

# Request for Proposal #20PSX0036

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## HEALTH AND HUMAN SERVICES (HHS) ENTERPRISE OPERATING MODEL (EOM) MAINTENANCE AND SUPPORT SERVICES

Contract Specialist: **Susanne Hawkins**

Date Issued: **March 20, 2020**

Due Date: **June 15, 2020 at 2:00 PM (Eastern Time)**

**Department of Administrative Services  
Procurement Division**



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# Request for Proposals (RFP)

## HEALTH AND HUMAN SERVICES (HHS) ENTERPRISE OPERATING MODEL (EOM) MAINTENANCE AND SUPPORT SERVICES

### 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>

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:**  
<https://portal.ct.gov/-/media/DAS/DAS-Procurement-Services/Contracting/Upload-Instructions.pdf?la=en>

(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: <http://www.ct.gov/opm/cwp/view.asp?a=2982&q=386038>

(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: [http://www.ct.gov/opm/cwp/view.asp?a=2982&q=390928&opmNav\\_GID=1806](http://www.ct.gov/opm/cwp/view.asp?a=2982&q=390928&opmNav_GID=1806)

**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 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:

- Standard Terms and Conditions (RFP-19)
- Request for Proposal Document (RFP-22)
- Request for Proposal IT Contract (RFP-50IT)
- Contract Exhibit A – Deliverables Document
- Contract 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%20instructions)

***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 Department of Social Services, known as the “Department” or “DSS”, delivers and funds a wide range of programs and services as Connecticut’s multi-faceted health and human services agency. The Department serves about 1 million residents of all ages in all 169 cities and towns, supporting the basic needs of children, families, older and other adults, including persons with disabilities. With service partners, the agency provides federal/state food and financial aid, health care coverage, independent living and home care services, social work services, child support services, home heating aid, protective services for older adults and additional vital assistance. The Department has approximately 1,700 dedicated staff lead by Commissioner Deidre Gifford, with services delivered through 12 field offices, central administration and online and phone access options.

The State of Connecticut is in the process of transitioning to a more comprehensive human services operating model to facilitate improved services to clients. To assist the State with this objective, a realignment of the identified post-Design Development Implementation (DDI) technology based project activities in the Human Services domain into the States’ existing Enterprise Operating Model (EOM).

The State of Connecticut Department of Administrative Services (“DAS”) is issuing this Request for Proposal to solicit proposals for Health and Human Services (HHS) Enterprise Operating Model (EOM) Services & Support for the Department of Social Services and the Connecticut Health Insurance Exchange dba Access Health CT (“AHCT”) as directed by their designated representatives.

## Scope of Services

It is anticipated that the resulting contract award will be provided by a Contractor that shall provide a variety of Health and Human Services (HHS) Enterprise Operating Model (EOM) Maintenance and Support Services to deliver services for the HHS Systems to include ConneCT, AHCT HIX, ImpaCT (includes sub-Systems as well e.g. Premium Module, Child Care etc.) and BIP. Design Development Implementation (DDI) services will consist of defect fixes and data corrections related to defects that will be detailed in the SOW. This should also include any enhancements/fixes made to existing functionality within the in-scope applications. In the event of new modules/technology changes the State and contractor may amend the existing contract to include the new modules.

In some cases, projects may span extensive timeframes and may include a collection of several projects that require collaboration and partnership with other State, local and federal agencies, and State contracted suppliers. Projects funded in whole or in part by federal funds may require adherence to applicable federal regulations or other federal guidance and will be identified in a Statement of Work.

Services required will be detailed and defined in the Statement of Work and should include at a minimum:

1. Operations Requirements:
  - 1.1 System Availability Management Requirements
  - 1.2 Batch Management Requirements
  - 1.3 Incident Management Requirements
  - 1.4 Coordinate IT and Business Incident Resolution Requirements
2. Maintenance Requirements:

- 2.1 Deployment and Configuration Management Requirements
- 2.2 Application Maintenance Requirements
- 2.3 Technical (Infrastructure Maintenance) Requirements
- 2.4 Disaster Recovery and Support Requirements
- 2.5 Performance Management Requirements
- 2.6 Security Requirements

3. Severity Levels and Other Definitions Requirements:

3.1 Severity Level Definitions and Examples

- 1. Severity 1 – Critical
- 2. Severity 2 – Major/High
- 3. Severity 3 – Medium/Average
- 4. Severity 4 - Low

3.2 Other Definitions and Examples

4. Maintenance of Environments Requirements:

- 4.1 AHCT Support Environments
- 4.2 ImpaCT Support Environments
- 4.3 BIP Support Environments
- 4.4 ConneCT Support Environments

5. Project Work Products Requirements:

- 1. Project Management
- 2. Monitor System Availability
- 3. Maintain System
- 4. Monitor and Execute Batch
- 5. Capacity Planning

6. Staffing Requirements

7. Transition Support Requirements (On-boarding and off-boarding)

- 1. Transaction Planning and Execution of Services
- 2. Transition Plan
- 3. Transition Execution Plan
- 4. Transition Plan Summary

This contract replaces the following contract award(s) in part or in total: #09ITZ0042MA

## Instructions to Proposers

### 1. Proposal Schedule

RELEASE OF RFP:	Date:	<b>Friday, March 20, 2020</b>
RECEIPT OF QUESTIONS:	Date:	<b>Monday, April 20 2020</b>
ANSWERS TO QUESTIONS POSTED AS ADDENDUM:	Date:	<b>Wednesday, May 6, 2020</b>
RFP DUE DATE:	Date:	<b>Monday, June 15, 2020 at 2:00 pm Eastern Time</b>

### 2. Pre-Proposal Meeting Requirements

This RFP contains no 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](mailto: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](mailto: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.



### 1. Operations Requirements:

#### 1.1 Systems Availability Management Requirements:

1.1.1 Monitor and provide on call support for all environments including Production, Staging, UAT, System Test, Training and Development environments, and any other environments that may be commissioned in the future.

The availability of the HHS Enterprise Applications System is primarily monitored via software tools and custom monitoring scripts to confirm the availability of the application and its infrastructure components. In addition, the applications are also monitored through manual health checks, monitoring tools like New Relic and Splunk, and reviews of alerts and logs.

The System monitoring requirements include, but are not limited to the following activities:

##### 1. Application Monitoring

- a. Monitoring of the HHS Enterprise Applications at a component level.
- b. Monitor low performing queries and System tasks, provide data to support corrective actions, and make System modifications if required.
- c. Analyze gathered data on the low performing queries, System tasks, and recommend corrective actions. These changes will be documented and shared with the State and implemented after necessary State approval.
- d. Monitor, analyze, and take corrective actions for severity 1-4 issues as stated in Section 3 – Severity Levels and Other Definitions of this RFP Document. Communicate to the appropriate Department business and IT staff within the timeframes defined in the incidents outlined in Attachment 5 – Service Level Metrics and Measures.

##### 2. Infrastructure Monitoring

- a. Monitor System resource usage: Troubleshooting abnormalities reported by the State for higher environments as listed in Section 4 – Maintenance of Environments requirements of this RFP Document. System resource usage monitoring includes:
  - i. CPU utilization
  - ii. Java virtual machine performance
  - iii. Memory utilization
  - iv. Disk space utilization on servers
  - v. Server response times, related to higher environment server utilization, and other aspects of the infrastructure that host the applications.
  - vi. Monitor System resource usage in lower environments listed in Section 4 – Maintenance of Environments requirements of this RFP Document.

##### 3. Communication

- a. Escalate and communicate with the appropriate State parties when abnormalities are identified as part of the monitoring processes.

- b. Produce weekly and monthly System resource utilization reports.
  - c. Provide weekly and monthly System resource utilization reports for CPU, memory, hung threads, space, and locks.
4. Performance Management
- a. Managing the performance standards of the application components, and conducting infrastructure performance tuning activities that need to be undertaken based on performance analysis conducted and performance issues identified.
  - b. Proactively look for opportunities to improve processes, streamline tasks to achieve automation, and make recommendations for implementations.

Proposers should reference Attachment 2, Section 5.1 in the HHS Enterprise Systems Operations and Maintenance Manual for additional details on existing monitoring tools, status reports, communications protocols, and performance metrics.

## **1.2 Batch Management Requirements:**

1.2.1 Batch execution is done via an automated scheduler. Changes to this scheduler requires coordination with State entities. Extenuating circumstances may require manual batch executions.

1. The HHS Enterprise Applications System is supported by daily, weekly, monthly, quarterly, yearly, and on-demand batch jobs executed based on defined schedule(s). The HHS Enterprise batches are planned and scheduled using the following key components:
  - a. Calendar – is a planning document jointly created with the inputs of Subject Matter Expert (SME), Operations, and the System Integrator (SI) teams. The calendar identifies the group of batches planned for a particular day of the week. This is the primary input in creating the batch schedule.
  - b. Schedule – is the executable configuration of the detailed batches, defined within the CA ESP scheduler. This reflects the planning calendar for batch execution.
2. Batch Management activities will include the following activities:
  - a. Inventory - Maintain an up-to-date batch schedule for all environments (including test environments).
  - b. Monitoring - Batch Execution/Monitoring through the scheduler.
  - c. Manual - In the event of failures and based on the severity of the failure, the process (including escalations) outlined in Attachment 2, the HHS Enterprise Systems Operations and Maintenance Manual Section 5.2.4 will be followed. State's Batch Operators will be doing the initial analysis and reaching out to the Contractor and State on call support for resolution.
  - d. Batch Validation and Data Correction - A log must be kept showing the activities that were performed for each batch cycle. Details of any exceptions must be documented and the Incident Management steps (HHS Maintenance and Operations manual) must be followed for all incidents.

- e. Reporting - Provide a daily status report for the outcome of the execution of scheduled batch jobs. Provide a daily status report of all data correction scripts executed in production and coordinate State approval of data correction scripts.
  - f. Modifications – In the event a trading partner is changed, appropriate support will be provided to generate test files and generate production files for new trading partner.
3. Emergency Procedures:
- a. Proactively identify issues related to performance as well as common errors/failures that need manual intervention.
  - b. Reinitiate failed batch jobs, monitor and validate successful completion.
  - c. Plan and execute corrective actions to mitigate the impact of the failure.
  - d. Triage batch failures and conduct root cause analysis (including enabling logging and troubleshooting in State designated environments, as needed).
  - e. Analyze long running jobs, batch failures and missing files
  - f. Make batch code changes to improve resilience, optimize performance or remediate issues, including testing in lower environment
  - g. Coordinate data fixes for batch failures (clean-up if required)

Proposers should reference Attachment 2, Incident Management Section of the HHS Enterprise Systems Operations and Maintenance Manual for additional details on the Emergency Procedures.

### 1.3 Incident Management Requirements:

1.3.1 There are three levels required to support the operations of Incident Management and Resolution.

1. Help Desk Level 1 (HD1) are the first responders. This group answers the phone, verifies the issue(s), performs first level health checks, resolves minor issues such as password resets, and escalate complex issues to appropriate teams for efficient triage and resolution. This will be State's responsibility.
2. Help Desk Level 2 (HD2) supports a higher level of triage for the incident(s). ***This will be the EOM vendors responsibility.*** This group will:
  - a. Evaluates the symptoms documented in the Incident ticket and other communications with HD1 teams,
  - b. Leads the effort to return the application functionality as soon as possible,
  - c. Leads the effort to find the root cause of the incident, escalates to level 3 support if required, and creates new tickets for any follow up resolutions when necessary (reference Attachment 2, Section 5.3.4 in HHS Enterprise Systems Operations and Maintenance Manual).
  - d. Provide detailed reports for issues impacting a large number of applications. Updates will be provided for Severity 2 incidents in accordance with the Service Level listed in Exhibit C of this document.
  - e. Provide application ad hoc reports; e.g. Center for Medicare & Medicaid Services (CMS) and Federal Data Services Hub (FDSH) failure reports, EMS failure request reports, 90 day backlog reports, renewal reports, and other reports as required.

- f. Data Corrections
    - i. Correct the data via scripts when it prevents continuation of functionality of the applications.
    - ii. Correct and retransmit trading partner data where wrong data was sent via an interface.
    - iii. Update the System with new reference data values and conduct data repository refreshes when needed.
  - g. Address critical application issues with full lifecycle of design, development, testing and deployment
    - i. Replicate critical issues in lower environment by adding extra logging.
    - ii. Conduct meetings to develop and share the approach for operational and technical fixes for issues impacting Business Operations
    - iii. Develop, unit test, and System test the provided solution.
    - iv. Assist State test teams in UAT and staging testing before production implementation.
    - v. Share the deployment plan and follow-up with the stakeholders to get the required approval for corrective actions
    - vi. Conduct Go/No-Go meeting, inform stakeholders about the deployment, and share release notes.
    - vii. Validate the changes in the production environment.
3. Help Desk Level 3 (HD3) supports a very specific high level of triage for the incident(s). This group evaluates the symptoms and their relationship with the configuration of the particular supported hardware or software. Working with all the other associated support teams, this team assists in the effort to return the application functionality as soon as possible and to find the root cause of the incident. There are other teams in this level of support, as they represent the expertise and support of all the components of the HHS Enterprise Applications System, and may require software or hardware product support, or other contractors, to assist with the triage and resolution (reference Attachment 2, Section 5.3.5 in HHS Enterprise Systems Operations and Maintenance Manual). The EOM vendor will be responsible for coordinating HD3 issues with product vendors, state staff, and other appropriate parties to determine the root cause, and resolve the issue.

Proposers should reference Attachment 2, the Operations and Maintenance for HHS Enterprise Applications requires the support teams to coordinate and reference ticket numbers of the associated Systems when multiple tracking Systems are getting utilized for the same issues. The HHS Enterprise Systems Operations and Maintenance Manual (reference Section 5.3.2), will reference the creation, update, status changes, and closure of tracking tickets. This applies to all tracking Systems utilized for each issue.

#### **1.4 Coordinate IT and Business Incident Resolution Requirements:**

- 1.4.1 Provide communication internally and externally regarding events in production environments. This includes, but is not limited to:
  - Communicate via email, incident tracking System, and conference calls.

- 1.4.2 Post resolution follow-ups. This includes, but is not limited to:
- Schedule and prepare content for weekly status/issue resolution meeting with State leadership.
  - Follow up and communicate on issue resolutions.
  - Prepare, manage, report on application upgrade plan and activities.
- 1.4.3 Prepare, manage and report on infrastructure related issue resolution communications, upgrade plans, and activities.

## **2. Maintenance Requirements:**

### **2.1 Deployment and Configuration Management**

2.1.1 Support the deployment/configuration management activities related to software releases, server/environment management, and user profile management using Application Lifecycle Management (ALM) tools.

This will follow the procedures outlined for Deployment Management within Attachment 2, the HHS Enterprise Systems Operations and Maintenance Manual (reference Section 6.1).

This section explains the processes and procedures required to achieve successful deployments of software releases and configuration changes in the enterprise. The many components, services, and products that make up the design of this System have different architectural designs, deployment tools, and support roles. Preparations for a deployment include defining the activities required for each role depending on the scope of the release or configuration change. All required tasks must be defined and packaged in the currently defined deployment tools. Every deployment package must be successfully tested in the System Integration Testing (SIT) environment. Once the application SIT testing results are accepted, this package can be delivered to the State for scheduling its deployment into a State hosted environment. Deployment and Configuration management activities include, but are not limited to the following:

- a. Version control of the source code.
- b. Maintenance of source code repository.
- c. Back up and retrieval of source code repository.
- d. Access control of the source code repository.
- e. Support branching and merging of source code.
- f. Support build and package all necessary components.
- g. Perform deployments in lower development environments.
- h. Conduct deployment package review (including playbooks) and approval
- i. Provide approved packaged to State resources and coordinate/support deployments in higher testing environments and production
- j. Perform a smoke test of the application after each deployment and share results
- k. Works with the Department release coordinator to facilitate Go/No Go conference call for production deployment.
- l. Provide UAT Support for the changes being made.

Deployment Backup/Restore activities include, but are not limited to the following:

- a. Backups taken before each major step is executed to provide roll back procedures to return the application to its previous state. This pertains to databases and application/web servers.
- b. As part of State IT enterprise process, backups of all Virtual Machines (VMs)/Servers on the network are performed on a daily basis. If there are corrupted installation files on the server(s), a Service Request is initiated to restore the files from previous backup. This is done for all HHS Enterprise infrastructure components. Deployment packages are also archived before every deployment. In the case of any issues with HHS Enterprise applications, a new deployment of the application is moved to the server.
- c. A separate VM managed by State IT was provisioned to archive and back up all deployment artifacts. All deployment code base is archived to the archive server should the need arises. If an issue occurred with the software installation, the System will be recovered with the backup taken prior to the software installation.

## **2.2 Application Maintenance Requirements:**

2.2.1 Application Maintenance is the process of updating the features and functions of the HHS Enterprise applications with the inclusion of break fixes. Application maintenance includes scoping and planning a release. The scope of a build is determined in advance of its delivery into State hosted environments, allowing development, SIT testing, and a Go/No Go conference call for Production deployment. Application Maintenance activities include, but are not limited to the following:

### **1. Application Maintenance Releases:**

- a. Develop and Unit Test application code for break-fixes to address issues that impact operations. This would include break-fixes required to the online application and/or batches to remediate issues impacting SLA's, to obtain operational efficiencies by minimizing resource intensive workarounds. As part of the application maintenance releases, the contractor will be responsible for the following:
  1. Managing version control of the of the source code.
  2. Maintaining source code repository (including backups and retrievals).
  3. Back up and retrieval of source code repository.
  4. Supporting access control of the source code repository.
  5. Supporting branching and merging of source code.
  6. Performing SI testing. Provide SI test results.
  7. Triggering a deployment. Achieve approval of SI test results and schedule deployment.
  8. Code delivery - Provide build and package all necessary components. (Reference Attachment 2, Section 6.2 of HHS Enterprise Operations and Maintenance Manual).
  9. Conduct deployment package review (including playbooks) and approval.
  10. Performing deployments in lower development environments (Development and SIT).
  11. Performing smoke tests of the application after each deployment and sharing the results with relevant State stakeholders.
  12. Executing performance tests in the staging environment.
  13. Working with the Department release coordinator to facilitate Go/No Go conference call for production deployment.
  14. Providing UAT Support for the changes being made.

15. Planning, developing and executing maintenance requests
16. Planning, developing, executing and maintaining Data Change Requests(DCR's)
17. Providing L2 support, and coordinating L3 support with applicable vendors for Production incidents
18. Providing upgrade support for databases, application software, System utilities, and driver configurations.
19. Automating existing/new manual activities.

2. Reference Table Modifications:

- a. The Data Correction Script is necessary to load/update reference table data based on business needs. Application server restarts are necessary when reference table values are modified as they are loaded into the server's memory. This requires a rolling restart at a minimum. If there is a larger modification to the reference tables (i.e. metadata) then the full process for application deployment is required.

## **2.3 Technical (Infrastructure Maintenance) Requirements:**

### **2.3.1 Technical (Infrastructure Maintenance) Requirements**

1. Technical (Infrastructure Maintenance) includes, but is not limited to:
  - a. Architecture Management - Analyze component upgrades and new enhancements/changes to assure they are in line with the defined architecture for the overall solution. This would mean Product Upgrades.
  - b. Vendor Management - Communicate with and manage resolution of Level 3 support requests that require application or technical support from external contractors (IBM, Adobe, Corticon, FileNet, etc.)
  - c. Infrastructure Management - Infrastructure Sanity check across UAT, Staging, and Production environments post go-live (after release deployment is complete).
  - d. Enterprise components administration – Evaluating, installing, upgrading (including application code changes), configuring, and maintaining components listed below, and others as necessary.
    - 1) Data Power
    - 2) SSRS/Microsoft SSIS
    - 3) Informatica
    - 4) CA ESP Scheduler
    - 5) IHS Web Server
    - 6) IBM Websphere Application Server (WAS)
    - 7) IIB
    - 8) Content Management (Filenet)
    - 9) Adobe
    - 10) Corticon

2. Licensing: Licensing is not included in the scope of service.

### 3. Software Upgrades:

#### 1. Contractor shall work with State staff to coordinate and test the following:

- a. Patch & Upgrade Management - Perform routine software patch and application upgrades. Coordinate support teams. Schedule with the Release Manager and PMO.
- b. COTS Release Planning - Perform release planning for COTS patches and upgrades. Coordinate support teams. Schedule with the Release Manager and PMO.
- c. EOM vendor is required to actively monitor and notify Department staff when supported software has reached or will be reaching End of Life. The EOM vendor will also notify Department staff when software updates, patches, and upgrades are available and coordinate with state staff to download and apply any updates, patches, or upgrades. The following steps are followed promoting patches and software upgrades:
  - 1) Download the latest software patch/upgrade version and shares appropriate license key for installation.
  - 2) In coordination with state staff, EOM vendor shall download and install any updates, patches, or upgrades in lower environments.
  - 3) Perform application regression testing in lower environments and present test results to the Department IT Project Management Office (PMO). Upon review and approval a release schedule and full deployment package is published for promoting changes across State environments.
- d. Database (DB) Administration - This team will work in conjunction with Department DB administrators to help evaluate, install, upgrade, configure, and maintain the Department Enterprise Database solution in DB2. In addition, this team manages the promotion of code and configuration changes through the SDLC process in coordination with Department DB staff.

Proposers should reference Attachment 2, HHS Enterprise Systems Operations and Maintenance Manual section 6.3.4 for System start-up and shutdown procedures will be executed and maintained by the System administrators.

#### 2.3.2 Data Management

1. Data Governance Planning - This support team must work directly with the business Data Stewards, State IT Data Officer, Chief Security Officer, and the Agency Privacy Officer, known here as the Data Governance Team.

Assist the Data Governance Team with the review of Data Policies, Standards, and Procedures for DSS, HHS, and Statewide. This also includes providing recommendations on classifications of Confidentiality and Data Architecture.



These duties also include troubleshooting and resolving data related issues from incidents and breaches.

This support team must also monitor and ensure conformance and compliance with the above policies, standards, procedures, and architecture.

2. Definition and Maintenance - Application database support for all Systems within the HHS Enterprise. Responsibilities include, but are not limited to:
  - Work in conjunction with Department ITS Support Services and Enterprise Architects to:
    - a. Develop & Maintain the Enterprise Data Model
    - b. Analyze & Align With Other Business Models
    - c. Define & Maintain the Data Technology Architecture
    - d. Define & Maintain the Data Integration Architecture
    - e. Define & Maintain Enterprise Taxonomies
    - f. Define & Maintain the Meta Data Architecture
3. Data Modeling Analysis and Design - Application database support for all Systems within the HHS Enterprise. Responsibilities include, but are not limited to:
  - a. Analyze Information Requirements
  - b. Develop & Maintain Conceptual, Logical, and Physical Data Models
  - c. Manage Data Model Versioning and Integration
4. Detailed Data Design - Application database support for all Systems within the HHS Enterprise. Responsibilities include, but are not limited to:
  - a. Design Physical Databases, Related Data Structures, and Data Access Services.
5. Data Implementation - Application database support for all Systems within the HHS Enterprise. Responsibilities include, but are not limited to:
  - a. Create, Maintain, Backup, and Restore all databases in lower environments
  - b. Build & test data access and data integration services
6. Database Operations Management - Application database support for all Systems within the HHS Enterprise. Responsibilities include, but are not limited to:
  - a. In coordination with the state DBA's, Implement & Maintain Database Environments
  - b. Plan and Implement Data Recovery Procedures
  - c. Recommend and adhere to Database Performance Service Levels
  - d. Monitor & Tune Database Performance
  - e. Plan and Implement Data Retention Procedures
  - f. Archive, Retrieve and Purge Data
  - g. Acquire Externally Sourced Data (if applicable)

7. Report Data Management - Application database support for all Systems within the HHS Enterprise. Responsibilities include, but are not limited to:
  - a. Maintain and improve existing reporting infrastructure and reporting database.
  - b. Maintain and improve methods for synchronizing data from the Online Transaction Processing (OLTP) to the Reporting Database.
  - c. Establish and institute methods for synchronizing data from the OLTP to replica databases, masked databases, and the data warehouse.
  - d. Work with Department staff to define and implement procedures for disseminating and storing generated reports.
  
8. Content Management and Auditing - Application database support for all Systems within the Department Enterprise. Responsibilities include, but are not limited to:
  - a. Acquire & Store Documents
  - b. Index Document Information Contents
  - c. Support Document Content Repository DB and File Store Analysis
  - d. Support Document Access, Circulation & Update
  - e. Archive, Retrieve & Purge Documents

## **2.4 Disaster Recovery and Support Requirements:**

### 2.4.1 Follow existing Disaster Recovery Plans and procedures:

- a. Participate in the Business continuity planning exercise and disaster recovery management steps that need to be performed in case of any unplanned outages.
- b. Backup and Recovery – Participate in routine backup/recovery of the application databases and the overall System repositories, file/object stores, and information required for the functioning of the HHS Enterprise Applications System.
- c. Virtual Machine (VM) Backup – Participate in routine backup/recovery of the all VMs.
- d. Files – Participate in routine backup/recovery of the all files that are not included in databases and repositories (Input files, output files, XML files, PS files, Log files, MFT files). The files should be available on request.
- e. Support Disaster Recovery planning/testing related activities as required, including the execution of DR activities at any time during System recovery from an extended downtime/outage.

## **2.5 Performance Management Requirements:**

### 2.5.1 Performance Management procedures as follows:

- a. Monitoring - Monitor the Database Performance for applications and services that constitute the HHS Enterprise Applications System. Monitor the Document Retrieval Performance in Content Management.
- b. Testing – Conduct performance testing of applications in the Staging environment as part of Software Development Life Cycle (SDLC) for all EOM Releases.
- c. Tuning – Conduct performance tuning based on application-specific performance analysis. Identify performance issues outlined in Attachment 2, HHS Enterprise System Operations and

## 2.6 Security Requirements:

### 2.6.1 Account Setup and Maintenance:

1. Administration - This support team is responsible for the setup and maintenance of the Identity Access Maintenance System. There are two administrative software tools necessary to accomplish this.
  - a. The IBM Security Identity Manager / Security Access Manager (SIM/SAM) Administrator tool is for account creation, uniquely identifying each user and their course grained ability to access applications in the System.
  - b. The HHS Administrator Tool is a custom application that currently only supports ImpaCT but is designed to encompass all applications in the HHS Enterprise.
2. Coarse-Grain Role Administration - The course grained login account maintenance is accomplished using the SIM/SAM Administrator's Tool.
3. Fine-Grain Role Administration - There are three types of Role Configurations: screens, reports and field level. Screen level security governs which role can read and/or edit the data on each screen. Reports level security governs which reports each role can search for and download through the ImpaCT Reports Module. Field Level security governs access to editing particular fields or clicking particular buttons.
4. Compliance - All compliance activities must be in coordination with and under the supervision of the Department Chief Information Security Officer.
5. Data Security Management
  - a. Understand Data Privacy, Confidentiality & Security Needs
  - b. Comply with Data Privacy & Confidentiality Policies & Standards
  - c. Comply with Password Standards & Procedures Maintain Users, Passwords, and Group Membership
  - d. Manage Data Access Views
  - e. Manage Data Access Permissions
  - f. Set data encryption settings in databases, data at rest, and data in transit
6. Audit History
  - a. Monitor User Authentication & Access Behavior
    - i. Work with State staff to maintain, update, and improve existing monitoring scripts.
    - ii. For the ImpaCT application:
      1. An Action History module allows authorized users to see user activity (view or edit) through the ImpaCT application itself.
      2. ImpaCT screens can be turned on or off for Action History logging through the Build Action History screen as detailed thru that screen's online Page Help.

## 7. Audit Content Management

- a. Monitor document access.
- b. Assist with defining retention policies and configure Electronic Content Management software.
  - i. Define and establish procedures to archive, retrieve, and purge documents.

## 8. Data Retention

- a. Define and establish procedures to archive, retrieve, and purge data.
- b. Coordinate with the State Library and Database Support Teams to meet policies, standards, and requirements.

# 3. Severity Levels and Other Definitions:

## 3.1 Severity Level Definitions and Examples:

### 1) Severity 1 – Critical Definition:

- a. Critical Definition - An issue that severely and adversely affects production or System usage; significant performance degradation, corrupt, lost, misrepresented, or unrecoverable data; System crash, critical business functions not being available leading to loss of worker productivity.
- b. Measurement - An issue will be categorized as critical if impacts > 50% of worker population or > 50% of client population (program specific) with no immediate acceptable workaround. An issue that impacts significant number of customers/workers and stops critical business operations that prevent clients from getting benefits and/or significantly impacts worker productivity.

#### Severity 1 – Critical Examples:

- System is down.
- Eligibility cannot be run.
- Workers are not able to retrieve tasks/documents.
- Not able to complete enrollment.

### 2) Severity 2 – Major/High:

- a. An issue that impacts significant number of customers/workers and adversely impacts a specific business operation but has a Department acceptable short term workaround.
- b. This issue would impact significant number of cases/households (>10% of cases/households by program) every business day and/or affect productivity of significant number of workers every business day (>50% of workers).

#### Severity 2 – Major/High Example:

- Daily EBT file failure through nightly batch process due to FTP issues.
- Workaround – Run the batch and manually transmit file until FTP issue is resolved.

3) Severity 3 – Medium/Average:

- a. An issue due to which the System experiences a minor degradation with minimal impact to workers/customers and does not hinder business operations if an identified workaround is deployed to allow business operations to continue.
- b. An issue that impacts customers/workers, but does not hinder business operations if an identified workaround is deployed to allow business operations to continue.

**Severity 3 – Medium/Average Examples:**

- Client ID is not displayed on PDF
- Provider/Vendor ID not associated to the application

4) Severity 4-Low:

- a. Issues with minimal or no System or user impact; user hardware issues that do not disrupt workflow. An issue that has little to no impact on the customer or worker, but should be resolved to improve the customer’s experience.

**Severity 4 – Low Examples:**

- Cosmetic changes

**3.2 Other definitions and examples:**

- a. Support required for base EOM activities, described in the Deliverables as well as testing related to those activities will not be included here unless otherwise agreed upon by the State.

**4. Maintenance of Environments Requirements:**

Maintenance of environments is the responsibility of multiple parties, depending on the environment type (e.g. development or production), the provider hosting the environment (e.g. the State, Contractor or a State contracted third party). The table below depicts the types of environments and management responsibility in a RACI format based on the following definitions:

1. **Responsible:** Those who do the work to achieve the task.
2. **Accountable:** The one ultimately answerable for the correct and thorough completion of the deliverable or task, and the one who delegates the work to those responsible. In other words, an Accountable party must approve work that the Responsible party provides. There must be only one accountable specified for each task or deliverable.
3. **Consulted:** Those whose opinions are sought, typically subject matter experts; and with whom there is two-way communication.
4. **Informed:** Those who are kept up-to-date on progress, often only on completion of the task or deliverable; and with whom there is just one-way communication.

## 4.1 AHCT

The following environment support the AHCT System.

### AHCT Support Environments:

Environments		Host	R	A	C	I
<b>Higher</b>	Production	BEST	BEST/ DSS	BEST/ DSS	Contractor/ DSS/AHCT	Contractor/ DSS/AHCT
	Staging	BEST	BEST/ DSS	BEST/ DSS	Contractor/ DSS/AHCT	Contractor/ DSS/AHCT
	User Acceptance Test (2)	BEST	BEST/ DSS	BEST/ DSS	Contractor/ DSS/AHCT	Contractor/ DSS/AHCT
<b>Lower</b>	System Test	AWS	Contractor	Contractor	State / DSS/ AHCT	State / DSS AHCT
	Scalability	AWS	Contractor	Contractor	State / DSS/ AHCT	State / DSS/ AHCT
	Development	AWS	Contractor	Contractor	State / DSS/ AHCT	State / DSS/ AHCT

## 4.2 ImpaCT

The following environment support the ImpaCT System.

### ImpaCT Support Environments:

Environments		Host	R	A	C	I
<b>Higher</b>	Production	BEST	BEST/ DSS	BEST/ DSS	Contractor/ DSS	Contractor/ DSS
	Staging (2)	BEST	BEST/ DSS	BEST/ DSS	Contractor/ DSS	Contractor/ DSS
	User Acceptance Test (9)*	BEST	BEST/ DSS	BEST/ DSS	Contractor/ DSS	Contractor/ DSS
	Conversion (3)	BEST	BEST/ DSS	BEST/ DSS	Contractor/ DSS	Contractor/ DSS
	Training (2)	BEST	BEST/ DSS	BEST/DSS	Contractor/ DSS	Contractor/ DSS
<b>Lower</b>	System Test	AWS	Contractor	Contractor	State/ DSS/ AHCT	State/ DSS/ AHCT
	Scalability	AWS	Contractor	Contractor	State/DSS/ AHCT	State/DSS/ AHCT
	Development	AWS	Contractor	Contractor	State/DSS/ AHCT	State/DSS/ AHCT

### 4.3 BIP

The following environment support the BIP System.

#### BIP Support Environments:

Environments		Host	R	A	C	I
<b>Higher</b>	Production	BEST	BEST/DSS	BEST/DSS	Contractor/ DSS	Contractor/ DSS
	Staging (1)	BEST	BEST/DSS	BEST/DSS	Contractor/ DSS	Contractor/ DSS
	User Acceptance Test (2)	BEST	BEST/DSS	BEST/DSS	Contractor/ DSS	Contractor/ DSS
	Training (1)	BEST	BEST/DSS	BEST/DSS	Contractor/ DSS	Contractor/ DSS
<b>Lower</b>	System Test	AWS	Contractor	Contractor	DSS/ State	DSS/ State
	Scalability	AWS	Contractor	Contractor	DSS/ State	DSS/ State
	Development	AWS	Contractor	Contractor	DSS/ State	DSS/ State

### 4.4 ConneCT

The following environment support the ConneCT System.

#### ConneCT Support Environments:

Environments		Host	R	A	C	I
<b>Higher</b>	Production	BEST	BEST/DSS	BEST/DSS	DSS/ Contractor	DSS/ Contractor
	Staging (1)	BEST	BEST/DSS	BEST/DSS	DSS/ Contractor	DSS/ Contractor
	User Acceptance Test (1)	BEST	BEST/DSS	BEST/DSS	DSS/ Contractor	DSS/ Contractor
	Training (1)	BEST	BEST/DSS	BEST/DSS	Contractor/ DSS	Contractor/ DSS
<b>Lower</b>	System Test	AWS	Contractor	Contractor	DSS/ State	DSS/ State
	Scalability	AWS	Contractor	Contractor	DSS/ State	DSS/ State
	Development	AWS	Contractor	Contractor	DSS/ State	DSS/ State

\*Includes Ad-hoc Reporting environment, which hosts only Database.

## 5. Work Products Requirements:

The table below lists all the work products included as part of the SOW and the corresponding responsible parties.

### Work Products:

Category	Work Product	Description	Frequency	Responsible Party
1. Project Mgmt.	Work Plan	The EOM vendor will work with the System Integrator to develop a Work Plan detailing regular maintenance releases. This work plan will list the different release phases and the associated dates.	Within one month of the Effective Date of SOW, and updated every month thereafter. To be made available by 15 <sup>th</sup> of every month.	Contractor
	Status Report	<p>The Status Report will:</p> <ul style="list-style-type: none"> <li>• Reflect overall status of the planned activity</li> <li>• Highlight risk and mitigations, issues and resolutions</li> <li>• Provide upcoming activities for the next reporting period</li> <li>• Provide the summary of activities performed during previous reporting period</li> <li>• Provide information including all System outages and mitigation strategies during the reporting period</li> <li>• Incident Reporting</li> <li>• SLA Reporting</li> <li>• Provide resource names that supported EOM activities during the month</li> </ul>	<p>Monthly</p> <p>To be made available by 15<sup>th</sup> of every month</p>	Contractor
	SLA Report (part of monthly status report)	The SLA Report will contain details evidencing the attained service level during the reporting period for each SLA set forth in the contract.	Monthly	Contractor / State



Category	Work Product	Description	Frequency	Responsible Party
<b>2. Monitor System Availability</b>	System Health Report	The System Health Report will be a summary of: <ul style="list-style-type: none"> <li>• The outcome of System health check.</li> <li>• The peak, average load of the CPU and memory usage for the previous day as well as a cumulative total usage.</li> <li>• Disk space available in all the servers</li> <li>• Highlight if any of the System health parameters are above the predetermined threshold</li> </ul>	Monthly	State  Sent to State ITS Managers
		<ul style="list-style-type: none"> <li>• Top 10 queries used by the applications –</li> <li>• Top 10 performance intensive pages of the different applications</li> </ul>	Weekly	Contractor  Sent to State ITS Managers
	System Outage Report (part of monthly status report)	The System Outage Report will: <ul style="list-style-type: none"> <li>• Provide information including the System outages due to Application related issues that occurred during the reporting period</li> <li>• Include Root Cause analysis of the outage incidents occurring during the reporting period</li> <li>• Include cumulative duration of outage for the reporting period</li> <li>• Include response and resolution time for the outage incidents</li> <li>• Provide details and explanations for the delay in critical batches identified for each application</li> </ul>	Monthly	Contractor / State
<b>3. Maintain System</b>	Software Maintenance Report	Software Maintenance Report will: <ul style="list-style-type: none"> <li>• List of software including license information</li> <li>• Plan for N-X/State recommended patching for the reporting period</li> </ul>	Monthly	State

Category	Work Product	Description	Frequency	Responsible Party
		<ul style="list-style-type: none"> <li>• Password expiration information</li> <li>• Software upgrades or installations planned for the following month</li> <li>• Three-month projection for the requirement to purchase new products</li> </ul>		
<b>4. Monitor and Execute Batch</b>	Batch Status Report	<p>The Batch Status Report shall include:</p> <ul style="list-style-type: none"> <li>• Date</li> <li>• Batch name</li> <li>• Batch start and end times</li> <li>• Status</li> <li>• Number of records processed</li> <li>• Batch status (success or failure),</li> <li>• Failed records</li> <li>• Comments if the batch had failed</li> </ul>	Daily	Contractor
	Daily DCR Execution Report	<p>The execution report shall include</p> <ul style="list-style-type: none"> <li>• List of approved DCR's</li> <li>• List of DCR's that were executed as part of the nightly batch cycle and number records updated/inserted</li> </ul>	Daily	Contractor
	Batch Trend Report	<p>Batch Trend Report shall include:</p> <ul style="list-style-type: none"> <li>• Analysis of the duration of each batch and recommendations to improve performance.</li> <li>• Common errors occurred and any manual interventions required during the reporting period.</li> <li>• Recommendations to correct the batch issues, errors and manual interventions.</li> </ul>	Monthly	Contractor
<b>5. Capacity Planning</b>	Capacity Plan Report	<p>The Capacity Plan Report will be a summary of:</p> <ul style="list-style-type: none"> <li>• Metrics for the current and future capacity.</li> <li>• Calculation for future capacity recommendations.</li> </ul>	Quarterly or on need basis.	State

Category	Work Product	Description	Frequency	Responsible Party
		<p>The Capacity Plan Report shall include the following for the production and nonproduction servers:</p> <ul style="list-style-type: none"> <li>• Metrics for space</li> <li>• Memory</li> <li>• CPU utilization</li> <li>• Archive and purge</li> </ul>		

## 6. Staffing Requirements:

The Contractor's staff will be composed of core group of individuals will possess the necessary skills to execute the responsibilities detailed in this RFP.

As part of the proposal, the proposer shall provide:

Staffing backup plans for all support services need to be document within 30 days of the Contract effective date and will be reviewed and maintained on a quarterly basis.

The Contractor shall ensure the continuity of staff assigned to perform services pursuant to the SOW. These efforts include limiting the turnovers of Contractor's staff. Department approval will be required for any project staff transfers and reassignments. If possible, the Contractor will provide the Department with a two (2) week notice of any staffing changes and will provide the Department with a transition plan. The Contractor shall perform all knowledge transfer activities required for incoming and outgoing staff at no additional cost to the State.

The Department may request for the removal of a project staff member by providing a written documentation stating the reason for the request.

1. As part of monthly status reports, Contractor shall share names of resources utilized that month for performing EOM related services described herein.
2. Contractor's onsite EOM resources shall be onsite during normal business days Monday-Friday.
3. Contractor shall provide at least one EOM representative onsite on Fridays during the core business hours.
4. Contractor shall provide onsite weekend support on need basis.

## **7. Transition Support Requirements:**

### **Transition On-Boarding**

The contractor shall work with the out-going EOM vendor to transition all EOM activities over the first 90 days of the contract. This will include shadowing initially, and then transitioning over to primary role towards the later part of the overall transition period.

The contractor will work with the out-going EOM vendor to develop/complete the transition project plan that identifies key tasks and personnel that will be supporting it going forward.

In addition, the contractor, with support from the state/outgoing EOM vendor, will create a Transition Steering team that will have the following responsibilities:

- Finalize Transition plan
- Formulate the transition start date
- Approve any deviations from the transition schedule
- Monitor and keep a track of the progress of the transition
- Inform the stakeholders about the transition status
- Address any escalated issues

### **Transition Off-Boarding**

#### **1. Transition Planning and Execution**

The Contractor shall cooperate in the orderly transition of services from the Contract awarded under this solicitation to any subsequent contract for similar services. The transition period shall begin 90 calendar days before the Contract end date, or the end date of any final exercised option or Contract extension. The Contractor shall work toward a prompt and timely transition, proceeding in accordance with the directions of the Contract Monitor. The Contract Monitor may provide the Contractor with additional instructions to meet specific transition requirements prior to the end of Contract.

#### **2. Transition Plan**

Within the first 90 days of the Contract Effective Date, the Contractor shall provide a transition out plan that should include the following:

- a. A preliminary Transition-Out Project Work Plan, with placeholders for milestones, key delivery dates, and resource assignments.
- b. Identify key roles/personnel that need to be transitioned. Also identify the personnel responsible to supporting transition.
- c. Reporting cadence during the transition period.
- d. Establish process by which inflight/outstanding deliverables/tasks be identified/transitioned to the incoming contractor in a timely manner. Identify tasks that will be performed jointly during the transition period before cutover.
- e. The plan for ensuring that all required support training, and transition information has been delivered.

- f. The plan for ensuring that all documentation has been updated to reflect all changes, such as enhancements and modifications.
- g. The required involvement of the Successor Contractor team, State resources, and BEST.
- h. A description of the resources that the Contractor shall commit and the functions that the Contractor shall perform, along with time frames, in transferring the operation to the Successor Contractor.
- i. Risk assessment and mitigation recommendations/solutions and the plan for monitoring and managing risk during the Transition-Out period.
- j. A clear set of tasks, objectives, outcomes, and timeframes to transition on-going activities, processes, people, services, knowledge and documentation associated with the exit of the Contractor. (This includes all activities included in the HHS Enterprise Systems Operations and Management Manual, Attachment 2.)

### **3. Transition Execution**

- a. The transition period shall begin 90 calendar days before the Contract end date, or the end date of any final exercised option or Contract extension.
- b. The Contractor shall work toward a prompt and timely transition, proceeding in accordance with the directions of the State. The State may provide the Contractor with additional instructions to meet specific transition requirements prior to the end of Contract.
- c. Prior to the transition period (45 days prior) the Contractor shall provide a final detailed Project Work Plan to address these tasks at a granular level, and shall successfully complete the tasks as part of the Transition-Out effort. Transition-Out tasks include all aspects of the Contractor's Transition Out Plan, including but not limited to the following:
  - 1. Provide timely access to necessary System resources.
  - 2. Provide System knowledge transfer
  - 3. Participate and contribute in transition-in activities for the Successor Contractor.
  - 4. Provide all operational documents
  - 5. Participate actively in all transition meetings.
  - 6. Provide requested information within three (3) calendar days.
  - 7. Make recommendations throughout the Transition-Out effort to mitigate risk
  - 8. Participate in all activities required by state to assess the incoming Contractor's readiness and capabilities to assume complete control and management of application maintenance and enhancement services.
  - 9. Provide 'Shadowing' Support onsite during the last 45 days of the transition period.
- d. The Contractor shall provide a Systems Documentation Report no less than 30 calendar days before the end of the Contract containing the following:
  - 1. Contractor's record of its deliverable submissions and approvals, of work products approved and completed, and project documentation throughout the duration of its Contract.
  - 2. All applicable access to tools and repositories as needed to complete turnover to State and references to the locations of all work products and technical artifacts.

**4. Transition Summary**

Activity	Completion Date
Transition Plan	Within First 90 Calendar days of contract effective date.
Detailed Transition Work Plan - outlining the steps necessary to transition out activities to the successor Contractor	45 Calendar Days prior to transition start.
Kick off Meeting	Within first 5 calendar days of transition start.
Provide onsite shadow support	Last 30 calendar days of transition period.
System Document Support	30 calendar days before contract expiration date.

**8. 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) Mandatory Extension to State Entities**

Contractor shall offer and extend the contract (including pricing, terms and conditions) to political sub-Divisions of the State (towns and municipalities), schools, and not-for-profit organizations.

**(c) 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.

**(f) Federal Requirements Compliance**

The Department must comply with any and all established conditions for initial and continuing authority to claim Federal Financial Participation (FFP) for the costs of the planning, development, acquisition, installation and implementation of Information System (IS) equipment and services used in the administration of the Supplemental Nutrition Assistance Program (SNAP) and as prescribed by appropriate Food and Nutrition Service (FNS) directives and guidance.

The Contractor shall work with the Department to assist them in compliance with any and all Federal requirements as outlined in 7 CFR § 277.18. This shall include but not limited to System pilot testing that is required prior to a statewide rollout of a System, the Contractor shall provide the Department the capability to test the fully operational System in a live production environment. Pilots must operate until a state of routine operation is reached with the full caseload in the pilot area. The design of this pilot shall provide an opportunity to test all components of the System as well as the

data conversion process and System performance. The duration of the pilot must be for a sufficient period of time to thoroughly evaluate the System (usually a minimum duration of three months). The Department must provide documentation to FNS of the pilot evaluation. FNS approval to implement the System more broadly is a condition for continued FFP.

The Contractor shall comply with all Federal requirements that the Department is required and mandated to adhere to which includes but is not limited to the following:

- IRS Publication 1075 requirements
- Executive Order 11246 related to Equal Employment Opportunity
- Clean Air and Federal Water Pollution Act
- Anti-Lobbying Act
- American with Disabilities Act
- Drug-Free Workplace requirements
- Debarment and suspension requirements
- Federal Government royalty-free rights to use software and documentation developed

## Proposal Requirements

### 1. Contract Period

The State intends that this contract shall be in effect for five (5) years from the Contract Effective Date.

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. Quantities and/or Usages

Any quantities set forth in this RFP are estimated quantities and/or usages only and in no way represent a commitment and/or intent to purchase any particular amount. Actual quantities may vary and will be identified on individual purchase orders issued by the requesting entity.

### 3. Brand Name Specifications and/or References

The use of the name of a manufacturer or of any particular make, model or brand in describing an item does not restrict proposers to that manufacturer or specific article unless limited by the term "no substitute". However, the article being offered must be of such character and quality so that it will serve the purpose for which it is to be used equally as well as that specified, and the proposer shall warrant to the State that it is fit for that purpose. RFPs on comparable items must clearly state the exact article being offered including any and all applicable options and the proposer shall furnish such other information concerning the article being offered as will be helpful in evaluating its acceptability for the purpose intended. If the proposer does not indicate that the article offered is other than as specified, it will be understood that the proposer is offering the article exactly as specified. Proposers must submit complete documentation on the specifications and quality levels of the proposed products. RFPs submitted that do not contain this documentation are subject to rejection.

#### **4. Stability of Proposed Prices**

Any price offerings from proposers must be valid for a period of 180 days from the due date of the proposals.

#### **5. 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.

#### **6. 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.

#### **7. 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.

#### **8. 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.

#### **9. Erroneous Awards**

DAS reserves the right to correct inaccurate awards.

#### **10. 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.

#### **11. Ownership of Proposals**

All proposals shall become the sole property of the State and will not be returned.

#### **12. 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.

#### **13. 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. Contractor Services - Response to Requirements:
  - a. Operations requirement
  - b. Batch Management requirement
  - c. Incident Management requirement
  - d. Maintenance requirement
  - e. Technical requirements
  - f. Disaster Recovery requirement
  - g. Performance Management requirement
  - h. Security requirement
  - i. Customer service, contract management approach and compliance with Federal requirements
2. Experience, References, and Personnel:
  - a. Description of relevant experience
  - b. Staffing proposal plan
  - c. Key staff resumes
  - d. Company reference information
3. Cost Proposal:
  - a. Form RFP-16 Exhibit B Price Schedule deliverable project costs
4. Business profile and history:
  - a. Company background and history
  - b. Financial resources and stability (past 2 years financial statements)
  - c. Current/past litigation and contract issues

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. Contractor Services Section – Proposers Response to the following Requirements
  - a. Demonstrated ability to meet and comply with the RFP Operations requirements
  - b. Demonstrated ability to meet and comply with the RFP Batch Management requirements
  - c. Demonstrated ability to meet and comply with the RFP Incident Management requirements
  - d. Demonstrated ability to meet and comply with the RFP Maintenance requirements
  - e. Demonstrated ability to meet and comply with the RFP Technical requirements
  - f. Demonstrated ability to meet and comply with the RFP Disaster Recovery requirements
  - g. Demonstrated ability to meet and comply with the RFP Performance Management requirements
  - h. Demonstrated ability to meet and comply with the RFP Security requirements
  - i. Demonstrated ability to meet and comply with the RFP Customer Service, Contract Management Service Levels and Federal Requirements
  
2. Experience, References, and Personnel Section – Proposers Response to the following:
  - a. Demonstrated ability to provide detailed company management and experience with projects providing similar scope of services
  - b. Proposers ability to provide a detailed staffing proposal plan for contract management
  - c. Proposers ability to provide licenses, professional designations, resumes of key staff to be assigned to the contract
  - d. Demonstrated ability to provide a minimum of three (3) Company references providing similar type of services. Provide the following information for each reference: Company Name, Contact Name, Email Address, Telephone Number and a Description of Work provided.
  
3. Cost Proposal Section – Proposers Response to the following:
  - a. Form RFP-16 Exhibit B – Price Schedule submission
  
4. Business profile and history
  - a. Provide detailed company background and history
  - b. Company financial stability by providing past 2 years financial statements. ***“Should proposers wish this information to be considered confidential, proposers should mark this information as “Confidential”. This information will not be made viewable to the public and only be reviewed by the evaluation committee.”***
  - c. Details on any current and past litigation and contract issues.

## Negotiations

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 vendor(s) will sign. After DAS selects a vendor, DAS will deliver a draft contract to the vendor for consideration and negotiation. The contract that DAS and the successful vendor will sign may vary from Attachment 1. The contract may include a liquidated damages clause at the discretion of the State.