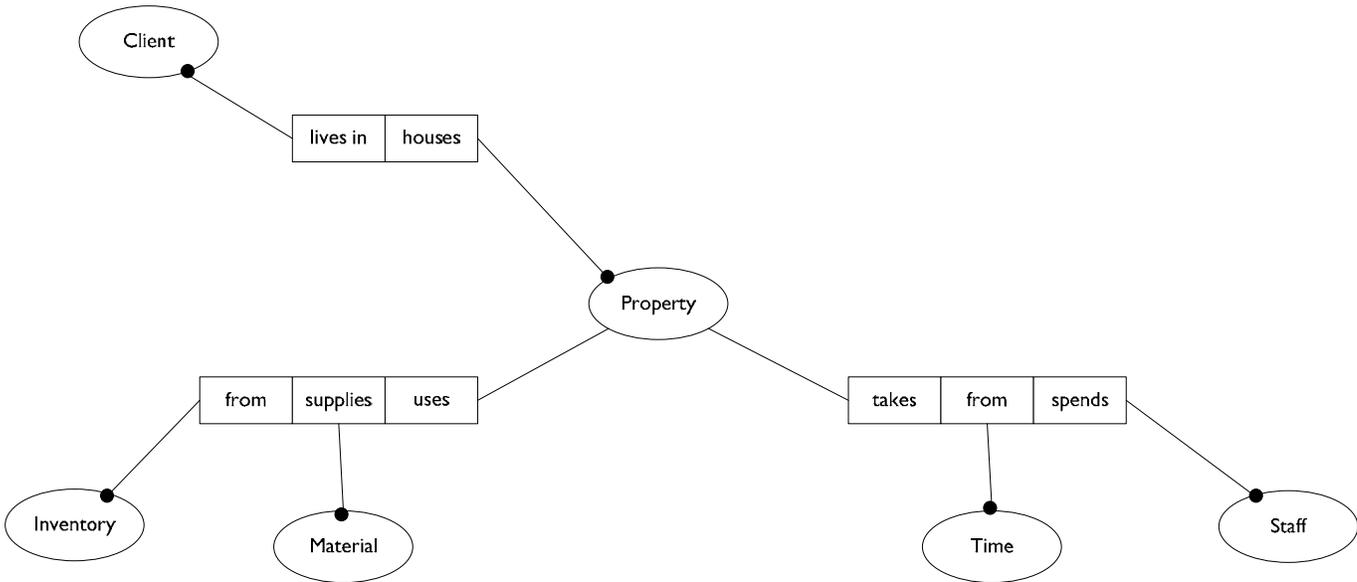


Figure 8: Example HWAP ORM

HWAP is the largest part of Phase II. The Property object has nearly 1,000 data points and all of which are stored. The Inventory and Material objects represent a complete inventory tracking system, and the Staff and Time objects represent a complete time tracking system.

3.3.3. Electric Partnership Program (EPP)

Similar to HWAP, EPP is property focused and tracks measures installed on that property. This system will interact with the Inventory system in the Weatherization model.

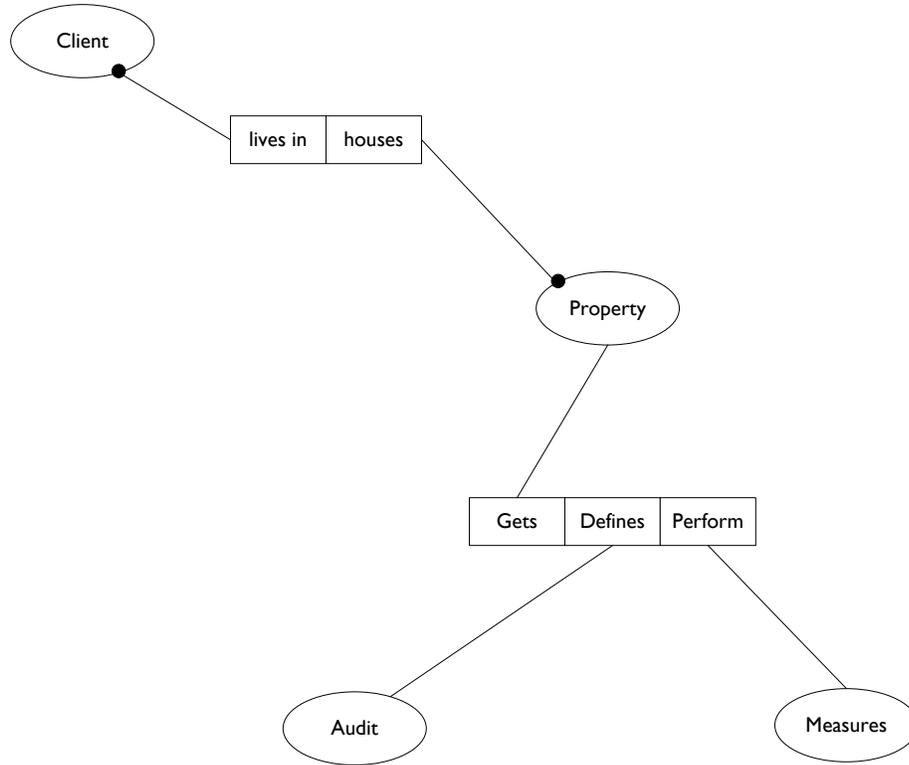


Figure 9: Example EPP ORM

The data design for EPP will be based on the reference architecture of the EPP tool. The EPP tool is a Microsoft Access 2003 database that is used by EPP auditors in the field to collect information for an audit and determine measures to be taken to decrease electricity usage. Because this is the current system for EPP storage and is built in a relational fashion, the overall model can be used by OCEAN in Phase II.

3.3.4. Organization Profile

Organizations, like Community Services and HWAP grantees, will be able to store self-referential information in Phase II.

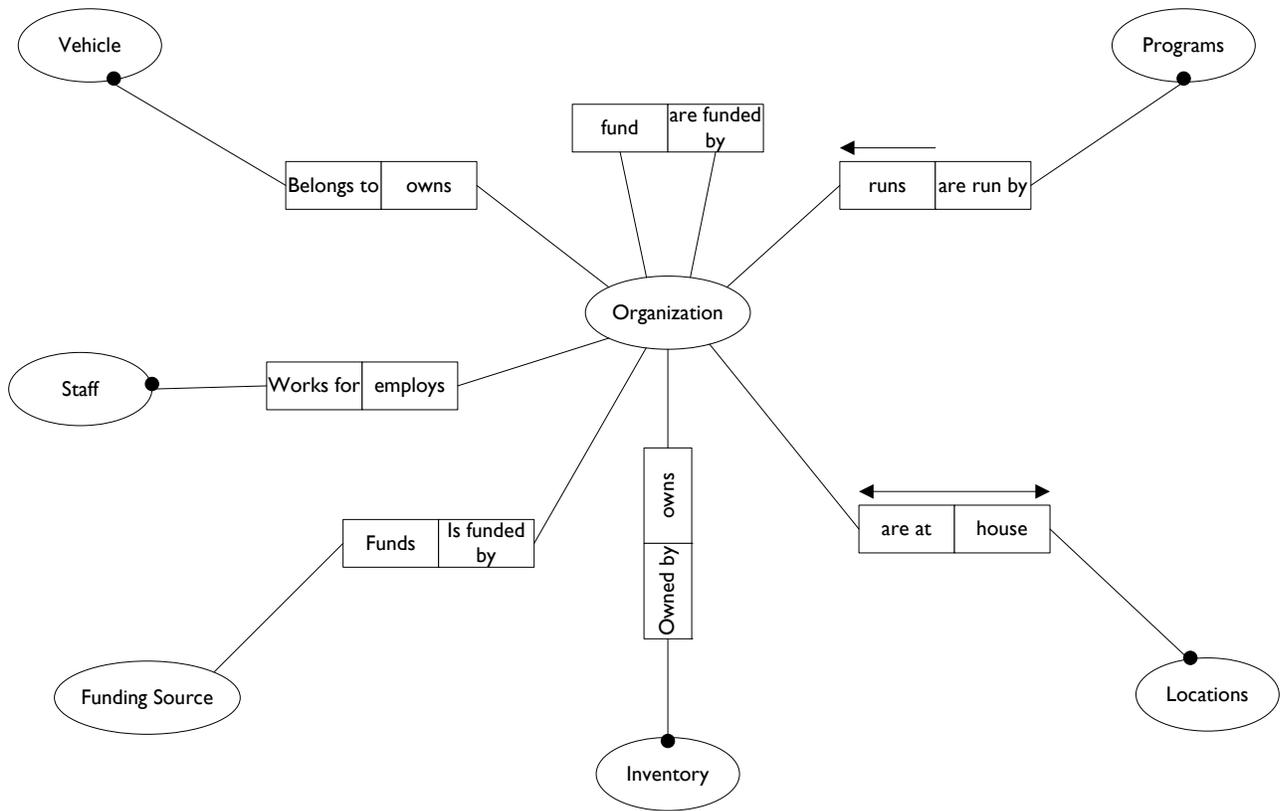


Figure 10: Example Organization Profile ORM

4. Non-Functional Requirements

Non-functional requirements are requirements which specify criteria that are used to judge the operation of a system. They consist of constraints, quality attributes, quality goals and service level requirements.

Non-functional requirements can be divided into two main categories:

1. Execution qualities, such as security and usability
2. Evolution qualities, such as testability, maintainability, extensibility and scalability

The non-functional requirements are for a web browser and server platform.

4.1. Usability Requirements

Our main usability requirement is minimizing the difficulty of performing each high-frequency use case. Difficulty depends on the number of steps, the knowledge that a user must have at each step, the decisions that a user must make at each step, and the mechanics of each step (e.g., typing a program name exactly is hard; whereas, selecting a program from a list is easy).

There will be no significant user interface (UI) changes because OCEAN Phase I was appropriately designed for the audience. Nearly all of the target organizations are using OCEAN Phase I to some extent, and navigation and UI have become a de facto standard. Therefore the menu-driven, DHTML based look and feel of the client intake screen in the existing application will carry through into the next version unless functional requirements render it impossible.

4.1.1. New features will be easy to learn.

All new features will be designed in the style of the rest of the user interface. All new features will be documented in the User Manual.

4.1.2. Changes to the intake form will not impact customer service times.

Online time for intake runs about 9 minutes, and the new features will not significantly change this after user training.

4.1.3. New fields will be named using approved / established standards.

Fields that are added to the OCEAN intake will be named based on the commonly accepted standards for the data being collected.

4.1.4. All new features can be easily found and utilized.

A navigation map will be part of the design document to assure that users can find features.

4.1.5. Maintain existing templates so as not to frustrate new users.

4.1.6. OCEAN will provide online help.

Details of the help system are in the Business Requirements document.

4.1.7. All screens requiring user action will include a textual prompt explaining that action.

Under the title of a page there will be a basic prompt for user action. For instance, on an Income instance creation window, the user will be prompted to “Add customer income information and press ‘Submit’”.

4.1.8. All validation errors will be clearly identified.

Specifically, as to:

1. Location of error
2. Specification of information requested

4.1.9. The specifications set forth in the Department of Administrative Services Style Guide will be met.

Documentation to be found at http://oit.ohio.gov/news/Web_Site_Standardization.aspx.

4.2. Reliability Requirements

The OCEAN Phase II must support automatic fail-over among identical machines within the local server cluster. Local fail-over must occur without loss of any completed transactions. Local fail-over must be safely testable.

4.2.1. System will be available for use from 6AM to 11PM daily.

4.2.2. Reporting data will be stored in an OLAP driven Data Warehouse.

Aside from meeting other requirements, this requirement is to prevent overload of the highly relational transaction system used in OCEAN by the reporting system. The data warehouse will be stored on a separate reporting server (see the Deployment Diagram in the Environment section in chapter 5).

4.2.3. Backups must be completed at an agreed time that has no impact on system availability.

4.2.4. Database restores will not adversely impact system performance.

4.2.5. The system will interoperate with industry standard monitoring applications.

ASP.NET processes will be monitored using the performance counters.

4.3. Security Requirements

There are two main security requirements in this system.

- The system will be secure from all external attacks, misuse and intrusion.
- The system will be secure from internal threats, misuse and accidental discovery of privileged information.

The system must prevent hackers or malicious users from abusing the system from the outside, and provide a few key limitations on access to sensitive information by insiders. Existing security models will be evaluated using the STRIDE system:

Spoofing identity. An example of identity spoofing is illegally accessing and then using another user's authentication information, such as username and password.

Tampering with data. Data tampering involves the malicious modification of data. Examples include unauthorized changes made to persistent data, such as that held in a database, and the alteration of data as it flows between two computers over an open network, such as the Internet.

Repudiation. Repudiation threats are associated with users who deny performing an action without other parties having any way to prove otherwise—for example, a user performs an illegal operation in a system that lacks the ability to trace the prohibited operations.

Nonrepudiation. Nonrepudiation refers to the ability of a system to counter repudiation threats. For example, a user who purchases an item might have to sign for the item upon receipt. The vendor can then use the signed receipt as evidence that the user did receive the package.

Information disclosure. Information disclosure threats involve the exposure of information to individuals who are not supposed to have access to it—for example, the ability of users to read a file that they were not granted access to, or the ability of an intruder to read data in transit between two computers.

Denial of service. Denial of service (DoS) attacks deny service to valid users—for example, by making a Web server temporarily unavailable or unusable. OCS must protect against certain types of DoS threats simply to improve system availability and reliability.

Elevation of privilege. In this type of threat, an unprivileged user gains privileged access and thereby has sufficient access to compromise or destroy the entire system. Elevation of privilege threats include those situations in which an attacker has effectively penetrated all system defenses and become part of the trusted system itself.

Additionally, the following new requirements exist for security in OCEAN:

4.3.1. The system will abide by the Office of Information Technology (OIT) security requirements.

Documentation to be found at <http://www.oit.ohio.gov/IGD/policy/OhioITPolicies.aspx>

4.3.2. Passwords will adhere to the OIT standards for complexity.

4.3.3. Records must have the user and date changed in the data table.

All significant records used for new features will have the username and date relating to the latest change.

4.3.4. Only administrator users will be authorized to access administrative functions; average users will not.

The administrator role will only be maintainable by other administrators. There are two administrative roles – System Administrators (SA) and Organization Administrators (OA). The OA role will have complete control within its organization, including assigning organization-level permissions. The SA role will have authority over the members of the OA role.

4.3.5. Module use will be determined by role.

As new modules (Community Services, EPP, HWAP) are added to OCEAN, the user's role will determine their access.

4.3.6. Data access security will be at control level and page level.

There is an existing page level access control model in OCEAN. Some individual controls are access controlled through one-off code. It is necessary to implement a security layer for all controls, to provide Read-Write-Change access when needed.

4.3.7. This Web site will use encrypted communications (SSL).

4.3.8. The Web site will constrain usage by IP Number range.

4.3.9. The system will check all user-supplied input for malicious content.

For instance, escape characters, inappropriate markup, SQL injection, XSS, and URI overflow attacks.

4.3.10. System transactions will be logged.

4.4. Performance and Scalability Requirements

The addition of features to handle Weatherization, EPP and Community Services to the OCEAN system will increase the user load. In some agencies, the HEAP staff handles Community Services and HWAP requirements, but in most these are separate staff and represent new users.

4.4.1. The system will support 5000 concurrent connections in the OCEAN production environment.

This requirement will be considered both in hardware specifications and software programming. This requirement will not limit the system to 5000 connections. This

4.4.2. The system will provide the ability to host the server software on a cluster of machines.

4.4.3. The system will begin sending a response to any page request within one second in the majority of cases.

The end response time is partially a component of the user's internet service speed and computer processing time.

4.4.4. The system will begin sending a response to each request within ten seconds in the worst case.

The end response time is partially a component of the user's Internet service speed and computer processing time.

4.4.5. Under any load, the system will not deny any user access to the main intake and report screens.

The end response time is partially a component of the user's Internet service speed and computer processing time. This requirement is based on the IIS timeout currently at 120 seconds.

4.4.6. The system will support flexible scalability efforts.

4.4.7. The system will produce selected reports in less than two seconds for each 5,000 rows selected.

The end response time is partially a component of the user's Internet service speed and computer processing time.

4.4.8. The system will allow multiple Web servers to be implemented.

OCEAN primarily uses the database for complex calculations, but the Web server should be able to handle statefulness between the servers.

4.4.9. The system will allow for multiple database servers to be implemented.

4.4.10. The system will allow up to 50 event listeners to monitor performance counter events without noticeable slowdown.

The performance counters are the principal form of monitoring used by OCEAN staff.

4.4.11. The system will maintain an average throughput of 100 requests per second in the OCEAN production environment.

This requirement will be considered both in hardware specifications and software programming.

4.5. Maintainability and Upgradeability Requirements

Maintainability is the ability to make changes to the product over time.

Upgradeability is the ability to cost-effectively deploy new versions of the product to customers with minimal downtime or disruption.

4.5.1. XML comments in Visual Studio will be used throughout.

4.5.2. XSLT based product will be used to generate developer documentation.

4.5.3. XML comments and documentation will be collected into usable help files.

4.5.4. Well-structured 'hot fixes' using Stored Procedures of the business logic will be continued from Phase I.

4.5.5. The current process for compilation and deployment will change from nant to MSBuild.

4.6. Integration Requirements

There is a need for the OCEAN data to be available on an as-needed basis to external and private entities. To handle this, an OceanAPI needs to be created to provide loosely coupled interactions with OCEAN client and program data.

The goal of the OceanAPI is to give approved organizations visibility into OCEAN's vast store of demographic data to allow the approved organizations to search OCEAN customers along with their own store of customers. Approved organizations may then use the retrieved data to populate their own forms.

This subsystem is for lookup only, not update. OCEAN data is updated by the OCEAN user interface only and by OCEAN certified users. Lookup of demographic data is acceptable by authorized systems.

Requirements for OceanAPI include:

4.6.1. Allow for third-party systems to integrate with the OCEAN framework.

Looking forward this integration covers four areas:

- Data integration: see Data Import and Conversion requirements in chapter 6
- Control flow integration: see API requirements in chapter 4.6
- UI integration: see UI requirements in chapter 4.1
- Business process integration: see life-cycle requirements in chapter 4.8

4.6.2. The OceanAPI will be an outward facing lookup facility for applications outside the State to access demographic data.

4.6.3. Clients of OCEAN can be listed via search for key info.

Several searches will be made available via the OCEAN API. For instance:

- Last name and zip code
- Social Security Number
- Address

4.6.4. Retrieval of client details will be via OCEAN client id.

4.6.5. Configurable data will be returned via an OceanAPI lookup.

Different users of the OceanAPI will require different data returned as part of the user record. This information should be defined via customizable, individual contracts with various consumers.

4.6.6. The OceanAPI is authenticated via a digital user id.

Digital user ids use public key cryptography to assure a user's identity.

4.7. Supportability Requirements

Supportability is the ability to provide cost effective technical support. The most common help scenario for OCEAN is calling the toll-free number for live assistance. Functional help desk requirements are found in the Business Requirements Document.

4.7.1. All screens will have a unique title.

4.7.2. All errors will have a unique id number.

The id number will be shown in error messages presented to the user.

4.7.3. All error dialogs will allow copying of text to the operating system clipboard.**4.8. Business Life-Cycle Requirements**

The business life-cycle of a product includes everything that happens to that product over a period of several years, from initial purchase decision and deployment, through important but infrequent use cases, until product retirement. Key life-cycle requirements are listed below.

4.8.1. A future requirement will be an upgrade to .NET 4.0.

No marked-for-removal functions, properties or events will be used in the development of Phase II modules.

4.8.2. No end-of-life technologies will be used.**4.8.3. No unsupported libraries will be used.****4.8.4. Records must be archived after their useful life.****4.8.5. Compiled parts of the system will be modular.**

5. Environmental Requirements

5.1. Hardware Requirements

The production environment of the OCEAN Phase I system is hosted at the State of Ohio Computing Center (SOCC).

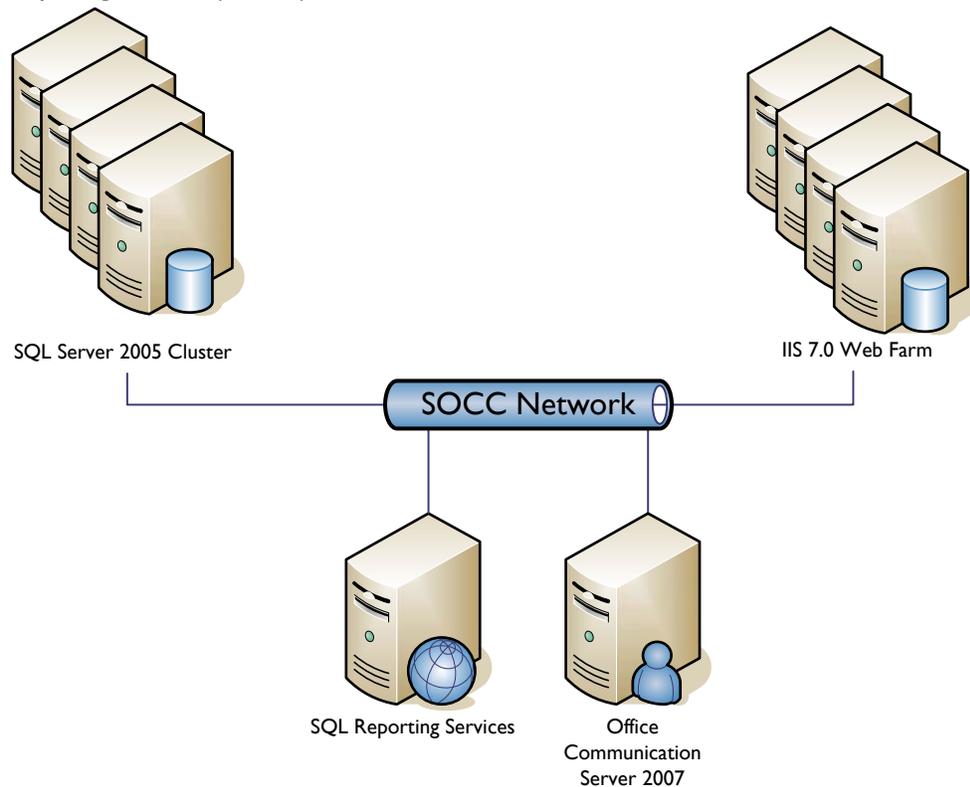


Figure 11: Current OCEAN Production Environment at the SOCC

Based on current load and estimated load, the system will be horizontally scalable to:

- A cluster of SQL Server machines, handling different workloads
- A Web farm of Web servers which can share session state
- A separate reporting server that will also produce and provide the OLAP cubes
- An Office Communication Server with Speech Server for the IVR and other communication tasks, provided a telecommunications partner can provide the incoming phone maintenance to Office Communication Server.

This hardware will be housed at the SOCC, managed by DAS Office of Information Technology but the application software will be managed by ODOD. Therefore, Terminal Services will be used for system management.

5.2. Software Requirements

The OCEAN Phase II Project is a fairly traditional Microsoft development project. Windows Server 2008 will be the eventual host environment. Currently, Windows Server 2003 is the host environment.

5.2.1. Server

- Web Server
 - Internet Information Server 7.0
- SQL Server
 - SQL Server 2008 Enterprise Edition.
 - SQL Reporting Services
- Communications Server
 - Microsoft Office Communications server.
 - Microsoft Office Speech Server (if an IVR is deemed possible with a telecommunications partner)

5.2.2. Developer

- Visual Studio 2008
- .NET Framework 3.5
- ASP.NET 2.0

5.2.3. User

- Internet Explorer 7.0 or later

6. Data Import and Conversion

There are a number of import requirements for OCEAN, including:

- Ongoing weatherization import for those who do not use OCEAN for weatherization tracking
- One time weatherization data conversion from OCS Activity Tracking System (OATS)
- One time data conversion of historical Electric Partnership Program (EPP) data

6.1. Weatherization Monthly Import Requirements

OCEAN Phase II is required to accept Extract Transform and Load (ETL) processes from the most commonly used systems for Weatherization tracking. These files are used for fiscal and production reports. These systems include:

- Broma (Weatherization)
- Weathertite (Weatherization)

6.1.1. File Structures

The weatherization exports will have between 5 and 50 jobs per month, depending on the size of the organization. Export files are currently around 10 kilobytes per organization. This will change with the larger export format. There are 74 organizations that report weatherization data.

File structure is as follows:

6.1.1.1. BWR_A

Field Name	Length	Field Type
Agn	4	char
py_month	2	decimal
py_year	4	decimal
job_no	9	char
program	6	char
name_last	15	char
bill_last	15	char
Address	25	char
apt_no	4	char
Ssn	11	char
an_income	5	decimal
Client	4	char
Utility	3	char
uacct_no	25	char
hot_water	1	char
pri_fuel	1	char

Field Name	Length	Field Type
sec_fuel	1	char
pri_heat	1	char
sec_heat	1	char
initial_sse	2	decimal
final_sse	2	decimal
design_sse	2	decimal
tune_up	1	decimal
pre_blow	5	decimal
post_blow	5	decimal
Cubic	7	decimal
Electric	3	char
eacct_no	25	char
phoneno	12	char

6.1.1.2. BWR_S

Field Name	Length	Field Type
Agn	4	char
py_month	2	decimal
py_year	4	decimal
job_no	9	char
program	6	char
name_last	15	char
bill_last	15	char
Address	25	char
apt_no	4	char
City	20	char
zip_code	5	decimal
cty_code	2	decimal
Ssn	11	char
an_income	5	decimal
Client	4	char
Utility	3	char
uacct_no	25	char
tp_house	3	decimal
tp_sixty	3	decimal
tp_handica	3	decimal
tp_amerind	3	decimal
tp_migrant	3	decimal
occupant	1	decimal
age_home	3	decimal
house_type	1	char
hot_water	1	char
pri_fuel	1	char
sec_fuel	1	char
pri_heat	1	char
sec_heat	1	char
date_compt		smalldatetime

Field Name	Length	Field Type
initial_sse	2	decimal
final_sse	2	decimal
design_sse	2	decimal
tune_up	1	decimal
pre_blow	5	decimal
post_blow	5	decimal
Cubic	7	decimal
avg_wall	2	decimal
tot_floor	4	decimal
crew_hour	7	decimal
crew_cost	(8,2)	decimal
con_matrl	(8,2)	decimal
con_labor	(8,2)	decimal
hu_matrl	(8,2)	decimal
hu_labor	(8,2)	decimal
pro_tuneup	(8,2)	decimal
pro_w_heat	(8,2)	decimal
pro_duct	(8,2)	decimal
pro_leak	(8,2)	decimal
pro_door	(8,2)	decimal
pro_sash	(8,2)	decimal
pro_repair	(8,2)	decimal
pro_attic	(8,2)	decimal
pro_sidew	(8,2)	decimal
pro_floor	(8,2)	decimal
pro_sash2	(8,2)	decimal
pro_hsimp	(8,2)	decimal
pro_total	(8,2)	decimal
Electric	3	char
eaact_no	25	char
preoct85	(1,0)	decimal
energyaud	(1,0)	decimal
phoneno	15	char
child2	(2,0)	decimal
child3_5	(2,0)	decimal
hsr_hsm	(8,2)	decimal
hsr_hsl	(8,2)	decimal
hsr_whm	(8,2)	decimal
hsr_whl	(8,2)	decimal
hsr_elm	(8,2)	decimal
hsr_ell	(8,2)	decimal
hsr_msm	(8,2)	decimal
hsr_msl	(8,2)	decimal
hsr_mst	5	char
hsr_month	(2,0)	decimal
hsr_year	(4,0)	decimal

6.1.1.3. BWR_M

Field Name	Length	Field Type
Agn	4	char
py_month	2	decimal
py_year	4	decimal
job_no	9	char
program	6	char
name_last	15	char
Address	25	char
City	20	char
zip_code	(5, 0)	decimal
cty_code	(2, 0)	decimal
tp_house	3	decimal
tp_sixty	3	decimal
tp_handica	3	decimal
tp_amerind	3	decimal
tp_migrant	3	decimal
un_multi	3	decimal
un_lincome	3	decimal
un_complet	3	decimal
un_sixty	3	decimal
un_handica	3	decimal
un_amerind	3	decimal
age_home	3	decimal
house_type	1	char
date_compt		smalldatetime
pre_blow	5	decimal
post_blow	5	decimal
Cubic	7	decimal
avg_wall	2	decimal
tot_floor	6	decimal
crew_hour	(7,2)	decimal
crew_cost	(8,2)	decimal
con_matrl	(8,2)	decimal
con_labor	(8,2)	decimal
hu_matrl	(8,2)	decimal
hu_labor	(8,2)	decimal
pro_tuneup	(8,2)	decimal
pro_w_heat	(8,2)	decimal
pro_duct	(8,2)	decimal
pro_leak	(8,2)	decimal
pro_door	(8,2)	decimal
pro_sash	(8,2)	decimal
pro_repair	(8,2)	decimal
pro_attic	(8,2)	decimal
pro_sidew	(8,2)	decimal
pro_floor	(8,2)	decimal
pro_sash2	(8,2)	decimal
pro_hsimp	(8,2)	decimal

Field Name	Length	Field Type
pro_total	(8,2)	decimal
preoct85	1	decimal
energyaud	1	decimal
child2	2	decimal
child3_5	2	decimal
un_child2	3	decimal
un_child35	3	decimal
hsr_hsm	(8,2)	decimal
hsr_hsl	(8,2)	decimal
hsr_whm	(8,2)	decimal
hsr_whl	(8,2)	decimal
hsr_elm	(8,2)	decimal
hsr_ell	(8,2)	decimal
hsr_msm	(8,2)	decimal
hsr_msl	(8,2)	decimal
hsr_mst	5	char
hsr_month	2	decimal
hsr_year	3	decimal

6.1.1.4. BWR_R

Field Name	Length	Field Type
AGN	4	char
PY_MONTH	2	decimal
PY_YEAR	4	decimal
JOB_NO	9	char
ORIG_DATE	6	char
CREW_HOUR	(7,2)	decimal
CREW_COST	(8,2)	decimal
CON_MATRL	(8,2)	decimal
CON_LABOR	(8,2)	decimal
HU_MATRL	(8,2)	decimal
HU_LABOR	(8,2)	decimal
PRO_TUNEUP	(8,2)	decimal
PRO_W_HEAT	(8,2)	decimal
PRO_DUCT	(8,2)	decimal
PRO_LEAK	(8,2)	decimal
PRO_DOOR	(8,2)	decimal
PRO_SASH	(8,2)	decimal
PRO_REPAIR	(8,2)	decimal
PRO_ATTIC	(8,2)	decimal
PRO_SIDEW	(8,2)	decimal
PRO_FLOOR	(8,2)	decimal
PRO_SASH2	(8,2)	decimal
PRO_HSIMP	(8,2)	decimal
PRO_TOTAL	(8,2)	decimal
RWRKRSN	5	char
HSR_HSM	(8,2)	decimal

Field Name	Length	Field Type
HSR_HSL	(8,2)	decimal
HSR_WHM	(8,2)	decimal
HSR_WHL	(8,2)	decimal
HSR_ELM	(8,2)	decimal
HSR_ELL	(8,2)	decimal
HSR_MSM	(8,2)	decimal
HSR_MSL	(8,2)	decimal
HSR_TOTAL	(8,2)	decimal
HSR_MST	5	char
HSR_MONTH	2	decimal
HSR_YEAR	4	decimal

6.1.1.5. MPR_I

Field Name	Length	Field Type
AGN	4	char
PY_MONTH	2	decimal
PY_YEAR	4	decimal
NO_CREWS	(7,2)	decimal
INSTALLERS	(7,2)	decimal
SUPPORTERS	(7,2)	decimal
VALUE_INV	(9,2)	decimal
OVER_INV	(9,2)	decimal
SHORT_INV	(9,2)	decimal
DD_INV	(9,2)	decimal
PROG_INV	(9,2)	decimal
TRAN_INV	(9,2)	decimal
HSVALU_INV	(9,2)	decimal
HSOEVER_INV	(9,2)	decimal
HSSHRT_INV	(9,2)	decimal
HSDD_INV	(9,2)	decimal
HSPROG_INV	(9,2)	decimal
HSTRAN_INV	(9,2)	decimal
INPROG_ALL	4	decimal
INPROG_HS	4	decimal
WALKAWAYS	2	decimal

6.1.2. ETL must support several smaller individual files for import, and be available for a period of time to account for phased implementation.

Since only a few agencies will begin the use of OCEAN for weatherization, but it will be universally used for reporting. The current OATS import will need to be available to existing weatherization users.

6.1.3. Data will be validated for formatting.

6.1.4. Duplication of client records must be suppressed, but client interactions must be recorded.

For instance, if the same client (by SSN) recorded activity in two counties then only one client record must be imported but two interactions must be recorded.

6.1.5. Duplication with existing HEAP clients in OCEAN must be suppressed.

6.1.6. Records must be accurately tagged with the county of origin, regardless of the client's address listed.

Because all relevant information is transferred back to the state for EPP (via the EPP tool) and HWAP (via OATS) there is no need to get imports from each agency. Instead, the on-site systems can be tapped for information, and then retired in favor of OCEAN.

6.1.7. There will be a manual insert function.

It is possible that a user might have to manually insert weatherization fiscal and production data. This is similar to but not exactly like the intake forms.

6.2. OATS Data Conversion Requirements

OATS is the activity tracking system for weatherization, as described in the Business Requirements document.

6.2.1. OATS Data will be imported to OCEAN in a one time data conversion.

The data in OATS contains one important artifact – the date at which a given address received weatherization. That information will be imported into OCEAN as a one time ETL.

OATS has approximately 100,000 weatherization jobs in the database. There are a number of related tables, but the data will be flattened to the following format.

Field Name	Length	Field Type
Job Number	10	Numeric
SSN	9	Numeric
First Name	25	Character
Last Name	30	Character
Street Address	57	Character
City	30	Character
County	30	Character
Agency	120	Character
Date Service Performed	10	Date
Cost of Job	2,10	Numeric

6.3. EPP Tool Data Conversion Requirements

The EPP tool functions will be included in OCEAN Phase II. Data from the master EPP Microsoft Access database will be included in the EPP schema shown above in the System Architecture section.

The data in the EPP tool is a 14 table Access database with a total of fewer than two million rows. These make up the approximately 100,000 customer records that will need to be migrated.

6.3.1. EPP tool data will be imported to OCEAN in a one time data conversion.

Because the EPP tool is Access driven, import should be relatively simple. There is a large amount of lookup information that will need to be moved. Refer to the EPP tool reference architecture for more information.

Supplement 4

OCEAN Glossary of Terms

Glossary: **OCEAN Phase II**

May 8, 2009

1.0 Glossary

ACD (Automated Call Distribution) – A telephone system that manages and distributes incoming calls to a specific group of telephone terminals based on the number called and/or the handling instructions of the associated database.

AJAX (Asynchronous JavaScript And XML) – A group of interrelated web development techniques used for creating interactive web applications.

Action – An act designed to improve electric efficiency that is completed by the client at the client residence.

BWR (Building Weatherization Report) – This report is a detailed description of the work that is performed on the housing unit within the Home Weatherization Assistance Program.

CAA (Community Action Agency) – An organization that receives funding from the Community Services Block Grant as determined by the Office of Community Services.

CBO (Community Based Organization) – A civil society non-profit group that operates within a single local community.

COAD (Corporation for Appalachian Development) – A non-profit organization comprised of seventeen member agencies serving rural counties in eastern and southern Ohio with three major community-based program divisions: Community Development, Early Care and Education, and Senior Programs.

COTS (Commercial-Off-The-Shelf) – A term for hardware or software, generally technology or computer products that are ready-made and available for sale, lease, or license to the general public.

CSBG (Community Services Block Grant) – A formula grant that provides funds to states, territories, and federally and state-recognized Indian tribes/tribal organizations so that they may provide supportive services and activities to low-income individuals and families to become self-sufficient.

Delegate – An organization that is subcontracted by the program grantee.

EHEAP (Emergency Home Energy Assistance Programs) – A special component of the Home Energy Assistance Program that is administered by local Community Action Agencies and other organizations to assist in emergency heating and cooling energy costs; see also Winter Crisis Program (WCP) and Summer Crisis Program (SCP).

EPP (Electric Partnership Program) – EPP is a program administered to serve low-income residents with high electricity usage through the disbursement of monies from the Universal Service Fund (USF); also referred to as the “USF EPP”.

FINS (Financial Information Systems) – Reports that provide data to the Department of Energy on the Home Weatherization Assistance Program completed units, labor and inventory information used by the Office of Community Services.

GPMP (Grantee Provider Management Plan) – A grant application process including a proposed budget that is completed by the Home Weatherization Assistance Program local providers on an annual basis.

GPRA (Government Performance and Results Act of 1993) – A law passed in 1993 with the purpose of increasing accuracy, efficiency, accountability, confidence in the fiscal reporting of federally funded and/or administered public programs.

Grantee – A Community Action Agency and/or other organization that contracts with the Office of Community Services to administer Home Weatherization Assistance Program and the Electric Partnership Program funding and/or benefits.

HEAP (Home Energy Assistance Program) – A federally funded program administered by Office of Community Service designed to help eligible low-income Ohioans meet the high costs of home heating.

HTML (HyperText Markup Language) – The dominate markup language for web pages.

HWAP (Home Weatherization Assistance Program) – A federally funded program that provides services such as attic, wall and basement insulation, blower-door-guided air leakage reduction and other energy conservation services to help reduce low-income households’ energy use.

IVR (Interactive Voice Response) – Technology that allows a computer to detect voice and keypad inputs to function as an automated attendant.

IT (Integration Testing) – A software testing phase in which individual software modules are combined and tested as a group.

kWh (Kilowatt Hour) – A unit of energy used to express electricity usage.

Measure – A suggested action to be completed by the organization at the client residence as a result of the Electric Partnership Program and Home Weatherization Assistance Program audits.

OATS (OEO Activity Tracking System) – An internal Office of Community Services system fed by two separate data sources from the weatherization organizations that tracks home weatherization production unit information and financial reimbursement expenses.

OCEAN (Ohio Community and Energy Assistance Network) – A web-based client centric system with a modular design currently used by the Office of Community Services and community organizations to administer the Home Energy Assistance Program, Winter Crisis Program, Summer Crisis Program, and Percentage of Income Payment Plan Program.

OCS (Office of Community Services) – The office that is housed within the Ohio Department of Development that administers two large federal block grants the Home Energy Assistance Program and the Community Services Block Grant.

ODOD (Ohio Department of Development) – The department that is responsible for providing policies and procedures, and oversight for the Office of Community Services to administer federally and state funded community service programs.

OEO (Ohio Energy Office) – This weatherization department of OEO has merged with the Office of Community Services; all administration of the weatherization programs is conducted by the Office of Community Services.

OWTC (Ohio Weatherization Training Center) – A training center for the State of Ohio to train individuals and organizations to perform the tasks needed to administer the Home Weatherization Assistance Program.

NEAT (National Energy Audit) – This program is used by the local agencies in the home weatherization assistance program to perform engineering and economic calculations to evaluate energy conservation measures for home sites.

PINS (Production Information Systems) – Reports that provide the Department of Energy Home Weatherization Assistance Program completed units, labor and inventory information used by the Office of Community Services.

PIPP (Percentage of Income Payment Plan) – A payment plan requiring regulated utilities to accept payments based on a percentage of income for qualifying low-income residents.

RFC 2445 – This document specifies an Internet standards track protocol for calendaring. More information is at <http://www.ietf.org/rfc/rfc2445.txt>

RDL (Report Definition Language) – A XML application primarily used with Microsoft SQL server as a standard for defining reports.

ROMA (Results Oriented Management Accountability) – A management and evaluation strategy used to capture the results of Community Service programs; initially designed for use with programs administered with Community Service Block Grant (CSBG) funds.

SCP (Summer Crisis Program) – Energy assistance program within the Home Energy Assistance program designed to provide emergency relief with electric utility payments and the disbursement of cooling devices for low-income residents from June 1 – August 31.

T&TA (Training & Technical Assistance) – Grants and funds for training offered and administered through the Office of Community Services.

TEE (Target Energy Efficiency) – A term used within the Electric Partnership Program used to identify residential utility consumption that exceeds the high usage level for both heating/cooling and regular electric usage.

UAT (User Acceptance Testing) – One of the final stages within the software development lifecycle where users of the system perform specific tests as tied to the business requirements in order to accept the new software/system.

USF (Universal Services Fund) – A funding source for the Electric Partnership Program to assist low-income residents with high electric usage. Electric Utility Organizations participating as of December 2008 are: American Electric Power (AEP), Duke, Dayton Power & Light, and First Energy.

WIA (Workforce Investment Act of 1998) – Law enacted in 1998 which was designed to replace the Job Training Partnership Act in addition to a portion of federally funded training in an effort to elicit business participation in Workforce Development Services at a local level.

WCP (Winter Crisis Program) – Energy assistance program designed to provide emergency home heating relief with electric and gas utility payments or bulk fuels for low-income residents from November 1 – March 31; formerly referred to as “EHEAP”.

XML (Extensible Markup Language) – A general purpose specification for creating custom markup languages.

SUPPLEMENTAL INFORMATION TRAILER

This page is the last page of supplemental information for this competitive document. If you received this trailer page, all supplemental information has been received.

Note: portions of the supplemental information provided may or may not contain page numbers. The total number of pages indicated on the cover page does not include the pages contained in this supplement.