

Supplement 1:

Requirements and Project Delivery

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1 General Scope

1.1 General Scope

The purpose of this RFP is to provide ODT with an upgraded version of PeopleSoft i.e. People Tools 8.58 and FSCM 9.2 to handle Tax Revenue Accounting Allocation/Distribution journals.

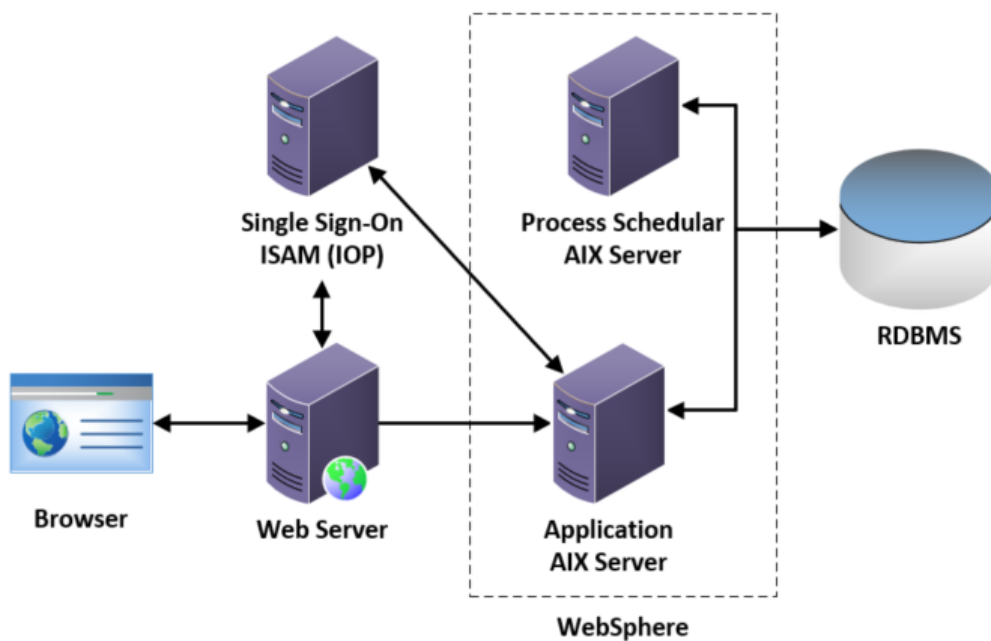
Phase 1 - All current functionality is to be implemented with the upgrade and any enhanced functionality identified in the fit/gap analysis that is critical to the upgrade.

Phase 2 - ODT may choose to implement during a phase two any functionality identified in the fit/gap analysis that is not critical to the upgrade.

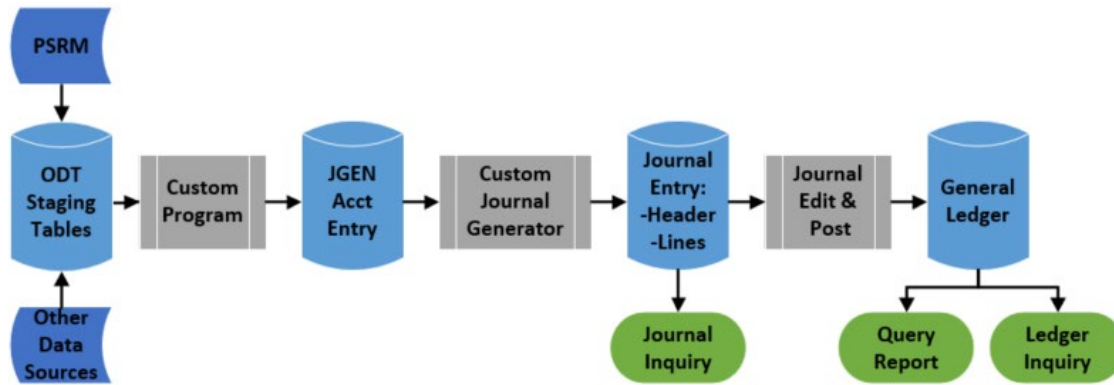
1.2 Overview of the Project

The scope of the project encompasses the following:

High Level System Diagram



High Level Business Process



1.3 Solution Requested – General

- ODT requires a supported PeopleSoft PeopleTools and FSCM solution. The solution should provide the following major functions:
 - Ability to perform ODT Revenue Accounting allocations (See Appendix A),
 - Ability to perform ODT Revenue Accounting distributions (See Appendix A),
 - Ability to run queries within PeopleSoft (See Appendix A),
 - Ability to generate reports via COGNOS,
 - Services:
 - Data Migration Services,
 - Documentation,
 - Knowledge transfer for administrators,
 - Training for end-users,
 - All development, version control, and other software needed to complete the Project,
 - All customization and modifications made to the proposed application to meet the requirements as identified in this RFP,
 - Proposal for ongoing managed services for maintenance of solution after go-live.

- **Hardware and Software Environment Configuration Requested.** A recommended configuration of the offeror’s proposed environment to support the proposed application solution is requested. All hardware, environmental software and associated maintenance services proposed will be procured via other purchase authority contracts available to ODT. Please describe:
 - All hardware and environmental software required for production, quality assurance, or other Project environments needed to support implementation and ongoing maintenance and training.
 - All software components that ODT does not already have that are necessary for a complete production environment (please refer to Section 1.5, below).

- **Software Requested.** PeopleSoft upgrade software should include:
 - People Tools 8.58, latest available image,
 - FSCM 9.1 to 9.2, latest available image,
 - Application server software/middleware move to WebLogic
 - All development, version control, and other software needed to complete the Project to include SQR and App Designer.
 - Upgraded software needs to work with Oracle 19c database.

- All customization and modifications made as part of the Proposed ODT PeopleSoft upgrade to meet the requirements as identified in this RFP.Pricing for maintenance, storage and licenses through 2026 for purchase of a cloud instance,
- Pricing for on-premises storage, maintenance, and licenses, and
- Description of available migration path for cloud computing if an on-premises instance is initially purchased.

1.4 Timing and Phasing Requirements

Contractor is responsible for composing a project plan that meets the fall 2021 deadline. This target includes all hardware, software, data, database objects, ETL processes, Cognos Reports, SPSS Models, and ALMS interface in production environment. The Contractor will provide a project plan with dates, milestones and responsibilities.

ODT utilizes an Agile methodology for most projects, but is open to other methodologies as well. During the design phase, a methodology will be mutually agreed upon, that includes:

- Communication Plan
- Testing Plan
- Change Management
- Issue/Defect Management
- Retrospective (Lessons Learned) after each phase

1.5 Current System Overview

1.5.1 Environment

Operating Systems

- IBM AIX on POWER Systems (64-bit) - AIX 6.1.0.0 (production)
- Microsoft Windows x64 (64-bit) - Windows 2012R2 (dev)

Application Server

- IBM WebSphere Application Server - 8.5.0.1 (production) (On AIX)

Database

- Oracle - 12.1.0.2c

Desktop

- Google Chrome - 86.0.4240.111 (Official Build) (64-bit)
- Microsoft Edge - 44.18362.449.0 (MS Edge HTML = 18.18363)
- Microsoft Internet Explorer - 11.1139.18362.0
- Microsoft Excel - MS 365 MSO 16.0.13328.20262 32-Bit
- Microsoft Word - MS 365 MSO 16.0.13328.20262 32-Bit
- Microsoft SQL Server Client - 2012
- Oracle Database Client - 12.1.0.2c

LDAP

- IBM directory Server - 8.1

JAVA Version

- IBM J9 VM (build 2.6, JRE 1.7.0 AIX ppc64-64 20120322_106209 (JIT enabled, AOT enabled) (production)

ODT Custom Programs

- **Number of SQR Processes:** 69
- **Number of Application Engine Programs:** 30
- **Number of Components:** 46
- **Number of Pages:** 39
- **JAVA Components:** Packages = 6, JAVA Classes = 93

1.5.2 Interfaces

ODT's current PeopleSoft Instance (People Tools 8.53) has several interfaces that will need to be incorporated in the Contractor's solution. These include (but are not limited to):

1. Internal Systems Inputs

- a. **PSRM** – Data loaded PeopleSoft staging tables
- b. **ACE** - Data loaded PeopleSoft staging tables
- c. **SSJI (Excel)** – Data loaded PeopleSoft journal tables
- d. **Excel to CI** - Data loaded PeopleSoft designated tables

2. Internal Systems Outputs

- a. **Mini OAKs**
- b. **COGNOS Reports**

2 Functional Requirements

This section enumerates many high-level functional requirements as determined by ODT for the purposes of this RFP. Requirements may be added or changed during project sprints as necessary to reflect the functionality of the Contractor's solution and ODT's changing needs. Offerors are encouraged to illustrate the rationale, merits, completeness, innovation, capabilities and limitations of all solution components including technical, software elements, process elements, services, integrations and other operating considerations as part of their narrative responses to this RFP. The Offeror is further encouraged to provide screen captures, diagrams, graphics or other information of relevant elements of their solution to illustrate the degree of compliance with requirements wherever possible. Simply repeating the requirement and agreeing to comply is an unacceptable response and may cause the proposal to be rejected. ODT strongly prefers minimizing customizations that would make the system harder and more expensive to support. If there are opportunities to use delivered functionality versus customization, please highlight those areas.

2.1 Business Functionality

ODT requires an upgraded version of PeopleSoft i.e. People Tools 8.58 and FSCM 9.2 to handle Tax Revenue Accounting Allocation/Distribution journals. The upgraded version of PeopleSoft must be the latest available image of a currently supported version with end of regular support date at least two years into the future.

2.1.1 Distribution Overview

One of Revenue Accounting's primary functions is to support the distribution of money collected from taxpayers to the appropriate taxing authorities. Taxing authorities are defined as counties, school districts, regional transit authorities and the state. Distribution begins at the taxpayer level when a return is filed, and an associated payment is received. The return dictates the taxpayer's tax liability and further breaks down the tax due by jurisdiction. The distribution of the payment follows this liability ratio indicated on the return and is captured by taxpayer level financial transactions. Revenue Accounting distribution occurs on a periodic basis, typically a month, and entails the summarization of all the individual taxpayer level transactions, by taxing authority, for the period. This summarization generates the amounts that must be distributed for a particular period to the taxing authority. RA captures these amounts on separate vouchers that are sent to OBM via the Ohio Administrative Knowledge System (OAKS). This activity is very time sensitive and must be completed within a short time frame.

2.1.2 Gross Level Transactions Overview

The Revenue Accounting (RA) module provides the capability for gross level financial accounting transactions. These types of transactions are not captured at the taxpayer level and cannot be tied back to an individual payment or liability. These transactions are used for large discrepancy adjustments that do not tie back to taxpayer records, to record investment earnings, and to capture various administrative fees. The RA module allows for allocation rules to be created and applied to gross level revenue. This allows for revenue to be distributed based upon various complex and outside criteria, including but not limited to population, motor vehicle registrations, lane miles, income tax collections or manual instructions provided by RA. The RA module treats these as unique transactions that require special identification on all online screens or reports. These transactions adhere to a restrict set of rules of who is allowed to create, update or reverse them and how they participate in the regular transaction processing.

2.1.3 Revenue Reporting Overview

A comprehensive set of Revenue Reports are produced by RA for use within ODT as well as for distribution to the Legislative and other government entities. These reports are used to research financial disparities,

trend analysis, provide input to the budgeting process performed by the OBM and assist in other regulatory compliance.

2.2 General

Based on these general overviews, please respond to the following questions:

2.2.1 Explain any redesign required to exploit the new PeopleSoft upgrade capabilities if different from ODT's current use.

Response:

2.2.2 Describe how the proposed PeopleSoft upgrade solution meets auditing and security requirements in general and Revenue Accounting transactions in particular.

Response:

2.2.3 ODT's Revenue Accounting reports are generated through COGNOS which interfaces with our current PeopleSoft application. Describe any required changes that will be needed to allow COGNOS to continue interfacing with the proposed PeopleSoft upgrade version. Provide a plan to benchmark, verify and resolve any performance degradation with generating Reports.

Response:

2.2.4 Describe, in detail, the method and technology proposed to migrate all database structures, including tables, indexes, security, views, etc.

Response:

2.3 Fit/Gap Analysis

2.3.1 Describe, in detail, the method with examples of the results of a PeopleSoft Functionality fit/gap analysis for an upgrade that will be used for the proposed solution.

Response:

2.4 App Designer

2.4.1 Please describe any new features or approaches that can improve change management in App Designer that is included in the proposed PeopleSoft upgrade solution.

Response:

2.4.2 Describe any changes or expectations required for App Design as it relates to the proposed PeopleSoft upgrade as well as Oracle 19c database.

Response:

2.5 Upgrade Feature Improvements

2.5.1 Please provide details about any features that will help improve business functions in the following context:

2.5.1.1 Creating access to the audit history of accounting calendar updates that includes who, what and when.

2.5.1.2 Ensuring that no one may post their own journals whether created online, SSJI, or via run programs executed through run controls.

2.5.1.3 Providing a more user-friendly journal upload spreadsheet, for example:

- Gray out the effective date or auto populate with the journal date, they are always the same.
- Provide the capability for the actual spreadsheet to use the Unit: from the “edit journal header” and populate the unit column and tax type column.
- Archive data when the sheet gets too full of prior uploads, to enable the business unit to keep older data without jeopardizing the performance of the macro.

2.5.2 Prepopulating fields, in “Find an existing value” search, with search criteria values when the values are identical for each search. For example: the “find an existing journal” query).

Response:

2.5.3 ODT Revenue Accounting utilizes SSJI and Excel-To-CI. Describe how the proposed PeopleSoft upgrade solution supports Microsoft Excel and what version of Excel is more compatible to the proposed PeopleSoft upgrade version.

Response:

3 Technical Requirements

This section enumerates many high-level technical requirements as determined by ODT for the purposes of this RFP. Requirements may be added or changed during project sprints as necessary to reflect the functionality of the Contractor's solution and ODT's changing needs. The Offeror must provide a response for each section with how the proposed solution meets, does not meet, or exceeds the existing or desired functionality. Offerors are encouraged to illustrate the rationale, merits, completeness, innovation, capabilities and limitations of all solution components including technical, software elements, process elements, services, integrations and other operating considerations as part of their narrative responses to this RFP. The Offeror is further encouraged to provide screen captures, diagrams, graphics or other information of relevant elements of their solution to illustrate the degree of compliance with requirements wherever possible. Simply repeating the requirement and agreeing to comply is an unacceptable response and may cause the proposal to be rejected.

3.1 General

3.1.1 Describe the process of performing the technical environment analysis for the proposed solution.

Response:

3.1.2 Describe the process to be used to migrate from WebSphere to WebLogic for the proposed solution.

Response:

3.2 Database

3.2.1 What capabilities does the proposed upgrade solution have to better facilitate good query response time when the query does not utilize a corresponding physical search index for query optimization (also referred to as full tablespace or table scans)?

Response:

3.2.2 Describe the process to be used to migrate data for the existing PeopleSoft version on Oracle 12c to the upgraded PeopleSoft version on Oracle 19c for the proposed solution.

Response:

3.2.3 Will the proposed PeopleSoft Upgrade solution necessitate any data conversion?

Response:

3.3 Hardware

3.3.1 Provide a detailed description of all server/hardware and any network infrastructure requirements necessary for the proposed solution in production, and development environments, etc.

Response:

3.4 Software

3.4.1 Describe the Contractor's experience with maintaining cloud instances for other governmental clients and the advantages and disadvantages of a cloud instance versus an on-premises instance.

Response:

3.4.2 If proposing a cloud-related solution, please indicate the Contractor's ability to utilize Ohio enterprise cloud brokered services as provided in Supplement 3, Section 4.1.2

Response:

3.4.3 List any tools included to customize and/or enhance the use of the proposed solution.

Response:

3.5 Development

3.5.1 List all environmental requirements for the proposed solution. (i.e. separate sandbox, development, training, testing, QA, and production region needs).

Response:

3.5.2 List and describe all value-added services offered that are not included in the response.

Response:

3.5.3 Describe the proposed process for the installation and configuration PeopleSoft PeopleTools 8.58 and FSCM 9.2, and how the ODT Technical Manager and technical staff will be involved.

Response:

3.5.4 The Contractor must work closely with the ODT Technical Manager and technical staff to interface with the State of Ohio ISAM (Innovate Ohio Platform).

Response:

3.5.5 Describe additional functionalities not listed within the core functions of the proposed solution that may be available.

Response:

3.5.6 Describe the proposed PeopleSoft upgrade version's architecture in terms of functional partitioning of components (e.g. web, database, application).

Response:

3.6 Implementation

3.6.1 - ODT requires an extensive and carefully structured approach to the implementation of the PeopleSoft upgrade. This includes the organization and execution of cutover activities necessary to transition operations to the new system. The Contractor must provide support throughout the entire implementation period.

Response:

3.6.2 Provide detail regarding the approach for coordinating:

- Risk assessment and mitigations,
- Final Data Migration activities,
- Technical preparation and system changeover activities,
- Development of an implementation activities check list,
- Staffing requirements, by role and responsibilities for all implementation activities,
- Implementation schedule,
- Contingency plan for implementation failure.

Response:

3.7 Production Support

3.7.1 Describe any support services including hardware and software maintenance – include an explanation of any proposed support services including performance guarantees. Identify all proposed maintenance, including a detailed explanation of response times, backup procedures and how the system will be maintained. Include any sample forms or agreements.

Response:

3.8 Security

3.8.1 Does the proposed system have a security matrix which maps roles and access levels to each page?

Response:

3.8.2 Describe how the proposed solution will provide the ability to maintain and view an audit trail containing browse history with time and date Estamp, user ID, and record browsed.

Response:

3.8.3 Describe the System Security Plan for the proposed solution.

Response:

3.8.4 List all third-party software used in the proposed application, including libraries, frameworks, components, and other products; and whether they are commercial, free, open-source, or closed-source.

Response:

3.8.5 Describe security compliance required of third-party Contractors whose products are incorporated into the proposed application, including the use of a cloud storage provider.

Response:

3.8.6 Describe encryption implemented in the solution and encryption standards employed.

Response:

3.8.7 Describe methods for protecting private and sensitive data fields (e.g. SSN, FTI, STI, other PII), in both the project environment and production, including masking, tokenization, or other methods.

Response:

3.8.8 Describe how auditable events are generated, captured, and retained as well as the audit record content.

Response:

3.8.9 Describe security capabilities of the application for output handling and output retention.

Response:

3.8.10 Describe the use of any secure coding guidelines that are followed in software development.

Response:

3.8.11 Describe how assessments of vulnerabilities, risks, and threats to applications and supporting platforms are performed.

Response:

3.9 Performance and Validation

3.9.1 Verification: After completion of the initial system and application software installation and configuration, the Contractor must verify, with ODT's assistance, that all acquired modules are present and installed; that the system operates in a stable fashion both on-line and off-line, and that the system can be accessed from ODT's network. The Contractor must conduct walkthroughs and other sessions on system housekeeping, updates, and troubleshooting, as required.

Response:

3.9.2 Performance Testing and System Tuning: The Contractor must conduct performance testing and system tuning for the installed configuration. These tasks must be coordinated and performed with ODT system programmers, database administrators, and other technical staff. ODT recognizes that performance testing and tuning activities may be necessary at several stages in the process. For example, tuning could take place after the software installation, before production migration and during initial production operations. If modifications are made to the application software to meet ODT's unique requirements, it is expected that the Contractor

must review and recommend adjustments to the database configuration to ensure acceptable performance.

Response:

3.9.3 Performance Requirements: The following performance requirements must be met to fulfill the Implementation Deliverable:

3.9.3.1 Response Time: The PeopleSoft system must provide measured internal transaction response time whereby 95% of all operations' elapsed time is the same or less than ODT current like transaction/report process. This parameter must be met for 20 consecutive business days (Monday through Friday, except for State identified holidays).

3.9.3.2 Application Availability: For 20 consecutive business days after the implementation of each phase, the system must have no more than 4 hours of unscheduled down time during the planned availability of 7:00 a.m. until 6:00 p.m. on business days (Monday through Friday, except for State identified holidays).

3.9.3.3 Application Batch Consistent Operation: All production batch jobs and scripts including update operations must have completed successfully, and all runtime errors corrected for 20 consecutive business days and be inclusive of an execution and completion of a ODT Revenue Accounting quarterly allocation. During that same 20 consecutive business day period and ODT Revenue Accounting quarterly allocation 95% of all batch processes must have completed without runtime errors. Nightly batch run should not exceed five hours.

3.9.3.4 Database should be optimized for performance and all the maintenance utilities setup and handed over to the State database team.

Response:

3.9.4 Describe any performance measures and dashboards presented.

Response:

4 Delivery

4.1 Project Delivery - General

The Offeror will provide ODT its recommended methodology and approach to successfully complete this project. Please provide as much detail as possible. At a minimum, please provide a description, including timing when applicable, for the following:

- **A detailed Project Plan** – that ensures a common understanding of the Project Plan will be established, provides clarity on scope of overall project and the responsibilities of the Contractor and ODT and provides a common understanding of the business, process, technical and other elements of the overall implementation as required,

- **Communication methodology for Updates to the Project Plan** - and how they will be reported to allow adequate time for ODT's review, commentary, and approval, and an agreed-upon timeframe for deliverable acceptance,
- **Staff Change Reporting,**
- **Timing and frequency of Status Meetings and Reports,**
- **Solution and Operations Documentation and Maintenance (see Appendix B, List of Deliverables and Work Products),**
- **Issue Management,**
- **Defect Management Plan (See Section 4.2),**
- **Change Request Process,**
- **System Integration Testing** – at a minimum: Cover a subset of requirements established for UAT ensuring that all end-to-end functions are executed successfully, include testing all functionalities relating to the configuration of a new business unit, testing People Tools – Eight Steps in developing an application and compatibility testing of all supporting hardware and software. Exit criteria must ensure all testing requirements are successfully completed and all defects are resolved and closed, all supporting hardware and software system compatibility issues are resolved and closed and system documentation is maintained and stored.
- **User Acceptance Testing** – at a minimum: These tests will be run during UAT and signed off upon successful completion (No Errors). ODT will be executing test cases covering all current Revenue Accounting allocation and distribution capabilities (Appendix A). Execution of these tests may take an extended period of time that the vendor will need to consider during project planning. Provide process for archiving sign-offs and original scripts. Please note: UAT test will not be complete until all errors are corrected. ODT will be executing test cases covering all current Revenue Accounting allocation and distribution capabilities (Appendix A).
- **Performance Testing - planning, methodology and measurement criteria,**
- **System Implementation, Deployment Approach and Post Deployment Support,** (including cutover planning and stabilization planning for post go-live support),
- **Managed Services Capabilities - Post implementation management and long-term support, and**
- **Knowledge Transfer and Training.**

4.2 Project Defect Management

From a project perspective, defect management is the process by which identified functional and technical deficiencies in the release under development. Additionally, a project issue may be escalated to a defect if the issue occurred as a result of software changes introduced to a development or test environment by work performed by the project team.

Development Defects - These are confirmed defects *discovered* in development or testing environment during related development, system, performance, assembly and UAT testing performed by the project team. Identified defects are reviewed and assigned a severity and priority that determines what order the defects are resolved. The following severity level definitions will apply to any Defects:

- Severity 1 - **Catastrophic**: The defect prevents the system or application from meeting the majority of the ODT's requirements. Catastrophic defects involve any situation where the loss of service is non-recoverable.
- Severity 2 – **Major**: No mutually-agreed work around: The defect prevents a major function of the system or application from meeting ODT's requirements and there is no effective work around to meet these requirements. Appropriate for instances where service or delivery has been impacted although not completely disabled, and there are no workaround procedures available to fix the problem.
- Severity 3 – **Moderate**: With a mutually-agreed work around: The defect prevents a major function of the system or application from meeting ODT's requirements, but there is an effective work around to meet these requirements. This is appropriate for instances where service or delivery has been impacted, although not completely disabled, and workaround procedures are available to fix the problem. The parties agree to negotiate in good faith to identify any workarounds with respect to Severity 3 defects within three (3) business days of the defect's identification. If the parties cannot agree on a work around within that three (3) day period, the issue will be escalated to the Deputy Tax Commissioner of Information Technology and Contractor's comparable representative.
- Severity 4 - **Minor**: The defect prevents a minor function of the system or application from meeting ODT's requirements. Appropriate for instances where minor functions are disabled, but service or delivery is not affected.
- Severity 5 - **Cosmetic**: The defect has minimal or cosmetic effect on the system or application meeting ODT's requirements. Appropriate for errors that provide more of a nuisance than a real problem and errors of ODT's process/standards or documentation type.

All deliverables will be free of any severity 1, 2, 3, 4, and 5 defects prior to the beginning of the final user acceptance test. Exceptions will be granted for mutually acceptable workarounds. The business users may also prioritize defects discovered during system, performance or UAT and indicate that the release under development may not be deployed to the production environment until these are successfully fixed and retested. The developed deliverable will be demonstrated to, and tested by, ODT. Prior to acceptance, a minimum of one (1) week shall be dedicated to testing the functionality of the deliverable. If any severity 1, 2, or 3 defects are found during testing, one (1) additional week of testing shall be dedicated to testing the functionality after that defect is fixed. If ODT deems the developed deliverable is delivered timely and are functionally complete, ODT will accept the deliverable.

Please indicate responsibilities and process involved with addressing Oracle defects that may arise during the project.

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

The warranty support period for each production release defined as a part of this RFP will be 12 months from the production deployment date. If after ninety (90) days of successful execution (defined as no Severity 1 or 2 issues) by the Contractor in ODT production environment, the Contractor shall be relieved of active management of the release as contained herein. During the period, immediately following the introduction of

the Contractor provided enhancements, configurations or extensions to ODT's production environment the Contractor must:

- Ensure adequate staffing from the Contractor Project Team is on hand (or available remotely) to ensure that during this period all defects identified by ODT and mutually committed to resolve by the Contractor in this RFP or under any SOW are adhered to.
- This responsibility must specifically include:
 - Prompt isolation, triage and repair of any Severity 1 (24-hour repair) or 2 (48-hour repair) issues
 - Performance Monitoring of the System to ensure that there are no statistically significant (i.e., +5%) deviations from actual production performance as compared to the system performance prior to the implementation of Contractor developed elements
 - Compile all final versions of the upgrade documentation, work products and delivery materials and locate / organize them as 'FINAL' on ODT provided SharePoint site
 - Obtain a final acceptance document from ODT and the Contractor confirming that all the above has been delivered and accepted as final

If, during the warranty support period, the introduction to Production, a Severity 1 or 2 issue occurs that can be directly attributable to the efforts of the Contractor, and not ODT or other non-Project parties, the change will be made within established Service Levels as agreed to by the parties.

5 Service Levels

5.1 Assumptions

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

5.2 Support Requirements

The Offeror must describe the support required from ODT in addition to ODT's minimum contribution described above. Specifically, the Offeror must address the following:

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

ODT 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, ODT may reject the Offeror's Proposal, if ODT is unable or unwilling to meet the requirements.

5.3 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 ODT 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.) ODT may reject any Proposal that includes existing materials for a custom solution, if ODT believes that such is not appropriate or desirable for the Project.

5.4 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 ODT 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 ODT to sign a license for the Commercial Material, the Offeror must include the license agreement as an attachment. If ODT 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 ODT's sole discretion, then the Offeror's Proposal may be rejected. If ODT is not going to sign a license, but there will be limits on ODT'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 ODT, in its sole discretion, believes that such is not appropriate or desirable for the Project. Any deviation from the standard license, warranty, and other terms in Attachment Four also may result in a rejection of the Offeror's Proposal.

If the Offeror proposes a Deliverable that contains Commercial Software or other Commercial Materials with terms that differ from the terms in Section VI of the Main RFP document 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 ODT will not be expected to sign the agreement. Any deviation from the standard terms in Attachment 4 may result in a rejection of the Offeror's Proposal.

5.5 Service Levels

The Service Levels contained herein are default Service Levels for Deliverables issued under this Contract. Both ODT and the Vendor recognize and agree that Service Levels and performance specifications may be added to or adjusted by mutual agreement during the term of the Contract as business, organizational objectives and technological changes permit or require. In addition, where the scope of services of a Deliverable is not applicable, the parties will negotiate in good faith the default SLAs or to make necessary modifications to the SLAs. Such modifications will be placed in the specific Deliverable and be only valid for that Deliverable and not for other work covered by other deliverables.

Each Service Level (SL) will be measured using a "Green-Yellow-Red" traffic light mechanism (the "Individual SL GYR State"), with "Green" representing the highest level of performance and "Red" representing the lowest level of performance. **A Performance Credit will be due to the State in the event of an individual Service Level Agreement (SLA) GYR State falling in a "Yellow" or "Red" state.** The amount of the Performance Credit for each

SLA will be based on the Individual SLA GYR State. Vendors should note, the amount of the Performance Credits will, in certain cases, increase when they are triggered for consecutive months.

Provided below is a table summarizing monthly Performance Credits for each SLA. The “Red” and “Yellow” rows display Performance Credit formulas. The first month’s formula is a percentage of Monthly Project Charges (MPC).

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

The Vendor agrees that in each month of the Contract, a maximum of **12%** of the Monthly Project Charges (MPC) associated with the Project Implementation is at risk (this will be referred to throughout this document as the “At Risk Amount”). MPCs are the charges for the deliverables accepted during a given month. The MPC for the Project Implementation will be at risk for failure to meet the Service Levels set forth in the Contract. The Vendor will not be required to owe Performance Credits for multiple SLA failures caused by the same event. If multiple SLAs are triggered from one event, only the SLA with the highest Performance Credit available to ODT will apply.

On a quarterly basis (every 3 months), there will be a “true-up” at which time the total amount of the Performance Credits will be calculated (the “Net Amount”), and this Net Amount will be subtracted from any fees ODT owes to the Vendor. In the event of consecutive months of failure to meet the same SLA, the Vendor will be required to credit ODT an increased Performance Credit per the table above.

The Vendor will not be liable for any failed Service Level caused by circumstances beyond its control which could not be avoided or mitigated through the exercise of prudence and ordinary care, provided that the Vendor promptly notified the State in writing and resumes its performance of the Services in accordance with the SLAs as soon as possible.

SLA Performance Credit Example: *If an Individual SL GYR State is Yellow in the first month, Red in the second month and back to Yellow in the third month for an SLA, then the Performance Credit due to the State will be the sum of Yellow Month 1 (B), Red Month 2 (A + 50% of A), and Yellow Month 3 (B + 100% of B).*

This would be provided that (1) the total Performance Credit does not exceed 12% of the MPC (At Risk Amount); and (2) no single Service Level Credit exceeds 20% of the total At Risk Amount. The total of any weighting factors may not exceed 100% of the total At-Risk Amount. The Performance Credits available to the State constitutes the monetary remedy to resolving issues related to a Vendor’s service level performance failures. SLA and SLO tracking will commence at project initiation for any Implementation Project.

Overall Vendor Performance

In addition to the SLA Performance Credits, monthly, an overall SL score (this will be referred to throughout this document as the “Overall SL Score”) will be determined, by assigning points to each SL based on its Individual SL GYR State. The table below describes the methodology for calculating an Overall SL Score.

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

The Overall SL Score is calculated by multiplying the number of SLAs and SLOs in each GYR State by the Performance Points above.

Overall SL Score Example: *If all SLAs and SLOs are Green (0 Points) except for two SLAs in a Red GYR State, the Overall SL Score would be 8 (2 Red SLAs X 4 Performance Points).*

If the Overall SL Score exceeds the threshold of fifteen (15), mandatory Executive escalation procedures will be initiated to restore acceptable Service Levels.

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

- The overall SL score reaches the threshold of fifteen (15) for three (3) consecutive months with at least 50% of the service levels in a red state; and the Vendor fails to remedy the affected Service Levels within sixty (60) calendar days of receipt of the State’s written notice of intent to terminate; **OR**
- The threshold of 75% of service levels are in a red state for six (6) consecutive months.

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

5.5.1 Monthly Service Level Report

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

5.5.2 Service Level Review and Continual Improvement

Initial Review: Within three months of Project initiation, the Parties will meet to review the Service Levels and the Contractor’s performance and discuss possible modifications to the Service Levels. Any changes to the Service Levels will be only as agreed upon in writing by the Parties.

Ongoing Review: On an ongoing basis, the Parties will meet to review the Service Levels and the Contractor’s performance on a mutually agreed to frequency.

5.6 Service Level Commitments – Project Implementation Services

Service Level	State Requirements			
	SLA	Support Hours	Required	
			Response	Resolution
Testing Performance	SLA	-	See specification below	-
Defect Resolution – Severity 1 Defects	SLA	7x24	Every 4 hours until resolution	<= 24 hours
Defect Resolution – Severity 2 Defects	SLA	7x16	Every 8 hours until resolution	<=72 hours
Project Performance	SLA	7x24	See specification below	

Minimum Event Quantity Considerations

During a month where there is not a statistically relevant number of opportunities for the Vendor to demonstrate compliance with a service level due to the low number of events that would comprise compliance with a service level, the Vendor will not be held responsible for achieving the Service Level from a pure mathematical perspective. For those months where, due to the low number of events, the Vendor is excused from Service Level credits for the effected Service Level, the associated Vendor performance related to those events will roll forward to the subsequent month (or if required months) until such time as the number of events, and the related Vendor performance in addressing those events generate a meaningful number to substantiate the calculation of the Service Level. Below is a clarifying example for the avoidance of doubt:

The State requires a service level that is contemplated based on the anticipated volume of events to be 90%. Because of the project phase or activities, there are only three events to be considered in the measurement month, two of the events were in complete (100%) compliance with ODT requirements and one of the events was not in compliance with ODT requirements. Therefore, under this scenario the Service Level attainment was 66% of ODT requirements in aggregate.

Due to the low number of events in the measurement period, the results from previous months will be rolled forward to the point where there are a sufficient number of events to yield a statistically relevant result. The State and the Vendor will mutually agree to the number of events required to produce a statistically relevant result (generally the next month).

If the following month's performance contains a statistically relevant number of events, or when combined with the prior months would be statistically relevant, any Service Level credit or calculation would apply to the aggregate of all the events in question.

5.6.1 System Testing Performance

Specification: System Test Execution Exit Quality Rate

Definition: System Test Execution Exit Quality Rate is calculated using the results of Vendor generated and executed test cases which include functionality, performance, integration, interfaces, operational suitability, and other test coverage items comprising a thorough Vendor executed system integration testing effort.

“System Test Execution Exit Quality Rate” is the inventory of all test cases performed in conjunction with Vendor system integration testing or testing otherwise preceding ODT’s User Acceptance Testing (UAT) efforts, presentation of the resulting test performance including identified errors or issues, and overall testing results to ODT.

This Service Level applies upon Vendor presentation of the aforementioned system integration testing (SIT) results to ODT and prior to ODT conducting User Acceptance Testing (UAT). The target service level for this SLA is >=90%, excluding Severity 1 items (which must be resolved prior to testing results presentation to ODT) and will be validated during an initial measurement period. The initial measurement period will be one mutually agreed upon by the Vendor and ODT, not to exceed three months and will only pertain to a first production release. Following this initial measurement period, and for all releases, updates, enhancements, or patches as a result of any production or commercial use, the target Service Level is >=95%.

Formula:

$$\text{Test Execution Exit Quality Rate} = \frac{\text{Total \# of Test Scripts Passed in System Testing Results}}{\text{Total \# of Test Scripts Executed in System Testing Results}} \times 100$$

Measurement Period: Mutually Agreed Initial Period

Data Source: Monthly Service Level Report

Frequency of Collection: At Conclusion of System Testing

Service Level Measures

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

5.6.2 User Acceptance Testing Performance

Specification: User Acceptance Test Execution Exit Quality Rate

Definition: User Acceptance Test Execution Exit Quality Rate is calculated using the results of ODT generated and executed test cases which include functionality (Appendix A), performance, integration, interfaces, operational suitability, and other test coverage items comprising a thorough ODT executed user acceptance testing effort.

“User Acceptance Test Execution Exit Quality Rate” is the inventory of all test cases performed in conjunction with ODT executed user acceptance testing or testing otherwise preceding approval for solution implementation, presentation of the resulting test performance including identified errors or issues, and overall testing results to ODT.

The target service level for this SLA is >=90%, excluding Severity 1 items (which must be resolved prior to testing results presentation to ODT) and will be validated during an initial measurement period. The initial measurement period will be one mutually agreed upon by the Vendor and ODT, not to exceed three months and will only pertain to a first production release. Following this initial measurement period, and for all releases, updates, enhancements, or patches as a result of any production or commercial use, the target Service Level is >=95%.

Formula:

$$\text{Test Execution Exit Quality Rate} = \frac{\text{Total \# of Test Scripts Passed in User Acceptance Testing Results}}{\text{Total \# of Test Scripts Executed in User Acceptance Testing Results}} \times 100$$

Measurement Period: Mutually Agreed Initial Period

Data Source: Monthly Service Level Report

Frequency of Collection: At Conclusion of System Testing

Service Level Measures

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

5.6.3 Project Performance

Specification: % Project Date Compliance

Definition: Percentage of compliance for committed and accepted Project Dates as per the Project plans.

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

This SL will begin upon Project initiation and will apply until Project completion.

Formula:

$$\text{Compliance, Milestone Dates} = \frac{\text{Total Number of Milestones Activities and Deliverables (owned by Contractor) met within the measurement month}}{\text{Total Number of Milestones Activities and Deliverables}} \times 100$$

Total Number of Milestones, Activities and Deliverables (owned by Contractor) planned to be met during the measurement month per the agreed upon list of Milestones

Measurement Period: Monthly, During Project

Data Source: Weekly Project Report

Frequency of Collection: Weekly

Service Level Measures

Individual SL GYR State	Project Performance
Green	> 90%
Yellow	>85%, <=90%
Red	<= 85%

Appendix A – Current Revenue Accounting Allocation and Distribution Capabilities

1. Calculate, generate, edit, and post distributions to the general ledger that are not based on ETPM journals. This includes but is not limited to:

- Casino-County Distribution
- Casino-Host City Distribution
- Casino-School District distribution
- E911 Wireless Distribution
- Motor Fuel – Fund 7068 Distribution
- Motor Fuel – Fund 7060 Distribution
- Muni Net Profit Investment Interest
- School District Investment Interest
- Sales Tax Collected by County Clerk of Courts (See item #11)
- Sales Tax Collected by Commerce

The calculated distributions are based on various inputs including but not limited to:

- Business Unit
- Journal Date
- LGA
- Amounts
- Percentages
- Rates

The calculations are based on various algorithms utilizing the inputs that includes but is not limited to:

- Population from Census.gov
- Percentages as directed by statute
- Student Counts by County from EDU
- Student Counts by School District from EDU
- Prior Distributions as districted by statute
- BMV registrations from DPS
- Center Lane Miles from ODOT
- Clerk of Court Payment Files from TOS (See item #11)
- Clerk of Court Distribution Files (See item #11)
- Commerce Sales Tax by County

The calculated distributions must be able to be staged for user verification before journal creation. Various statuses of distributions include but is not limited to:

- Staged
- Posted
- Error
- New (Sales Tax on Liquor Only)

The distributions must be able to be reported on through COGNOS at all statuses of distribution. Should the distribution not pass manager verification, the user should be able to re-enter the distribution starting over for the same month. Journals created for non-Allocation History

calculated distributions should be distinguishable in the Journal ID name for each distribution listed above.

2. Generate, edit, and post all distributions calculated by Allocation History. Journals created from allocation history should be distinguishable in the Journal ID. This includes but is not limited to:
 - PSRM extract
 - Unallocated Processes (Sales, MNPT, SD, Sev, HR, CIG)
 - Converted Assessment Payment Deallocation (Sales)
 - Converted Overpayment Deallocation (Sales)
3. Generate, edit, and post distributions to the general ledger via online entry and spreadsheet journal upload. Journals created from allocation history should be distinguishable in the Journal ID.

Besides the PSRM extract, all processes performed to post distributions to the general ledger are initiated by the user. The PSRM extract posting is automated, but also can be initiated by the user.

4. When posting to the general ledger certain data elements must be captured in each journal. This includes but is not limited to:
 - Business Unit
 - Journal Date (aka Accounting Date)
 - Description
 - Account
 - Different accounts should be used to distinguish distribution types and whether data from PRSM extract
 - Cash, Revenue, and Payable accounts should be used
 - Local Government Account (LGA)
 - Subcomponent
 - Tax Class
 - Obligation End Date

These data elements will be used for reporting. There may be variations depending on business unit.

5. All journals must be able to be unposted.
6. All data elements of the journals must be viewable via online query using business unit plus one or all the following parameters:
 - Journal ID
 - Journal Date
 - Journal Header Status
 - Budget Checking Header Status
 - Source
 - Enterer

Where applicable these parameters can be queried using equal to, between, contains, begins with, greater than, less than, greater than or equal to, less than or equal to, and not equal to. Where applicable these parameters can be queried using wildcard searches. Results should be able to be exported to Excel.

7. All general ledger postings are live, not via batch processing. To clarify, there are nightly jobs that post PSRM data, however, the user-initiated journals can be posted immediately.

8. Audit Logging

- The following data elements must be recorded where applicable. This includes but is not limited to:
 - Business Unit
 - Journal ID
 - Journal Date
 - UnPost Sequence
 - Journal Process
 - Event Code
 - Event Name
 - Even Date & Time
 - User ID
 - Process Instance
 - Message Text
- Where applicable these parameters can be queried using equal to, between, contains, begins with, greater than, less than, greater than or equal to, less than or equal to, and not equal to. Where applicable these parameters can be queried using wildcard searches. Results should be able to be exported to Excel.
- The following financial transactions and actions should be logged:
 - Journal Creation, Edit and Post
 - All calendar updates
 - Queried by Business Unit
 - Before and after should be viewable
 - All processes and/or jobs that are run
 - All rate updates
 - Before and after should be viewable
 - All Clerk of Court payment and distribution updates prior to release for journal
 - Before and after should be viewable
 - All BMV registrations and center lane miles
 - Before and after should be viewable

9. There must be definable security roles that includes but is not limited to:

- ISD Helpdesk-
- Read Only
- Query Viewer
- Create Journals
- Post Journals
- Administrative

A user should not be able to post a journal they created.

10. There must be controls in place that the system utilizes to determine distributions, posting of journals and payments. This includes but is not limited to:

- Horse Racing Caps
- MNP Carry Forward
- Tax Rates and Administrative Fee Rates
 - Effective dates
 - LGA
 - Subcomponents
 - Multiple Subcomponents

- Open Periods by Business Unit must include separate calendars for:
 - Hard Close – a period must be closed to finalize it.
 - Journal Unpost – to control the unposting of journals.
 - Soft Close – a period must be soft closed to be hard closed. Journals from PSRM should not post to a period that is soft closed.
 - Reports – Used by COGNOS to determine the accounting period automated reports should run.
- Local Government Account (LGA)
 - Active v. Inactive
 - Effective Date
 - ID
 - Name
 - Address
 - FEIN
 - ADN
 - Payment Rules
 - Sales Tax for one county consists of subcomponent PER and ACT that is paid in two separate payments to County, and RTA portion paid to Transit Authority.
 - Multi-county RTAs paid in one payment to one Transit Authority.
 - LGA's do not cross business units
- Accounts
- Subcomponent
- Any other chartfields or data elements

11. The system must process Clerk of Court (CLCO) payments and distributions. This consists of the following:

- Processing CLCO Payments from TOS interface. The user must be able to query the data by one or all of the following:
 - Business Thru Date
 - Deposit Date
 - Match Status
 - Duplicate Record
 - Error
 - Matched
 - New
 - Suspended
- The system must allow for mass deposit date updates on the CLCO payments.
- All CLCO Payment fields are modifiable.
- The CLCO payments must be able to be reported on through COGNOS at all match statuses.
- Processing CLCO Distributions from DPS interface. The user must be able to query the data by one or all of the following:
 - Business Begin Date
 - Business End Date
 - Accounting Date
 - Release Status
 - Duplicate Record
 - Error

- Matched
 - New
 - Posted
 - Released
- The system must allow for mass release of matched CLCO distributions.
- All CLCO distribution fields are modifiable prior to release.
- The CLCO distributions must be able to be reported on through COGNOS at all release statuses.
- Matching the CLCO payments from TOS interface with CLCO distribution from DPS interface.
 - Nightly there will be a process that matches the CLCO payments with the CLCO distributions. Upon matching, the CLCO distribution accounting date will be the CLCO payment's deposit date.
 - Should the deposit date on the matched payment be updated, the accounting date will be updated on the matched distribution.
 - Should a payment or distribution for the same business thru date or business end date (respectively) be processed, the record will be marked as duplicate.
 - The user will have the ability to update the status for both payment and distribution. For distribution, only to the point to release.
 - The user will have the ability to run the job that matches the records.
- The user will release the distribution records in a matched status.
- That night the released CLCO distributions will be posted to the general ledger.
- Where applicable these parameters can be queried using equal to, between, contains, begins with, greater than, less than, greater than or equal to, less than or equal to, and not equal to. Where applicable these parameters can be queried using wildcard searches. Results should be able to be exported to Excel.

12. Ad Hoc queries that can be run in excel, HTML, and/or XML that handles the wildcard search that includes but not limited to:

- Allocation History by Obligation ID-Provides entire allocation history for an entered obligation ID
 - Note: one obligation can have tens of thousands of rows of data
- Bad Check Query-identifies dishonored payment penalty distributions by business unit for a parameter defined accounting range
- Journals not Posted-Provides all created journals that are not posted
- ETPM Staging Errors-provides any PSRM data with a staging error
- JGEN Action Required-Provides any data where journal generation has not been performed
- JGEN Action Required Details-Provides detail by Report ID
- Journals Posted Today-Provides all journals posted today
- Allocation History Not Processed-provides any Allocation History data not processed
- Unallocated Report-Provides unallocated distributions by accounting date range by business unit
- Journals by LGA by Accounting date- provides journals by business unit by LGA for a parameter defined accounting date range
- Journals by LGA by Obligation date-provides journals by business unit by LGA for a parameter defined obligation end date range

- Journal Detail- provides journals detail by business unit by Journal ID for a parameter defined journal date range
- Line ID-Provides obligation ID from a line ID
- Negative Distribution by LGA-provides negative distributions by LGA for a given business unit and for a parameter defined accounting date range

13. The system must process BMV registration files from DPS and center lane miles files from ODOT. This consists of the following:

- Processing BMV registration files from DPS. The user must be able to query the data by one or all of the following:
 - Processed Date
 - Release Status
 - Duplicate Record
 - Error
 - Matched
 - New
 - Posted
 - Suspended
- All fields are modifiable.
- The District Code can be changed.
- The BMV Registrations must be able to be reported on through COGNOS at all match statuses.
- Processing center lane miles files from ODOT. The user must be able to query the data by one or all of the following:
 - Processed Date
 - Release Status
 - Duplicate Record
 - Error
 - Matched
 - New
 - Posted
 - Suspended
- All fields are modifiable.
- The District Code can be changed.
- The center lane miles must be able to be reported on through COGNOS at all release statuses.
- Matching the BMV registrations and center lane miles
 - Only the user will run the process that matches the file.
 - For the BMV registrations, the matching process matches the district codes to the LGA's active for Fund 7060 distribution and identifies duplicates and ones that error out because they are not active.
 - For the center lane miles, the matching process translates the FIPS Code to District Code and identifies duplicates and records that error because they are not active LGA's for the Fund 7060 distribution.
 - Once in a matched status the user will be able to release the records.
 - When calculating the 7068 and/or 7060 distributions, the system will use the records most recently released.

14. Hard Close Process for payment of distributions to LGA's

- Note: Not all Business Units (tax types) require payment to LGA's. Currently they are but not limited to:
 - E911
 - Alcohol
 - Beer
 - Wine
 - Liquor
 - Casino
 - CAT
 - Cigarette
 - Horse Racing
 - Agriculture Societies
 - Municipalities/Townships
 - IFTA Jurisdictions
 - Motor Fuel
 - Muni Net Profit
 - Resort
 - Sales & Use
 - School District
 - Vendors License
- Hard close process must handle the following cash, payable and revenue accounts to calculate the amount owed to the LGA:
 - Collections and from PSRM and Aggregate level collections & adjustments
 - Expired School District payout schedule
 - Negative distributions forwarded to next open period
 - Administrative Fee and adjustments
 - Investment Interest
 - MNPT Refundable Credit and Refundable Credit Administrative Fee Adjustments
 - Large Impact Adjustments & Repayments
- Payment Journal created cannot contain negative payments.
- Motor Fuel's 7068 calculation is added to the 7060 calculation result so the LGA's only get one payment for both.
- Some distributions can be hard closed more than one time per month:
 - Liquor
 - Horse Racing – Agriculture Societies
- All should be performed in one user initiation of a process.

15. Payment file creation

- A separate process initiated by the user after hard close process
- Payments should be paid to the LGA as defined in the controls
- Payment file creation can only be kicked off once per date range

16. As a user runs a process, they should have the ability to monitor the process

- The user should be able to view the process after it was run
- Processes should be viewable by all users

17. For online screen entry, prepopulated fields should be predefined.

18. The user should have the ability to customize the home screen or dashboard.

19. Training, user guides, and job aids should be provided.

Appendix B - Deliverables and Work Products

Please indicate with an "X" in the Vendor Provided Column if Deliverables and/or Work Products will be provided as part of this proposal.					
#	Project Phase	Work Unit Name	Work Product Or Deliverable	Purpose	Vendor Provided
1	Initiate Phase	Project Staffing Plan	Work Product	Defines the required resources needed to implement the solution against the project timeline. The staffing plan will identify when resources will be on and off-boarded and provide an overall FTE count for the project.	
2	Initiate Phase	Project Kick-Off Deck	Deliverable	Documents the governance for the project, roles, approach, timeline and deliverables in a presentation format.	
3	Initiate Phase	Work Breakdown Structure	Work Product	A hierarchical decomposition of the proposed solution into phases, processes, deliverables and work products.	
4	Initiate Phase	Project Plan	Deliverable	Documents the project phase, tasks, and activities needed to accomplish the goals of the project. The project plan will also identify the resources needed to accomplish the work, dependencies between activities, milestones, and the critical path.	
5	Initiate Phase	Project Status Report Template	Work Product	Provides a clear and concise picture of the status of the project.	
6	Initiate Phase	Initiate Gate Review Results	Deliverable	Documents the status of the artifacts needed to assess if the project is ready to move to the next phase, including project risks / issues. Should provide the project steering committee with enough detail to make the decision to proceed.	
7	Analyze Phase	Requirements Analysis Document (RADS)	Work Product	Documents the options to resolve fill functional gaps. The vendor should provide options and a recommendation. The recommended options would then be presented in a Conference Room Pilot (CRP) session.	
8	Analyze Phase	RICEFW / Retrofit Inventory	Deliverable	Identifies the required RICEFW (Reports, Interfaces, Conversions, Enhancements, Forms, Workflow) objects and configuration changes for the software components.	
9	Analyze Phase	Conference Room Pilot Results	Deliverable	Documents the results of the Conference Room Pilot (CRP) sessions in a spreadsheet format for each business process and functional requirement.	
10	Analyze Phase	Environments Approach	Deliverable	Documents the technical environments that will be used on the project. This will also identify when the environments will be utilized, the migration path of data and objects between the environments, if production data, is utilized, if that data is	

				masked, and what security methods will be utilized to secure the environment.	
11	Analyze Phase	Requirements Traceability Matrix (RTM)	Deliverable	Lists the requirements for the processes which will be designed and/or built and subsequently deployed. It also provides traceability from the requirements to enhancements, configuration items, and test scripts.	
12	Analyze Phase	Organizational Change Management Strategy	Deliverable	Defines the various change management activities that will be addressed throughout the project (overall OCM approach - needs to be supported by the activities/tasks in the project plan)	
13	Analyze Phase	Communication Plan	Work Product	Outlines the approach the project team is going to undertake to manage the project communication activities..	
14	Analyze Phase	Communication Strategy Matrix	Work Product	Documents the communication types, audiences, frequencies, timelines and vehicles to be used to communicate project activities	
15	Analyze Phase	Training Strategy and Plan	Work Product	Outlines the training objectives, strategy, and curriculum that needs to be developed and deployed.	
16	Analyze Phase	Training Needs Analysis	Work Product	Identifies the training needs that the target audiences affected by the project require.	
17	Analyze Phase	Readiness Plan	Work Product	Outlines the approach that will be taken to track end user adoption and readiness for the proposed solution.	
18	All Phases	Risk / Issue Log	Work Product	A repository of all project risks/issues and their mitigation strategies.	
19	Analyze Phase	Analyze Gate Review Results	Deliverable	Documents the completion of phase, decision to progress to the next phase and lessons learned.	
20	Design Phase	Functional Design Specifications	Deliverable	Documents the functional design for RICEFW requirements and details the functional approach that will be followed to meet the identified requirements.	
21	Design Phase	Configuration Design Specifications	Deliverable	Details the functional configuration required to meet project requirements.	
22	Design Phase	Security Design Specifications	Deliverable	Documents the security design for RICEFW requirements and details the approach that will be followed to meet the identified requirements.	
23	Design Phase	Batch Processing Design	Deliverable	Identifies the existing, modified and new batch process and flows required to meet system requirements.	

24	Design Phase	Technical Design Specifications	Deliverable	Documents the technical design for RICEFW requirements and details the technical approach that will be followed to meet the identified requirements.
25	Design Phase	Technical Architecture Specifications	Deliverable	Documents any changes to the OAKS technical architecture (hardware, software, etc.) introduced by the project.
26	Design Phase	Testing Strategy	Deliverable	Describes the testing approach that will be used; it outlines the testing scope, benefits, required testing environment, testing resources etc.
27	Design Phase	Training Course Curriculum	Deliverable	Training curriculum with detailed course descriptions
28	Design Phase	Design Gate Review Results	Deliverable	Documents the completion of phase, decision to progress to the next phase and lessons learned.
29	Build Phase	Deployment Strategy and Plan	Deliverable	Defines the plan for cutover activities, deployment preparation, system stabilization. Also includes the transition of in-scope process into production
30	Build Phase	Knowledge Transfer Plan	Work Product	Defines the plan to transition project specific information required to support the solution to the ongoing staff at the State.
31	Build Phase	Completed Test Scripts	Deliverable	Documents the sign-off of completed test scripts. The completed test scripts should include the steps needed to complete the script, input data, expected results, and actual results.
32	Build Phase	Build Documentation and Unit Results	Deliverable	Provides the build documentation that identifies changes to code and the results of completed unit tests.
33	Build Phase	Master Test Plan	Deliverable	Documents the detailed test plan, scripts and schedule required to execute all required test phases.
34	Build Phase	Operations and Maintenance Documentation	Deliverable	Documents all procedural information necessary for operating and maintaining the application after deployment.
35	Build Phase	Detailed Course Outline and Storyboards	Work Product	Documents the outline for each course and provides a storyboard of the training content to guide the training developers.
36	Build Phase	Business Process Workshops	Work Product	Hands-on workshops to provide end users an early introduction of the new processes and highlights differences from existing processes.
37	Build Phase	Training Deployment Plan	Deliverable	Documents the plan for rolling out the training to end users by including calendar dates, locations, users to be trained, etc.

38	Build Phase	Go Live Acceptance Criteria	Work Product	Documents the criteria identified to provide production deployment approval. This will be used later in the Go/No-Go Meeting.	
39	Build Phase	Build Gate Review Results	Deliverable	Documents the completion of phase, decision to progress to the next phase and lessons learned.	
40	Test Phase	System Test Results	Deliverable	Documents the completed system test scripts, defect rates, open defects and provides leadership with guidance on existing system test.	
41	Test Phase	User Acceptance Test Results	Deliverable	Documents the completed unit test scripts, defect rates, open defects and provides leadership with guidance on existing unit test.	
42	Test Phase	Parallel Test Results	Deliverable	Documents the completed parallel test scripts, defect rates, open defects and provides leadership with guidance on existing parallel test.	
43	Test Phase	Performance Test Results	Deliverable	Documents the completed performance test scripts, defect rates, open defects and provides leadership with guidance on existing performance test.	
44	Test Phase	Operational Readiness Test Results	Deliverable	Documents the completed operational readiness test scripts, defect rates, open defects and provides leadership with guidance on existing operational readiness test.	
45	Test Phase	Test Gate Review Results	Deliverable	Documents the completion of phase, decision to progress to the next phase and lessons learned.	
46	Deploy Phase	Stabilization Plan	Deliverable	Documents the post go live support tasks, operational cutover tasks and data conversion activities.	
47	Deploy Phase	Training Materials	Deliverable	The formal training materials that have been developed to train end users.	
48	Deploy Phase	Knowledge Transfer Plan Sign-off	Deliverable	Documents the knowledge transfer activities from the vendor to the State Personnel with State signoff and acceptance	
49	Deploy Phase	Go / No-Go Meeting	Deliverable	Meeting to assess go-live readiness across the project with a formal vote by the project sponsors to allow deployment to begin.	
50	Closure Phase	Project Acceptance	Deliverable	Formally documents the closure of the project and that all contractual obligations have been met.	
51	Closure Phase	Updated Training Materials	Deliverable	Updated, finalized training materials including updates from hypercare, defect resolution and user feedback.	