State of Connecticut

Request for Proposal #18PSX0277

CONNECTICUT CHILD SUPPORT ENFORCEMENT SYSTEM (CCSES) REPLACEMENT PROJECT - DESIGN, DEVELOPMENT & IMPLEMENTATION

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Department of Administrative Services
Procurement Division
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Request for Proposals (RFP)
CCSES REPLACEMENT PROJECT – DESIGN, DEVELOPMENT AND IMPLEMENTATION

Guide to Electronic Proposal Submissions

1. **Introduction To BizNet**

   It is now a requirement of Department of Administrative Services (DAS)/Procurement Division that all Companies create a Business Network (BizNet) Account and add their company profiles to the State of Connecticut BizNet system. Companies are responsible for maintaining and updating company information in their BizNet Accounts as updates occur. Companies that have been certified through the Supplier Diversity or the Pre-Qualification Program have already created a BizNet account.

   The BizNet login is: [https://www.biznet.ct.gov/AccountMaint/Login.aspx](https://www.biznet.ct.gov/AccountMaint/Login.aspx)

   **New Companies:** Create an account by clicking the BizNet login link above and then the button on the right labeled “Create New Account”. Login and select Doing Business with the State and Company Information. Please be sure to complete information in all tabs (Company Information, Accounts, Address, etc.).

   **Existing Companies Needing to Update Their Information:** Login to BizNet and select Doing Business with the State and Company Information.

   *Anyone having difficulty connecting to their account or downloading or uploading forms should call DAS/Procurement Division at 860-713-5095.*

2. **Business Friendly Legislation**

   As a result of Public Act 11-229, DAS/Procurement Division’s goal is to make doing business with the State of Connecticut more business friendly. To eliminate redundancy, forms that were repetitively filled out with each request for proposal are being automated in BizNet.

   DAS/Procurement Division began the transition to on-line bidding by automating the submission of Affidavits and Non-Discrimination forms on October 1, 2011. Companies must submit forms electronically to their BizNet account if they haven’t already done so. These forms must be updated on an annual basis, no later than 30 days after the effective date of any material change. Rather than completing them with each proposal submittal, companies that have already filed these forms have the ability to view, verify and update their information prior to submitting a proposal response.

   **Instructions for Uploading Affidavits and Non-Discrimination Forms:**
   Click on the following link for instructions on how to upload Affidavits and Non-Discrimination forms: [http://das.ct.gov/images/1090/Upload%20Instructions.pdf](http://das.ct.gov/images/1090/Upload%20Instructions.pdf)
(a) AFFIDAVITS

THE FOLLOWING FORMS MUST BE SIGNED, DATED, NOTARIZED, UPLOADED OR UPDATED ON BIZNET. TO OBTAIN A COPY OF THESE FORMS, YOU MUST LOGIN INTO BIZNET AND FOLLOW THE INSTRUCTIONS LISTED ABOVE.

(1) OPM Ethics Form 1 – Gift & Campaign Contribution Certification
(2) OPM Ethics Form 5 – Consulting Agreement Affidavit
(3) OPM Ethics Form 6 – Affirmation of Receipt of State Ethics Laws Summary
(4) OPM Ethics Form 7 – Iran Certification

For information regarding these forms, please access the Office of Policy & Management’s website by clicking on the following link:  

(b) NON-DISCRIMINATION –

CHOOSE ONE (1) FORM THAT APPLIES TO YOUR BUSINESS. COMPLETE AND UPLOAD OR UPDATE ON BIZNET ANNUALLY. TO OBTAIN A COPY OF THESE FORMS, YOU MUST LOGIN INTO BIZNET AND FOLLOW THE INSTRUCTIONS LISTED ABOVE.

(1) Form A – Representation by Individual (Regardless of Value)
(2) Form B – Representation by Entity (Valued at $50,000 or less)
(3) Form C – Affidavit by Entity (RECOMMENDED) (Valued at $50,000 or more)
(4) Form D – New Resolution by Entity
(5) Form E – Prior Resolution by Entity

For information regarding these forms and on which form your company should complete, please access the Office of Policy & Management’s website by clicking following link:  

3. Online Proposal Responses

Any proposal posted by DAS/Procurement Division must be submitted electronically. The common forms listed below have also been automated in the BizNet system. In addition, specific forms are now fillable, as noted below. To complete forms; download them from your BizNet account, complete your submittal response, and then upload these completed documents (as well as any other required submittal documents) through BizNet prior to date and time upon which the Proposal is due pursuant to the RFP. Late submissions will not be accepted. All proposals response submitted must be e-signed. Proposals that are not e-signed are not received by DAS/Procurement and cannot be viewed or considered. If any required documents have not been uploaded, the system will not allow you to e-sign. After successful e-signature, Proposers will get a confirmation that their proposal has been successfully submitted. If you do not receive this electronic confirmation, please contact DAS/Procurement at 860-713-5095. Proposals are not publicly opened and are not available for viewing until after the Contract has been awarded.

- Contractor Information/Electronic Signature Page – Web Based fillable Form
- Employment Information Form (DAS-45) – Web Based fillable Form
- Statement of Qualifications (DAS-14) – PDF Fillable Form
- Connecticut Economic Impact Form (DAS-46) – Web Based fillable Form
- Contract Exhibit B – Price Schedule (RFP-16)
• RFP Addendum (RFP-18) – if applicable

Additional forms such as those listed below must be reviewed carefully and accepted by the proposer prior to proposal submittal:
• Request for Proposal IT Contract (RFP-50IT)
• Exhibit C – Notice to Executive Branch State Contractors and Prospective State Contractors of Campaign Contribution and Solicitations Limitations

4. **Insurance Accord Certificates**

Contractors are responsible for maintaining their BizNet accounts with new and/or updated insurance information.

The following documentation will need to be uploaded to each company’s BizNet account and evidencing that the State is an additional insured:

(a) Certificate of Insurance (Accord Form)
(b) The insurance policy declaration page
(c) The additional insured endorsement to the policy

Training documentation relating to the completion of the above-reference forms is available through the DAS Website under “DAS Business Friendly Initiatives” at the following website: [http://portal.ct.gov/DAS/Search-Results?SearchKeyword=insurance instructions](http://portal.ct.gov/DAS/Search-Results?SearchKeyword=insurance instructions)

*Proposers are cautioned that there may be additional documents, attachments or requirements depending on the complexity of the RFP. Please read ALL RFP documents carefully and provide all required information. Failure to do so may result in rejection of your proposal.*
Overview

The Connecticut Child Support Enforcement Program (Title IV-D of the federal Social Security Act or the Child Support/IV-D program) is a cooperative effort between dual agencies: the Office of Child Support Services (OCSS) in the Executive branch and the Support Enforcement Services (SES) in the Judicial branch of Connecticut government to deliver quality child support services with a mission to improve the well-being of children and promote the self-sufficiency of families. The program partners working with OCSS under cooperative agreements are: the Office of the Attorney General, Support Enforcement Services of the Judicial Branch, Family Support Magistrates, and Superior Court Operations.

The Office of Child Support Services (OCSS) manages a statewide program with a staff of 423. In 2018, the program collections totaled $288,946,161 and managed a caseload of 151,957 with 128,510 children in IV-D Cases. This same year, 103,137 children were born out of wedlock, while 6,073 children had paternity established, and 4,007 cases with orders were established. In federal fiscal year (FFY) 2017, Connecticut only collected $3.27 for each dollar spent which puts Connecticut below the national weighted average.

Core functionality that exists within the Connecticut Child Support Enforcement System (CCSES) includes federal reporting to Office of Child Support Enforcement (OCSE) and Internal Revenue Services (IRS), fiscal reporting for daily balancing and federal claims reimbursement, interfaces to supporting agencies and financial institutions, establishment and the enforcement of orders and payment processing. The program has limitations in data analytics, configurability, automated workflow processes, electronic document processing capability, interconnection to the fatherhood initiative, and customer access.

The purpose of the Child Support Enforcement System Replacement Project is to modernize the current CCSES System, not only to ensure compliance with federal and state laws and regulations, but to realize the benefits of systems that are in line with industry best practices, including:

- Mining existing data to present more meaningful information for decision making
- Providing users with a more user friendly, graphical interface to improve productivity, enhance automated workflow, reduce training time
- Providing self-service access to parents and relevant third parties for routine queries and functions that will free up caseworker resources for other tasks
- Receiving accurate, dependable data on participants and case statuses from federal and state interfaces with protocols that are easy to implement with different sources, consistent in how data is received and used, and clearly and easily capable of updating data elements for both incoming and outgoing interfaces
- Implementing Data Warehouse/Business Intelligence reporting that includes all the data elements required to provide and track data for federal and OCSS management reports

Background Information of the System:

The Connecticut Child Support Enforcement System (CCSES) was implemented in 1987. At over 30 years of age, the system is outdated and experiencing technical constraints. In addition, the system requires manual intervention to provide services to Connecticut families which is not cost effective or efficient. The State of Connecticut Department of Social Services (DSS), known as the “Department” and the Office of Child Support Services entered into contract with First Data Government Solutions (FDGS) in 2017 to conduct a feasibility study for potential solutions concerning the legacy system. Through a joint effort performed by CT OCSS, the Judicial Branch’s SES, and First Data (the feasibility study team), the study was completed in February 2018 (see Appendix I – Feasibility Study Report).
Research outlined seven options including status quo by maintaining the existing system, enhancing legacy system, developing a new system, transferring the system, using the Model Tribal system, obtaining an off the shelf solution, or creating a hybrid solution. The hybrid solution was selected as the state’s best opportunity to leverage prior investments, while phasing in new technology that will modernize the system and enable the program’s success.

In the 1980s and '90s, states, including Connecticut, initially developed automated child support “legacy” systems with the best technology platforms and software available at that time. However, almost 40 years later, evolving program needs and technology advancements have challenged legacy systems’ capability to meet changing demands.

Numerous limitations with the current legacy system impact the effectiveness of the Connecticut child support program and contribute to the difficulties of operating, maintaining and using the system. These limitations have contributed to Connecticut’s legal situation established by Walters v. Ginsberg that requires CCSES to notify recipients and take appropriate actions to ensure the recipient receives his/her child support payment(s) within 5 business days after discontinuing cash/Temporary Assistance to Needy Families (TANF) benefits.

The Connecticut Child Support program is required by the Federal Office of Child Support Enforcement (OCSE) to notify and take appropriate actions to ensure the recipient receives his/her child support payment(s) within five (5) business days after discontinuing cash/Temporary Assistance to Needy Families (TANF) benefits. Although improvements occur year over year, the current CCSES performs below standard in this area, resulting in an opportunity to improve the cost efficiencies in the program through automation and systemic improvements.

The modernized system will allow OCS S management to meet their business objective of making Connecticut one of the top five Child Support programs in the country.

Business Problem or Opportunity for the System:

The current CCSES system was implemented in 1987. Although it has been modified over the years to keep current with federal system certification requirements and state mandates, it retains much of its original functional and technical design for performing the OCSS’s essential functions. As a result, the changes that have been made to CCSES over the years have resulted in a patchwork of code modules that, as a whole, make it difficult to maintain and keep current with changes to requirements, new mandates, and evolving best practices. OCSS staff use the aged CCSES system and more recent peripheral applications daily to manage their ever-increasing workload.

With the complexity of the child support regulations, statutes, and policies, and with the size of the caseload, automation is essential to ensure due process in legal proceedings and enforcement actions, process high volumes of case actions, and maintain accurate financial records. The age of the underlying technology for CCSES puts the OCSS at risk of not complying with the federally-mandated State Plan, loss of eligibility for the federal financial participation and incentive funds, and potential financial exposure upon the State.

Moreover, governments face increasing expectations of efficiency, effectiveness, and quality in operations from those they serve. Due to the age of CCSES, the Program has had to forego initiatives that would have improved its capacity to provide services to meet these expectations. As a result, the Connecticut Child Support Program’s composite score of its performance measures is lower than many other state child support programs. Clearly, Connecticut must have a more robust and functional system to serve the families (most in financially vulnerable
situations) who rely on the establishment of support obligations, the provision of health insurance, and receipt of regular child support payments.

During its needs assessment and gap analysis, the OCSS identified the many limitations of the current system. A few examples from this review are:

- **Data Management.** CCSES manages and utilizes client data poorly, often requiring the user to input the same information on multiple screens to accurately manage a case.
- **System Design.** CCSES does not collect all the data elements necessary to support automated next-step case processing. For example, records for non-custodial parents and dependents are created multiple times on the system by design. It is increasingly difficult to keep other systems and case registries in balance when the system itself can’t maintain data integrity within its own internal tables.
- **Financial Management.** Among other challenges, CCSES has no automated means of determining if all monies received on a day have been properly and completely allocated, whether to a case or to unidentified funds. The “unidentified payments” file is forwarded to the OCSS Central Office for further manual research.
- **Document Management.** The system does not generate documents automatically when case conditions change. Documents need to reflect case information in real time, and then be retained for future reference.
- **Security.** The current participant access to the interactive voice response (IVR) unit and website does not meet industry standards or the recommendations for system security in the Office of Child Support Enforcement’s Guide for States.
- **CCSES Architecture.** CCSES is effectively a monolithic architecture, where each screen-module or batch program handles all aspects of user and database interaction itself instead of relying on common modules to perform those tasks.
- **Code Reuse.** Too few tools and standards are in place to foster code modularization and reuse, making CCSES maintenance difficult and costly.
- **Database Structure.** CCSES has not taken advantage of the power of a Relational Database Management Structure. Instead, it uses a hierarchical database which encourages inconsistency because the database engine is not able to enforce data relationships.

Besides system limitations, Connecticut falls below the national weighted average collection of $5.22 for each dollar spent, which has been identified by OCSS as a key area for improvement. The new system will provide the much-needed capabilities for improved customer service, client self-service, and data analytics to assist in better case management, resulting in enhanced performance and increased collections.

**Success Criteria, Goals and Objectives of the System:**

The new system will comply with multiple regulatory requirements from the U. S. Department of Health and Human Services (HHS), Internal Revenue Service (IRS), Social Security Administration (SSA), as well as Health Insurance Portability and Accountability Act (HIPAA) laws, and Federal Risk and Authorization Management Program (FedRAMP) security standards, and it will provide much needed capabilities for improved customer service, client self-service, and data analytics to assist in better case management, resulting in enhanced performance and increased collections.

The purpose of this Request for Proposal (RFP) is to select a Proposer to deliver a regulatory-compliant automated Child Support Enforcement System that will provide the capabilities to improve the Connecticut Child Support program by reducing costs, automating data management that facilitates monetary and medical orders, and improving the speed of establishing paternity and monetary orders for children, thereby improving the delivery of services and enforcing child support orders, collections, and payment distribution in a timely manner.
The Success Criteria defined for the CCSES project are as follows:

- Improved national ranking of Connecticut’s Child Support program from 38th to top five in the nation
- Increased number of children with paternity established
- Increased percentage of non-custodial parents supporting children
- Increased number of families/children served (court orders established)
- Increased current support collections to families
- Increased payments toward arrears due to families
- Reduction/avoidance of Temporary Assistance to Needy Families (TANF) block grant funds expended
- Improved reporting accuracy
- Improved family relationships due to Fatherhood Initiative requirements
- Decreased training time for OCSS staff
- Improved customer access using Interactive Voice Response (IVR), portal, and mobile technology

Business Goals and Objectives of the System:

The business goals and objectives center around replacing the CCSES with an efficient and cost-effective modern system. Supporting this goal, the objectives are:

- Replace the current CCSES system with one that supports the unique dual agency arrangement in Connecticut and meets State needs for enforcement of child support services, while complying with the recently published federal OCSE certification requirements (see Appendix E for Child Support Enforcement: A Guide for States, issued and maintained by the OCSE)
- Streamline the current processes and procedures required for case management by leveraging workflow tools and business rules to minimize manual efforts required, ensure timely processing of cases, and support efficient allocation of staff across the Child Support caseload
- Implement rules-based workflow tools that can be managed by Department staff to quickly accommodate changes to business processes and procedures
- Minimize the need for paper documents, forms, and correspondence
- Maximize the use of the document management, scanning, and correspondence technology enablers for the new system
- Improve client services by providing a client-centric view, and implementing a Client Web Portal and call center services to provide the public convenient access to information needed, reduce the need to come into offices or send in paper forms and correspondence to receive needed services, and improve the timely flow of information to the State
- Improve current accounting functions needed for Child Support by implementing/integrating fully functional financial management as part of the new system
- Evaluate reuse of accounting modules from other states if they can be integrated with the alternative solution chosen
- Use an integration engine for more efficient information sharing among State and Federal agencies, and use business rules and workflow to automate the interface requests or handling of information received from other sources, thereby enhancing the quality of information and increasing staff productivity

The Technical Goals and Objectives of the System:

The technical goals and objectives for a modernized CCSES are to support implementation of a solution that will have a long lifespan with a target of 25 years. Supporting this goal, the objectives are:

- Use an architecture framework that allows the addition or replacement of technology components with minimum changes to the core application and database
• Implement a new system that leverages the latest technology platforms and services to enable staff to maximize automation capabilities and minimize the current manual effort required to administer the Child Support program in Connecticut

• Transition the current hierarchical database to a relational database that incorporates unique client identifiers to increase efficiencies for the core application functions and increase data integrity for reporting purposes

• Develop a data warehouse that supports current and future reporting needs of child support, including ad hoc, analytical, and predictive analytical reporting

• Minimize the current use of paper by implementing a document repository that supports the storage and retrieval of all documents required to manage cases and provide services to clients and the courts with access to documents provided by establishing Electronic Case Folders within the core application, indexed to reference relevant documents across all cases

• Create document management interfaces with the current e-Filing case repository being implemented in the judicial system to facilitate case management across the organizations

• To the extent possible, maximize the reuse of existing Department technology platforms and components to reduce costs and complexity and leverage investments in hardware, software, and technical expertise

• Maximize interoperability between the child support system and other systems, as well as the interoperability between the child support technical platforms, to support real time data access requirements, reduce data redundancy in the child support database and data warehouse, and support the current state and federal guidelines for use of web services

• Build the new system on a web services infrastructure and architecture that supports direct data access to other systems

• Plan the interfaces with other systems, including partners, to ensure advance completion of appropriate Memoranda of Understanding (MOUs) and Service Level Agreements (SLAs) and avoidance of implementation bottlenecks, such as additional funding for work done by other agencies or partners to meet new interface requirements

The Current System:

CCSES is a legacy system that has been in continuous operation since July 1987. It is a federally required and certified case maintenance system (45 CFR §302.85) that maintains case records and account information on cases, serving families and children. The system carries out all functions of the Title IV-D Child Support Enforcement Program, and is the principal tool used by OCSS and cooperating agencies for: Case Initiation, Locate, Establishment, Case Management, Enforcement, Financial Management, Reporting, Security and Privacy, and Customer Service.

The CCSES technology of the 1980s cannot provide OCSS and its partner agencies with modern capabilities such as: 1) mining existing data to present more meaningful information for decision making, 2) providing the user with a more graphical interface to improve productivity, and 3) providing self-service access to parents and relevant third parties for routine queries and functions that will free up caseworker resources for other tasks. In addition, because CCSES is an older Unix-based, monolithic character-based application using an older UniVerse multivalued database system, the desired level of programming expertise does not exist in-house at the Department and has become extremely limited nationwide. The current CCSES Contractor (Auctor Corporation) has four (4) staff persons located in Connecticut, as well as several staff offsite who support the Connecticut contract.

Entering and accessing data is difficult for new users and their user training. Even minor changes to the existing green screens can present productivity and training challenges to experienced users. Further, the current design leads to poor data quality and duplicate records.

While the Department has vigorously enhanced the system since going live in 1987, compliance with multiple regulatory requirements from HHS, IRS, SSA, and others is becoming harder to maintain and these attempts at
compliance consume an increasing amount of resources, both human and monetary capital. Some requirements, such as data labeling and continuous monitoring, cannot be fully satisfied within the existing application.

The major shortcomings in the legacy CCSES system include limitations on:
- Available software maintenance resources
- Usability and data quality
- Interoperability
- Regulatory compliance

The Department Directives:

The Department delivers and funds a wide range of programs and services as Connecticut’s multi-faceted health and human services department. The Department serves about one million residents of all ages in all 169 Connecticut cities and towns and supports the basic needs of children, families, older and other adults, including persons with disabilities. Services are delivered through 12 field offices, central administration, and online and phone access options. The Department, with the help of service partners:

- Provides federal/state food and economic aid, health care coverage, independent living and home care, social work, child support, home-heating aid, protective services for older adults, and more vital service areas
- Supports the health of over 780,000 residents through HUSKY Health (Medicaid & Children’s Health Insurance Program), including medical, dental, behavioral health, prescription medications, long-term services and supports
- Helps over 400,000 residents afford food and supports Connecticut’s economy with federally-funded Supplemental Nutritional Assistance Program (SNAP)
- Has 1,700 dedicated staff
The Child Support/IV-D Program is administered by the Department of Social Services, Office of Child Support Services which has cooperative agreements with other agencies under the Child Support Program’s umbrella:

- Office of the Attorney General, the legal counsel for the Child Support Program
- Support Enforcement Services, Judicial Branch, responsible for court-based enforcement and most modification processes
- Family Support Magistrates, Judicial Branch, responsible for adjudicating court cases in the Child Support/IV-D Program
- Court Operations, Judicial Branch

The mission of OCSS within the Department is to improve the well-being of children, promote the self-sufficiency of families, and deliver quality child support services, with recognition that to grow and thrive, children require the financial, medical, and emotional support of both parents, regardless of their living situation or relationship.

The goal of the OCSS is to improve the circumstances of children and their families by providing a path to self-sufficiency. This is done by providing the following services:

- Establish legal paternity of children
- Locate non-custodial parents
- Establish monetary and medical support orders obligating parents to support their children
- Assist parents in addressing any needs or issues they may have via referrals to other agencies and/or community resources
• Collect and distribute child support payments
• Modify child support orders if appropriate

OCSS works very closely with Support Enforcement Services, Court Operations Division. SES helps parents enforce and modify their child support orders.

**Roles and Responsibilities of Key Project Teams:**

Implementation projects of this scale are complex to manage, and the Department will utilize contractor resources to support the CCSES Project. The Department requires full cooperation between the State, Design, Development and Implementation (DDI) Contractor, EPMO, IV&V Contractor and QA staff working on the Project.

1. **Enterprise Program Management Office (EPMO).** The EPMO will provide Program and Project Management services related to developing and implementing project control plans and structures for the entire Project. The EPMO will provide support in monitoring and updating the Project’s project management plan and schedule and manage the activities of Project participants to ensure successful execution of the Project. The EPMO will provide services to ensure that all Project participants, including the DDI Contractor, stay on schedule and mitigate any Project delays.

2. **Design, Development and Implementation (DDI) Contractor.** The DDI Contractor is responsible for the design, development and implementation of the new CCSES system. Besides a solution architecture and design, the DDI Contractor is expected to provide project managers, project leads, and expert staff to provide all the services described in the Scope of Work section of this RFP. In addition to an expert project team necessary to complete the work for the Planning, Designing, Development, Training, Conversion and Implementation, the DDI Contractor will provide Warranty Support and optional Operations & Maintenance.

3. **Independent Verification and Validation (IV&V).** The IV&V Contractor will not participate in daily project activities but will review project plans and documentation with an outsider’s perspective. The IV&V Contractor will provide services relating to assessing project plans, documentation, accomplishments, and vulnerabilities. The IV&V Contractor will provide plans, reports of findings, and recommendations directly to the federal OCSE central and regional offices at the same time the IV&V Contractor submits them to the Department. It is anticipated that the IV&V Contractor will review the project and provide this report, at a minimum, once every six (6) months.

4. **Quality Assurance (QA).** The Department may procure the services of a Quality Assurance Contractor or provide this function using a Department QA team. This team will be independent of the DDI Contractor and will work with and report to the Department. The QA team will develop a quality management plan, monitor Project tasks and activities, and report on any deviations from the approved plans. The Department and EPMO will work with the QA team to ensure that the Project conforms to the approved schedule/plans and that deliverables maintain the high quality expected.
The Project Organization:

The Department will oversee the CCSES Project and engage the services of the contractors described above. A Steering Committee will aid the Project Management Team by providing various levels of oversight of the Project. The Program will use a combination of state and contractor staff to supplement state staff expertise. This section outlines the organizational structure by which the Department will manage the Project. The figure below depicts the high-level Project organization.

![Diagram of CCSES Project Management Organizational Structure]

Figure 2: CCSES Project Management Organizational Structure
The Project Team Roles and Responsibility:

<table>
<thead>
<tr>
<th>PROJECT ROLE</th>
<th>RESPONSIBILITIES</th>
</tr>
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<tbody>
<tr>
<td>Executive Steering Committee</td>
<td>Executive Steering Committee (ESC) includes management representatives from DSS, OCSS, SES, and the Bureau of Enterprise Systems and Technology (BEST) involved in the project oversight and control, and any other key stakeholder groups that have special interest in the outcome of the project. The ESC acts individually and collectively as a vocal and visible project champion throughout their representative organizations; generally, to help resolve issues and policy decisions, approve scope changes, and provide guidance to the project. The ESC may be involved in providing resources, assist in securing funding, act as liaisons to executive groups and sponsors, and fill other roles as defined by the project. The Steering Committee is expected to meet once a month during the life of the project.</td>
</tr>
<tr>
<td>Executive Sponsor(s)</td>
<td>The Executive Sponsor provides support for the Executive Owners and Project Leadership, has final approval of all scope changes, and signs approvals to proceed to each succeeding project phase. The Executive Sponsor may elect to delegate some responsibilities to Executive Owners or Project Leadership.</td>
</tr>
<tr>
<td>OCSE</td>
<td>Office of Child Support Enforcement (OCSE) is the Federal government agency that oversees the national child support program. OCSE offers guidance and technical assistance throughout the design, development and implementation stages of system lifecycle, and provides review and monitoring of the systems. The IV&amp;V contractor will report their findings to the OCSE on a periodic basis.</td>
</tr>
<tr>
<td>Project Sponsor</td>
<td>The Project Sponsor makes the business argument for the project to exist, usually secures and controls the overall funding of the project and secures or allocates other necessary resources. Generally, the project sponsor does not participate in the daily work of the project. The sponsor is a member of the executive steering committee.</td>
</tr>
<tr>
<td>BEST</td>
<td>Bureau of Enterprise Systems and Technology (BEST) is part of the State’s Department of Administrative Services and is headed by the CIO of the State of Connecticut. BEST Architects will play a significant role in providing input to the DDI Contractor on the system design and architecture. The IV&amp;V contractor will also report to a manager from BEST.</td>
</tr>
</tbody>
</table>
**Enterprise Program Management Office (EPMO)**
The EPMO will consist of senior project managers and Subject Matter Experts. The EPMO will be responsible for managing the implementation of CCSES, including developing the overall strategy and Project Management Plan to meet the goals and objectives outlined in all Advanced Planning Documents and updates, gaining stakeholder agreement to the plan, monitoring the budget and the execution of the replacement projects. The EPMO will serve as a liaison between the Department, the DDI Contractor, and other contractors and stakeholders as needed. It will also provide staff, skills, and templates necessary for Program and Project Management, Scope and Change Control, Requirements Management, Budget/Financial Management, Schedule Management, and Reporting.

**Project Director**
The Project Director is given authority to plan, execute, monitor, and control the project. The Project Director manages people, contractors, work assignments, risk, status, communications, plans, budgets, and deliverables.

**Business Owner(s)**
Business Owners lead the organizations with the greatest number of tasks/resources impacted by the project. They contribute to the overall management of the project are project stakeholders, but not all stakeholders are business owners.

**State Technical Lead**
The DDI Contractor’s technical design team will work with the State Technical Lead to establish the technical design procedures and technical design templates. The State Technical Lead will coordinate review of the DDI Contractor’s technical design and development tasks. The State Technical Lead will also assist the DDI Contractor in the resolution of technical design issues and the coordination of the requirements and approaches articulated by the technical design team.

The State Technical Lead will review and provide inputs to affect the purchase, delivery, and installation of System components as well as the maintenance arrangements to assure continuous operations.

Other responsibilities include:
- Participate in the development and review of the technical design for the System
- Ensure modifications to the technical design comply with the technical standards of the State and Project
- Participate in and approve all aspects of database, development, infrastructure, and security management

**Functional Lead**
The Functional Lead will coordinate all aspects of the DDI Contractor’s functional design tasks including the initiation, development, review, testing, and maintenance of all documents related to the functional areas. The Business/Functional Manager will assist the DDI Contractor to ensure requirements and approaches articulated by the business analysts and the functional design subject matter experts meet the Program’s requirements and assist the DDI Contractor in the resolution of functional design issues.
The Business/Functional Manager/Lead will work closely with the State Technical Lead and the DDI Contractor’s staff and will coordinate the availability, scheduling, and assignment of the functional subject matter experts for each of the major functional areas.

**Functional SMEs (OCSS and SES)**

Staff drawn as subject matter experts from Office of Child Support Services (OCSS) and Support Enforcement Services (SES) will be assigned as resources to support DDI Contractor Requirements/design tasks. The SME staff will only be called upon for their specific functional expertise so that the time commitment is minimized. The Business/Functional Manager will coordinate the assignment of the SME staff.

**Organization Change Manager and Organization Change Coordinator**

The Organizational Change Manager (OCM) will play a key role in helping the Project meet business objectives. This role, staffed by State, will focus on the people-side of change including changes to business processes, systems and technology, job roles, and organization structures. The primary focus will be creating and implementing organizational change management plans that minimize employee resistance and maximize employee engagement. The Organizational Change Manager will work to drive faster adoption, greater ultimate utilization and higher proficiency on the changes impacting employees in the organization such that business goals are achieved. A structured change management approach and methodology will be applied. The DDI Contractor will work closely with OCM to support the Organization Change Management activities.

The Organization Change Coordinators provide leadership in the coordination of implementation activities with stakeholder agencies, including IV-A (TANF), Title XIX (Medicaid), IV-E, and the Courts. The Organization Change Coordinators assist the DDI Contractor in defining Program support for implementation planning and training preparation.

The Organizational Change Coordinators assist the Organization Change Manager with implementing organizational change management plans.

**Information Security Officer**

The Department Information Security Officer provides input to the DDI Contractor in all security-related aspects of System implementation. Reviews all technical designs and development tasks for compliance with federal, State of Connecticut, and Department policies, statutes and security requirements. Reviews and confirms the DDI Contractor’s provisions for System and physical security.

**Technical Architect**

The Department Technical Architect provides input to the DDI Contractor on the infrastructure architecture required to design, build, test and implement the new modernized System. Assists in reviewing the new proposed system hardware and system software components and their integration into the State architecture and infrastructure. Provides feedback to the DDI Contractor in documenting requirements about system capacity, electrical power and backup of the new system and other related technical infrastructure components. Assists with infrastructure deployment.
<table>
<thead>
<tr>
<th>Role</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Application Architect</strong></td>
<td>The Application Architect serves as a SME regarding application architecture of existing systems and interfaces. Participates in Joint Application Development (JAD) sessions. Provides input to the DDI Contractor in estimating the System load and specifying the necessary performance requirements for operational memory, computing power and data storage. Provides feedback to the DDI Contractor in specifying new system hardware and software components and their integration into the State Architecture. Identifies requirements and constraints on the new system hardware and software and their integration into the existing application architecture. Reviews and tests the DDI Contractor’s provisions for the application design and security components of the new system, and reports on test results to the Department Project Manager. Reviews all application architecture documents against Requirements.</td>
</tr>
<tr>
<td><strong>DSS ITS Architects, BEST Architects, Security Officer</strong></td>
<td>DSS/BEST Architects provide inputs to the DDI Contractor on the infrastructure architecture and design for the new modernized System. They assist in reviewing new system hardware and system software components and their integration into the State architecture and infrastructure. Assists with infrastructure deployment. The Security Officer provides inputs to the DDI Contractor on the Security Architecture and reviews and approves all Security related deliverables.</td>
</tr>
</tbody>
</table>
| **Training Lead**             | The Training Lead works closely with the DDI Contractor to review and approve the necessary training and resource materials for each functional design; assists in finalizing the information needed for full staff use of the System functionality at the conclusion of the acceptance testing processes including the necessary training modules, user manuals and help utilities developed by the DDI Contractor; ensures that training is comprehensive and effective.  

The Training Lead will represent the considerations necessary to meet the unique training and resource requirements throughout the State. Training staff will facilitate operations training and technical knowledge transfer from DDI Contractor to Department. |
| **QA Team**                  | This team will be independent of the DDI Contractor and will work with and report to the State Project Director. The QA team will develop a quality management plan, monitor Project tasks and activities, and report on any deviations from the approved plans. The Department and EPMO will work with the QA team to ensure that the Project conforms to the approved schedule/plans and that deliverables maintain the high level of quality expected. |
| **Systems Integrator/DDI Contractor** | The DDI Contractor is responsible for the design, development and implementation of the new CCSES system. Besides a solution architecture and design, the DDI Contractor is expected to provide project managers, project leads, and expert staff to provide all services described in the Scope of Work section of this RFP. In addition to the staffing necessary to complete the work for the Planning, Designing, Development, and Implementation, the DDI Contractor will provide Warranty Support and optional Operations & Maintenance. The DDI Contractor will provide a list of key personnel including resumes as required by the Department. |
The State of Connecticut Department of Administrative Services (DAS), is seeking proposals for a System Integrator (SI) partner to implement for the Connecticut Department of Social Services (DSS), known as the “Department” a new Connecticut Child Support Enforcement System (CCSES). The Department is seeking a Proposer to lead the Design, Development and Implementation (DDI) of a new CCSES System.

The Department is looking for a DDI Proposer to implement an automated state-of-the-art Child Support Enforcement System to replace the legacy CCSES that will address all functional and technical requirements articulated in this RFP. The State has selected a hybrid approach from the OCSE approved feasibility study that provides the state and the awarded Contractor freedom to select and leverage existing components and/or modules from other states’ Child Support Enforcement Systems, Connecticut’s existing enterprise technologies and shared-services investments and/or any new solutions/frameworks/platforms that will meet the vision and requirements of the Department. The State is requesting the proposer to offer their best solution that is cost-effective, addresses requested functionalities, and will be certified by OCSE.

The Department envisions a best-of-breed, modular, n-tier solution that explores open source alternatives and is open to a FedRAMP approved Cloud-based solution. No test, conversion, or production data can reside outside the United States.

The Department is looking for an experienced Proposer who has designed, developed, and successfully implemented a large, secure, mission-critical, multi-million dollar IT system in the Public Sector in the U.S. within the last five years. Prior experience in delivering Child Support Enforcement systems would be desirable.

This contract replaces the following contract award(s) in part or in total: NONE
## Instructions to Proposers

### 1. Proposal Schedule

<table>
<thead>
<tr>
<th><strong>RELEASE OF RFP:</strong></th>
<th><strong>Date:</strong></th>
<th><strong>Friday, May 3, 2019</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>OPTIONAL PRE-PROPOSAL MEETING:</strong></td>
<td><strong>Date:</strong></td>
<td><strong>Thursday, May 23, 2019 @ 10:00am Eastern Time</strong></td>
</tr>
<tr>
<td></td>
<td><strong>Location:</strong></td>
<td><strong>55 Farmington Avenue, Hartford, CT</strong></td>
</tr>
<tr>
<td><strong>RECEIPT OF QUESTIONS:</strong></td>
<td><strong>Date:</strong></td>
<td><strong>Thursday, May 30, 2019 by noon Eastern Time</strong></td>
</tr>
<tr>
<td><strong>ANSWERS TO QUESTIONS POSTED AS ADDENDUM:</strong></td>
<td><strong>Date:</strong></td>
<td><strong>Monday, June 10, 2019 or sooner</strong></td>
</tr>
<tr>
<td><strong>RFP DUE DATE:</strong></td>
<td><strong>Date:</strong></td>
<td><strong>Friday, July 12, 2019 at 2:00 pm Eastern Time</strong></td>
</tr>
</tbody>
</table>

### 2. Pre-Proposal Meeting Requirements

This RFP contains optional pre-proposal meeting requirements.

### 3. Questions

Questions for the purpose of clarifying this RFP must be received no later than the date and time specified in Section 1, “Proposal Schedule” and must be directed to the Contract Specialist, Susanne Hawkins via email: susanne.hawkins@ct.gov.

### 4. Communications

During the period from your organization’s receipt of this Request for Proposal, and until a contract is awarded, your organization shall not contact any employee of the State of Connecticut concerning this procurement except in writing directed to the Contract Specialist, Susanne Hawkins via email: susanne.hawkins@ct.gov.

### 5. Solicitation Submission

Solicitations shall be submitted online by the RFP due date and time only. Proposers shall upload their solicitation submission to their BizNet Account.
Deliverables and Additional Terms & Conditions

1.1 Functional Requirements

The Child Support Enforcement System should address the following modules and will address all requirements from the OCSE’s Automated Systems for Child Support Enforcement: A Guide For States, updated 2017 (https://www.acf.hhs.gov/css/resource/2017-update-automated-systems-for-child-support-enforcement-a-guide-for-states). In addition to the high-level requirements given below, the detailed requirements are listed in the Requirements Matrix given in Appendix A.

The Proposer, in their proposal response, should explain their understanding and how they plan to address the requirements at the sub-function level (General Description column of the RTM). The Department is not looking for a proposal response to each detailed line item requirement in the RTM, however, the Proposer should provide a detailed explanation for any requirement(s) that are not being 100% met (i.e. partially met and unmet) by the proposed solution.

1.1.1 Case Initiation

The Case Initiation process handles applications and referrals for new cases. New IV-D case records are created, or existing case records are updated with incoming information. After cases are created, they are forwarded to the appropriate processing unit and CCSES submits the cases to the Federal Case Registry (FCR).

The CCSES System should provide automated processing of referrals to and from IV-A (TANF), Title XIX (Medicaid), IV-E (Child Welfare), the CT Judicial Department, and interstate sources. For all referrals, the system should edit the data and provide the action required and informational alert messages along with online access to the referral data.

For all referrals, the system should provide automatic case setup when case participants can be added or updated without staff intervention. The system should provide a pending referral or other function to support staff review for the referrals that cannot be automatically added to the system. The system should use the Client Index in the Department’s Enterprise Master Person Index (EMPI) system to screen case participants and assign a person number prior to registering a new participant.

The system should check for duplicate cases, and then establish an automated case record for each application/referral. The automated case record should provide a comprehensive and chronological case history of all actions taken including status changes, whether manual or automated.

The Guide for States requires that automated systems process information for non-IV-A cases, and process referrals from Title IV-A, Title IV-E, and Title XIX agencies. The system should maintain information on case participants and on non-IV-D orders, as well as interface with the FCR.

The conceptual model for case initiation is shown below:
Figure 3: Conceptual Model for Case Initiation

Key Outcomes

- Individuals exist only once on the database, allowing all known information to be immediately applied to case processing
- Data accuracy is improved
- Consistent application of known data
- Improved customer service
- Increased productivity
1.1.2 Locate

The system should establish a case locate status and monitor cases in locate status. It should generate needed forms, letters, and appointments, as well as ensure compliance with and documentation of the time frames for locate efforts.

A case is in locate status when the non-custodial parent does not have a valid address of any type and does not have a known employer.

The system should utilize the interfaces to locate custodial parties when the custodial party's whereabouts are unknown, and collections cannot be distributed.

The system should have automated interfaces with federal, state, interstate, and intrastate sources. If an automated interface cannot be established for a specific source or there is not an electronic means for the worker to access the source, the system should automatically prepare the documents required to submit the case to the source and provide an easily accessible means to record in the system all manual attempts to obtain information and the results.

The conceptual model for Locate is shown below:

**Figure 4: Conceptual Model for Locate Services**

**Key Outcomes**

- Improved interfaces discover data more quickly
- More automated processing increases staff productivity
- Advance automation reduces errors that cause case delays or missed/inappropriate actions
- Duplicate stored data is deleted
- Increased productivity

1.1.3 Establishment

The system should automatically track, monitor, and report on the status of paternity establishment, child support obligation establishment, and medical support establishment; and support federal regulations and state laws and procedures for establishing each.

The system should initiate and monitor the administrative and judicial establishment processes to ensure that at each step the case is moved forward efficiently. At each step, automatic document generation should occur where appropriate. Monitoring should continue after the referral is forwarded to another state’s child support agency for action.

Based on the business rules, the system should initiate actions, record, and track the time from successful service of process to obligation establishment or other case disposition, regardless of whether paternity needs to be established, to ensure that the federal expedited process timeframes are met. The system should generate a report showing State compliance with the federal expedited process timeframes.

The improved quality of information will result in more productive staff who have immediate access to case information. Automation of some of the current manual processes will result in improved accuracy.

The conceptual model for Establishment is shown below:

![Conceptual Model for Establishment Services](image)

**Key Outcomes**

- Improved productivity
- Improved quality of information
- Immediate access to case information from different staff members performing different functions
- Reduction of “lost” information and actions
- Improved accuracy of information as manual processes are automated
- Increased percentages for paternity and support order performance goals
- Improved case accuracy and customer service due to eFiling interface

1.1.4 Enforcement

The system should monitor all cases for circumstances and conditions requiring enforcement attention. The monitoring algorithms should monitor multiple accounts for a non-custodial parent individually and as a group regardless of the number of alias social security numbers (SSN) and individual taxpayer identification numbers (ITIN). These algorithms should link a frequency to the monetary or non-monetary order term being monitored since some conditions require daily, weekly, monthly, or variable attention.

Monitoring routines should allow for due process to operate on the initiation of remedies, which in turn require service of process, administrative reviews, and other appeal mechanisms to be part of the workflows. The results of service of process and the conclusion of any review should be documented in the case record. The system should communicate the results of reviews and appeals to the parties and appropriate interested parties in the case.

The system should monitor all case accounts and provide automated support for use of the wide variety of enforcement remedy options available, including income withholding, federal and state tax refund offset, bench warrant issuance, account seizure, license suspension, property liens, credit reporting, passport denial, et al. The system should allow for enforcement remedy exemptions and bankruptcy restrictions.

The conceptual model for Enforcement is shown below:

Figure 6: Conceptual Model for Enforcement Services
Key Outcomes

- Improved productivity
- Improved accuracy of enforcement actions
- Improved quality of information
- Reduction of lost information and actions
- Improved accuracy of guidelines calculations
- Improved accuracy of arrears to family and arrears to state calculations
- Improvements in collection of current support and collection of arrears performance goal percentages

1.1.5 Intergovernmental

The system should support all data exchanges with external data partners currently being handled and any new federal matches. The system should support the use of an Enterprise Service Bus (ESB) to insulate system business code from the specifics of the data. The system should support standards-based data exchange models and protocols.

The conceptual model for Intergovernmental is shown below:

![Figure 7: Conceptual Model of Intergovernmental Services](image)

**Key Outcomes**

- Increased information sharing among national and international agencies
- Increased automated responses to other states’ requests
- Increased quality of information
- Increased productivity
1.1.6 Financial Management

The system’s accounting process should be uniform Statewide, should accept and maintain all financial information, and perform all calculations relevant to the IV-D program. The system should support the ability to create, adjust, and satisfy recoupments both automatically and manually. The system should support automated retroactive adjustments. If a pay plan is retroactively modified, the system should calculate from the date of modification up to the present to give the current balance due. The system should accept electronic and manual payments. The system should then allocate these collections according to federal distribution guidelines. The system should be able to automatically disburse distributed collections to appropriate parties. The system should provide the ability to hold collections and disbursements based on federal allowable reasons. The system should provide the ability for periodic escheatment of stale/aged collections.

The conceptual model for Financial Management is shown below:

![Conceptual Model of Financial Module](image)

**Figure 8: Conceptual Model of Financial Module**

**Key Outcomes**

- Improved account balance accuracy
- Accurate distribution
- Increased productivity
1.1.7 Case Management

Case Management Monitoring
The system should automatically direct cases to the appropriate case activity from case initiation forward. At the end of each function, the system should automatically direct the case to the next appropriate function based on business rules and initiate appropriate actions. The system should record all case activities, including the date and time the activity occurred, in the automated case record. The system should track actions and dates to ensure compliance with required timeframes and federal and state policies.

Case Update Processing
The system should automatically accept and process case updates and provide information to other programs on a timely basis. The system should update common data elements in all linked case records.

The system should have the capability to interact with other agencies’ systems daily, accept updates to the case information, and provide updates to their systems. Other agencies include IV-A, Title XIX, and IV-E, among others.

The conceptual model for Case Management is shown below:

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**Figure 9: Conceptual Model of Case Management functions**

**Key Outcomes**
- Improved information exchanges among agencies
- More timely actions are taken
- Reduced chance of lost or inaccurate actions
- Improved data/case history accuracy
- Improved productivity
1.1.8 Reporting
The system should have an efficient reporting system that allows operational, management, and ad hoc reports. The system should facilitate fact-based program analysis, support advanced program planning activities, reduce possibilities of federal, state, and audit errors, and increase staff productivity. The system should have the ability to view the report prior to printing it. Please refer to Appendix B for current legacy CCSES reports. We anticipate the vendor will review the list with the State during the JAD (Joint Application Design) sessions to merge or retire some legacy reports.

Key Outcomes
- Allows fact-based program analysis
- Supports advanced program planning activities
- Reduces possibilities of federal, state, and audit errors
- Increases productivity

1.1.9 Customer Relationship

Self Service
The system should support customer self-service by providing current financial data through mobile devices, the IVR system, and the customer website. This data should include, but is not limited to, receipt information, disbursement information, amount due, arrears balances, and payment and disbursement history. The extract should include data as required by the Guide for States for the Monthly Notice of Collections (TANF statement). The system should have the capability to support multiple languages, at the least English and Spanish.

The system should automatically trigger document generation for any document requests made through mobile devices, the IVR, or website. The system should accept data from mobile devices, the IVR, or website to create notifications to OCSS case managers automatically.

The system should support improved service through the IVR by providing an extract of data to be used by the IVR for outbound dialing campaigns, such as notification of scheduled hearings or appointments, late payments, payments due, payments received, and disbursements issued.

Employer Website
The system should support enhanced services through an employer website by providing employer, participant, and related employment data to the website. This data should include, but is not limited to, income withholding amount, insurance information, and employment status.

The system should accept data from the employer website to update the child support enforcement system automatically. Such data exchanges include, but are not limited to, employer demographic and address data, National Medical Support Notice (NMSN) data, employment verifications and terminations, and new hire reporting.

Key Outcomes
- Allows for customer self-service
- Increases customer comfort level with information gathering and dissemination processes
- Reduces waiting times to open new cases
- Allows customers to update their own information and thus expedite case actions
- Increases productivity
1.1.10 Security
The system should provide role-based security to the cases. The State intends to leverage its existing IBM Security Identity Manager/Security Access Manager (SIM/SAM) identity and access management solution for user authentication. The system should integrate seamlessly with SIM/SAM. The system should provide the capability for only authorized users to view confidential data within the Case. The system should provide the capability to define roles and the role-hierarchy and allow authorized users to start and end any role within the system. The system must comply with IRS Publication 1075 and National Institute of Standards and Technology (NIST) security techniques. Compliance must be demonstrated by executing the appropriate Safeguard Computer Security Evaluation Matrix (SCSEM) published by the IRS. Publication 1075 as well as the SCSEM and other resources can be found at the IRS Safeguards website [https://www.irs.gov/privacy-disclosure/safeguards-program](https://www.irs.gov/privacy-disclosure/safeguards-program). For additional requirements in IRS Publication 1075, please see Appendix C. For information on NIST Security Framework, please refer to Appendix H.

Key Outcomes
- Better security controls within the system
- Compliance with IRS Pub 1075 and NIST Security Techniques and Framework
- Increases productivity

1.1.11 Document Management (Scanning and Document Generation)
The system should integrate imaging hardware and software components into a cohesive Electronic Content Management (ECM) design for capturing, storing, retrieving, and integrating content/documents within the system. The ECM system should accommodate multiple document formats and single and multi-page documents, including 1-d, and 2-d bar codes. The ECM system should provide capabilities for indexing and annotating images. The ECM system should provide a complete audit trail for all content including access by users.

The system should include document generation capabilities for both batch and real-time processes. The document generation system should work with a client communication profile to accommodate both electronic and printed document generation. The system should support centralized and localized printing. The system should maintain a history of all generated documents, and they should be stored in a document management system repository. The system should enable non-programmers to create and maintain document templates.

Key Outcomes
- Reduces paper usage
- Avoids lost or misfiled documents and notices
- Allows tracking and aging to ensure documents receive proper response
- Allows sharing of documents across offices
- Improves customer experience when documents are available online or to staff members
- Automates next actions
- Automates document creation and maintenance
- Increases productivity
1.1.12 Workflow Management & Business Rules Engine
Whenever possible, the system should automatically initiate the next step in case processing without being prompted by the caseworker.

The system should include workflow management functionality that captures all steps and "if/then" scenarios, i.e., "if this occurs, then that should happen" for business processes in the child support lifecycle. The workflows should consider the specific requirements for instate, interstate, international, and tribal cases, including transmitting and receiving information via the Child Support Enforcement Network (CSENet). The workflows shall comply with federal and state policies.

Workflow activities will include generating appropriate documents, monitoring for and capturing responses, and alerting the worker when a case needs manual intervention. The system should execute and trigger all transactions and/or documents to complete a set of instructions within a workflow immediately, whenever possible. When immediate processing is not feasible, they should be executed with a single nightly process.

The system should use a Business Rules Engine to automate business logic and take actions based on the business rules.

Key Outcomes
- Ensures actions accurately flow from newly applied data
- Automates many current manual processes
- Reduces chance of “lost” information and actions
- Increases productivity

1.1.13 Quality Control
The modernized system should include all processing to adequately assure the quality of work being performed. It should support quality control initiatives that enable the program to meet and manage compliance with performance measures and ensure data integrity.

It should track and report on performance measures and management reports that are updated real-time with data for all case activities, to include locate activities, new case processing, establishment actions, service of process management, enforcement actions and monitoring, diary management, interstate case management, case closure identification, and statistical reporting for program management purposes.

It should automatically create and submit the required OCSE reports, including the OCSE 157 performance report, the OCSE 34 quarterly collection report, and the OCSE 396 quarterly financial report maintained and submitted by Department fiscal staff to OCSE. In addition, staff should be able to run these reports “on demand” to track progress or answer program questions.

The system should support State staff in the Quality Control (QC) Unit by identifying data conflicts for dependents and those which need paternity established and identifying work that is in or out of compliance for each worker and caseload. The system should allow auditors (state or federal) to review and query the cases selected for their audits.

It should also identify interstate cases where the other state is not responsive for review by QC when time frames or case information identifies discrepancies.
The modernized system needs to include a quality control dashboard configured according to state needs, as well as static quality reports, ad hoc, and on-demand reports.

**Key Outcomes**
- Improved accuracy of information
- Improved accuracy and appropriateness of case actions
- Greater consistency among all offices
- Improved QC and Audit

### 1.1.14 Fatherhood Initiative

The modernized system should provide support for the Fatherhood Initiative. Since Fatherhood is not a core-function of the Child Support Enforcement System, the State envisions a Fatherhood module to exist as a separate sub-system/module that could be coupled with the Child Support Enforcement System.

The system needs to identify cases eligible for Fatherhood services, and cases on which services have been requested. The system needs to monitor, track, and report on services provided. Reporting shall include an impact analysis of the services on performance measures.

**Key Outcomes**
- Improved family relationships
- Improved reliability of current support and arrears payments
- Expedited paternity and court order establishment
- Improved percentages for all four performance goals of paternity, court orders, current support collections, and arrears collections
- Improved customer service
1.2 Technical Requirements

1.2.1 Conceptual Technical Architecture of the new CCSES System

As shown in the graphic, the CCSES System should be made up of a layered architecture composed of foundation technologies or technical platform (e.g., database, data warehouse, document management), shared services and frameworks (e.g., Enterprise Master Person Index, business rules management, workflow management, document management, reporting) and business applications (e.g. Case Initiation, Locate, Establishment, etc.). These components should be fully integrated with each other and should utilize a relational database and service-oriented architecture (SOA). The business applications will be accessed by the Department users and accessed using a web portal or mobile device by Connecticut citizens or other partners (e.g., employers) using a secured access management system.

The goal of the new CCSES system is to provide technical advancements in:

- Increased automation of routine processing
- Maximized integration with other State and Federal systems
- Improved data management combined with timely/accurate reporting
- Better support for operations and maintenance
- Improved security
- Improved client access to services
- Greater service accessibility for employers
The new CCSES system should be user friendly for child support workers, partners, and clients and provide the following operational benefits:

- Efficiency, system effectiveness, and productivity
- Increased collections through improved workflow and processing
- Increased client and worker satisfaction
- Increased management information and statistics
- Enhanced data analytics
- Improved system operations, maintenance, and updating
- Better use of staff resources

The Department has made utilization of enterprise technologies, shared services and systems a priority. Vendors are encouraged to leverage new technologies beginning with those the Department has already implemented as enterprise solutions and expanding to include those system enhancements/technical advances that have proven valuable in other States. Using a hybrid approach for solution design and implementation was the rationale to leverage the best of breed solutions and technologies for the new CCSES system.

Please refer to Appendix F – CT DSS Technology Catalog, and Appendix G - CT DSS Enterprise Architecture Principles for guidance though the Department is open to new and innovative solutions from proposers.
The table below lists various enterprise technologies that the State currently uses:

<table>
<thead>
<tr>
<th>Technology Areas</th>
<th>Platform</th>
</tr>
</thead>
<tbody>
<tr>
<td>Hosting</td>
<td>Open to FedRAMP Certified Cloud</td>
</tr>
<tr>
<td>Database</td>
<td>State currently uses DB2 and Microsoft SQL Server for other systems, but is open to other solutions</td>
</tr>
<tr>
<td>Integration Engine</td>
<td>Department currently uses PilotFish, and owns enterprise licenses that will be made available to the project, but is open to other solutions</td>
</tr>
<tr>
<td>Document Management</td>
<td>State currently uses FileNet and SharePoint for other systems, but is open to other solutions</td>
</tr>
<tr>
<td>Document Generation</td>
<td>Child Support currently uses PlanetPress, but the Department is open to other solutions</td>
</tr>
<tr>
<td>Security</td>
<td>State currently uses IBM SIM/SAM, but the Department is open to other solutions</td>
</tr>
<tr>
<td>Business Rules Engine</td>
<td>Department currently uses Corticon, but is open to other solutions</td>
</tr>
<tr>
<td>Reporting</td>
<td>Proposer to propose recommended solution</td>
</tr>
<tr>
<td>Data Warehouse</td>
<td>Proposer to propose recommended solution</td>
</tr>
<tr>
<td>Auditing</td>
<td>Proposer to propose recommended solution</td>
</tr>
<tr>
<td>ALM Tool</td>
<td>Proposer to propose recommended solution</td>
</tr>
<tr>
<td>Enterprise Service Bus</td>
<td>State currently uses IBM’s WebSphere for other systems, but the Proposer to recommend the best solution for the Department</td>
</tr>
</tbody>
</table>

The CCSES system should support different types of user interfaces such as a worker portal, client portal or employer portal. The design of the new solution should separate the management of the user interface and access to information in separately managed tiers of services so that the core business application does not have to be upgraded to accommodate new user interfaces or information sources. The new CCSES system will integrate document management, document generation, and automated workflow management functions based on business rules that can be managed separately from the application code. The architecture and systems design should separate and manage these functions (among others) as services in a holistic and seamless way.

The system must be designed using a Service Oriented Architecture (SOA).
1.2.2 System Requirements

The following sections describe the key technical requirements that should be met by the Proposer.

1.2.2.1 Computing Platform

One of the key goals of this RFP is to engineer a solution that does not involve discrete hardware and software technologies which are difficult to extend, maintain, and enhance. The solution must include an integrated stack of software and hardware that provides performance, reliability, and flexibility. The proposed solution architecture must allow the Department to meet the key goals and objectives outlined in this RFP while lowering the total cost of ownership and increasing operational efficiency using an infrastructure that is optimized to run dynamic workloads.

The CCSES solution must include hardware and software components that are supported and are not near end-of-life. The Proposer to consider including a standard based Service Oriented Architecture (SOA) platform that reduces integration cost and complexity, reduces time to market for new project integration, offers ability to react to business events, and provides end-to-end solution monitoring. The DDI Proposer to include tools to develop native mobile applications once, then deploy to multiple mobile devices and platforms including iOS and Android.

The Proposer should include an integrated identity and access management solution to centralize user account management. The Department currently uses IBM SIM/SAM (for Identity and Access Management) for other projects.

Application Environments

The CCSES solution should consider hosting production and non-production environments on separate physical hardware or separate cloud instances.

The Proposer should propose the number of discrete application environments that might be needed to support the following:

- Development
- Integration/System Test
- Conversion
- User Acceptance Test and Certification
- Training
- Production
- Disaster Recovery

The Department prefers a cloud-based infrastructure but will consider on-premises infrastructure if it is cost efficient and in the best interest of the State. For any on-premises infrastructure, the Department may determine, at its sole discretion, that it is in the Project’s best interest to purchase any or all Hardware and Software through the DDI Contractor’s agreement with the Department. The Department reserves the right to purchase Hardware and Software through the State’s procurement process. If the Department chooses to purchase the needed Hardware and Software through the State’s procurement process, the Department will pursue the statutory sourcing strategy, or combination of such sourcing strategies, that is most likely to result in a best value acquisition of the needed Hardware and Software which meets the Hardware and Software Plan’s recommended purchase schedule.
The State’s Bureau of Enterprise Services and Technology (BEST) operates the State Data Center. BEST may provide the infrastructure services (e.g., server, storage, and network) for the CCSES System, and the Department may use BEST or the Department shared-services environment where practical. The Department’s Information Technology Services (ITS) may provide the infrastructure services for ancillary components of the CCSES System as appropriate for the technology platform.

1.2.2.2 Technical Requirements
The DDI Proposer should propose a best-in-class solution that meets the technical requirements outlined in this section.

The high-level technical requirements for the new CCSES system are:

**Highly Secure, Decoupled Service Oriented Architecture (SOA)**
The DDI Proposer should adhere to an architecture that improves the security, performance, reliability, and sustainability of the overall enterprise design, while allowing future scalability and service extensibility. The CCSES solution should be nimble and flexible to meet the demands of a changing landscape of technology, legislative mandates, changing federal regulations, and the varying needs of Connecticut citizens. The proposed solution should allow for quicker launches of newly offered services, and efficient implementations of any regulatory, statutory, and federally mandated changes.

The DDI Proposer should design the proposed system as an SOA platform that enables service levels, future upgrades, replacement, and augmentation, allowing the system to be incrementally modernized throughout its life span to enable the system to fit future State needs.

**Scalability and Extensibility**
The CCSES solution must be highly scalable, highly flexible, and extensible for ease of maintenance and response to changing future needs and technologies.

**System Performance**

**Capacity requirements**
The hardware, system software and application shall provide the capacity for supporting concurrent users and business volumes during peak hours.

**Response time**
Screen response time shall be comparable to best-of-breed web-based applications. While response times vary with types of workload, for transaction processing involving retrieval/update of individual customer records to be displayed under a web browser, the response time shall be less than 3 seconds, measured at the server with no network delay.

The Proposer shall provide information such as the average time to conduct various business transactions, employing the Proposer’s solution. These business processing times shall be less than or equal to existing business process response times.

The CCSES solution should have a minimum throughput to support 100 concurrent transactions. The system batch window should not impede the work of users. The CCSES solution should allow access to a minimum of 500 internal users and have the capability to support all external registered users, and external non-registered guest users. Peak hours for usage of the system are from 8 am to 5 pm EST.
Performance test
Prior to system acceptance, the Contractor shall provide performance tests that will measure throughput and response time. These tests shall use hardware/software configurations, transaction volumes and databases sizes equivalent to the production environment.

System Availability
The Contractor should ensure application software component uptime (CCSES availability) is no less than 99.96% of host environment uptime (server, operating system, and storage) for all major functions excluding scheduled downtime or CCSES-initiated downtime.

Scheduled system downtime must be minimized as follows:
- Minimize or eliminate the need for maintenance for architectural and operational infrastructure, via online maintenance tools, procedures, and techniques.
- Address maintenance activities for hardware, operating system, software, application, database, and network components.
- Address upgrade activities for hardware, operating system, software, application, database, and network components.

Audit/Compliance
The CCSES solution must provide a comprehensive audit trail and compliance alerts.

Usability
The CCSES solution must provide a highly user-friendly system that meets the Web Content Accessibility Guidelines (WCAG).

Web Portal and Mobile Application
The CCSES solution must offer optimized digital experience across all channels.

Searchable Knowledgebase
The Proposer to include tools to create, update, and maintain a searchable knowledgebase.

Mobile Applications
The Proposer should include tools to develop native mobile applications once, then deploy to multiple mobile devices and platforms including iOS and Android.

Self-Service Portals
The CCSES solution must empower end users with integrated self-service portals. The proposed system must provide a comprehensive portal platform that integrates the application, business processes, content, and data. The CCSES solution must streamline access to relevant information and content by delivering a personalized, contextual, efficient, and actionable interface.

Privacy, Security, Identity, and Access Management
The CCSES solution must include an integrated access management solution that provides centralized, policy-based authentication and single sign-on for applications, services, and data. The CCSES solution should provide real-time external authorization for applications, middleware, and databases with granular security. The CCSES solution should include a seamless single sign-on to any application from any device. The CCSES solution should include a
role-based or profile driven security model to control privileges within the application. The CCSES solution should control access to data to ensure privacy and security in compliance with all applicable state and federal laws and regulations.

The CCSES solution should centralize user account management, authentication and authorization, and user provisioning. The CCSES solution should centralize consent management services. The CCSES solution should strengthen security, audit trails, quality assurance and fraud, and abuse prevention and detection.

**Business Rules Engine**
The CCSES solution’s architecture should adopt a business rules engine to consolidate rules and a policy management based approach.

**Business Analytics/Intelligence**
The CCSES solution should include a Business Analytics/Intelligence solution to generate reports and dashboards to gain better insight into business processes. It should allow users to schedule and subscribe to analytical reports and notifications. The CCSES solution should allow users to generate ad hoc analytical reports. The CCSES solution should reduce the time required to gather, process, and share information (required for the provision of services and benefits), and creation of reporting on those services and benefits. The new CCSES solution should have the capability to do “predictive modeling” and “what if” scenarios to support program and policy development. The proposed system should employ real-time data visualization methods on the core data creating a visual descriptive statistics platform.

**Application Life Cycle Management Tools**
The proposed solution should include complete Application Lifecycle Management tools to manage requirements, changes through source control, build, deployment, and software configuration. The CCSES solution should include an Integrated Development Environment (IDE) to develop and unit test applications. The proposed solution should include tools to validate application functionality and perform security and load testing. The proposed solution should also include tools to manage test processes including, but not limited to, test requirements management, test cases, test execution, and defect tracking.

The CCSES solution should include end-to-end monitoring and tracing tools to diagnose and fix issues. The proposed solution should include performance and system health monitoring tools.

The CCSES solution’s architecture should incorporate a consolidated source management system with the ability to track source code changes.

The DDI Contractor will identify, purchase, install, configure and utilize an Application Life Cycle Management Tool that will be used to manage the requirements and other project deliverables, requirements traceability, design, testing, software configuration and deployment.

**Interface (Integration) Engine**
CCSES has several interfaces with other State and Federal agencies. To create more efficient interfaces, CCSES solution should include an interface (integration) engine that is based on W3C standards and is platform and database agnostic. The proposer shall elaborate on how the proposed interface engine will not only make data transformation simpler for the Department but will provide an efficient platform for modifying interfaces using flexible configuration. A current list of interfaces is included in Appendix D. The current interfaces need to be automated, and more interfaces added to make the new CCSES solution more efficient for the Department.
**Document Management System**

The CCSES solution should include functionality for scanning/capturing, indexing, and storing documents in a document repository linked to a case and person record for easy retrieval. Optionally, the CCSES solution should include optical character recognition (OCR) capability to pre-process, classify, and index data. The CCSES solution should ensure the document imaging system is user friendly and responsive, allows real-time search capabilities, and retrieves case and client documents quickly.

**Print Management**

The CCSES solution should include the ability to manage print queues, view documents waiting to be printed, and release them to the printer. The CCSES solution should include the ability to pause or hold print queues and release them later. The CCSES solution should include the ability to view past print jobs and reprint on demand.

**Document Generation**

The proposed system should capture and store all correspondence, documents, notices, letters, and all other customer-centric information. The proposed solution should also include a document template management system that will be used to create form overlays to generate correspondence when combined with application data.

1.3 **Project Tasks and Deliverables**

The project is to design, develop, and implement a new CCSES system that will support the Department with modern technologies, such as internet, business rules engine, workflow, document management, and improve business processes to make the delivery of services more efficient for Connecticut citizens, Department staff, and external entities requiring information from, or providing information to the State.

The scope of work in this section has been broken down into tasks and deliverables expected from the Proposer. These tasks and activities are not necessarily listed in the order that they should be completed. The DDI Proposer should submit within their proposal and preliminary project plan their recommended approach to scheduling and accomplishing all tasks and activities identified within this RFP.

The DDI Proposer should provide:

- Project management for the DDI portion of the CCSES project
- Establish the following CCSES System environments for  
  - Development and unit test  
  - System and integration test  
  - Conversion  
  - User Acceptance Test (UAT) and Certification  
  - Training  
  - Production  
  - Disaster Recovery
- Identify, purchase, Install and utilize an Application Life Cycle Management tool for managing the project and continuous integration – this tool must be either State hosted or cloud-based with access for the State team
- Conduct workshops to collect/confirm and document the Requirements and Conceptual Design
- Conduct Vulnerability Assessments through manual or automated system and application scanning
- Design, develop, test, and implement in production the CCSES infrastructure, system and reports
- Design, develop, and test all interfaces
• Perform the integration necessary to incorporate modern technology to bring efficiency to the system – business rules engine, document management, imaging, workflow management, data warehouse/reporting among others
• Integrate the CCSES System to the existing State network
• Work closely with the Department Training team and develop an online and classroom-based training curriculum
• Develop online and classroom-based training materials
• Develop and deliver train-the-trainer training – functional (train-the-trainers) and technical training/knowledge transfer; the State will use the DDI Proposer developed training material to deliver functional training to the remaining State users
• Provide internal Quality Assurance on all project activities
• Use an iterative approach for the Detailed Design, Development, and Testing of the system by module
• Develop and demonstrate test cases for functional test, technical tests, stress (performance) test
• Support the Quality Assurance team in all QA activities
• Support the IV&V team in their deliverables
• Support the Department in User Acceptance Testing
• Assess, report, and remediate all critical and high vulnerabilities before production rollout
• Validate and Convert all data from the legacy systems necessary for the new CCSES database; the Department has been working on cleaning the data on the legacy system
• Set up and provide Tier 3 CCSES Help Desk Support – SLAs for support will be discussed and finalized with the successful vendor
• Provide maintenance, operations support, and security management activities (optional) for 2 years after implementation, with options to extend the term further
• Implement the full system with pilot implementation
• Provide a smooth transition to the State or another vendor at the completion of the contract term

The Department should own all the deliverables, working products, and program/applications source code developed as part of this project. The Proposer should meet all the requirements of a contract issued as a result of this RFP.

1.3.1 TASK 1 – PROJECT INITIATION AND PROJECT KICKOFF MEETING

Project initiation should begin within 10 business days after approval and signing of the contract between the State and the DDI Contractor. The Project Kickoff meeting should be held 15 days after Project Initiation. However, it should be noted that the DDI project kickoff cannot be completed until the IV&V contract is executed. The DDI Contractor shall mobilize its project core team (identified in Section 1.5 Key Staff of the RFP Document) and shall occupy the project site provided by the State. The State will provide space for up to twenty-five (25) DDI core team members. The DDI Contractor shall submit an initial Project Management Plan and Project Schedule at the Project Kickoff meeting. The Project Schedule will account for all the deliverables expected to be completed by the DDI Contractor on the project. The State’s Project Director and the EPMO team will provide inputs to the DDI Contractor to refine the initial project management plan and schedule. The DDI Contractor shall develop the revised Project Management Plan and Schedule and submit to the State for review, approval and baselining.

The DDI Contractor shall hold kickoff meetings to present an overview of the Project Management Plan and present their vision of how the project activities will be executed. The project kickoff meeting will be held with
representatives from the State and the Contractor. Items to be covered in the kickoff meeting will include, but not be limited to:

- Reviewing the project mission, goals, and objectives
- Reviewing the PMP and Project Schedule – tasks, deliverables, milestones, and resources
- Deliverable review and approval process
- Determining the format and protocol for project status meetings
- Finalizing the format/frequency of project status reports
- Setting the schedule for meetings between representatives from the State and the Contractor to develop the detailed project plan
- Defining lines of communication and reporting relationships
- Identifying high-risk or problem areas and data classification updates
- Reviewing the Issue resolution process

Task 1: Deliverables

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<tr>
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<th>DELIVERABLE NAME</th>
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<tbody>
<tr>
<td>1</td>
<td>Project Kickoff Meeting</td>
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<tr>
<td>2</td>
<td>Initial Project Management Plan and Schedule</td>
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</tbody>
</table>

1.3.2 TASK 2 – SET UP APPLICATION LIFE CYCLE MANAGEMENT SYSTEM (ALM)

The DDI Contractor shall document an Application Life Cycle Management (ALM) Plan that will identify and describe how it will be used on the project. Once approved, the DDI Contractor shall purchase, establish and deliver an Application Lifecycle Management system that meets the requirements of the project. The DDI Contractor shall manage artifacts according to the current Accepted Configuration Management Plan. Over the course of the Project, source code will be delivered in iterations or versions as source code is added or modified. If portions of the system are being transferred from another state, the first version of the source code must include the source code transferred by the DDI Contractor. The DDI Contractor shall deliver subsequent versions of the source code in accordance with the Accepted Project Management Plan and Schedule, and related Tasks, and as requested by the Department, IV&V, and/or QA Contractor to facilitate code reviews and quality assurance reviews.

The ALM system will be used for requirements management, requirements traceability, documentation, test management, configuration management and deployment. The Department will own the ALM environment that will be used for ongoing maintenance and support of the system.

Task 2: Deliverables

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<tr>
<th>NUMBER</th>
<th>DELIVERABLE NAME</th>
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<tr>
<td>1</td>
<td>ALM Plan</td>
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<tr>
<td>2</td>
<td>Setup ALM Tool</td>
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</tbody>
</table>
1.3.3 TASK 3 – PROJECT MANAGEMENT AND METHODOLOGY

This activity shall be ongoing for the duration of the contract. The primary objective of project management is to plan, manage, and control the timely completion of all tasks and deliverables. The Contractor shall develop the project plan and adhere to due dates for each task, milestone, and deliverable.

State utilizes the Project Management Body of Knowledge (PMBOK) developed by the Project Management Institute (www.pmi.org) as its project management methodology. The DDI Contractor shall use PMBOK as a foundation to manage this project.

The State EPMO team will provide project management expertise to the State project staff throughout the project. The DDI Project Manager shall coordinate activities with the State Project Director, and EPMO Project Manager.

The DDI Project Manager, the EPMO Project Manager, and the State Project Manager will meet weekly (at a minimum) to discuss the project status. Meetings shall follow a pre-set agenda developed by the Contractor with approval of the State. All project documents shall always be available for review by the State and the Oversight (IV&V and QA) team.

The DDI Project Manager to submit weekly status reports to the State Project Manager. The proposed format and level of detail for the status reports will be subject to State approval. The report shall include, at a minimum, the following:

- A list of tasks and associated deliverables completed and awaiting approvals at the end of the reporting period (since the last meeting), with completion dates identified
- A list of tasks started or in progress but not completed during the reporting period (since the last meeting)
- Identification of tasks ahead of schedule
- A list of tasks behind schedule, or scheduled to have started, but were not started, together with reasons for delays
- Problems encountered in the current or prior reporting periods and proposed solutions
- Problems resolved since the last meeting and the methods of resolution
- A list of any questions, and/or issues that must be resolved
- Identification and justification of any adjustments in the schedule (time), resources (staff), scope of work, and costs
- Schedule for the next period’s activities including deliverables and dates
- Risk status for new or previously identified risks on any aspect of the project

To effectively manage the project, the DDI Contractor, at a minimum, will prepare and maintain the following plans:

- Project management plan
- Communication management plan
- Risk management plan
- Change control and issue management plan
- Systems Development Life Cycle (SDLC) methodology

The DDI Contractor shall meet and coordinate with the State to complete a Project Management Plan and related deliverables within thirty (30) days of contract award.
**Project Management Plan**
The DDI Contractor shall develop and submit a Master Project Plan with fixed deadlines and Contractor resource assignments, taking into consideration state and federal holidays.

The Master project plan must include:

- Project schedule including tasks, activities, activity duration, sequencing, and dependencies
- Project work plan for each deliverable, including a work breakdown structure
- Completion date for each task
- Project Milestones
- Entrance and exit criteria for specific project milestones
- Resources assigned – Contractor and State
- Project organization including a resource plan defining roles and responsibilities for the Contractor and the State

**Communication Plan**
The DDI Contractor shall develop and provide a communication plan for the project. This plan will include a comprehensive approach for handling communications with both internal and external audiences. Effective communication is critical to the development of productive relationships with concerned stakeholders. The communication plan will be created for the entire project.

The communication plan must include but is not limited to:

- A plan for generation, documentation, storage, transmission, and disposal of all project information
- Intuitive and instructional communication requirements produced by the DDI Contractor to facilitate interactive and productive communications with the State team

**Risk Management Plan**
The DDI Contractor shall develop and provide a Risk Management Plan. This plan must ensure that risks are identified, planned for, analyzed, communicated, and acted upon effectively.

The plan must include a description of the tasks and activities that will be performed as part of the DDI Contractor’s risk management activities in support of the overarching Project Risk Management Plan prepared and maintained by the EPMO, and in support of ongoing risk assessments conducted by the QA and IV&V Contractors. At a minimum, the risk management activities will include the following:

- Preliminary Risk Assessment – Description of the most significant risks and proposed mitigation strategies for the Project that are in the Contractor’s control
- Risk Management Plan Input – Description of the DDI Contractor’s ongoing approach to providing Department with input to the Project’s Risk Management Plan and description of the DDI Contractor’s approach to tracking potential risks and providing information to Department to support the monitoring of risk across the Project
- Risk Response Plan – Description of the DDI Contractor’s ongoing approach to develop action plans and options to reduce threats and enhance the Project’s activities

**Change Control Management Plan**
The DDI Contractor shall develop and provide a Change Control Management plan. The Contractor must document the processes and methodologies to manage changes in the context of, and in adherence to, the Project’s Change
Control Plan and the authority of the Project Change Control Board (CCB). This section must address how the DDI Contractor will:

- Ensure compliance with Change Control protocols designed and managed by the EPMO Contractor and Change Control Board
- Update relevant Deliverables in accordance with the Department-accepted change control process
- Implement changes to the Functional and Technical designs, test plans, training plans, and other applicable Deliverables as a complement to the Project Configuration Management Plan, and in adherence to the Project Change Control Plan
- Resolve any inconsistencies or incorporate clarifications into Deliverables
- Address changes to Connecticut or federal laws and regulations requiring revised or additional functionality
- Incorporate CCSES System improvements needed in the Project
- Handle modifications to Deliverables that are minor corrections, or changes that do not impact scope or schedule
- Present information, including impact analyses, to the CCB as needed

**Systems Development Life Cycle (SDLC) Methodology**
The DDI Contractor shall develop and deliver a Systems Development Life Cycle (SDLC) Methodology. The Systems Development Life Cycle methodology will describe how the DDI Contractor shall plan, design, develop, test, and deploy the new CCSES system.

**Task 3: Deliverables**

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<tr>
<th>NUMBER</th>
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<tbody>
<tr>
<td>1</td>
<td>Project Management Plan and Project Schedule</td>
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<td>2</td>
<td>Communications Management Plan</td>
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<tr>
<td>3</td>
<td>Risk Management Plan</td>
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<td>4</td>
<td>Change Control Management Plan</td>
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<td>5</td>
<td>Weekly Status Reports and Meetings</td>
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<tr>
<td>6</td>
<td>Systems Development Life Cycle (SDLC) Methodology</td>
</tr>
</tbody>
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**1.3.4 TASK 4 – QUALITY MANAGEMENT**

Project Quality Management will ensure that the CCSES project satisfies the needs for which it was undertaken. This activity will be ongoing for the duration of the project.

Quality management includes:

- Quality Planning – Identifying quality standards relevant to the project and determining how to satisfy them
- Quality Assurance – Evaluating overall project performance on a regular basis to provide confidence that the project will satisfy the established quality standards
- Quality Control – Monitoring specific project results to determine if they comply with relevant quality standards and identifying ways to eliminate causes of unsatisfactory performance

The DDI Contractor shall develop a Quality Management Plan that will be used as the basis for managing the quality of CCSES deliverables including the above-mentioned aspects of quality. The Contractor’s Quality Management Plan must be aligned with the quality management processes of the EPMO and QA teams. The Contractor shall plan,
manage, and document an internal program of quality activities. These activities will ensure that the State infrastructure, equipment, software and services, application development, and implementation services meet the State requirements and all other applicable professional and technical standards. The CCSES System must perform optimally in the new environment. The Quality Plan must include programming and technical documentation standards to ensure efficient, “well commented”, structured source code which is easy to follow and maintain. The State’s EPMO and QA teams will ensure that all CCSES requirements are met and that all project management practices are adhered to.

Task 4: Deliverables

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<td>1</td>
<td>Quality Management Plan</td>
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1.3.5 TASK 5 – SYSTEM ARCHITECTURE

The DDI Contractor shall develop a Technical Architecture for implementing the CCSES System. During this phase, the State team, EPMO team, and DDI Contractor to review the proposed solution and all requirements, and the DDI Contractor to document, in detail, the specific technologies, frameworks, and business solutions as they will be implemented. Each module, software component, hardware component, and security component will be documented.

The DDI Contractor shall analyze all information provided by the State, obtain additional information, and create the architecture and implementation model for the CCSES System. This architecture will guide all subsequent activities - development, integration, environment, and infrastructure. The Architectural Design will include all CCSES modules and their integration considerations.

If the Contractor’s solution includes framework, transfer, or baseline software, the existing software must be installed, demonstrated, and approved by the State before the design of customizations begin.

The DDI Contractor shall conduct detailed sessions to review the architecture, design, and data models of CCSES. The DDI Contractor shall create the System Architectural Document describing the logical design of the system, both process and data. Architectural views capture the major structural design decisions. The DDI Contractor shall develop the System Architecture Document using current industry principles and best practices. This deliverable will describe the technical approach to developing the System, including a high-level architectural approach and the anticipated technologies, hardware, operating software, security design, programming aids, application programs, third party products, and integration points. Elements of the technical approach may be modified prior to completion of the Technical System Design Deliverable.

This Deliverable must include, at minimum, the following descriptions:

- Hardware and software components, including programming platforms and tools, which will be used for developing, implementing, enhancing, operating, and maintaining the CCSES System, and its interfaces with service partners and other organizations with which the Department has cooperative agreements
- How the DDI Contractor will integrate the core CCSES system with other components if some components are transferred from other states
- How the DDI Contractor will integrate with the State of CT’s existing infrastructure
- Identification of the key technical requirements and constraints on the CCSES System
• An Ease of Use Management Plan addressing how the CCSES System will be developed to ensure a satisfying and productive user experience, including the user interface standards that will be applied, the ease of use principles that the DDI Contractor will utilize in developing the System, and the protocols to ensure that the DDI Contractor will apply these principles consistently

Task 5: Deliverables

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<tr>
<th>NUMBER</th>
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<tr>
<td>1</td>
<td>System Architecture Document</td>
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1.3.6 TASK 6 – ASSESSMENTS AND SPECIFICATIONS

As part of the CCSES project, the DDI Contractor shall provide the following assessments and document reviews to support the tasks required to implement CCSES. The assessments will be completed during the design phase of the project. These assessments will build upon the recommendations provided in the proposal submission.

Capacity Analysis Document

The DDI Contractor shall develop a Capacity Analysis Document that will define the hardware, software, network storage, and other infrastructure required to meet the CCSES minimum application performance by examining the existing hardware, software, network, and facilities in place within the Department, and identifying any gaps.

This document will detail equipment in field and central sites to include what currently exists, what is needed, and the gap between the two, with respect to:

• Wide Area Network (WAN)
• Bandwidth between each server to server component
• Bandwidth between each server and client endpoint
• Web and application server(s) equipment configurations
• Database server configuration
• Equipment configurations for any other server component
• Storage devices
• Scanners and printers (optional)
• Bar code readers and other miscellaneous peripheral hardware (optional)
• High availability (HA) with redundancy on all tiers of the application (web, application server, database, and all SOA components) is required for CCSES

High availability in CCSES refers to an application environment that possesses the ability to recover automatically within a prescribed minimal outage window. High availability here implies that no single point of failure exists in the application environment. A single point of failure is any software, hardware, or environmental component that, if it should fail, would take the CCSES application environment offline for an extended outage and require human intervention to correct.

The assessment will detail:

• Recommendations for pilot implementation and production phases
• Future capacity requirements for CCSES
• Existing hardware and infrastructure
• Needed hardware and infrastructure
• Required upgrades and changes
• Needed facility improvements

Business Continuity and Disaster Recovery Plan

Business Continuity
The DDI Contractor shall develop and provide a Business Continuity and Disaster Recovery Plan for the proposed solution to the State for acceptance. In conjunction with the Disaster Recovery Plan, this plan considers the potential business impacts of service interruption and the underlying risks.

This plan will address the following components:
• Guidelines for executive management
• Executive risk assessment
• Manual work-around procedures (required in the short term if system failures occur)
• Impact analysis
• Prioritization of the operations to be maintained and how to maintain them
• Staff assignments
• Identification of resources

Disaster Recovery Plan
The DDI Contractor shall prepare a Disaster Recovery Plan. In conjunction with the Business Continuity Plan, this plan is a guide to the orderly restoration of information services or processes in the event of a disaster.

The plan will be modified to address the following components as they pertain to CCSES:
• Procedures required to put the disaster recovery strategies into effect
• Documentation of the actions and activities needed to resume business
• Identification of mission-critical business processes and recovery requirements
• Plans to include changes in business procedures and organization
• Application of current best practices and examination of newly introduced technologies and services
• Recommended actions to reduce risk
• Identification of alternative approaches (offsite backup, cloud backup, etc.)

System Security Plan and Security Vulnerability Assessment

System Security Plan
The System Security Plan describes the DDI Contractor’s approach to ensuring that the CCSES (including all network components under the control of the Contractor, either by ownership or through contractual agreements used during the engagement and for any ongoing support thereafter) meets the security standards required by the Department. Security Requirements are based on the International Organization for Standardization (ISO) 27002, and IRS Pub 1075 which adheres to the National Institute of Standards and Technology (NIST) security techniques, and standards of practice for information security.

The DDI Contractor shall develop and deliver a System Security Plan and execute the current System Security Plan. The System Security Plan will include the following descriptions, at minimum:
• Contractor’s security policies - where possible, the Contractor should provide copies of these security documents
• Contractor’s information security organization including:
  o Organization chart
  o Named Chief Security Officer, who will be a Key Person
  o Allocation and boundary of information security responsibility
  o Use of confidentiality agreements (if any)
  o List of information security organizations the Contractor belongs to
  o How the information security organization is independently reviewed or audited
• Method to manage assets, including how the Contractor determines and classifies different levels of information
• Human resources security including screening of potential employees, information security training provided to employees, and how employees are briefed in terms of continued security awareness
• Physical and environmental security including security controls at the Project Facility, other Contractor facilities, and all off-site equipment, including any back-up sites
• Contractor policies on documentation of operating procedures, change management, segregation of duties, third party service providers, protection against malicious code, back-up, network security, media handling, and event/log monitoring, and how each part will be used with the CCSES Project
• Contractor access control policies, including policies for operating system access, computer room access, network access, its password management system(s), and its mobile computing policies, and how each part will be used with the CCSES Project
• Methods the Contractor utilizes to validate data, use cryptography, protect source code, inspect source code for potential security defects, and manage outsourced software development (if any), and how these methods will be applied and used with the CCSES Project
• Methods the Contractor utilizes to manage and investigate information security incidents and how it uses information from security incidents to modify or improve its security practices; for the CCSES Project, incident response reporting must include IRS Pub 1075 notification requirements
• Federal (IRS Pub 1075, NIST) and Connecticut security requirements to be complied with, how those standards will be met within the CCSES Project, and how the Contractor will identify any additional laws and regulations which require compliance within the Project
• Contractor’s use (if any) of Department authorized independent compliance auditors within the CCSES Project
• Contractor’s use of an Department authorized independent third-party vulnerability and penetration testing within the CCSES Project
• Security control baselines classified as low, moderate, or high as identified in Federal Information Processing Standards (FIPS) 199 and NIST SP 800-60 as they apply to the CCSES Project
• Contractor’s Security Development Lifecycle Plan for the CCSES Project
• Contractor’s system security planning including how it plans security enhancements and upgrades, how it monitors current threats and plans to meet them, and how security planning fits in with its overall IT planning process for the CCSES Project
• Security controls needed to adequately protect the CCSES information systems that support the operations and assets of the Child Support Program organization to accomplish its assigned mission, protect its assets, fulfill its legal responsibilities, maintain its day-to-day functions, and protect individuals; the System Security Plan must also identify if the selected security controls have been implemented or indicate the planned date for implementation
• System security tools that will be used within the CCSES Project
• Processes and procedures used to define and maintain System and Application Security within the CCSES Project
• List of all external system security dependencies, i.e., firewalls, Network Access Control (NAC) that will be required as part of the CCSES Project
• Documented Security Control Compliance which meets IRS Pub 1075 and NIST published security standards
• Establishment of Baseline Security Requirements for the CCSES Project
• Security Infrastructure established (e.g., type and level of hardware, network, database, and software security), and overall features of the security system that will satisfy Connecticut, IRS Pub 1075, and NIST security and privacy requirements for the CCSES Project
• Detailed information on how CCSES code will be reviewed throughout the Project for security vulnerabilities, coding errors, and updates, including documentation for tracking, remediation, and testing

Security Vulnerability Assessment
The DDI Contractor with the assistance of the Department will conduct periodic vulnerability assessments of the network. These assessments will be conducted at the following intervals:
• At the time of the initial infrastructure installation
• Following any patches and other modifications to the infrastructure
• At the completion of the Pilot Phase
• During Statewide implementation
• Three months after the completion of Statewide implementation of the final module

The scope of the vulnerability assessment will include, at a minimum,
• Scan external entry points into the network and, to the extent they apply, review server, firewall, and security monitoring software configurations
• Execute Nessus credentialed scans by DSS/BEST/designated contractor/3rd party – running once a month (in Production)
• Prepare a Security Vulnerability Assessment and Remediation Plan
• Remediate vulnerability issues

Task 6: Deliverables

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<thead>
<tr>
<th>NUMBER</th>
<th>DELIVERABLE NAME</th>
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<tbody>
<tr>
<td>1</td>
<td>Capacity Analysis Plan</td>
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<td>2</td>
<td>Business Continuity and Disaster Recovery Plan</td>
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<tr>
<td>3</td>
<td>System Security Plan</td>
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<td>4</td>
<td>Security Vulnerability Assessment</td>
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<td>5</td>
<td>Security Vulnerability Remediation Plan</td>
</tr>
<tr>
<td>6</td>
<td>Remediation of security vulnerability issues under the direct control of Contractor</td>
</tr>
</tbody>
</table>
### 1.3.7 TASK 7 – REQUIREMENTS ANALYSIS

**Requirements Refinement Strategy**

The DDI Contractor shall develop and deliver a Requirements Refinement Strategy to document how the DDI Contractor will identify new/review existing requirements, document and validate those requirements, and analyze and refine all System Requirements.

This Deliverable must contain methodology for the following:

- Reviewing and analyzing existing Requirements
- Identifying and incorporating new Requirements into Design Deliverables and System Development Tasks
- Refining Requirements
- Creating and updating a verified set of Detailed Requirements, and the DDI Contractor’s strategy and methods for maintaining traceability in all System Documentation through the application life cycle

**Detailed Requirements and Requirements Specifications**

Within the functional and technical groupings are several requirements as documented in Appendix A. The DDI Contractor shall review the requirements and ensure their understanding of these requirements. Additional detail may be added to these requirements when necessary for clarity.

The functional and technical designs will address all requirements for the CCSES system. The DDI Contractor may combine logical groupings of requirements into a single deliverable for clarity and to minimize redundancy. The DDI Contractor shall update the detailed requirements documentation to reflect any detailed requirements changes for Program’s approval prior to deployment of the changes. Detailed requirements documentation will be maintained through completion of the warranty period.

The DDI Contractor shall develop and deliver updated Detailed Requirements and Requirements Specifications for processing, capturing, storing, transforming, and disseminating information in the CCSES System. The DDI Contractor shall conduct Joint Application Design (JAD) sessions with the participation of subject matter experts (SMEs) from the program. The DDI Contractor shall maintain this Deliverable throughout the planning, development, and implementation phases of the project to enable the successful design, development, and implementation of the CCSES System that meets the Requirements. The Detailed Requirements and Requirements Specifications Deliverables must show, to a sufficient level of detail, the basis for each functional and technical feature of CCSES.

Based on the methodology followed by the contractor, the Requirements Specifications deliverable could be in the form of “use cases” or an equivalent document.

**Requirements Traceability Matrix**

The DDI Contractor shall develop and deliver a Requirements Traceability Matrix (RTM) and maintain it throughout the Project’s planning, development and implementation phases to ensure that all entries conform to the Detailed Requirements and to maintain a clear correlation of the progress towards the established Project goals and objectives.

The DDI Contractor shall provide an RTM management tool and licensed access for designated Department staff, the EPMO, and the Quality Assurance and IV&V Contractors. The RTM must at minimum:
• Document each of the Detailed Requirements, any changes that adjust or expand each Detailed Requirement, and the System component(s) that will implement each Detailed Requirement
• Track and provide status for each requirement from definition through acceptance and any requirement that is not accepted must either be tracked as an issue, deferred, or canceled

If an Agile methodology is proposed for construction, the DDI Contractor must map the Agile concepts such as "backlog" management and development task management back to the RTM. The core principal is to ensure that each requirement has been met to the satisfaction of the Department.

Task 7: Deliverables

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<thead>
<tr>
<th>NUMBER</th>
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<tbody>
<tr>
<td>1</td>
<td>Requirements Refinement Strategy</td>
</tr>
<tr>
<td>2</td>
<td>Detailed Requirements and Requirements Specifications</td>
</tr>
<tr>
<td>3</td>
<td>Requirements Traceability Matrix</td>
</tr>
</tbody>
</table>

1.3.8 TASK 8 – TECHNICAL DESIGN

Functional System Design

The DDI Contractor shall develop a Functional System Design, and the Deliverable must describe the manner and means for designing and integrating the functional elements of the System.

This Deliverable must include, at minimum:

1. Document the design process, including:
   a. Summary of each JAD session that is responsive to comments and revisions provided by the Department during Design activities
   b. Functional design issues and decisions
   c. Presentation materials from JAD sessions, presented in a logical manner for clarity of presentation

2. Incorporate updates to Design Deliverables made during design sessions to accurately document Detailed Requirements to maintain the accuracy of the design

3. Incorporate and address the functional and technical requirements presented in this RFP, reflecting State and Program processes, business requirements, and data, and a Service Oriented Architecture (SOA)

4. Cross reference each Functional Design element to the required business processes that it implements to establish traceability (within the RTM)

5. Describe the standard use of System functions and the interaction between staff and the System from a user’s perspective including, at a minimum:
   a. Goals and objectives of each function
   b. Citations to the relevant policy and statutory constraints where applicable
   c. Overall workflow of System functions
d. Layout of screen groupings, individual screen layouts and functions, and navigation among screens

e. All forms, reports, input and/or output files

6. Describe, from a system perspective, at a minimum, the following details:

a. Data derivation formulae for complex operations
b. Edit criteria
c. User alerts
d. Workflow events and algorithms
e. Entries to chronology files
f. Documents to be generated
g. Documents to be scanned
h. Screen navigation options
i. User responses to error messages and alerts

7. Describe known assumptions and identify issues; document issue resolutions in the Issue Log

8. Identify the staff roles of system component users and describe the security controls necessary to enable access to authorized users

9. Define the method for documenting user actions in system logs

**Technical System Design**

The DDI Contractor shall develop a Technical System Design, and the Deliverable must describe the manner and means for implementing the Functional System Design. The Technical System Design must identify all the System components necessary for Software development, deployment and operation. This Deliverable must also specify the initial set of Technical Requirements to a greater level of detail, such that the Technical Requirements provide the basis for each Technical Feature of the CCSES System.

The Technical System Design Deliverable must, at minimum:

1. Document the design process, including:
   a. A summary of each Joint Technical Design (JTD) session, responsive to comments and revisions provided by the Department during Design activities
   b. Documentation of issues and decisions
   c. Design presentation materials from JTD sessions, presented in a logical manner for clarity of presentation
   d. Updates to Design Deliverables made during design sessions, to accurately document Detailed Requirements to maintain the accuracy of the design

2. Address the following aspects of the CCSES System:
   a. The System architecture, including the distinct tiers and all integration and interface points that define the System
   b. The major subsystems and details about each major subsystem's internal design
   c. Database design, including an initial Entity Relationship Diagram of the database tables together with descriptions of all System tables and columns
   d. Security architecture, including how the System will implement roles-based security, ensure
both at-rest and in-transit data security, and if and how the System will segregate and protect more sensitive data, e.g., Personally Identifiable Information (PII), Personally Identifiable Health Information (PIHI), or Protected Health Information (PHI), and Federal Tax Information (FTI)

e. Key application patterns and technical solutions to implement those patterns

f. Key System objects and services and their responsibilities in the architecture

g. Sufficient information to convey the coding specifications to the developers

Hardware and Software Plan

The DDI Contractor shall develop and deliver a Hardware and Software Plan that lists the required Hardware and Software identified in the System Architecture Document, as well as the procurement schedule for all such items necessary to meet the Project Schedule. This Deliverable must describe optimized Hardware and Software purchases, particularly production and operational expenditures, so that purchases are not made significantly earlier than necessary, and so that Software maintenance agreements are not started earlier than needed.

The Hardware and Software Plan must at minimum:

1. Identify the needed Hardware, Software, and related components for each environment (Development, Testing, Training, Data Conversion, Certification, Production, and Disaster Recovery)

2. Work with the Department to identify the environmental requirements (i.e., HVAC, floor space) for the facilities housing all System hardware

The Department prefers a cloud-based infrastructure but will consider on-premises infrastructure if it is cost efficient and in the best interest of the State. For any on-premises infrastructure, the Department may determine, at its sole discretion, that it is in the Project’s best interest to purchase any or all Hardware and Software through the DDI Contractor’s agreement with the Department. The Department reserves the right to purchase Hardware and Software through the State’s procurement process. If the Department chooses to purchase the needed Hardware and Software through the State’s procurement process, the Department will pursue the statutory sourcing strategy, or combination of such sourcing strategies, that is most likely to result in a best value acquisition of the needed Hardware and Software which meets the Hardware and Software Plan’s recommended purchase schedule.

The State’s Bureau of Enterprise Services and Technology (BEST) operates the State Data Center. BEST may provide the infrastructure services (e.g., server, storage, and network) for the CCSES System, and the Department may use BEST or the Department shared-services environment where practical. The Department’s Information Technology Services (ITS) may provide the infrastructure services for ancillary components of the CCSES System as appropriate for the technology platform.

Task 8: Deliverables

<table>
<thead>
<tr>
<th>NUMBER</th>
<th>DELIVERABLE NAME</th>
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<tbody>
<tr>
<td>1</td>
<td>Functional System Design</td>
</tr>
<tr>
<td>2</td>
<td>Technical System Design</td>
</tr>
<tr>
<td>3</td>
<td>Hardware and Software Plan</td>
</tr>
</tbody>
</table>
1.3.9 TASK 9 - DATA CONVERSION AND MIGRATION

The effectiveness and integrity of the CCSES System requires a complete and accurate conversion of legacy data to the CCSES System. This task addresses the Data Conversion and Migration which are critical activities in a system implementation process. The DDI Contractor shall ensure that the entire Conversion and Migration task results in accurate Conversion and Migration of System data to the CCSES System. This task begins during Development and will be conducted through Implementation. This task includes planning, coding, executing, testing, and validating the data Conversion and Migration processes.

The objective of the Data Conversion and Migration Task is to ensure accurate, thorough, complete conversion and migration of data from multiple existing systems to the CCSES System to support accurate and timely development and implementation of the new System, while maintaining the security and integrity of the data. This general obligation for data conversion and migration between the legacy and new CCSES systems requires the DDI Contractor to analyze the impact the conversion will have on the existing State IT infrastructure and include appropriate remediation strategies. It is imperative that the DDI Contractor not comingle production and test data and correct, or provide a recommended solution to correct, any comingled data that already exists in the process.

The State will be responsible for data cleansing, however the DDI Contractor shall ensure and validate the cleansed data. Any issues must be reported to the Department for corrections.

The DDI Contractor shall provide the following services and deliver the following Data Conversion and Migration Deliverables. At a minimum, the DDI Contractor shall:

1. Ensure that data conversion and migration activities for implementation are integrated with the rollout that is planned for CCSES Implementation and facilitate the process of identifying:
   a. System source data fields and target data fields for all CCSES System data elements
   b. Data fields to be created by the DDI Contractor
   c. Missing data (i.e., data needed by the CCSES System but unavailable from existing systems)
   d. Procedures for handling missing data, data exceptions, and default values
   e. Methods to combine multiple client records into one record
2. Provide any conversion tools and include any development and testing
3. Develop and test Conversion and Migration programs
4. Identify, track, and correct data conversion errors during Data Conversion and Migration
5. Develop and deliver Data Conversion Test Results for each conversion and migration, including at minimum:
   a. Reports of likely duplicate cases and clients, error reports, and conversion gap reports for all conversion processes performed
   b. Reports of test errors and proposed solutions to the Department on a schedule approved by the Department
   c. Data Conversion and Migration verification results
6. Complete any manual data conversion efforts using automated methods unless otherwise agreed upon by the Department, where manual efforts are defined as single record efforts,
and automated efforts are defined as the processing of groups of records, and the DDI Contractor will support:

a. Manual data cleanup
b. Manual data entry
c. Manual client/participant or other record merges

Data Conversion and Migration Strategy

The DDI Contractor shall develop and deliver a Data Conversion and Migration Strategy, which describes the DDI Contractor’s strategy for converting and validating all existing CCSES data into the CCSES System. The DDI Contractor shall include a description of the general approach that will be used to extract, transform, cleanse, and load data from the source to target destinations during the conversion and migration process for the CCSES system. The DDI Contractor shall integrate its Data Conversion and Migration go-live strategy with the rollout that is planned for implementation.

The strategy must address all data conversion and migration requirements and must include at minimum the following descriptions:

1. Go-live approach, e.g., if parallel runs of the old and new Systems will be necessary during the conversion process, or if there will be a one-time cutover to the new System; and approach for ensuring that the CCSES data will be continually updated with changes from the interfaced systems and CCSES System until all components of the CCSES System have been implemented
2. Implementation of the conversion process, whether it will be in phases or stages, and if so, which components will undergo conversion in each phase
3. Automated data conversion tools that will be used, e.g., Extract, Transform, and Load (ETL) tools
4. Identification of any part of the conversion process that will be performed manually
5. Any custom-developed conversion programs that will be needed, and associated performance tuning
6. Staffing approach for data conversion
7. Limitations on data availability and use that will occur during the conversion process
8. Security and privacy controls required for the conversion process
9. Disposition of obsolete or unused data that is not converted
10. Retention policy for the data that has been converted to facilitate rerunning the conversion process if necessary
11. Process for normalization of data to be converted
12. Approach used to ensure data quality before and after all data conversions
13. Plan for evaluation of Department ad hoc databases that facilitate Program processes and determination of whether their data needs to be converted and migrated into the CCSES System

Data Conversion and Migration Management Plan

The DDI Contractor shall develop and deliver a Data Conversion and Migration Management Plan and conduct all Data Conversion and Migration activities in accordance with the Accepted Deliverable. The Department expects data
conversion activities to provide sufficient data to support Construction, User Acceptance Testing, and Implementation Tasks.

The Data Conversion and Migration Management Plan must encompass the Data Conversion and Migration Strategy and describe the preparation and specifications for converting data from legacy systems to CCSES. This plan must describe in detail the overall approach and processes that will be used in the data conversion, including data conversion objectives, assumptions, and constraints.

The Data Conversion and Migration Management Plan Deliverable must include at minimum:

1. Inventory and cross reference of source and target data elements, schema, metadata, and all self-describing files
2. Process for data extraction, transformation, and loading for each data source
3. Tools needed to execute the conversion and migration
4. Identification and description of data conversion objectives
5. Assumptions or dependencies regarding the data conversion effort
6. Constraints that must be taken into consideration prior to the data conversion and migration process
7. List of all stakeholders and their roles and responsibilities in the conversion process
8. Schedule of conversion activities to be accomplished in accordance with the Data Conversion and Migration Management Plan including at minimum, the required tasks in chronological order, beginning and ending dates of each task, the key person(s) responsible for the tasks, dependencies, and milestones; if appropriate, tables or graphics, or both, may be used to present the schedule
9. Strategy for data quality assurance and control including:
   a. Identification of any prerequisites
   b. General backup strategy;
   c. Data restoration process plan
   d. Plan for identification, description, and mitigation of the types of data quality problems that may occur, including but not limited to the following considerations:
      i. Data type redefinitions (e.g., alphas in dates and numbers, embedded information in codes and intelligent keys, implied content)
      ii. Garbled content (e.g., multiple uses for a single field, freeform text values, corrupted data, un-initialized data)
      iii. Invalid record relationships (e.g., broken chains in set relationships, orphan records, mismatched keys)
      iv. Invalid content (e.g., values out of defined range, code fields not on a valid list of values or lookup table, blank fields)
      v. Context changes (e.g., import of external data, historic changes to operational parameters (system upgrades), synchronization timing of duplicated, denormalized data)
      vi. Behavior issues (e.g., variations in actual data from planned constraints of size, data type, validation rules, and relationships)
10. Expected conversion impact on the existing State infrastructure, including mainframe and servers, and how the conversion impact was determined

11. Remediation plan (including the acquisition, installation, or implementation of associated hardware and software) to address any adverse impacts the conversion may create for the existing infrastructure, and protocols for implementing the remediation plan

12. Risks associated with the proposed data conversion and mitigation primary strategy, including any risks that could affect conversion feasibility, technical performance of the converted system, the conversion schedule, costs, backup, and recovery procedures

Data Conversion and Migration Test Plan

The DDI Contractor shall develop and deliver Deliverable, a Data Conversion and Migration Test Plan, which must include at minimum the following:

1. Details on which data elements from the CCSES System the DDI Contractor will convert and migrate to the CCSES System
2. Map of the codes for each data element within the CCSES System to the corresponding codes for each data element within the CCSES System
3. Determination of which cases in the CCSES System should convert and migrate to the CCSES System, and what the initial case status of each should be
4. Schedule for the Data Conversion and Migration activities tied to Construction, Testing, and Implementation Tasks
5. Criteria for System conversion readiness
6. Testing criteria to determine whether the data elements converted and migrated successfully for a given case, and whether all cases that the Program intended to convert and migrate were converted and migrated to the correct case status
7. Additional matters, at a minimum:
   a. Test scripts (including intentional errors)
   b. Test data definitions
   c. Error reporting
   d. Error resolution
   e. Testers

Data Conversion and Migration Test Results Reports

The DDI Contractor shall develop and deliver Data Conversion and Migration Test Results Reports which document the results of executing the data conversion and migration activities, and the testing performed to validate that data conversion and migration programs are working correctly.

Each submitted Data Conversion and Migration Test Results Report Deliverable must include at minimum the following:
a. Overall assessment of the conversion and migration software as demonstrated by test results
b. Reports of likely duplicate cases and clients, error reports, and conversion efficiency reports for all conversion and migration processes performed
c. Reports of Data Conversion and Migration verification results
d. Documented state of readiness for data conversion and migration activity before activity commenced
e. Completion status of each test case associated with the test as demonstrated by test results in a format acceptable to the Department
f. Description of the test data set
g. Identification of any remaining defects, limitations, constraints, or other anomalies that were detected by the testing performed (problem/change reports may be used to provide defect information)
h. For each remaining defect, limitation, constraint, or other anomaly, a description of its impact on conversion and migration software performance, the impact on software design to correct it, and a recommended solution for correcting it
i. Any recommended improvements in the design, operation, or testing of the conversion and migration software tested

Department Activities for the Data Conversion and Migration include:
1. Providing input during the development and refinement of Design Deliverables, including:
   a. Procedures for handling missing data, data exceptions, and default values
   b. Management of conditions when two or more clients are to be treated as one client
   c. Level of manual effort required to complete Task
2. Providing information in response to DDI Contractor inquiries related to data mapping, data conversion and migration requirements, and Department policies and procedures
3. Providing data dictionaries, CCSES System information (coded fields, combinations of codes, history of changes), and business rules that affect data conversion or migration
4. Performing clean-up of data to be migrated, and addressing data issues reported by the DDI Contractor
5. Assisting DDI Contractor with resolution of Data Conversion and Migration issues

Task 9: Deliverables

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<tr>
<th>NUMBER</th>
<th>DELIVERABLE NAME</th>
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<tbody>
<tr>
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<td>Data Conversion and Migration Strategy</td>
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<td>Data Conversion and Migration Management Plan</td>
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<td>3</td>
<td>Data Conversion and Migration Test Plan</td>
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<tr>
<td>4</td>
<td>Data Conversion and Migration Test Results Reports</td>
</tr>
</tbody>
</table>
1.3.10 TASK 10 - CONSTRUCTION (DEVELOPMENT)

This task addresses System Construction activities, including developing, configuring, integrating, enhancing, and modifying the new CCSES System.

The objective for the Construction Task is the development of the CCSES System to meet Requirements, utilizing the Architecture and Technical Design deliverables.

The DDI Contractor, at a minimum shall:

1. Provide the development and test environments for development phase tasks and support the timely acquisition, installation, and configuration of the hardware and software required to implement the CCSES System in accordance with the Hardware and Software Plan
2. Develop and deliver a Configuration Management Plan
3. Manage the source code:
   a. In accordance with security requirements and with full access for the Department to all source code throughout the life of the Contract
   b. Subject to periodic reviews by the Department, the EPMO, QA and IV&V Contractor staff to ensure that it is maintained and updated; if periodic audits reveal deficiencies, the DDI Contractor shall perform all Department-required corrective actions within agreed-upon timeframes
4. Construct the CCSES System to meet Requirements, and in accordance with the Functional System Design, Technical System Design, Security Plan, and other associated Design and Development Deliverables, including:
   a. Configuring, modifying, or building CT-specific integration components
   b. Coding all new or modified program modules to meet Requirements
   c. Preparing the CCSES System components for Integration
   d. Integrating code and functionality of all transfer systems, third party components, and custom code to deliver a fully functioning system
   e. Facilitating additional code and system design review sessions with Department-designated staff and other Project participants, including the QA and IV&V Contractors
   f. Reporting code review session results including recommended action items to the Department Project Manager and other appropriate Project participants as identified by the Department
5. Update Deliverables to reflect any refinements or additional Requirements identified during Construction, in accordance with the Project’s current Change Management process
6. Notify Department in writing, upon completion of this Construction Task and after Deliverables have been updated in accordance with the section above, that the CCSES System materially conforms to System Requirements, and is ready for System Testing

Configuration Management Plan

The DDI Contractor shall develop and deliver a Configuration Management Plan, which describes the DDI Contractor’s established configuration management methodology; including approach, tools (ALM systems),
Hardware and Software environments, standards, evaluation criteria, and terminology. The Plan must address all components of the System. The Deliverable must include descriptions for the following, at minimum:

1. Software development activities that will be performed by the DDI Contractor and the environments in which this work will be completed
2. DDI Contractor’s systematic, documented approach for all Project Software Development activities, specifically addressing the following elements:
   a. Software Development Methods including the manual and automated tools and procedures that will be used in support of these methods in the Project
   b. Standards for Software Products to be followed for design, code, unit, and integration testing
3. Coding Standard for each programming language used and include at a minimum:
   a. Version for each programming language
   b. Standards for format
   c. Standards for header and other comments
   d. Naming conventions for variables, parameters, procedures, etc.
   e. Restrictions, if any, on the use of programming language constructs or features and the complexity of code aggregates
   f. Approach and methodology to Construction
4. DDI Contractor’s Quality Assurance activities to ensure adherence to the system Architecture and Design
5. Detailed description of the Development Environment to be utilized by the DDI Contractor supporting System Development through ongoing maintenance of CCSES

Database Configuration Management Plan

The DDI Contractor shall develop and deliver a Database Configuration Management Plan which describes any software to be developed or tools to be acquired to automate the Database Configuration Management Process.

This Deliverable must also provide at minimum:

1. Control and update processes used to manage all database objects across the multiple environments - development, training, testing, production, and others
2. Procedures for developers to use to establish look up tables
3. Processes to manage database management scripts and procedures developers will use to identify new database objects in the System, document the object’s purpose and object naming conventions
4. Use of an audit trail to maintain a full history to include creation, modification, and deletion of database objects for each environment
5. Updated data dictionary, including descriptions of the following:
a. All tables used in the System
b. Entity Relationship Diagrams (ERD) depicting the relationships among tables and how to navigate to specific records and fields from higher-level structures grouped by functional areas, i.e., financials, accounting, case management, client profile, with periodic reviews of these diagrams to be performed to ensure documentation is kept current
c. Each data element within each table (e.g., name, data type, constraints, narrative description)
d. Table of values for each data element for enumerated values;
e. Stored procedures and triggers
f. Views
g. Functions
h. Naming conventions used to create data element names

System Operations and Maintenance Procedures

The DDI Contractor shall develop and deliver System Operations and Maintenance Procedures to clearly document the System operations. Its purpose is to assist programmers and other technical staff in understanding System operations and performance and to provide operations technical staff with the knowledge necessary to efficiently operate and maintain the System. The DDI Contractor shall revise System Operating Procedures with any changes resulting from development, system testing, user acceptance testing, training, or changes in procedures during ongoing operations of the System.

The DDI Contractor shall ensure that the System Operating Procedures address all facets of the technical operation of the System, and include at minimum:

1. System troubleshooting and System tuning procedures and features
2. Processes and procedures for implementing common types of System Enhancements (e.g., adding a workflow, building a new notice template, changing the valid values for a lookup, adding document types to the system, changes to database objects)
3. Software management functions, such as building code and code management
4. System interface processing including Application Programming Interface (API) Documentation and data exchanges with other systems
5. Online and batch processing procedures
6. System backup and recovery procedures
7. Security procedures, scans, logs, and automated security tools
8. Setting and changing System password and user ID
9. Managing user permissions and roles
10. System processing procedures
11. System report generation procedures
12. System menu structures and System command mode operations
13. Job scheduling
14. Job cycles (daily, weekly, monthly, quarterly, annually, and special)
15. Database maintenance and performance optimization management
16. Log management
17. Third party software upgrades
18. Error recording, reporting, and troubleshooting procedures

System Development Environment

The DDI Contractor shall develop and deliver a System Development Environment. This Deliverable will establish the Development Environment(s) the DDI Contractor will use to support the construction and ongoing operations, maintenance, and enhancement of the CCSES System. The Development Environment must allow for maintenance and enhancement of the CCSES System without disruption of any other Department computing activities, and fully support managing code development and testing. The Development Environment must be transitioned to the Department at the end of the Contract in a manner that supports ongoing development, enhancement and operation of the CCSES system.

Task 10: Deliverables

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<th>NUMBER</th>
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<tr>
<td>1</td>
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<td>2</td>
<td>Database Configuration Management Plan</td>
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<td>3</td>
<td>System Operations and Maintenance Procedures</td>
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<tr>
<td>4</td>
<td>System Development Environment</td>
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</table>

1.3.11 TASK 11: TESTING

In accordance with the Department’s written notice to proceed with System, Integration, and Performance Testing, the DDI Contractor shall perform Testing of the entire CCSES System to confirm the System meets the Requirements, Design, Systems Architecture Document, and the System Security Plan among other specifications. Testing will focus on these activities: System Testing, Integration Testing, Security Testing and Load Testing (performance testing). Individual system modules shall be tested as they are readied. Throughout the development phase, the compatibility and integration of all “completed” modules shall be regression tested to verify that each module continues to perform without error, as new modules are completed and integrated. In addition, the compatibility and integration of all the modules for the entire System must be tested as a complete System when all modules have been completed.

The main objective of system and integration testing is to confirm the operations, hardware, software, data conversion and migration, and network communications aspects of the CCSES System are functioning in accordance with requirements and relevant deliverables. Successful completion of system testing will demonstrate that the CCSES System is ready for User Acceptance Testing (UAT).

The DDI Contractor shall provide, at a minimum, the following services and deliver the following deliverables as part of Testing:

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1. Develop and deliver Test Management Plan prior to the beginning of Construction

2. Provide Department and Department partners access to the Test Environment

3. Deliver and ensure the Test Environment is prepared with sanitized test data representative of production size and diversity converted from the legacy systems and including functional interfaces to the extent practicable or simulated interfaces

4. Ensure the CCSES System is configured and tested using Department accepted versions of all underlying software, tools, and databases

5. Execute Testing and deliver test results in accordance with the System Test Documentation and Results Reports; test cases, test scripts, and test results must be documented and maintained for the Department, EPMO, Quality Assurance Contractor, and IV&V Contractor to review and audit

6. Before beginning UAT, the DDI Contractor shall conduct and complete all performance, stress/load, security and end-to-end system tests in accordance with current accepted test management plans

7. Report System Test results as requested for QA review

8. Document defects and performance issues requiring corrective action, take corrective action, and repeat testing until expected results are achieved

9. Update deliverables to reflect any refinements or additional requirements identified during system testing, in accordance with the Project’s change control process

10. Notify the Department in writing, upon completion of this Testing Task and after Deliverables have been updated in accordance with the section above, that the CCSES System contains no known defects (with the exception of some lower priority defects that are mutually agreed to by the Department), and that the DDI Contractor attests the CCSES System materially conforms to System Requirements and Design and is ready for the User Acceptance Testing

**System Test Management Plan**

The DDI Contractor shall develop and deliver a System Test Management Plan. This Deliverable must document the DDI Contractor’s test strategy and plan for all levels of testing. This deliverable must include at minimum:

1. Testing Approach that provides:
   a. Test techniques and methods
   b. Test standards
   c. Test phases
   d. Test environment that will be used for system/integration, performance, and security testing
   e. Automated testing tools based on type of testing, i.e., tools for performance/load/stress, system/integration, and regression testing
   f. Verification that testing tools work as designed
   g. Configuration management of Test Environment(s) and tools
h. Test data, including use of sanitized test data (attributes that identify an individual are altered)
i. Roles and responsibilities of everyone involved in testing
j. Test documentation including documentation standards and templates
k. Test schedule and work plan
l. Test metrics and measurements
m. Test preparations
n. Test execution
o. Test monitoring
p. Test status meetings and reporting
q. Go/no-go decisions or checkpoint decisions
r. Test pass/fail criteria
s. Test closure criteria
t. Test closure evaluation criteria and wrap up
u. Archiving and lessons learned to better promote continual process improvement
v. System Testing knowledge transfer

2. Testing of connections with all other systems with which the CCSES System will interface

3. Use of full-size databases with simulated loads of up to 500 Department users where the System Test will continue until performance requirements are met under full operational conditions; application/system auditing and replication functions must also be tested; performance requirements will be developed during the JAD and JTD sessions and must be approved by the Department

4. Full suite of security tests including but not limited to user role-based access and penetration testing performed by an Department approved third party

5. Testing of functions like auditing, replication etc.

6. System Test Plan(s), Test cases, Test scripts and Test conditions that examine each functional objective of the System and expected Test results to verify that the CCSES components have achieved each functional objective; these documents must be maintained for the Department, EPMO, QA Contractor, and IV&V Contractor for review and audit

7. Procedures for creation, maintenance, and rebuilds of the Test Environment and controls to maintain the integrity of the test data and prevent rebuilds

Test Environment

The DDI Contractor shall develop and deliver the Test Environment. This Deliverable will establish the Test Environment(s) the DDI Contractor will use to perform System Testing. The Test Environment must allow testing
of the CCSES System to occur without disruption of any other Department computing activities, and fully support all Testing needs.

At a minimum, the Test Environment Deliverable must:

1. Contain all components the Production Environment will contain, including copies of all software, databases, tables, and files loaded with sanitized test data
2. Be accessible from the Department’s network and appropriately configured to adequately emulate Production System use
3. Include copies of other systems' files and/or software involved in the interfaces to adequately test system-to-system interfaces

**System Test Documentation and Results Reports**

The DDI Contractor shall document and report the results of all System Testing in System Test Documentation and Results Reports. These reports must include at minimum information and data concerning:

1. Detailed Test Results that describe the detailed results for each test including at minimum:
   a. Test number
   b. Summary of test results
   c. Problems encountered
   d. Identification of test procedure step(s) where problems occurred
   e. Reference to backup material as appropriate
   f. Deviations from test cases/procedures
   g. Assessment of the deviations' impact

2. Test Log which must present a chronological record of test events covered by the report and include at a minimum:
   a. Date(s), time(s), location(s), and tester(s) of the tests performed
   b. Hardware and software configurations used for each test
   c. Record of Department signoff on the completed and successful tests

3. Overall report of the System’s Operation to include at minimum:
   a. Overall assessment of the System’s Operation as demonstrated by the test results in this report
   b. Identification of any remaining deficiencies, limitations, or constraints that were detected by the testing performed; problem/change reports may be used to provide defect information
### Task 11: Deliverables

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<tr>
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<td>Test Environment</td>
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<tr>
<td>3</td>
<td>System Test Documentation and Results Reports</td>
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</table>

#### 1.3.12 TASK 12 - USER ACCEPTANCE TESTING (UAT)

The Department will take the lead in executing UAT and the DDI Contractor shall participate as required to ensure that the entire CCSES System meets Detailed Requirements and functions in compliance with Systems Architecture/Design Documents. The DDI Contractor shall remediate all defects identified during UAT, and modify the associated deliverables, before the Department signs approval for the User Acceptance Testing Task and Deliverables. Successful completion of UAT will demonstrate that the CCSES System is ready for implementation.

An Acceptance Test Team composed of Department, EPMO, and QA Contractor SMEs will perform User Acceptance Test activities. User Acceptance Testing will evaluate the CCSES System to ensure all components work together and that the System meets all requirements documented in the RTM. UAT must include detailed tests of all requirements, features, and system operations.

User Acceptance Testing will include testing of the System under maximum operational load conditions. Additionally, all System interfaces and data exchanges are included in UAT.

As a prerequisite to UAT, the DDI Contractor shall ensure that all requirements and related System functions have been unit and system/integration tested prior to entering UAT. The DDI Contractor shall ensure that all operational components (hardware, software, and network communications) of the CCSES System are functioning in accordance with requirements, and that the System is ready to process inputs and payments, meet reporting requirements, and utilize the State data communication network.

The DDI Contractor shall provide, at a minimum:

1. Support the QA Contractor to develop and deliver the User Acceptance Test Plan that includes a schedule of testing activities, and draft user acceptance Test cases and checklists
2. Provide an interface to the test environment to provide access to the Department and other test participants to perform tests
3. Deliver the Test Environment and ensure that:
   a. Test Environment is prepared with test data that mimics Production Environment data
   b. Test data is refreshed and managed as required by the Department
   c. System is configured to the most current version of all underlying software, tools, and databases, unless otherwise approved by the Department
4. Provide training and documentation for UAT, including training to Department staff and other test participants on any automated testing tool(s), and including versions of user materials that the
5. Assist with acceptance testing as defined in the User Acceptance Test Plan with activities to include at minimum:
   a. Provide System support, Help Desk support (above Level 2)
   b. Correct defects in accordance with one or more service level agreements that provide the defect resolution timeframes
   c. Assist Department in identifying issues and problems discovered during UAT and in the resolution of those issues
   d. Report on UAT activities using the User Acceptance Test Results Report
   e. Conduct rework and update the associated Deliverables
6. Update Deliverables to reflect any refinements or additional Requirements identified during UAT
7. Submit the updated System Documentation and the updated ALM system as required
8. Notify the Department in writing upon completion of this UAT Task and after Deliverables and the ALM systems have been updated, that the CCSES System contains no known defects, and that the DDI Contractor attests the CCSES System materially conforms to system requirements and design and is ready for pilot implementation

User Acceptance Test (UAT) Plan

The QA team will be responsible for the User Acceptance Test Plan, with support from the DDI Contractor. The UAT Plan is anticipated to include at minimum the following:

1. DDI vendor will be responsible for Test Preparations, including:
   a. Test Environment preparation plan
   b. Security and privacy requirements
   c. Training on UAT processes and testing tool(s)

2. Department will be responsible for:
   a. Securing the Testing location
   b. Unique Test by Test identifier and a brief description of each Test
   c. Other pre-test preparations, e.g., description of any other pre-test personnel actions, preparations, or procedures necessary to perform UAT
   d. Scheduling of Project and the Department, EPMO, QA, and DDI Contractor personnel involved in Testing

3. Department will prepare Test Cases with test descriptions to simulate workflow and validate that the System meets business requirements; at a minimum, this section will address the following:
   a. Unique identifier of each test case
   b. Prerequisite conditions
   c. Test inputs/outputs
   d. Expected test results
e. Criteria for evaluating results  
f. Testing procedure (step-by-step)  
g. Assumptions and constraints  
h. Error reporting and remediation plan  
i. Documentation update plan  

4. QA Team will maintain the traceability from each test case to the System or requirements it addresses and mapped back to the RTM; if a test case addresses multiple requirements, traceability from each set of test procedure steps to the requirement(s) will be addressed  

**Tools Implemented and System Ready to Test**  

The DDI Contractor shall deliver the User Acceptance Test Tools and prepare the Test Environment for UAT. For this Deliverable, the DDI Contractor will implement the tools required for UAT and ensure the Test Environment is ready for use in UAT. This Deliverable must be accepted by the Department before UAT begins and must:  

1. Verify that the Test Environment is populated with the latest version of code and contains all components the Production Environment will contain, including copies of all software, databases, tables, and files loaded with sanitized test data  
2. Be accessible from the Department’s network and appropriately configured to adequately emulate Production System use  
3. Include copies of other systems’ files and/or software involved in the interfaces to adequately test system-to-system interfaces  
4. Ensure all testing tools are implemented and ready for UAT  
5. Ensure all UAT participants are trained on UAT processes and testing tools  

**User Acceptance Test Results Report**  

The QA Team shall develop and deliver a User Acceptance Test Results Report weekly, to include a summary and details of overall progress and status:  

1. Documentation of each issue or problem, including:  
   a. Issue/Problem statement  
   b. Tester name  
   c. Date  
   d. Resolution provided  
   e. Name of person assigned to resolve the Defect  
   f. Plan for further Testing  
   g. Summary of problems found  
   h. A weekly report of problem resolution progress to include:  
      i. Problems open
ii. Problems resolved
iii. New problems logged
iv. Progress against UAT Plan

2. Detailed list of defects to show at minimum:
   a. Defects opened in the last week
   b. All open defects
   c. Defects closed
   d. Details of all Tests performed during the week
   e. Department acceptance status of defects closed

Task 12: Deliverables

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<td>User Acceptance Test Plan</td>
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<tr>
<td>2</td>
<td>Tools Implemented and System Ready to Test</td>
</tr>
<tr>
<td>3</td>
<td>User Acceptance Test Results Report</td>
</tr>
<tr>
<td>4</td>
<td>Tested CCSES Application Code</td>
</tr>
</tbody>
</table>

1.3.13 TASK 13 – END USER TRAINING

End User Training is a critical DDI Contractor responsibility. The Deliverables prepared in this Task must demonstrate an understanding of the training requirements and the DDI Contractor’s role in the Training Task. The DDI Contractor is expected to begin work on this task and its deliverables during the Detailed Requirements phase of the project.

The DDI Contractor shall provide End User Training services prior to UAT through the end of the implementation period. The Department anticipates that most End User Training activities will be conducted immediately prior to UAT, pilot testing, and implementation. The Department anticipates that training materials will be used prior to UAT to verify their accuracy, comprehensiveness, understandability, and usability. Contractor shall update the materials after UAT in response to Department feedback and will modify the materials as needed to support changes during implementation.

For End User Training to be delivered during the implementation phase, the DDI Contractor will first train staff from OCSS, SES, and the Department’s Office of Organizational & Skill Development (OSD) how to use the System in a “train the trainer” format (up to 30 people). After successful completion of the “train the trainer” activities, the DDI Contractor will partner with the OCSS/SES/OSD training staff to conduct joint field trainings at a minimum 13 offices as delineated in the Project End User Training Management Plan. Remaining internal and external users will be trained by one of the designated training teams.

The DDI Contractor will conduct specialized End User training to be delivered for UAT and Help Desk staff in advance of UAT and Help Desk support. The DDI Contractor will maintain materials and delivery throughout the life of the project.
The training task begins during the Requirements stage of the project. The DDI Contractor shall develop a User Training Management Plan and training support materials, including handouts, instructions or training outlines, training scenarios, presentations, and initial login administration to meet the individual system needs for approximately 2000 users (including internal and external partners and contractors). The DDI Contractor shall provide CCSES Training for specific training needs, in accordance with role-based access rights of OSD trainers, SES trainers, CCSES Program users; and other defined Program stakeholders, at minimum.

The DDI Contractor shall perform the following tasks and services and deliver the following deliverables as part of End User Training. The DDI Contractor shall at minimum:

1. Develop and deliver the End User Training Management Plan, which reflects the training schedule (including dates, times, locations, and participants) and activities required under this task, and deliver training in accordance with the approved deliverable. The DDI Contractor shall update this deliverable quarterly to address refinements to training, including additional features and System functions.

2. Provide “train the trainer” training sessions with training materials to approximately 30 participants (trainers) from OCSS, SES, and OSD on full System functionality and operations of the system. The functional training will be divided into modules such as Case Initiation, Case Management, Enforcement, etc.

3. Partner with the trained OCSS/SES/OSD trainers to deliver onsite classroom training throughout the state to Program staff (approximately 500 OCSS and SES staff, in 24 office locations) who are available to attend in person sessions on specified dates (by office/region). At a minimum, classroom training will be provided in 13 OCSS-SES locations around the state, with multiple sessions being provided in some locations.

4. Update training materials (all formats) to reflect all system modification changes that result from all change requests and system enhancement activities, no later than 15 business days from the time the change is made.

5. If requested by the State, conduct/facilitate remote (teleconference/videoconference) question and answer sessions for each office or region within three weeks following classroom training.

6. Ensure that the Training Environment and web-based training services are established and functioning in accordance with all security requirements, and provide a secure user interface with the state network for access by training participants to the Training Environment.

7. Provide the technology and staff to support all End User Training activities.

8. Ensure that Training activities are:
   a. Conducted in compliance with standards for security and training (including the Americans with Disabilities Act).
   b. Designed for users of varying learning styles and varied skill levels, and support trainees’ reaching or exceeding the minimum level of knowledge, skills, and abilities required to
perform the operational functions of their jobs

c. Compliant with adult learning principles and standards of Instructional Systems Design (ISD) or other comparable models such as the ADDIE model (Analysis, Design, Development, Implementation, and Evaluation)

End User Training Management Plan

The DDI Contractor shall develop and deliver an End User Training Management Plan, and subsequent updates to the Plan, throughout the duration of the Project. The Contractor shall obtain written Department approval before commencing work under the Deliverable or any of its subsequent revisions. The Contractor shall deliver Training in accordance with the approved Deliverable, which must include:

1. Identify the approach for conducting a training needs assessment
2. Identify and describe the curriculum development and adult learning methodologies (i.e., ADDIE) that will be used by the DDI Contractor for designing, developing, and delivering end user training
3. Set the Training objectives which must be actionable and measurable
4. Address the contents of training scripts/scenarios
5. Identify Key Person(s) and other staff responsible for the work
6. Indicate who the DDI Contractor will train in various system components
7. Explain how the DDI Contractor will use instructor-led training, web-based training, and the combination of the two
8. Describe and discuss what the DDI Contractor will cover
9. Explain the logistics of where and when the training sessions will take place
10. Estimate the number of trainees via each modality
11. Include the strategy and plan for ongoing training for:
   a. Training new staff
   b. Training to address advanced topics, system enhancements, and new services or requirements
12. Document the information needed for user staff to attain full use of System functionality
13. List, describe, and include materials for:
   a. Technical and End User Training materials
   b. User quick reference guides
   c. User Job Aids
   d. Online help
   e. Test/training scenarios and scripts
   f. Other documentation necessary to use and operate the System
   g. Feedback and course evaluation

End User Training Materials

The DDI Contractor shall develop and deliver End User Training Materials using a curriculum design and adult learning methodology agreed to by the Department. The DDI Contractor shall conduct course-specific design sessions, including input from Program Subject Matter Experts (SMEs), as part of the User Training Materials development process.
For this Deliverable, the DDI Contractor shall describe and include the training materials for user training. Training materials may include visuals, handouts, workbooks, manuals, computerized display, quick reference guides, demonstrations, and online help. Department-specified training materials must be available online as the User’s Manual to supplement Connecticut’s policies and procedures.

Training materials must be designed for hands-on use in a classroom, lab situation, or for future reference by users when the System is operational. All training materials become the property of the Department and must be reviewed and accepted by the Department before use. All training will be supported with a specific set of training materials.

**End User Training Report**

The DDI Contractor shall develop and deliver an End User Training Report which documents the satisfactory completion of the End User Training Management Plan task. This Deliverable will describe the method for reporting, reviewing, and correcting discrepancies identified during training.

**Training Environment**

The DDI Contractor shall develop and deliver the Training Environment. For this Deliverable, the DDI Contractor will establish the Training Environment(s) to use in executing the End User Training Management Plan. The Training Environment must allow for training users of the CCSES System without disruption of any other Department computing activities, and fully support all user training needs. The Training Environment will be delivered to the Department, and the Department shall accept this deliverable before invoicing for Training Environment components provided by the DDI Contractor. The Training Environment must be transitioned to the Department at the end of the Contract in a manner that supports ongoing training for the CCSES system.

At a minimum, the Training Environment Deliverable must:

1. Verify that the Training Environment is populated with the latest version of code and contains all components the Production Environment will contain, including copies of all software, databases, tables and files loaded with sanitized test data
2. Be accessible from the Department’s network and appropriately configured to adequately emulate Production System use
3. Include copies of other systems’ files and/or software involved in the interfaces to adequately train users on system-to-system interfaces
4. Identify a methodology for communicating the daily status of the training environment, a troubleshooting process, and a process for refreshes and builds in the environment

**Task 13: Deliverables**

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<th>NUMBER</th>
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<tbody>
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<td>End User Training Management Plan</td>
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<tr>
<td>2</td>
<td>End User Training Materials</td>
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</table>
1.3.14 TASK 14 - TECHNICAL TRAINING AND KNOWLEDGE TRANSFER

The DDI Contractor shall deliver Technical Training and Knowledge Transfer (TTKT) throughout the Design, Development, Implementation, and Operations and Maintenance Phases of the Project. Technical Training materials and activities must be based on application specifications, System Documentation, user and operational procedures manuals, and other materials that the DDI Contractor will deliver under the Contract.

The objective of Technical Training and Knowledge Transfer is to ensure that designated Department technical staff have an adequate level of knowledge, skill, and abilities to understand how to use the CCSES System to carry out the operational functions of their jobs in operating, maintaining, enhancing, and testing the System, including customer service support (Help Desk functions), after the DDI Contractor leaves the Project. The Department anticipates that TTKT will be conducted in conjunction with the DDI Contractor’s work on the System, with TTKT activities taking place during each Project phase.

At a minimum, the following State staff roles will be included in the Technical Training and Knowledge Transfer Task:

1. Programmers (Developers)
2. Database administrators (DBAs)
3. Super Users
4. System Administrators
5. Help desk staff
6. Business Analysts
7. Testers

The DDI Contractor shall provide, at a minimum, the following Services and Deliverables as part of Technical Training and Knowledge Transfer:

1. Successfully execute the Technical Training and Knowledge Transfer Plan Deliverable
2. Prepare the Training Environment and ensure it functions in accordance with the Security Plan Deliverable
3. Update Technical Training Materials throughout the Project to reflect decisions made and ongoing activities during the design, development, implementation, and operations and maintenance phases of the Project
4. Embed State technical staff with contractor staff to design, develop, implement, operate and maintain the CCSES system
5. Offer comprehensive training on the framework used for the design and development of the new CCSES System
6. Offer comprehensive training for system administrators to maintain and monitor the System
7. Offer comprehensive training for system super-users who will maintain document templates, online help, business rules, workflow etc.
8. Offer comprehensive training on the System’s database design and database objects
9. Offer comprehensive training on the architecture and configuration of the System
10. Offer comprehensive training on CCSES technical processes and procedures
11. Provide the technology and staff to support all TTKT activities
12. Ensure that TTKT activities are conducted in compliance with the Security Plan Deliverable and the Americans with Disabilities Act
13. Report on Training activities

Technical Training and Knowledge Transfer Plan (TTKT)

The DDI Contractor shall develop and deliver a Technical Training and Knowledge Transfer Plan which reflects all the components and activities required, including the schedule by which the activities will occur, to complete Technical Training and Knowledge Transfer. The DDI Contractor shall update this Deliverable throughout the Project to reflect decisions made and ongoing activities during the design, development, implementation, and operations and maintenance phases of the Project.

Technical Training Materials

The DDI Contractor shall develop and deliver Technical Training Materials, to aid in the TTKT process. This Deliverable must at minimum:

1. Provide all Technical Training Materials identified in the Technical Training and Knowledge Transfer Plan
2. Provide for different learning styles (i.e., instructor-led classroom, one-on-one hands on, interactive online)
3. Comply with the Americans with Disabilities Act (ADA)
4. Be stored in the Central Project Repository and comply with the same configuration and version management process as other System and Project Documentation
5. Be updated throughout the Project to reflect decisions made and ongoing activities during the design, development, implementation, and operations and maintenance phases of the Project
6. All training materials become the property of the Department and must be reviewed and accepted by the Department before use

Technical Training and Knowledge Transfer Reports

The DDI Contractor shall develop and deliver Technical Training and Knowledge Transfer Reports, which will be used to track information on TTKT activities. Each TTKT Report must include at minimum:

1. TTKT components, learning objectives, and summary of activities
2. TTKT modality (i.e., instructor-led classroom, one-on one hands on)
3. Names of people trained
4. Names of people scheduled for training who did not attend
5. Training start and end date(s)
6. Accomplishments during TTKT
7. Challenges encountered during TTKT
8. Lessons learned and recommended changes, including those from State staff, related to specific or overarching TTKT
9. Evidence that TTKT has been effective and successful

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<td>Technical Training Materials</td>
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<tr>
<td></td>
<td>3</td>
<td>Technical Training and Knowledge Transfer Reports</td>
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1.3.15 TASK 15 - IMPLEMENTATION

Upon written notice from the Department to proceed with this Task, the DDI Contractor shall implement the CCSES System functionality. At the end of the implementation phase and again at the end of the contract, the DDI Contractor shall guarantee that the CCSES System is fully implemented and operational. The DDI Contractor shall validate functionality and correct any deficiencies that have been identified. The State plans to pilot the system to a limited population (offices) before the system is rolled into statewide production. The pilot details will be finalized with the DDI vendor during the planning phase.

The objective of the implementation task is to develop the implementation plan and artifacts required to put the CCSES system in pilot and then production phase. The DDI Contractor staff will also provide site support (at all the implementation sites) to the Department during the pilot and production rollout.

The DDI Contractor shall provide, at a minimum, the following Services and deliver the following Deliverables as part of Implementation:

1. Ensure that the Production Environment is in place and meets all applicable security and business requirements
2. Develop and deliver Readiness Assessment
3. Develop and deliver Implementation Operations Plan
4. Develop and deliver Implementation Plan
5. Notify the Department in writing, upon completion of the implementation pilot and after deliverables have been updated to reflect defect corrections made under Contract, that the CCSES System contains no known defects (with the exception of some low priority defects that are mutually agreed with the Department), and that the DDI Contractor attests the CCSES System materially conforms to system requirements and deliverables and is ready for full implementation.
Readiness Assessment

The DDI Contractor shall assist and support the State in performing a Readiness Assessment prior to production pilot and again prior to implementation. The DDI Contractor shall provide supporting information, data, and rationale, updated as necessary and appropriate, in support of the following DDI Contractor assurances:

1. System is ready for the production pilot and implementation including:
   a. Any missed requirements are developed and functioning in the Test Environment and ready to move to the Production environment
   b. System meets its performance standards and functions in accordance with the Requirements
   c. Production and Disaster Recovery environments have been tested and are ready for implementation
   d. Sites are ready based on a predetermined checklist
   e. All data has been cleaned and converted
   f. Department staff have been appropriately trained, notified, and prepared
   g. Department partners have been appropriately trained, notified, and prepared
   h. System is ready for the production pilot and statewide use by the Program in the Production Environment
   i. Any additional functionality required for Federal Certification is in Production or is in development/testing in accordance with the priority set by the CCB

Implementation Operations Plan

The DDI Contractor shall develop and deliver an Implementation Operations Plan. This Deliverable must reflect the necessary and appropriate levels of service the DDI Contractor will provide in connection with System support, Help Desk support, System maintenance, and System Defect corrections. At a minimum, the following areas must be covered:

1. Help Desk Level 3 support from 7 AM to 7 PM (Eastern Time), Monday through Friday on Department business days
2. Backend support available on-call 24/7/365 to support State technical and operational needs
3. Defined escalation process for timely resolution of issues
4. Processes for System support and end user support

Implementation Plan

The DDI Contractor shall develop and deliver an Implementation Plan, which details the DDI Contractor’s approach to implementing the CCSES functionality into Production and must incorporate any lessons learned during system testing, user acceptance testing and pilot testing. At a minimum, the Deliverable must:
1. Identify all the sequenced tasks and processes, the staff responsible for each task and process, and the duration and schedule of each task/process necessary for:
   a. Initializing the new application
   b. Implementing and conducting the production pilot
   c. Post pilot rollback
   d. Post pilot Implementation rollout
   e. Post Implementation rollback

2. Establish an implementation coordination team to coordinate and review the implementation preparations and execution

3. Establish the criteria for System production pilot and implementation rollout readiness.

Implementation Artifacts and Deliverable Updates

The DDI Contractor shall develop and deliver Implementation Artifacts and Deliverable Updates, for the following Deliverables:

1. Requirements Traceability Matrix
2. User Manual
3. Operating Procedures

CCSES Production Environment

The DDI Contractor shall develop and deliver a Production CCSES Environment. The Production Environment must meet Requirements, Detailed Requirements, comply with the System Architecture Document, and System Security Plan. The Production Environment must be a fully maintainable, integrated and secure environment containing all hardware, software, network communication and data storage components necessary for ongoing operations of the CCSES System that meets Child Support Program needs. The Production Environment must allow for maintenance and enhancement of the CCSES System without disruption of any other Department computing activities. The Production Environment must be delivered to the Department, and the Department must accept this Deliverable before invoicing for Production Environment components provided by the DDI Contractor. The State plans to pilot the system to a limited population (offices) before the system is rolled into statewide production. The pilot details will be finalized with the DDI vendor during the planning phase.

### Task 15: Deliverables

<table>
<thead>
<tr>
<th>NUMBER</th>
<th>DELIVERABLE NAME</th>
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<tbody>
<tr>
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<td>Readiness Assessment</td>
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<tr>
<td>2</td>
<td>Implementation Operations Plan</td>
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<td>3</td>
<td>Implementation Plan</td>
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<td>4</td>
<td>Implemented CCSES System</td>
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<td>5</td>
<td>Implementation Artifacts and Deliverable Updates</td>
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<tr>
<td>6</td>
<td>CCSES Production Environment</td>
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</tbody>
</table>
1.3.16  TASK 16 - CERTIFICATION

OCSE has agreed to review and monitor work during the Design and Development Phases of the Project, which will facilitate their post-implementation review of the CCSES System. Connecticut will request review and monitoring, and technical assistance from OCSE as often as it deems necessary. This Task is expected to be completed primarily during Implementation.

After Implementation of the CCSES System, the Department will work with OCSE to establish agendas and timelines for certification activities necessary for OCSE to determine if the CCSES System meets federal requirements (“Certification”). The DDI Contractor shall participate in and develop documentation to support Certification activities as requested by the Department.

This task will include all DDI Contractor support activities and corrective actions necessary to substantiate CCSES System compliance with federal requirements.

The objective of this Task is for the DDI Contractor to support federal System Certification review through successful Certification. To accomplish this objective, the DDI Contractor shall develop comprehensive information that supports and facilitates OCSE review and monitoring and will participate in the review and monitoring processes as appropriate. Additionally, the DDI Contractor shall correct system deficiencies identified during the certification process and update information and documentation delivered under this Task.

The DDI Contractor shall perform the following tasks, provide the following services, and deliver the following Deliverables as part of the Certification task.

Certification Compliance Demonstration Materials

The DDI Contractor shall develop and deliver Certification Compliance Demonstration Materials, which includes all documentation necessary to verify that the CCSES System operates in conformance with the Federal Certification Guide. This Deliverable will address each federal Certification requirement, identify the System component(s) that implements/satisfies the requirement, describe how the implementation is accomplished, and present screens and reports to support the description.

Certification Review Materials

The DDI Contractor shall develop and deliver Certification Review Materials, which includes handouts, sample reports, and project documents, and the identification of child support cases to be used during the Certification demonstration.

PRWORA Distribution Test Deck Documentation

Based upon provisions in the Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (PRWORA), the federal government has set forth certain requirements related to financial management functionality in an automated Child Support Enforcement system. These requirements are documented in the OCSE Certification
Guide and related resources referenced therein. The DDI Contract shall develop and deliver PRWORA Distribution Test Deck Documentation. This Deliverable will include the PRWORA Distribution Test Deck and all related Documentation that demonstrates the System functions in accordance with federal Requirements concerning Child Support-related financial transactions.

This Deliverable must demonstrate that the System’s distribution logic conforms to the requirements of the Federal Certification Distribution Test Deck. The DDI Contractor’s obligation in this regard includes incorporating Test Deck conditions into the regression testing software so that the OCSE representatives onsite in Connecticut can verify that the System complies with the Test Deck’s distribution requirements.

Certification Compliance Corrections Results

The DDI Contractor shall develop and deliver Certification Compliance Corrections Results which document any corrections made, including both software and hardware corrections, to bring the CCSES System into full compliance with federal certification requirements and standards as set forth in the OCSE Certification Guide, and as reviewed by the OCSE representatives onsite in Connecticut. This Deliverable may be submitted in combination with the Certification Report.

Certification Report

The DDI Contractor shall develop and deliver a Certification Report which includes a narrative demonstrating the System’s full federal certification compliance. This Deliverable must at minimum:

1. Address each applicable Federal Certification Requirement
2. Identify the System component(s) that implement the requirement
3. Describe how the implementation is accomplished
4. Present screens and reports to support the descriptions
5. Include a narrative description of federal Certification Review activities and specific responses to feedback received from OCSE

Task 16: Deliverables

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<tr>
<th>NUMBER</th>
<th>DELIVERABLE NAME</th>
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<tbody>
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<td>1</td>
<td>Certification Compliance Demonstration Materials</td>
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<td>2</td>
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<td>PRWORA Distribution Test Deck Documentation</td>
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<td>4</td>
<td>Certification Compliance Corrections Results</td>
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<td>5</td>
<td>Certification Report</td>
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</tbody>
</table>
1.3.17 TASK 17 - POST-IMPLEMENTATION WARRANTY SERVICES

The DDI Contractor shall provide, at no additional cost, Post-Implementation Warranty Services for the CCSES System for a 12-month period following completion of the statewide go-live. The DDI Contractor shall warrant the System against any defects for a period of 12 months from full System Implementation (“Warranty Period”). Post-Implementation Warranty Services provided by the DDI Contractor shall include correcting any defects identified during this phase of the project. At the end of 12 months, the system should not have any known defects or the DDI Contractor should have a plan to address all remaining defects identified in the new CCSES system. This plan will be mutually agreed to by the Department and the DDI Contractor.

The DDI Contractor shall perform the following Tasks, provide the following Services, and deliver the following Deliverables as part of Post-Implementation Warranty Services:

1. Develop and deliver the Warranty Support Plan and deliver services in accordance with the approved Deliverable. This Deliverable must be in a format acceptable to the Department, and the DDI Contractor shall update the Deliverable as requested by the Department to reflect evolving services, priorities, and resources. This Deliverable will identify and describe the DDI Contractor’s strategy and approach to providing the required Warranty Support for the CCSES System. The Warranty Support Plan must address all Services described in this Task, and describe how the DDI Contractor will coordinate this Task with other Tasks leading up to Post Implementation Warranty Services.

2. Provide optional operations and maintenance, and defect corrections for the CCSES System in accordance with the service level agreement(s) (SLA) the Department will negotiate with the DDI Contractor. The SLA(s) must reflect the system support, Help Desk support, system maintenance, and defect correction. In addition, for Post-Implementation Warranty Support the DDI Contractor shall:
   a. Provide correction of defects covered under this Post-Implementation Warranty
   b. Add any required post-System Implementation corrections, as cited by OCSE representatives in the federal Certification review of the CCSES System
   c. Participate in weekly periodic meetings or as needed with the Project Management Team and other Department-designated participants for discussions regarding System performance and the status of Warranty Task activities. These status meetings will follow a preset agenda developed by the EPMO, and the EPMO will be responsible for producing minutes of these meetings as part of its weekly written reporting. These status meetings are expected to address:
      i. System performance review, including identification of required hardware, software, and data corrections and modifications
      ii. Program staff feedback through the Project Management Team on the System and Help Desk services
      iii. Weekly and monthly reports submitted by the DDI Contractor
      iv. IV&V and Quality Assurance Contractors’ reports
      v. Tests of all defect corrections
vi. Performance metrics, including performance of data exchange interfaces and end-user response time
vii. Content of the online user and technical materials, including updates to the materials

3. Develop and deliver Weekly Warranty Reports submitted to the Department, QA and IV&V Contractors as necessary to support their respective evaluation and reporting requirements, in a format acceptable to the Department

4. Develop and deliver Monthly Warranty Reports, due on or before the tenth (10th) Business Day of each month, in a format acceptable to the Department, as a basic tool for reporting to federal officials and other State officials on funding issues and program matters related to the Project schedule, scope, and budget

5. Develop a Warranty Completion Report.

### Task 17: Deliverables

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<tr>
<th>NUMBER</th>
<th>DELIVERABLE NAME</th>
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<tbody>
<tr>
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<td>Warranty Support Plan</td>
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<td>2</td>
<td>Weekly Warranty Reports</td>
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<tr>
<td>3</td>
<td>Monthly Warranty Reports</td>
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<tr>
<td>4</td>
<td>Warranty Completion Report</td>
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</table>

1.3.18 **TASK 18 - OPERATIONS AND MAINTENANCE (OPTIONAL)**

This task will be optional, and the State reserves the right to either take over Operations and Maintenance responsibilities or ask the DDI Vendor to provide this task. This Task describes the DDI Contractor’s operational support responsibilities and performance expectations that fall within Operations and Maintenance. The DDI Contractor shall also continue to deliver services under the user training, technical training and knowledge transfer, and enhancements tasks during the operations and maintenance phase. System changes will continue to be prioritized by the Change Control Board (CCB).

The objective of this Task is to ensure that the DDI Contractor provides the proper level of operations and maintenance service, including meeting the performance standards identified in the Contract and in applicable service level agreements. This Task includes ensuring that an appropriate level of DDI Contractor staff resources is identified to reliably operate, maintain, and update the CCSES System.

The DDI Contractor shall provide, at a minimum, the following Services and deliver the following Deliverables as part of Operations and Maintenance:

1. Provide CCSES System Operations and Maintenance following the Post Implementation Warranty Services Task
2. Provide maintenance and support services in accordance with one or more service level agreement(s) (SLA) the Department will negotiate with the DDI Contractor as part of the Contract or part of a Deliverable; SLA(s) to address the elements described in this Task, and include commitments for each service level, capabilities for tracking and reporting performance, and other information necessary for determining performance of the CCSES System

3. Maintain appropriate onsite support for the duration of this Task. Department anticipates that the DDI Contractor shall provide the following Staff:
   a. Project Manager
   b. Business Analyst
   c. Software Development Lead
   d. Testing Lead
   e. Environment Support Lead
   f. Quality Assurance Lead
   g. System Architect

4. Maintain a "core" of professional programming staff, and other technical, managerial, and administrative personnel to support system activities (such as workflow analysis, system testing, documentation updates, administrative support) with comprehensive experience on the DDI Contractor’s programming team in that each team member will lend extensive knowledge in a certain subsystem or CCSES function. All subsystems and all system functions must be covered by one (1) programming team member with extensive knowledge and experience in that area. Team members should be sufficiently cross-trained to support temporary changes in priorities and/or responsibilities

5. Deliver Tier 3 Help Desk Services.

6. Meet the following minimum Technical Services Requirements:
   a. Maintenance performed regularly and routinely on the hardware and software associated with the CCSES System with maintenance notifications distributed via email no less than 7 calendar days prior to scheduled maintenance and as soon as reasonably possible for emergency maintenance
   b. Response Time to connect with the CCSES System should support optimal User-Computer Interaction (UCI) experience as outlined in the Service Level Agreement
   c. Excluded Down-Time, the number of minutes of any planned or scheduled down-time, outside of any standard maintenance window as outlined in the Service Level Agreement, will require that the Department receive no less than 24 hours advance notice of any planned or scheduled down-time required outside the standard maintenance window, and immediate notice of any emergency down-time; clustered servers are to be measured together as a single unit for calculating down-time measurements

Operations Plan
The DDI Contractor shall develop and deliver an Operations Plan at the outset of this Task and thereafter annually and deliver Services under this Task in accordance with the Department-accepted Deliverable. This Deliverable will identify and describe the DDI Contractor’s strategy and approach to providing the required Operations and Maintenance Support for the CCSES System. This Deliverable must be in a format acceptable to the Department, and the DDI Contractor shall update the Deliverable as requested by the Department to reflect evolving services, priorities, and resources. This Deliverable must describe how the DDI Contractor will coordinate this Task with other Tasks leading up to the Operations and Maintenance Task, and address all Services described in this Task to a level of detail sufficient to fully describe the following:

1. Specify the processes and procedures needed for day-to-day System operations
2. Establish batch job standards and online technical support standards
3. Identify the tasks necessary to establish the technical support team for equipment and data communications problem solving
4. Identify the tasks necessary to establish the customer support staff needed to triage application problems, manage data correction issues, and prioritize those issues needing immediate attention
5. Address any dual system operation issues including without limitation the nightly conversion of cases and the combination of financial reports
6. Address Customer Support procedures
7. Address Technical Support Procedures
8. Include a Help Desk Management Plan
9. Identify the processes through which the DDI Contractor will deliver System Documentation Updates, including the methodology for updating and reviewing Documentation, the schedule upon which Documentation will be updated, tool(s) used, and staffing allocated for storing and updating Documentation, and how the DDI Contractor will ensure compliance with the Project’s version control protocols
10. Provide a Security Management Plan with a comprehensive overview of the approach to system and data security (specifying the standards and methodology for securing access to the System, the Software, and the Data)
11. Establish the standards for the security components of Services, including:
   a. Processes and procedures for DDI Contractor compliance with IRS Pub 1075
   b. Processes and procedures for DDI Contractor compliance with automated clearing house (ACH) Data requirements
   c. Data filters, if any, for screens used by different classifications of users
   d. Processes and procedures for how the DDI Contractor will comply and maintain compliance with all other security Requirements with which the System must comply

Monthly Status Reports

During the Operations and Maintenance Task, the DDI Contractor shall develop and deliver a Monthly Status Report. Monthly Status Reports are due on or before the tenth (10th) working day of each month. These Status Reports will provide information on the status of operational activities during the previous month and plan the operations and maintenance work for the upcoming month. The reports will identify the tasks, staff
assignments, and schedule of work; describe the status of the work underway; and document the Services provided and work completed in the prior month. The reports will identify any unusual circumstances that the DDI Contractor encountered during system operations.

This status report must include at minimum:

1. Report on Contractual service level agreements and performance metrics
2. Operational activities
3. Help Desk Reports
4. Tasks, staff assignments, and schedule of work for the upcoming month
5. Status of the work underway
6. Tasks completed in the prior month
7. Any unusual circumstances that the DDI Contractor had to deal with during system operations

Operations Documentation

The DDI Contractor shall develop and deliver a fully updated and current version of Operations Documentation at the outset of this Task and thereafter at minimum annually. This Deliverable must be in a format acceptable by the Department. Operations Documentation must be of a quality and level of detail that demonstrates how to perform System maintenance, normal system operations, problem resolution, and enhancements. This Deliverable includes all the Operations related documentation, including:

1. User documentation (e.g., online, reference cards, policy manual, quick reference guides) and procedures for:
   a. Restart and Recovery Procedures
   b. Software Change, Patching and Hot Fixes Procedures
   c. Impact Analysis Procedures
   d. Correction Procedures
   e. Configuration Procedures
   f. Ad Hoc Reporting Procedures
   g. Performance Monitoring Procedures
2. Updated data dictionary, data models, Requirements Traceability Matrix, System Architecture and Design Deliverables, ALM system, Training Materials, and Workflow Processes
3. System changes made under any Task performed during the DDI Phase

System Documentation Updates

The DDI Contractor shall develop and deliver System Documentation Updates. This Deliverable will provide updated System Documentation during the Operations and Maintenance Task. At a minimum, the Deliverable must include:

Updated:
   a. Detailed Requirements Document
   b. System Architecture and Design
   c. Test Plans
d. Testing Results  
e. User Manual  
f. Operating Procedures  
g. ALM toolset  
h. Training Materials

It is anticipated that the deliverables will be updated regularly in the ALM tool, so it always has the latest updated documentation.

**Task 18: Deliverables**

<table>
<thead>
<tr>
<th>NUMBER</th>
<th>DELIVERABLE NAME</th>
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<tbody>
<tr>
<td>1</td>
<td>Operations Plan</td>
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<td>2</td>
<td>Monthly Status Reports</td>
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<td>3</td>
<td>Operations Documentation</td>
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<tr>
<td>4</td>
<td>System Documentation Updates</td>
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</table>
### Summary of Deliverables

The following table summarizes the key deliverables for the project. The DDI contractor shall develop and finalize the Project Schedule and identify all the tasks, deliverables and any working documents that are submitted for review and approval. In the following table, the deliverables that are expected to be updated during the project after the initial submission (living documents) are also identified.

<table>
<thead>
<tr>
<th>Task #</th>
<th>Task</th>
<th>DELIVERABLE NAME</th>
<th>Frequency</th>
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<tbody>
<tr>
<td>Task 1</td>
<td>Project Initiation and Kickoff Meeting</td>
<td>Project Kickoff Meeting</td>
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<td>Initial Project Management Plan and Project Schedule</td>
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<td>Task 2</td>
<td>Setup ALM Tools</td>
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<td>Setup Application Life Cycle Management Tools</td>
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<td>Task 3</td>
<td>Project Management and Methodology</td>
<td>Project Management Plan and Project Schedule</td>
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<td>Communications Management Plan</td>
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<td>Weekly Status Reports and Meetings</td>
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<td>Systems Development Life Cycle (SDLC) Methodology</td>
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<td>Quality Management</td>
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<td>Task 5</td>
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<td>Task 6</td>
<td>Assessments and Specifications</td>
<td>Capacity Analysis Plan</td>
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<td>Business Continuity and Disaster Recovery Plan</td>
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<td>System Security Plan</td>
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<td>Security Vulnerability Assessment</td>
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<td>Remediation of security vulnerability</td>
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<td>Task 7</td>
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<td>Requirements Refinement Strategy</td>
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<td>Detailed Requirements and Requirements Specifications</td>
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<td>Requirements Traceability Matrix</td>
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<td>Data Conversion and Migration Test Results Reports</td>
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<td>System Test Documentation and Results Reports</td>
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<td>User Acceptance Test Results Report</td>
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<td>PRWORA Distribution Test Deck Documentation</td>
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<td>Certification Compliance Corrections Results</td>
<td>Based on Plan</td>
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<td>Based on Plan</td>
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<td>Task 17</td>
<td>Post-Implementation Warranty Services</td>
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<td>Weekly Warranty Reports</td>
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<td>Monthly Warranty Reports</td>
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<td></td>
<td>Operations Documentation</td>
<td>Once, Updated as needed</td>
</tr>
<tr>
<td></td>
<td></td>
<td>System Documentation Updates</td>
<td>Updated as needed (at least annually)</td>
</tr>
</tbody>
</table>

A high level project schedule including the timeline of submission of key deliverables on the project is provided in Appendix J of this RFP. The included timeline in Appendix J should be treated as a guide by the DDI proposers. The project schedule shown does not purport or recommend a certain methodology (Waterfall, Agile, etc.) but shows the relative timescale of various tasks and deliverables at a high level. The DDI Proposers should prepare their project schedule based on their proposed methodology and approach.
1.5 Key Staff

The DDI Contractor shall specify the minimum qualifications/expertise of the key staff that shall be assigned to conduct this project.

The following table summarizes the Key staff (Core team) from the DDI Contractor:

<table>
<thead>
<tr>
<th>Key Role</th>
<th>Minimum Qualifications</th>
<th>Required Onsite</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contract Manager</td>
<td>Experienced in managing large public-sector contracts</td>
<td>Partial</td>
</tr>
<tr>
<td>Project Manager</td>
<td>PMP, 15+ years of experience in delivering complex public-sector projects leading large teams of analysts, designers, and developers.</td>
<td>Full time</td>
</tr>
<tr>
<td>Application Architect</td>
<td>15+ years in developing complex public-sector solutions</td>
<td>Full time</td>
</tr>
<tr>
<td>Technical Architect</td>
<td>15+ years in designing and implementing complex public-sector and/or other large enterprise solutions</td>
<td>Full time</td>
</tr>
<tr>
<td>Business Lead</td>
<td>15+ years’ experience in designing and implementing Child Support systems</td>
<td>Full time</td>
</tr>
<tr>
<td>Test Manager</td>
<td>15+ years in developing and delivering training</td>
<td>Full time</td>
</tr>
<tr>
<td>Data Conversion Lead</td>
<td>10+ years in data conversion for large public-sector modernization programs</td>
<td>Full time</td>
</tr>
<tr>
<td>Security Analyst/Chief Security Officer</td>
<td>5+ years’ experience in designing and implementing security features and procedures</td>
<td>Full time</td>
</tr>
<tr>
<td>Training Manager</td>
<td>5+ years’ experience in training on complex public-sector projects</td>
<td>Full time</td>
</tr>
</tbody>
</table>

To demonstrate the depth of experience to be provided by DDI Contractor staff, the proposer shall provide resumes for each of the key roles. The proposer should indicate which position(s), if any, are to be filled with sub-contractors. When the proposer intends to use sub-contractors, the proposer should provide a signed statement by the contracted individual affirming that there is an intent to contract for this engagement and identify if the contracted individual has previously contracted with the DDI Contractor to perform similar services. The DDI contractor may add more roles to the Key Staff table and provide their resumes.

1.6 Project Timeline

The Proposer shall submit a project schedule based on the Deliverables outlined in this RFP. It is anticipated that the project timeline (as shown in Appendix J) from inception to the end of implementation of the CCSES Replacement project is estimated by the Department to take approximately 40 months. The Proposer shall submit within their proposal a project schedule that is appropriate for the implementation of their solution, using their proposed methodology. The project schedule must be designed to meet the requirements of the State of Connecticut and must be appropriate for the complexity of the project.

The DDI Proposer will warrant the system for twelve (12) months, after implementation. The Proposer should also price out an optional two (2) years of post-implementation support.
The Proposer’s response submission must set forth in detail the project timeline schedule for completing all tasks and subtasks required by the scope of work. The schedule will need to be submitted in Microsoft Project and must show the projected time frame for the project tasks.

1.7 References

Proposers shall provide a minimum of three (3) successful large public-sector project references and that all engagements should have occurred within the last five (5) years. It is desirable but not mandatory that at least one (1) references be from a Child Support agency.

1.8 Other Applicable Value-Added Services

Proposer should provide detailed information on other applicable reference material or samples that they would like to be considered within their proposal submission (examples: templates, samples of deliverables, etc.

2 ADDITIONAL TERMS AND CONDITIONS:

(a) Contract Separately/Additional Savings Opportunities

DAS reserves the right to either seek additional discounts from the Contractor or to contract separately for a single purchase, if in the judgment of DAS, the quantity required is sufficiently large, to enable the State to realize a cost savings, over and above the prices set forth in Exhibit B, whether or not such a savings actually occurs.

(b) Security and/or Property Entrance Policies and Procedures

Contractor shall adhere to established security and/or property entrance policies and procedures for each requesting Client Agency. It is the responsibility of each Contractor to understand and adhere to those policies and procedures prior to any attempt to enter any Client Agency premises for the purpose of carrying out the scope of work described in this Contract.
**Proposal Requirements**

1. **Contract Period**

   The State intends that this contract shall be in effect for a period of six (6) years. DAS, in its sole discretion, may extend this Contract for additional terms beyond the original term, prior to Termination or expiration, one or more times for a combined total period not to exceed the complete length of the original term.

2. **Stability of Proposed Prices**

   Any price offerings from proposers must be valid for a period of 240 days from the due date of the proposals.

3. **Amendment or Cancellation of the RFP**

   DAS reserves the right to cancel, amend, modify or otherwise change this RFP at any time if it deems it to be in the best interest of the State to do so.

4. **Proposal Modifications**

   No additions or changes to any proposal will be allowed after the proposal due date, unless such modification is specifically requested by DAS. DAS, at its option, may seek proposer retraction and/or clarification of any discrepancy or contradiction found during its review of proposals.

5. **Proposer Presentation of Supporting Evidence**

   Proposers must be prepared to provide any evidence of experience, performance, ability, and/or financial surety that DAS deems to be necessary or appropriate to fully establish the performance capabilities represented in their proposals.

6. **Proposer Demonstration of Proposed Services and or Products**

   At the discretion of DAS, proposers must be able to confirm their ability to provide all proposed services. Any required confirmation must be provided at a site approved by DAS and without cost to the State.

7. **Erroneous Awards**

   DAS reserves the right to correct inaccurate awards.

8. **Proposal Expenses**

   Proposers are responsible for all costs and expenses incurred in the preparation of proposals and for any subsequent work on the proposal that is required by DAS.

9. **Ownership of Proposals**

   All proposals shall become the sole property of the State and will not be returned.
10. Ownership of Subsequent Products

Any product, whether acceptable or unacceptable, developed under a contract awarded as a result of this RFP shall be the sole property of the State unless otherwise stated in the contract.

Pursuant to Federal regulations at 45 CFR 95.617, the Federal Department of Health and Human Services, Administration for Children and Families, “reserves a royalty-free, non-exclusive, and irrevocable license to reproduce, publish, or otherwise use and to authorize others to use for Federal Government purposes, such software, modifications, and documentation.

11. Oral Agreement or Arrangements

Any alleged oral agreements or arrangements made by proposers with any State agency or employee will be disregarded in any State proposal evaluation or associated award.
Selection Criteria

A selection committee will review and score all proposals. The following information, in addition to the requirements, terms and conditions identified throughout this RFP Document, will be considered as part of the Selection process and are listed in order of relative importance.

1. **Functional Solution:**
   (a) Ability of the proposed Solution to meet the CCSES functional requirements and the State’s vision of a modern solution
   (b) Ability to meet the requirements in the Requirements Matrix (Appendix A)

2. **Technical Architecture:**
   (a) A Conceptual Architecture of the Solution that meets the State’s vision of a modern CCSES solution
   (b) Ability of the Proposer’s solution to meet the System requirements given in the RFP
   (c) Ability to provide a Technical Architecture and Bill of Materials for all the environments required to support this project. Solution may be a cloud-based Solution, on-premise solution or a hybrid solution. Proposer to show how the proposed solution is the best option to meet the State’s vision and is the most cost efficient considering the total cost of ownership over a 10 year period.

3. **Value:**
   (a) Form RFP-16 Exhibit B – Product & Pricing Schedule

4. **Project Management:**
   (a) Approach and ability to manage the project and meet the Project Management Tasks and Deliverables as defined in the RFP
   (b) Ability to provide a comprehensive project schedule that shows the approach and timeline to meet all the Project Tasks and Deliverables as defined in the RFP
   (c) Approach for identifying and mitigating project risk factors. List of risks identified should be relevant, based on proposer’s lessons learned on other similar projects and should show the proposer’s experience in implementing similar systems.

5. **Business Information:**
   (a) Provide brief Business Information including information to experience in managing similar, large, complex projects
   (b) Provide past two (2) years financial information
   (c) References

6. **Project Organization and Staffing**
   (a) Project Organization
   (b) Ability to provide appropriate project Staffing and Personnel. Level of State Staffing Requirement.

DAS may award by individual item, group of items, or the entirety of all items. DAS may also reject any and all RFPs in whole or in part, and waive minor irregularities and omissions if the best interest of the state will be served.
Submittal Requirements

1. Functional Solution:
   (a) Proposer to describe how the proposed solution will meet the business requirements for each of the CCSES sub-functions outlined in Section 1.1 of the RFP Document.
   (b) Proposer to provide a response to “Appendix A” Requirements Matrix. Please follow the instructions provided in the Appendix to respond to the Requirements Matrix.

2. Technical Architecture:
   (a) Proposer to describe the Conceptual Technical Architecture of the new CCSES System within their proposal in response to Section 1.2.1 of the RFP.
   (b) Proposer to describe within their proposal how their technical solution will meet the System Requirements outlined in Section 1.2.2 of the RFP.
   (c) Proposer to describe in detail the technical architecture for each of the proposed CCSES Environments including their proposed Bill of Materials (Hardware and Software licenses) and any assumptions made:
       • Development,
       • Integration/System Test,
       • Conversion,
       • User Acceptance Test and Certification,
       • Training,
       • Production and
       • Disaster Recovery

   Proposers may use the above list of environments as a guide and recommend the environments based on their experience, proposed architecture for this system and the best possible way to design, develop and implement this system. Proposers are open to providing a cloud-based, on-premise or a hybrid solution. Proposers to specify within their proposal their best option for the project that will reduce the Total Cost of Ownership for the State over a 10-year period.

3. Value:
   (a) Form RFP-16 Exhibit B Product & Price Schedule proposal submission

4. Project Management:
   (a) Proposer to provide information regarding their approach to meeting the requirements described in Section 1.3 Project Tasks and Deliverables. Proposer should describe their approach to meeting the requirements for each Task/Deliverable in this RFP.
(b) Proposer shall submit a preliminary project plan within their proposal submission. The project plan should include all the Tasks, Deliverables and Milestones described in Section 1.3 Project Tasks and Deliverables of this RFP.

(c) Proposer to describe within their proposal how risks will be identified and addressed during the project. Proposers should also identify key project risks and their mitigation strategy, based on their experience on similar projects.

5. Business Information:

(a) Provide company history, length of time in business and qualifications describing how the Proposer is capable of providing the required services within the RFP. Proposer to describe their contract management experience in implementing complex, large modernization projects, similar in scope to the CCSES project, and their track record for delivering these projects on time and within budget.

(b) Past 2 years financial statements which provides sufficient financial information to demonstrate that the Proposer submitting the proposal is financially stable and capable of delivering the project on time and within budget and the Proposer doesn’t have any history of claims made against it.

Should proposers wish this information to be considered confidential, proposers should mark this information as “Confidential”. Any “Confidential” information will not be made available to the public and will only be reviewed by the evaluation committee.

(c) Proposer to provide a minimum of three (3) successful large public-sector references that have occurred within the last five (5) years. It is desirable that one (1) reference be from a Child Support Agency. Please provide the information in the prescribed form for each reference.

Should proposers wish this information to be considered confidential, this information should be placed in a sealed envelope marked “Confidential”, this information will not be made available to the public and will only be reviewed by the evaluation committee.

6. Project Organization and Staffing

(a) Proposer to provide a Project Organization outlining key roles and responsibilities of project staff.

(b) Proposer to demonstrate experience of key project staff and provide licenses, professional designations, certifications and resumes of all key staff proposed for the project. Proposer should also designate any staff that is a subcontractor. Based on past project experience, the Proposer should provide information on the appropriate State staffing levels needed for all key phases of the project.
Attachment 1 - Sample Contract

This RFP is not a contract and, alone, shall not be interpreted as such. Rather, this RFP only serves as the instrument through which proposals are solicited. The State will pursue negotiations with the proposer whose proposal scores highest. If, for whatever reason, DAS and the initial proposer fail to reach consensus on the issues relative to a contract, then DAS may commence contract negotiations with other proposers. DAS may decide at any time to suspend the current RFP process and start the RFP process again.

Attachment 1 to this RFP is a draft contract and it is included in this RFP for informational purposes only in order to show some contract provisions that the State of Connecticut requires. It is not intended to, and will not, be the specific contract that the State and the successful Contractor(s) will sign. After DAS selects a Contractor, DAS will deliver a draft contract to the Contractor for consideration and negotiation. The contract that DAS and the successful Contractor will sign may vary from Attachment 1. The contract may include a liquidated damages clause at the discretion of the State.
CCSES Procurement Document Library List

The following appendices to the RFP have been placed in the bidder’s library:

Appendix A – Requirements Matrix
Appendix B – List of Current Legacy Reports
Appendix C – IRS Publication 1075
Appendix D - List of Current Interfaces
Appendix F – CT DSS Technology Catalog
Appendix G – CT DSS Enterprise Architecture Principles
Appendix H – NIST Risk Management Framework link
Appendix I – Feasibility Study Report
Appendix J – High Level Timeline and Deliverables

Here is the bidder’s library link to access/download all appendices for this RFP: