WIC MIS M&O RFP #20-026

Attachment D – Scope of Work (SOW)

# Introduction

The Indiana State Department of Health (ISDH) requests responses from vendors experienced in providing system maintenance and operations (M&O) for Management Information Systems (MIS) to support the provision of Special Supplemental Nutrition Program for Women, Infants, and Children (WIC). Through this RFP, the State of Indiana is accepting proposals for operations, maintenance, support, enhancements, and modifications as required and approved by the State for the State-hosted WIC MIS, known as INWIC, its interfaces, and its associated mobile application (Mobile App).

# Background

## Current WIC Program Overview

The Special Supplemental Nutrition Program for Women, Infants, and Children (WIC) provides nutritious foods to eligible pregnant, postpartum and breastfeeding mothers, infants and children to five years of age at or below 185% of the Federal Poverty Level who are at nutritional risk. The USDA Food and Nutrition Services (FNS) provides grants to the Indiana State Department of Health (ISDH), which enters into agreements with local agencies to provide eligibility determination, nutrition counseling, and related administrative services to WIC participants.

The Indiana WIC Program currently serves approximately 157,099 enrollees, for whom cards are issued, per month in 39 local agencies and 127 clinics.

The State manages and authorizes WIC benefits for eligible clients through INWIC, which is supported by the MIS contractor. Through an interface with INWIC, the current EBT contractor’s WIC EBT system (known as eWIC) receives accurate, updated retailer information and client benefits. WIC clients apply their specific benefits toward approved products via EBT at authorized grocery retailers (“WIC-vendors”). In return, eWIC provides transaction data and real-time benefit balances and changes to INWIC. See Section 5.5.2 “File Transfers” for more information about file exchanges.

The following statistics are provided to give potential Respondents a greater understanding of historical program and INWIC volume for planning purposes; however, the number may fluctuate and the volume is not guaranteed:

* 20 of State users
* 616 of local agency/clinic level users
* 400 of concurrent system users on the average day
* 39 local WIC agencies and 127 individual WIC clinics
* Approximately 597 active authorized WIC vendor locations through approximately 119 different owners
* Average monthly enrollment (card issuance) of 157,099 individuals and participation (card use) by 174,016 individuals representing approximately 80,526 households.
* Total client record count on the current INWIC application is approximately 600 thousand participants, of which approximately 150 thousand are active.
* The size of the current INWIC database is approximately 330 gigabytes.

## Current MIS System and Software

The INWIC system is a web-based WIC data system using an Oracle database management system with an interface to the current Electronic Benefit Transfer (EBT) contractor’s system. The INWIC system included the INWIC application, the INWIC Mobile App, and the Breast Feeding Telehealth Mobile App.

### INWIC Application Background

1. **Modules**. The INWIC application consists of five modules: Clinic, Administration, Vendor Management, and State Office (state access only), Help Desk (INWIC Help Desk only):
   1. The Clinic module provides WIC staff with the ability to schedule appointments, pre-certify and certify participants, perform demographic intake, document income, assess nutrition risk, and record medical data, assign a food prescription, issue EBT benefits, and generate numerous reports. The Clinic module interfaces with the current EBT contractor’s system for EBT card assignment, benefit issuance, and benefit inquiries.
   2. The Administration module enables authorized users create role and permissions, assign clinics and roles to staff, setup appointment schedules, set up reminder text messaging schedules, update local agency and clinic information, maintain breast pump inventory, track management evaluations, track outreach and activity logs, setup mobile app nutrition education, and maintain certain standard tables of codes used in dropdown boxes and similar elements.
   3. The Vendor module enables WIC staff to create and maintain vendor information, track and monitor compliance, training, and correspondence.
   4. The State Office module enables state WIC staff to maintain UPC information and create and maintain food groups, food packages, formula information, and the Approved Products List file.[[1]](#footnote-1)
   5. The Help Desk module enables INWIC Help Desk staff to support WIC clinic staff with day-to-day operations, updating incorrect data entries and processing errors.
2. **Users/User Interface**
3. The INWIC system supports about 620 users who provide services in about 127 clinics statewide. WIC services are provided in these clinics Monday through Friday, while 1 clinic provides services on Saturday. The users are equipped with Indiana WIC standard desktop or laptop computers running Microsoft Windows. INWIC also supports clinic work flow through peripheral equipment attached to user computers—signature pads, scanners, and EBT card readers.
4. **INWIC Operations/Environments**
5. Indiana WIC participants may redeem their EBT benefits at a network of 597 authorized vendors throughout the state. In order to provide this statewide EBT service, the INWIC application operates 24 hours a day, 7 days a week, 365 days a year.
6. Each night, INWIC conducts back-office processing, including:
   * + End of Day
     + Transfer of benefit, EBT card, vendor, and food data to and from the current EBT contractor’s system
     + Transfer of appointment reminder call information to One Call Now voice and text message system
7. These processes run in the INWIC Production and QA environments.
8. The Production, Training, and QA environments are housed, maintained, and supported by Indiana Office of Technology (IOT). This includes the web servers, management servers, database servers, and databases.
9. **INWIC Maintenance/Enhancement**
10. Enhancements, fixes, and associated documentation are currently delivered in three (3) releases per year, with patches deployed as needed.

### INWIC Mobile Application Background

As a way of reducing barriers to receiving and using WIC program benefits and resources, the current INWIC system has a related INWIC Mobile App that allows clients to perform the following actions:

* Check benefit balance
* Scan UPC Codes while shopping to see if the item is WIC approved
* Get reminders and alerts for appointment reminders and expiring benefits
* Find WIC approved stores
* Find the nearest WIC clinic
* Resource links for WIC-related information
* View future benefits
* Ability to view the app in English or Spanish
* Take online Nutrition Education (for approved clients)

Authorized representatives and clients can complete education modules within the app instead of going into the clinic for a second nutrition education contact. The INWIC Mobile App’s education modules, as developed by the State, does not replace in-person certifications and mid-certification appointments. When a client completes the education, the client's record is automatically updated within INWIC, to allow for client-centered and efficient services at benefit issuance.

1. **Users/User Interface**
   1. Since the launch of the INWIC Mobile App, 96,444 clients have registered. It is available on both Android and iPhones through the Google Play and the Apple Store.
2. **INWIC Mobile App Operations/Environments**
   1. The INWIC Mobile App web servers for the Production, and QA environments are housed, maintained, and supported by Indiana Office of Technology (IOT).
   2. Current benefits information is pulled from the current EBT contractor’s system using web service calls. These are the same type of calls used in INWIC for current benefits balance.
3. **INWIC Mobile App Maintenance/Enhancement**
4. Enhancements, fixes, and associated documentation are currently delivered on an as-needed basis.
5. Maintenance and support is covered in the current contract.
6. All new releases to the app are submitted to IOT who then submits the changes to Google Plan and the Apple Store for review and updates.

### INWIC Breastfeeding Telehealth Mobile Application Background (INWIC BF Mobile App)

An additional Breastfeeding Telehealth Mobile App allows clients to contact a breastfeeding counselor in an effort to have more clients continue breastfeeding for longer periods of time due to their ability to receive immediate support and information. When the client completes the telehealth session, the client’s record is automatically updated within INWIC.

1. **Users/User Interface**
   1. The INWIC BF Mobile App will be used by both clients and breastfeeding counselors. There are 100 breastfeeding counselors across the state who may use the app. There are 40,000 clients who are postpartum breastfeeding clients who would be eligible to use the app.
2. **INWIC Operations/Environments**
   1. The INWIC BF Mobile App web servers for the Production, and QA environments are housed, maintained, and supported by Indiana Office of Technology (IOT).
3. **INWIC Maintenance/Enhancement**
4. Enhancements, fixes, and associated documentation will be delivered on an as-needed basis.
5. Maintenance and support will be covered in the MIS contract.
6. All new releases to the app are submitted to IOT who then submits the changes to Google Play and the Apple Store for review and updates.

## Division of Responsibilities

INWIC is currently hosted on premise by the Indiana Office of Technology (IOT). In this State-hosted model, IOT, WIC Program, and the Contractor adhere to the division of responsibilities in the table below. At a minimum, the Contractor shall continue to provide the services according to the level of responsibility (primary, shared, or consulting) as noted in the following table:

| # | Description of Services | Responsible Party | | |
| --- | --- | --- | --- | --- |
| IOT | WIC | Contractor |
| 1 | Procuring, installing, configuring, operating, and maintaining all hardware, system operating software, hosting software, connectivity services, and other services that may be required to host INWIC. | Primary | Consulting | Consulting |
| 2 | Procuring, installing, configuring, operating, and maintaining all hardware, system operating software, hosting software, connectivity services, and other services that may be required to host the development environment of INWIC. | N/A | N/A | Primary |
| 3 | Acquiring additional hardware and other hosting resources that may be required due to program growth over the life of the Contract. It is expected that there may be a potential growth of up to 5% per year. | Primary | Consulting | Consulting |
| 4 | Providing a QA/UAT, production, reports/data warehouse, disaster recovery, and testing/training environment. | Primary | Consulting | Consulting |
| 5 | Monitoring system operations and providing database management to assure maximum system performance. | Shared | Consulting | Shared |
| 6 | Scheduling routine maintenance activities, such as the end of day processing, data backup services, etc., that may be required to properly maintain the hosting environment and data during non-clinic use times. The production environment must be available for clinic use from 7:30 am EST to 8:30 pm EST Monday through Friday and from 8:00 am EST to 12:00 pm EST on Saturday. | Primary | Consulting | Consulting |
| 7 | Providing appropriate security to meet applicable State and Federal requirements to protect the integrity and confidentiality of program data. This includes completing a Security Plan Review document provided by the State, providing a Security Plan, and conducting a security review every two years. | Shared | Consulting | Shared |
| 8 | Providing a Disaster Recovery Plan and services that minimize production system downtime. | Primary | Consulting | Consulting |
| 9 | Providing a Disaster Recovery Plan and services that minimize development system downtime. | N/A | Consulting | Primary |
| 10 | Provide the minimum hardware configurations, including operating systems, required for any enhancements to the software applications to run at the State Office level and the clinic level, so that the State can verify that existing hardware/software is sufficient or whether an update is need prior to enhancement implementation. | Consulting | N/A | Primary |
| 11 | Provide the minimum software configurations, including operating systems, required for enhancements to the software application to run on both the client and the server environments. | Consulting | N/A | Primary |
| 12 | Monitoring system operations on a daily basis and making necessary adjustments to maintain peak operation efficiency so that system users are not adversely affected. | Shared | N/A | Shared |
| 13 | Performing timely database tuning as needed in order to keep the database running as efficiently and effectively as possible. | Consulting | N/A | Primary |
| 14 | Completing daily system backups for state-hosted system environments. | Primary | N/A | N/A |
| 15 | Completing daily backups for the development environment. | N/A | N/A | Primary |
| 16 | Updating reference database tables as needed or as requested by the State through the change order process. | Consulting | Consulting | Primary |
| 17 | Providing timely planning, coordination, and implementation of all software releases, reference table updates, detect fixes, and other system changes. | Consulting | Consulting | Primary |
| 18 | Providing for the thorough quality assurance testing of all software releases, reference database table updates, bug fixes, and other system changes for the INWIC application | N/A | N/A | Primary |
| 19 | Completing user acceptance testing for software releases, bug fixes, and other system changes. | N/A | Primary | Consulting |
| 20 | Maintaining system to track all requested changes and reported defects, their status, and final resolution. | N/A | N/A | Primary |
| 21 | Support the running of standard financial, vendor, and clinic operations type reports on demand and providing ad hoc reports as requested. | N/A | Consulting | Primary |

# Mandatory Requirements

Respondents must be able to meet the Mandatory Requirements listed below. In the Transmittal Letter of a Proposal, a Respondent must indicate its fulfillment of each of these mandatory requirements, as required by RFP section 2.2.1.

1. **Comparable Systems** – The Respondent must have maintained WIC MIS or another health/human services system of comparable size and complexity to Indiana’s INWIC in the last three (3) years.
2. **WIC** – The Respondent must have had at least one (1) project providing services for or in coordination with a state WIC program in the past five (5) years.
3. **Government Services** – The Respondent must have provided at least three (3) years of system maintenance, operations, and enhancement services for federal, state, or local entities.

# Project Management

## Project Staffing

To ensure the quality and consistency in the delivery of services, the State requires specific Key Personnel roles be included on the Contractor’s team. In addition to the Key Personnel, the Contractor shall be fully staffed to meet the State’s service level needs, as described in this solicitation.

Key Personnel are subject to approval by the State. The Contractor may not make any temporary or permanent changes to Key Personnel without at least three (3) weeks prior notice to the State and the State's prior written approval.

During the course of the Contract, the State reserves the right to require replacement of any Contractor employee or subcontractor employee found unacceptable to the State. Reasons for unacceptability include, but are not limited to, the inability of the individual to carry out work assignments or unsatisfactory job performance as determined by the State. The individual must be removed within two (2) weeks of the request for removal, or sooner if requested by the State, and be replaced within thirty (30) calendar days after the position is vacant, unless a longer period is approved by the State.

With any Key Personnel change, the Contractor shall submit the resume and references for a proposed replacement no later than fifteen (15) business days from notification of a resignation or request for removal or within a time frame agreed upon by the State. The replacement shall be of equal or greater ability and qualifications. State approval must be received prior to placing the replacement staff member on the project team. The State may also request a meeting with the proposed replacement before providing approval.

The Contractor must provide and maintain a current staffing plan that identifies the personnel who will be used to fulfill the services described in this Solicitation. Staffing plans must address the following:

1. Job title, qualifications, and descriptions for each staff position;
2. Subcontractor staff and responsibilities, if necessary;
3. Contractor performance evaluation and progressive disciplinary policies;
4. Plans for the replacement of departing temporary and permanent staff;
5. Updated organizational chart that shows the reporting structure and responsibilities of Contractor’s staff and any Subcontractor staff.

### Key Personnel

The table below provides a listing of program-specific Key Personnel for the Contractor’s team. It outlines the State’s perspective on minimum Contractor Roles and preferred qualifications necessary to support this project but is not intended to define specific Positions which will be required. Key Personnel shall be available onsite at the State’s offices when requested a minimum of two (2) weeks in advance by the State.

| **Role** | **Description** | **Preferred Qualifications** |
| --- | --- | --- |
| Project Manager | * Responsible for coordinating the overall project tasks * Serves as the single point of contact between the Contractor and the State for all communications on all system-related issues * Ensures performance metrics are sustained, and deliverables are submitted on a timely basis * Available during entire Contract term | * At least five (5) years of experience managing the maintenance and operations of systems similar in size and complexity to Indiana’s INWIC * At least three (3) years of experience with WIC MIS systems or state-level WIC programs * Project management experience * Strong written and communication skills * ITIL (Information Technology Infrastructure Library Certification) Service Manager Certification preferred |
| Systems Development Manager | * Manages system enhancements through design, development, and implementation * Responsible for the development of technical procedures and documentation | * A minimum of three (3) years of WIC MIS system experience * A minimum of three (3) years of working experience in design and developing web applications |
| Database Administrator | * Designs, manages, and maintains the INWIC database * Evaluates and optimizes database configurations and access | * At least three (3) years of experience in Oracle database administration |
| Quality Assurance Specialist | * Assists in development and execution of manual and automated testing of new feature and system releases * Responsible for analyzing end user requirements and reported defects to ensure the quality of the system and its performance * Involved in providing quality oversight and coordination of all QA activities | * Possess at least three (3) years of experience supporting end-users on a similar project of this scope and size * Possess at least three (3) years of experience testing on projects of this scope and size |
| Help Desk Manager | * Manages help desk support for users, including assisting troubleshooting and resolving technical issues with INWIC | * Minimum of one (1) year of WIC functional requirement experience * At least three (3) years of experience in the use of Microsoft Office Suite and knowledge of PC Windows operating systems * Possess strong oral and written communication skills |

### Resource Management Plan

The Contractor shall be responsible for meeting all duties and performance metrics included in this scope and any future enhancements. Insufficient staff does not constitute a valid reason for failing to meet agreed upon performance metrics and delivery dates; the Contractor is responsible for adjusting staffing levels as necessary to meet the needs of this scope. As such, the Contractor must describe in a Resource Management Plan the processes that deal with planning and managing the Contractor’s project team. The Contractor must have processes in place to define, monitor, and control:

* + - 1. Resource loading and leveraging
      2. Roles and responsibilities
      3. Organizational structure and decision-making authority
      4. Project team orientation and training
      5. Knowledge transfer and turnover

## Project Initiation

### Kick-Off Meeting

The Contractor shall conduct a kick-off meeting with appropriate WIC staff to be held at the program’s office in Indianapolis, IN. During the kick-off meeting, the Contractor shall elaborate on the general approach, plan, and methods for providing the services of this scope in Indiana. At a minimum Key Personnel must attend the kick-off meeting in person. Any other Contractor staff who may be critical to project initiation should also be in attendance.

### Project Management Plan

The Contractor shall provide services in alignment with a proposed and approved Project Management Plan (PMP), which outlines the project management approach that will be used for this project. The plan must detail the proposed levels of staffing, including technical staff, to ensure all enhancements and on-going operational tasks and responsibilities are completed in a timely and accurate manner. The PMP shall be comprised of the sub-plans described below, but may include any other additional information related to the Contractor’s approach to schedule management, budget management, quality management, requirements management, process improvement, resource management, risk management and mitigation, issue identification and resolution, tracking of service level related metrics, and preparation of status reports.

The Contractor must deliver the PMP and the corresponding subsidiary plans within thirty (30) calendar days of the Contract start date for State approval. Subsidiary plans must be integrated into the PMP and are described in the subsections below.

**Communication Plan**

The Contractor must develop a Communication Plan that ensures timely and appropriate generation, collection, and dissemination of project information. The Communication Plan should account for all stakeholders involved in the project, including the State, other related State contractors, the Contractor and its subcontractors, authorized vendors or providers, and local and Federal partners as applicable. The Communications Plan shall detail how communications among and between stakeholders will be delivered and managed. At a minimum, it must include the following:

1. Project team roles and responsibilities;
2. Escalation contacts and process;
3. Communication channels (diagram format);
4. Communication protocols and procedures for reporting project issues to State stakeholders;
5. Any communication deliverables; and
6. Process for coordinating, scheduling, and running remote and in-person meetings.

**Schedule Management Plan**

Schedule Management encompasses those activities related to accurately defining, monitoring, and controlling the time factors of the project. The Contractor must have in place processes for effective Schedule Management, as detailed in the Schedule Management Plan, including:

1. Activity definition
2. Sequencing and dependencies
3. Resource Estimating
4. Duration estimating and assumptions
5. Schedule development
6. Schedule control and reporting

**Change Management Plan**

The Contractor must work with the State to develop a Change Management Plan, in alignment with the State’s Change Order Process (Section 9.2), to establish the change management roles and responsibilities, policies, guidelines, processes, and procedures necessary for controlling and managing changes during the life of the project. The Change Management Plan must include the use of a change management tool for changes made to the existing production system during project implementation, thus ensuring the system incorporates all applicable changes at the time of deployment. The Change Management Plan must include the following components:

1. **Change Control Process**

The Change Control Process should be clearly identified in the contractor’s Change Management Plan. The process must include formally identifying the impact of any change or correction that modifies scope, deliverables, timeframes, or resource allocations. It also determines the disposition of the requested change or correction. The Change Control Process could be initiated by events such as legislative changes in State or federal legislation, State changes in business processes or policies, new business requirements, or project modifications.

The Contractor must follow a State-approved Change Control Process that:

* 1. Spans the entire project life cycle;
  2. Provides a clear scope of what is included and excluded from each change order request;
  3. Delineates the system downtime required to implement any change(s), when applicable;
  4. Requires the successful completion of regression testing before the implementation of the change;
  5. Incorporates multiple levels of priority for change orders (e.g., critical, must-have, desired);
  6. Supports the Change Control Process by estimating impacts (including cost, legal, timelines, resources, risks, other projects, and business activities), investigating solutions, identifying alternatives, updating information in project tracking tools, participating in decisions-, and implementing the agreed upon solution.

1. **Configuration Control Plan**

As part of its Change Management Plan, the Contractor must develop a Configuration Control Plan that addresses the proposed methodology and tools for managing configuration control throughout the project. At a minimum, the methodology must include:

1. Decision and communication processes required before configuration changes can be made;
2. Technical and security architecture, including:
   1. Server - physical and logical hardware, environments, capacities, and performance specification
   2. Networking equipment and schema;
   3. Software, including system/operational/utility/diagnostic, and application; and
   4. Database.
3. Version/release numbers of all proposed software and schedules for the implementation of all architecture components in all environments (Production, QA, etc.).

The Contractor must execute the Configuration Control Plan throughout the project. Any deviation from this plan must be approved in writing by the State prior to the change.

Please see Sections 9 for information on how the Change Order process is used for managing system enhancements and how the State intends to include an pool of up to 1000 hours for enhancements on an annual basis.

1. **Issue Management Plan**

The management of project issues through issue identification, tracking, and resolution is a key activity that must be maintained throughout the life cycle of the project. The Contractor must have a methodology for tracking issues through resolution and communicating resolution to project stakeholders. The Contractor must work cooperatively with the State to agree on the process and tools for documenting and maintaining Issue information that will provide, at a minimum, the following:

1. Description of the issue
2. Priority of the issue
3. Dependencies and plans for resolution
4. Staff responsibility assignments
5. Impacts, if appropriate
6. Targeted and actual resolution dates
7. Resolution action
8. Escalation activities, if appropriate

Data generated by the agreed upon issue-tracking tool will become a part of the Weekly Status Report (See Section 4.2.4 below).

1. **Quality Assurance and Risk Management Plan**

The Contractor shall provide a Quality Assurance and Risk Management Plan. At a minimum, it must define quality assurance and risk management procedures covering such topics as the identification, analysis, planning, tracking, control, and communications of risks.

1. **Software Enhancement Approach**

The Contractor shall provide a Software Enhancement Approach document, which describes the administrative and technical procedures to be used throughout the software development life cycle (SDLC) to control enhancements and releases of the software. This deliverable will describe how the Contractor will control software enhancements with different schedules for different functionality.

### Project Schedule

The Contractor must develop an initial Project Schedule in Microsoft Project that includes a detailed listing of scheduled activities, timeframes, and high-level estimates of effort. It must contain appropriate version control to establish the initial baseline and changed versions. Subsequent work schedule updates must include the original baseline as well as the current start and finish dates and the percentage completed for the activities. Changes to the baseline must be justified and approved by the State or its designee as part of the formal change management process.

The Project Schedule must be maintained throughout the life of the project and shall be updated as necessary (monthly at a minimum) to reflect the accurate status of the project and all system enhancements.

### Project Status Reports

The Contractor must meet with the State program team and provide written status reports weekly or as otherwise negotiated. Written status reports are due to the State two (2) business days prior to the status update meetings, and must provide status information on all planned, ongoing, and completed project activities. The Contractor’s proposed format and level of detail for the status report is subject to State approval.

At a minimum status reports must include:

1. Minutes from the previous status meeting;
2. Updated Project Schedule;
3. Status reports of current tasks/deliverables, including any notification of schedule slippage;
4. Anticipated tasks to be completed during the next reporting period;
5. Risk tracking log with risk mitigation strategies;
6. Report from the Issue Tracker (see Section 4.2.2.d), with outstanding problems, issues, and changes;
7. Test results, when applicable;
8. Identification of Contractor project staff assigned to specific activities;
   1. Planned absence of Key Personnel and their anticipated return date; and
   2. Modification of any known key staffing changes.
9. Action items to be completed by the Contractor, and by the State
10. Responsibilities or role of Federal partners, as applicable.

### Transition

In the event of a transition, the Contractor shall work with the State to develop and manage plans for transferring services from the current incumbent vendor over a period not to exceed 60 calendar days.

The Contractor must prepare a Transition Plan detailing its assumption of the work detailed in this scope. The draft Transition Plan must include detailed steps and procedures necessary to prepare for, transition, and provide all services required for the program in this RFP with minimal disruption to clients, vendors/providers, State users, and other stakeholders. This Plan must include details on how the Contractor plans to interface with the current contractor to transfer data and responsibilities during the transition. The plan must provide a detailed time line for coordination and completion of the system conversion, testing, and services transition including:

1. A description of the overall approach;
2. The order in which transition activities will occur;
3. Tasks to be performed;
4. Parties responsible for the completion of each task;
5. A backup plan if any or all of the transition activities are delayed;
6. Training;
7. Customer service;
8. Timeframe for database conversion, including a backup date;
9. Testing procedures, verification, and validation of the migration process;
10. Quality assurance checkpoints and critical paths.

## Deliverable Submission and Acceptance

The Contractor shall provide project deliverables and documentation for review and approval by the State. Electronic copies of draft and final documentation and deliverables must be supplied to the State through the use of a secure electronic document depository (See Section 5.4.1. for “Project Library” requirements). Electronic copies shall be provided in MS Office format, unless otherwise specified or approved by the State. Workplans must be submitted in MS Project and .PDF formats.

The Contractor shall be required to update and maintain project deliverables and documentation for the duration of the contract. The approved deliverables and documentation shall be updated to reflect changes in system design or operations or as requested by the State. Updates to system documentation shall be completed within ten (10) business days of any system change.

### Deliverable Standards

For each required deliverable or group of related deliverables, the Contractor must develop a Deliverable Expectation Document (DED) in advance of the scheduled start of any task or subtask that will produce the deliverable. The DED will include the following:

1. Deliverable outline
2. Sample deliverable format
3. Methodology, as appropriate
4. General description of what that will be contained in the deliverable

The State will discuss specific expectations and acceptance criteria for the DED with the Contractor in advance of the DED due date. The State will work with the Contractor to approve each DED. Mutual agreement on the DED sets the expectation levels of the Contractor and the State. The schedule for these tasks will be delineated in the Contractor’s Project Schedule.

### Formal Transmittal of Deliverables

As appropriate, the Contractor shall test each deliverable to confirm that it meets all Contract requirements before it is submitted as complete. By submitting the deliverable, the Contractor certifies that it meets all Contract requirements. The Contractor must submit electronic copies of all deliverables, including non-written deliverables (such as source code, software, network configurations, etc.) for each task or subtask. Each deliverable submitted to the State for review and approval must have a formal transmittal letter from the Contractor’s Project Manager.

The Contractor’s Project Manager must be responsible for the appropriate quality control of its deliverables. All deliverables shall be provided in a complete form and shall meet all Contract requirements no later than the dates indicated in the approved Project Schedule. It is of critical importance that the Contractor meets deadlines to provide high-quality deliverables.

### Approval and Rejection of Deliverables

The Contractor must submit each deliverable to the State for review, comment, and approval. The State’s review period will vary with the type, complexity, and volume of the deliverable. The Contractor must include adequate estimates for State review, comment, and any Contractor re-work time in the Project Schedule. For the Contractor’s estimation purposes, the State’s default review period shall ten (10) business days, unless an alternative review period length is requested in writing.

In the event the State finds a deliverable to be unsatisfactory, the State shall notify the Contractor of the reason(s) for deliverable rejection in writing. The State shall meet and confer with the Contractor to provide clarifications as requested or needed. The Contractor must then correct and resubmit the deliverable within agreed timeframes that will vary with the type, complexity, and volume of the deliverable. Rejection of a deliverable by the State does not provide permission for delays in delivering subsequent deliverables unless approved by the State.

# Maintenance and Operations

The Contractor shall work with the State to ensure operational integrity through maintenance and operations activities throughout the length of the contract. INWIC system operations include: updates; patches and repairs; defect resolution; software upgrades; and technical support during the term of the contract. Additionally, the Contractor must update all user documentation by the release of any enhancements and all system documentation within ten (10) business days after the implementation of any changes to the system.

Please note that the current INWIC system as well as all future system changes or enhancements that are successfully implemented prior to the execution of this Contract will be considered in scope and subject to maintenance. The Contractor shall meet all of the requirements outlined in this RFP and the resulting contract. The Contractor’s Project Manager shall manage ongoing communications with the State on all operations within the program scope and must immediately notify the State of any issues or problems.

Required on-going communications includes periodic status reports and status meetings with the Contractor’s Project Manager, other project staff as needed, and the State. Other reports and meetings shall be requested by the State as needed. Of particular importance is the advance notification from the Contractor of scheduled system downtime to State.

## Ongoing Maintenance

The Contractor must work with the State to coordinate implementation, release, and regularly scheduled maintenance of updates, patches, and repairs for the INWIC system, including the INWIC application and all mobile applications. All updates, patches, and repairs must be fully and successfully tested before migration to production. Please see Section 9.6 “Quality Assurance and Testing” for additional requirements related to testing system changes.

The Contractor must notify the State and fix and address all system defects, issues, and system performance failures. Please see Section 5.2.1 “Issue Management” for severity level classifications and resolution times. For implementation of system repairs the Contractor must work with the State to coordinate the release of the repairs.

### System Monitoring

The Contractor shall monitor system operations on a daily basis and make necessary adjustments to maintain peak operation efficiency so that system users are not adversely affected. Ongoing monitoring applies to all system components including the operating systems, third-party components, Oracle database, and all related components. The Contractor must recommend maintenance activities, including recommendations as to whether to upgrade older versions to current versions. Please note that the State and IOT must approve any upgrades.

The Contractor shall perform an in-depth analysis and probe of all system components as requested to test the database integrity and system performance. The Contractor shall further determine if actions are required to meet or improve on Performance Metrics. See Section 13.3 for a detailed listing of Performance Metrics.

Please note that this is a “shared” responsibility with IOT (See Section 2.4), so the Contractor must coordinate and cooperate with IOT to ensure comprehensive system monitoring occurs.

### Database Management

The Contractor shall perform timely database tuning as needed in order to keep the database running as efficiently and effectively as possible. At a minimum, the Contractor should report performance findings and results of any tuning activities in a written, quarterly analysis to WIC.

Please note that this is a “shared” responsibility with IOT (See Section 2.4), so the Contractor must coordinate and cooperate with IOT to ensure the database is appropriately managed.

## Technical Support

The Contractor shall properly plan and conduct services to minimize the occurrence of incidents and/or problems with the system components. In the event of incidents, the Contractor shall assign qualified technical staff to respond during business hours to WIC communication on non-urgent matters. Communication includes telephone calls, e-mails, and text messages from WIC office staff and State technical staff. For urgent matters, the Contractor must have a telephone number that is answered by qualified technical staff 24 hours/7 days per week.

### Issues Management

If issues and/or problems arise in the production environment, the Contractor shall work with the State to resolve issues in a timely manner. The Contractor shall have a clear escalation procedure through the appropriate chain of command to ensure that the production issue is getting the appropriate attention to meet the level of urgency.

Additionally, the Contractor shall resolve issues according to the following severity levels.

| **Severity Level** | **Description** | **Example** | **Resolution Time** |
| --- | --- | --- | --- |
| Critical | System Failure. No further processing is possible. | Critical to solution availability, results, functionality, performance, or usability. | Within four (4) hours of identification |
| High | Unable to proceed with selected function or dependents | Critical component unavailable or functionally incorrect (workaround is not available). | Within one (1) business day of identification |
| Medium | Restricted function capability; however, processing can continue. | Non-critical component unavailable or functionally incorrect; incorrect calculation results in functionally critical key fields/dates (workaround is normally available). | Within five (5) business days of identification or resolution time approved by State |
| Low | Minor cosmetic change needed. | Usability errors; screen or report errors that do not materially affect the quality and correctness of function, intended use, or results. | Within two (2) weeks of identification or resolution time approved by State |

Issues should be recorded and tracked in a log or issue tracking tool (See Section 4.2.2.d). Critical Severity issues must be reported to designated State staff within one (1) hour of discovery or identification of the issue.

Incident reports must be provided for every system problem. The incident reports must include the affected areas of the State and programs, date of report, date of incident, reference number, start and end times of the incident, problem type, problem impact summary, detailed description of the problem, immediate resolution, permanent solution, and who resolved the problem.

Initial incident reports for critical and high severity incidents must be provided within 24 hours from the start of the system problem. If the incident report does not include the permanent solution to the incident, that report must be updated every 24 hours to reflect the most current status of the incident until it is resolved. A follow-up incident report must be provided no later than 24 hours after the permanent solution has been defined for critical and high severity incidents. For medium and low severity levels, initial incident reports must be provided within five (5) business days or a timeline approved by the State.

If the Contractor cannot resolve an issue within the established resolution time for its severity level, the Contractor must submit a plan and revised timeline for issue resolution to the State in the incident report.

### Technical Consultation

As part of providing technical support, the Contractor must be available to provide technical consultation to WIC, which may include attendance of technical meetings with state staff, USDA/FNS, and EBT system staff. Technical consultation may be about INWIC operations, the interface with the EBT system, the purchase, upgrade, testing, and deployment of peripheral equipment needed to operate INWIC in the field, and technical feasibility, estimated development effort, and business and system impacts associated with any proposed enhancements, fixes, configuration or converted data items, or system or software tool upgrades. The Contractor must complete assigned follow-up items, analyses, reports, meeting notes, or other relevant tasks as directed by the Indiana WIC Program.

Please also refer to all “consulting” responsibilities listed in Section 2.4 “Division of Responsibilities.” For example, the Contractor shall be responsible for providing technical advice and support for IOT in the development and management of Disaster Recovery plans and processes.

## Software Upgrades

The Contractor shall formally present the State with an overview of available software upgrades at least once a year. Software upgrades may be recommended at any time as part of the Contractor’s standard system monitoring and maintenance activities (See Section 5.1.1 above). In the formal presentation, the Contractor’s recommended upgrades may include, but are not limited to, platform upgrades, new software versions, and enhanced features and functionality. The Contractor shall be responsible for identifying and presenting Contractor-developed upgrades. The Project Manager must coordinate with the Contractor’s national product leaders where such features may be discussed and bring them to the state for consideration.

The presentation must describe each potential upgrade’s impact on current system configurations and any successful implementations in other states. During the presentation, the Contractor shall also provide the State with information on ad hoc reports and queries developed for other state accounts. At the State’s request, any such report shall be available as a standard query for the State of Indiana at no additional cost.

The State must approve all software upgrades, and in the event that the State does not approve the software upgrade, the Contractor must fully support the system and its functionality as is.

All upgrades must be fully and successfully tested, through regression testing and other types of testing as deemed necessary by the State, before migration to production. For the implementation of approved software upgrades, the Contractor must work with the State to assess system impacts, mitigate risks, minimize downtime, and coordinate the release of the upgrades with regularly scheduled maintenance.

## System Documentation

The Contractor shall update all system documentation to reflect the changes made to the system as changes occur. System Documentation includes but is not limited to source code comments, system design documents (including detailed report descriptions), on-line help screens, user manuals, data dictionaries, the Coding Standards Document, or other documents as directed by the State.

### Project Library

The Contractor shall establish an electronic project library that shall be used by the entire project team. The Contractor is responsible for ensuring that all necessary State staff (as determined by the State) receive access to the project library at no additional cost. All deliverables and documents related to this project must be managed in this electronic library and be provided in a format accessible by the State’s standard suite of software and designated versions. Such State-standard software includes, but is not limited to, the Microsoft family of products (Word, PowerPoint, Excel, Access, SharePoint) and Adobe Acrobat.

The project library will be the documentation repository and must serve as the primary access point for completed tangible results for each task. All deliverables and documents related to this project must be managed in this electronic library, including administrative information regarding budget, schedule, and project progress, as well as any other correspondence, reports, or project-related information.  Documents must be accessible immediately. The Contractor will work with the State to ensure that the documentation repository is logically organized.

If the Contractor cannot establish a project library, the State shall establish an electronic project library using Microsoft SharePoint and provide access to the Contractor.

### Release Notes

The Contractor shall draft System Release Notes for any future modifications that may be made to the system over the life of the Contract for State use. The Release Notes will typically be an overview of the changes (high level non-technical description of change with screen shots as needed) to be used for informing user staff of changes. Drafts will be submitted to Indiana WIC and will be distributed by Indiana WIC to State and local users.

## Coordination with State Contractors

### EBT Contractor Coordination

The Contractor must coordinate with the EBT contractor to ensure that the two systems interface correctly and to make such modifications as may be necessary to accomplish a seamless interface. This coordination must occur on an on-going basis for any future system modifications that may be required due to changes in Federal requirements, industry standards, and/or State requirements.

Please see Section 6.1 (below) for more information on coordinating the interface between INWIC and eWIC.

### File Transfers

**EBT**:

The INWIC system communicates with the current WIC EBT contractor and its EBT system through web service calls and file transfers.

Service calls are processed from the INWIC application and the INWIC Mobile App in real-time. All service calls go through IOT BizTalk web service before being pushed out to the WIC EBT contractor’s web services.

Service calls originate from:

* INWIC application benefits issuance, void, and balance inquiry
* INWIC application eWIC Card assignment, replacement, deactivation
* INWIC application Clinic updates (add/change)
* INWIC Mobile App benefits current balance inquiry

The INWIC application and the WIC EBT system transfer the following files:

* 1. Inbound Files from WIC EBT to INWIC application

These files are uploaded by the WIC EBT contractor to an external IOT File Transfer Protocol (FTP) server. BizTalk decrypts the files and sends them to an internal IOT FTP server. WIC MIS picks up and processes the files.

|  |  |  |
| --- | --- | --- |
| File | Description | Timing |
| Redemption File | Contains redemption data, typically from the day prior to that of the transfer | Received by 11:00 am ET |
| Daily Benefit Activity File | Audit file containing the issuances and voids from the day prior | Received for a 1:00 am ET processing window |
| Card Update File | Contains card actions that happened within the WIC EBT system, outside of the WIC MIS, on the day prior | Received for a 1:00 am ET processing window |

1. Outbound Files from INWIC application to WIC EBT

These files are created nightly by WIC MIS and uploaded to an internal IOT FTP server. BizTalk encrypts the files and sends them to an external IOT FTP server. The WIC EBT contractor picks up and processes the files.

|  |  |  |
| --- | --- | --- |
| File | Description | Timing |
| Cat/SubCat File | Full replacement of the category and subcategories within the system. Sent only when at least one (1) category, subcategory, or supporting table is updated. | Sent at 1:00 am ET |
| UPC/NTE File | Delta update of UPC/NTE items within the system. Only sends items that have been updated (either UPC or NTE information). | Sent at 1:00 am ET |
| Vendor File | Delta update of the Vendors within the system. Only sends vendor information that has been updated. | Sent at 1:00 am ET |

1. Inbound Response Files (to State Outbound Files).

These files are processed in the same manner as other “inbound files,” but are sent in response/receipt of outbound files to ensure that outbound files have been processed successfully. The three inbound response files match the three outbound files in name and content. The inbound response files are processed at 6:30 am ET.

**Automated Messaging (text messages and phone calls):**

The INWIC application communicates with the current Broadcast Messaging contractor and its messaging system through web service calls and file transfers.

Appointment Reminders and Client Roster

* 2 Outbound Files: The Roster file and the Reminder Call file, are placed on an IOT server where they are picked up and processed by BizTalk (encrypted and then moved to another FTP server for Broadcast Messaging contractor’s pickup). No outbound data is transmitted through Web Services.
* Incoming Web Service Call: The response data from the Reminder Call file is retrieved through a series of Web Services calls that are made directly to the Broadcast Messaging contractor’s system. BizTalk does not play a part with this.

Survey Messaging and Ad Hoc Texting

* Outbound Data: For survey messaging, the data is sent to Broadcast Messaging contractor’s system through a series of Web Service calls that are made directly to the Broadcast Messaging contractor. BizTalk does not play a part with this.
* Incoming Data: At this time, we do not process the response data but, if we did, we could call the Broadcast Messaging contractor’s services directly.

**Medicaid:**

The INWIC application receives and processes a file from Indiana State FSSA. This file contains a list of new Medicaid clients who may be eligible for WIC. An FSSA member saves the file on an IOT Secure FTP site. The MIS Contractor downloads the file and runs an INWIC program that processes the data and stores it in the INWIC database.

# Compliance

## WIC Universal MIS-EBT Interface

Currently the INWIC system interfaces with the WIC EBT system via WIC [Universal MIS-EBT Interface (WUMEI) Specification](https://www.fns.usda.gov/sites/default/files/wic/WIC%20Universal%20MIS%20%20EBT%20Interface%20Specification%20March%202015.pdf) (June 2012Version). Should FNS release and require an updated version of this interface, the Contractor shall develop and execute a plan to modify the INWIC system to be in compliance with the latest, approved version of the WUMEI document according to federally required deadlines. This task shall include the:

1. Design,
2. Development
3. Conversion of existing information where needed
4. Testing (both internal and with the EBT provider)
5. Documentation and
6. Transition/Implementation

Please note: that the State is interested in the Contractor’s ability to provide personnel experienced in JSON (JavaScript Object Notation) technology, as this is one of the changes in technology under consideration for future WUMEI changes.

For a complete review of the current WIC Universal MIS-EBT Interface document, please visit:

<https://www.fns.usda.gov/wic/wic-mis-%E2%80%93-ebt-universal-interface>.

## System Security Requirements

The Contractor shall coordinate with IOT to ensure the INWIC system has appropriate security to meet applicable State and Federal requirements and to protect the integrity and confidentiality of program data. The Contractor shall consult and support IOT in completing a review of a Security Plan and/or security documentation provided by the State not later than 150 days from Contract execution and then every two (2) years thereafter. The Contractor must update the review document throughout the life of the Contract as industry standards change, new State and/or Federal requirements are issued, or new security concerns are discovered. The Security Plan currently addresses the following:

* + - * 1. The location and description of the controls at each of the physical facilities where Contract-related activities occur to protect data from unauthorized use and access.
        2. The controls over the hosting environment hardware and software to protect data from unauthorized use and access.
        3. The virus and malware controls to protect data from unauthorized use, access, contamination or corruption.
        4. Results of any recent Service Organization Control (SOC) 1 or SOC 2 audits of the hosting/data center and/or plans to conduct such audits.

Please note that this is a “shared” responsibility with IOT (See Section 2.4), so the Contractor must coordinate and cooperate with IOT to ensure up-to-date system security is in place.

## State and Federal Requirements

The Provider must comply with all applicable Federal laws, regulations, action transmittals, program instructions, review guidelines and similar documentation related to the following:

| **Citation** | **Topic** |
| --- | --- |
| 7 CFR §246 | Federal regulations governing the Special Supplemental Nutrition Program for Women, Infants and Children (WIC) |
| 7 CFR §246.12 | |  | | --- | | Subsection of 7 CFR §246 dealing with WIC Food Delivery Systems (including EBT) | |
| 2 CFR §200 | Uniform administrative requirements, cost principles, and audit requirements for federal awards |
|  |  |
|  |  |
|  |  |
| OMB No. 0584-0045 | WIC Financial Management and Participation Report |
| FNS Handbook 901 | Advance Planning Document (APD) Process: A State Systems Guide to America’s Food Programs |

Additional resources may be found on the USDA/FNS web site at: <http://www.fns.usda.gov/wic>.

### Policies and Documentation

The Contractor must research and remain current on all WIC EBT policies, practices and standards as they relate to WIC information system requirements, including but not limited to the following:

1. WIC EBT Operating Rules & Technical Implementation Guide: (https://www.fns.usda.gov/wic/wic-electronic-benefits-transfer-ebt-guidance)
2. USDA’s Functional Requirements Document for a Model WIC System with EBT (FReD) (https://www.fns.usda.gov/apd/wic-document-library), including functional requirements for the following major WIC system functions:
   1. Certification
   2. Nutrition Education, Health Surveillance and Referrals
   3. Food Benefit Issuance
   4. Food Benefit Redemption, Settlement and Reconciliation
   5. Financial Management
   6. Caseload Management
   7. Operations Management
   8. Vendor Management
   9. Scheduling
   10. System Administration
   11. Reporting
3. USDA’s APD website: <https://www.fns.usda.gov/apd/fns-oversight-state-systems-advance-planning-document-processs>

### State Requirements

1. In addition to the federal policies and procedures referenced above in sections, the Indiana WIC Program has its own set of policies and procedures that local agencies are required to follow in the provision of services to WIC participants, including guidance for participant certifications, vendor authorizations, and reporting. Please see the Bidders’ Library for additional information.
2. The Contractor shall be familiar with local agency policy and procedure manuals and researching, recommending, and providing system modifications that adhere to the rules, regulations, policies and standards set forth therein.

### USDA Sovereign Authority

The USDA shall be granted access to all system design, development, implementation, operations, and to pertinent cost records of the Contractor and subcontractors as USDA considers necessary.

The federal awarding agency reserves a royalty-free, nonexclusive, and irrevocable license to reproduce, publish or otherwise use, and to authorize others to use, for Federal Government purposes, the copyright in any work developed under a grant, sub-grant, or contract under a grant or sub-grant or any rights of copyright to which a grantee, sub-grantee, or Contractor purchases ownership with grant support.

Please see addition Federal Requirements in Attachment B, “Sample Contract,” Clause 51.

# Transferrable Software Package

The Contractor shall develop and provide the State with a transferrable software package that can be shared with other State WIC agencies and USDA at the request of and as approved by the State. The software package must include all components necessary for the transferred software to be successfully acquired and implemented, including, at a minimum:

1. Source code
2. Executable code
3. Database schema
4. All the web files and a backup of a database shell (structure and rule, not data) to include:
5. Basic lookups
6. Security roles
7. At least one user with administrative access
8. Or, a series of database scripts which creates the shell database (applicable seed data could be substituted for a database backup)
9. Requirements and instructions for installation and configuration
10. Required system documents

The transfer of the INWIC system software package from Indiana’s WIC Program to another State WIC agency shall not be construed as an agreement for additional services between the Contractor and the receiving State WIC agency.

# Help Desk

The Contractor shall be responsible for providing a Help Desk for system support for all INWIC system local clinic users. Users will contact the Contractor’s Help Desk for all INWIC application questions or problems, data questions or problems, and hardware-related issues. The Contractor must provide an adequate number of qualified help desk staff thoroughly trained in customer service, general technical skills, specific knowledge about the system, and field hardware specifications to handle expected call volume. Please see Section 13.3 “Performance Metrics” for specific service level requirements related to the provision of Help Desk support.

## Toll-free Line

The Contractor must provide a single toll-free telephone number for all users to report issues, including hardware issues. Staff must be available to answer calls to the Help Desk between the hours of 8:00 am EST and 8:00 pm EST, Monday through Friday, except for select holidays as follows:

1. New Year’s Day
2. Memorial Day
3. Independence Day
4. Labor Day
5. Thanksgiving Day and the day after
6. Christmas Day
7. Other federally recognized holidays, such as MLK Day, President’s Day, Columbus Day, Veterans Day, etc., may be observed by most, but not necessarily all local WIC agencies. Call volumes on those days would be lighter than normal, however.

If a user calls outside of business hours or is unable to remain on the line, the caller must be provided an option to leave a voice message. All voice messages should be responded to within 30 minutes if the message is left during published help desk service hours. A voice message left outside of published hours will be responded to within 30 minutes of the commencement of the following business day.

## Email Account

The Contractor must provide an email account for users to use for non-essential issues, including hardware issues. All emails will be responded to within one (1) business day of receipt. If the issue cannot be resolved within that time frame, a reply email is still required within that time frame to acknowledge receipt and to provide a timeline for resolution.

## Help Desk Ticket Tiers

The Contractor must support the intake, triage, and resolution, as applicable, for all help desk tickets:

1. Tier 1 tickets are questions easily addressed by the Contractor team. Examples include user access issues and basic program or status inquiries. Tier 1 tickets must be resolved in one (1) business day.
2. Tier 2 tickets are issues that require more technical and/or program knowledge. These may require some follow-up/intervention to resolve. Tier 2 tickets must be resolved within three (3) business days.
3. Tier 3 tickets are issues that require extensive technical and/or program knowledge and may lead to a system change. Before a Tier 2 ticket may be escalated to Tier 3, the State must be notified and grant escalation approval. Tier 3 tickets must be resolved in a timeframe that is approved by the State.

The Contractor must have a process for capturing and determining common issues that might indicate a system-wide defect, an area where a system modification may be needed to enhance system use, or the need for additional user staff training. Any system defects or issues that are reported to the Help Desk and meet the severity levels listed in Section 5.2.1 “Issue Management” must be addressed according to the applicable severity level’s resolution time. Additionally, the Contractor must meet with the State at least once per month to review a summary of common Help Desk issues and calls (both for hardware and system support).

The Contractor must have an established escalation protocol for handling all calls to ensure that critical calls are handled in an appropriate manner and within the timelines described above.

## Help Desk Staff Training and Resource Access

The Contractor must establish a process and frequency for providing training to help desk as new staff are hired and/or as additional modifications are made to the system prior to the implementation of such modifications so that staff is fully knowledgeable of the changes.

Help desk staff must have access to management and/or technical resources to support the handling of Help desk tickets in a timely and appropriate manner, according to the tiered ticket requirements described above in Section 8.3. This may include help desk staff being provided access to the production and test/training environments so that they can research issues on a real time basis, along with read-only access to the WIC EBT contractor portal.

## Help Desk Tools

### Remote Access

The Contractor must provide a tool or tools that will allow help desk staff to remote into a user’s PC to either shadow the user to determine how an error might have occurred and/or to take remote control of the PC to correct an issue for the user.

### Call Tracking

The Contractor must provide an automated call distribution system or other equivalent system for tracking calls and help desk analysis activities to enable the Contractor to monitor and track the volume of calls so that staffing levels may be adjusted accordingly as call volume dictates. The call system should be capable of indicating the approximate hold time for the user.

The call tracking system must be able to log all calls, including information about: the site calling, the person calling, the time and date of the call, the category of the call, the severity of the issue, escalation status, a brief summary of the problem, the time and date the issue was resolved, the duration of the call and the time required to resolve and a summary of the resolution. Follow-up calls on the same issue will be linked together to allow tracking of resolution and time required to resolve.

Monthly reports on call activity and performance levels (see Section 13.3) must be submitted to the State.

### User Notification

The Contractor must provide a message board or some other means to allow broadcast communications to INWIC system local clinic users to advise them of known issues that may affect multiple users. The Contractor shall be responsible for posting any such messages upon State review and approval.

Mobile App availability issues must be communicated via the established notification process to local clinic staff. Communications directly to WIC clients about Mobile App issues should be handled by the State or by local clinic staff through short message service (SMS) or push alerts for clients who opt into notifications.

## Hardware Support

The Contractor shall be responsible for providing system hardware support for all system users at the local clinic level. Users will contact the Contractor’s Help Desk for all hardware questions using the same toll-free number as for system support.

Please note that WIC clinic staff are health professionals and not PC experts. Few WIC clinics have on-site technical staff that are available to them and will rely on the Contractor’s hardware support for assistance. Help desk/hardware support staff should be trained accordingly.

Hardware support shall be provided on a depot style basis (equipment is configured centrally and shipped out ready for clinics to install). The State will provide the Contractor with an adequate amount of system-related equipment (clinic use only) to maintain on hand for replacement purposes. The Contractor shall determine the level of on-hand equipment needed based on their experience. The Contractor shall bill the State for the actual costs of shipping equipment to and from the local WIC clinics as part of the monthly invoice for services.

At a minimum, the new Contractor shall be responsible for supplying and supporting the following devices:

* Desktops
* Laptops
* Tablets
* Scanners
* Signature Pads

The following services and tasks are required under this category.

### Hardware Support Website

The Contractor must provide a website for system users to download drivers, view an accurate and detailed inventory, and obtain other equipment related information. Please go to <https://sharepoint.roeing.com/wic/> to view the current IN WIC hardware support website as an example of the type of information that might be made available.

### Replacement Equipment

The Contractor shall attempt to resolve hardware problems remotely over the telephone with clinic staff (or through remote terminal access per Section 8.5.1) where possible. If the hardware issue cannot be resolved and replacement equipment must be shipped, requests for replacement hardware received by 3:00 pm EST Monday through Friday must be shipped the same day for next business day delivery. Requests received after 3:00 EST must be shipped the next business day for next business day delivery. There will be no Saturday delivery.

### Hardware Configuration and Set-up

All equipment shipped will be fully configured to the extent possible so that clinic staff will only need to ‘plug and play’. Explicit written instructions and telephone support must be provided to the sites to assist with installing all equipment. Anti-virus software must be installed on all computers prior to shipment to local clinics.

In the event a local clinic or agency has its own IT staff, the Contractor will work with the clinic or agency to provide equipment in the format the IT staff require.

### Defective Equipment

Under certain conditions, defective equipment that is being replaced will need to be returned to the Contractor by the clinic. A return pre-paid shipping label must be included with the replacement equipment so that the clinic can return the defective equipment when appropriate.

All defective equipment shall be returned to the Contractor. For any equipment still under warranty, the Contractor will pursue warranty work on behalf of the State directly with the manufacturer.

The Contractor shall be responsible for disposing of or recycling defective equipment as needed. The Contractor must ensure all hard drives on defective, decommissioned equipment are sanitized of data or physically destroyed.

### Hardware Support Plan

The Contractor must provide a Hardware Support Plan that details how the Contractor shall provide hardware support services. The Hardware Support Plan should address all of the above elements, as well as the requirements under Sections 11 “Facilities and Supplies. The Hardware Support Plan must be submitted to the State for review and approval not later than 60 days from Contract execution. The Contractor’s Hardware Support Plan must also describe how the Contractor shall ensure that Microsoft and anti-virus software updates are conducted in a regular and timely manner.

## Historical Data

In-bound INWIC Help Desk calls under the current IN WIC system averaged 482 calls per month in 2018. The average time per call was 4.5 minutes.

In-bound INWIC Hardware Help Desk calls under the current IN WIC system averaged 41 calls per month in 2018.

The majority of IN WIC clinics operate in the Eastern Standard Time (EST) zone, although there are 26 clinics that do operate in the Central Standard Time (CCST) zone. All areas observe Daylight Saving Time.

Core hours for clinic operations are from 8:00 am EST to 5:30 EST, during which time the majority of help desk calls are received. State policy requires that each local WIC agency have at least one clinic that has evening hours to provide access to working families. All clinics are closed by 8:00 pm EST. Monday, Tuesday, and Wednesday are the most common days for evening hours. On Fridays, all clinics are closed by 5:30 pm EST. One site is open on Saturday 9:00 am to 2:00 pm EST.

## Out of Scope Responsibilities

The Contractor’s Help Desk shall not be responsible for:

1. Assisting clinics with Internet connectivity issues. Each clinic is responsible for providing its own internet service to connect to the system and will need to contact their local provider for related issues. However, the Help Desk will need to troubleshoot issues to determine if it is a connectivity issue or not. The Help Desk should be able to provide basic trouble-shooting suggestions to assist clinics, such as power cycling the DSL router, etc.
2. Assisting clinics with non-WIC system related applications, such as Microsoft Office products, Adobe Acrobat, SharePoint, etc.
3. Assisting clinics with non-MIS policy or procedures questions. Clinics should be directed to contact the State WIC Office for all WIC program policy and procedure related issues.
4. Fixing data errors caused by clinic errors, such as transposing numbers when entering heights and weights, etc. However, the Help Desk (or other technical staff) will need to fix data errors caused by a system malfunction. The Contractor must clearly establish rules for data correction.

# System Enhancements

The Contractor shall provide a capped Enhancements Pool of 1000 hours a year. The State is not required to use up the hours and dollars allocated for the Enhancements Pool for each State Fiscal Year. The Contractor shall not bill for any hours not used from the Enhancement Pool at the end of the State Fiscal Year. Any design, development, and implementation activities needed for Enhancements shall be conducted according to the Contract’s System Development Lifecycle (SDLC) processes. Enhancements can be for new system components or modifications/configuration changes to existing system components. These enhancements may be caused by changes in State or federal regulatory requirements or by requests from the State. These modifications shall be managed via the Change Order Process (described below Section 9.2).

Changes that are needed to fix an Enhancement after it is implemented and that are brought to the Contractor during the Warranty period shall not count towards the Enhancements Pool. Please see Section 9.8 below for information about the Warranty. Please see Sections 9.3 and 9.4 for more details on what enhancements are billable versus non-billable.

## Annual Plan

The Contractor shall meet with the Indiana WIC Program onsite at the start of each state fiscal year in order to develop, revise, and review the Project Schedule and develop an Annual Operations and Maintenance Plan (“Annual Plan”). The Annual Plan must include all major, upcoming maintenance and operations tasks, including software development tasks and enhancements. The timing of the development of the Annual Plan should be done in coordination with software upgrade presentation (See Section 5.3). The Annual Plan shall be updated quarterly and at the direction of the State.

## System Change Order Process

The Contractor shall be responsible for future system enhancements and modifications to improve the operations or functionality of the system, to comply with new Federal regulations or requirements, or to comply with changes in State policy and procedure.

The following Change Order Process shall be used:

1. Changes requests (CR) are primarily initiated by the State and submitted in writing to the Contractor. The CR will be a high-level description of the desired change.
2. The Contractor will review the request, request clarifications when needed, and then prepare a System Modification Request (SMR) for State review and approval within 15 days of receipt of the CR. The SMR will include the Contractor’s understanding of the original CR with a higher level of detail than provided in the original CR and include both the estimated impact to the system and any risks. Additionally, the Contractor shall specify in the SMR which staff shall be responsible for completing the enhancement work. Where possible, the State prefers that the Contractor assign staff to enhancements who are not also responsible for performing the base maintenance and operations work of the Contract.
3. The State will review and approve the SMR as appropriate and notify the Contractor. The Contractor will then prepare a detailed system design document and cost estimate for the requested change within 30 days of receipt of the State approval of the SMR. Estimates for major enhancements (over 100 hours) must be completed within 60 days of SMR approval.
4. The State will review the estimate, determine appropriate payment milestones, and notify the Contractor within 30 days that it is approved, put on hold, or not approved. Approved estimates will be signed by the State and returned to the Contractor. The Contractor will then sign and return to the State. Please note that larger SMRs/estimates may require USDA/FNS approval, which may extend the approval timeline.
5. The State and the Contractor will mutually agree upon an implementation schedule for the change once it is approved that takes in to account the urgency of the change and the need to meet Federal implementation deadlines as appropriate. Approved changes of less than 100 hours shall be implemented within 90 days of State approval while approved changes of 100 hours or more shall be implemented within 120 days of State approval, unless alternate implementation timelines have been agreed to in writing. The Contractor must commence work on changes of 100 hours or more within 45 days of receiving State approval. Generally, the State expects there to be three (3) releases per year that would include non-critical defect fixes and other approved change requests/SMRs.

## Non-Billable Changes

Changes to reference tables, such as adding a new infant formula, changing a listing in a dropdown box, etc. are not billable changes, but are considered to be normal system maintenance activities covered by the Contractor’s monthly operations fee. Reference table changes will still be initiated by a CR from the State and a corresponding SMR from the Respondent, but will not require the detailed system design document. The Contractor shall be responsible for making all table changes upon State approval.

As part of ongoing operations and maintenance, corrections to all system defects and performance issues and software upgrades are not billable. Changes and additions to Federally-required reporting forms and queries shall be considered non-billable changes.

Corrections/defect fixes to correct deficiencies based on the most recently updated published system design documentation (or implemented SMRs/estimates where documentation has not yet been updated) are not subject to the change order process and are not billable. Please see Section 9.8 Warranty for other requirements related to fixing post-production defects or bugs.

### Enhancements to Meet Federal Requirements

The State expects that the INWIC system will maintain continual Federal and State compliance. For this reason, all Contractor costs to put into effect changes required to maintain this compliance will be considered included in the fixed price of the Contract.

The Contractor shall provide system enhancements in response to and as required by official Federal findings and corrective action plans, at no additional cost to the State. If new Federal laws are introduced which are accompanied with additional funds for State use, the State shall work with the Contractor to determine how and if resulting system changes shall be billable. The Contractor shall further offer and coordinate cost sharing of federally-mandated and other common changes among the State and peer states where the Contractor operates the same system(s) or versions of the same affected system(s).

Please note that for system enhancements that are approved and funded by the USDA through the Operational Adjustment (OA) Request process, the Contractor shall be reimbursed for such changes. OA Requests are submitted by the WIC Program each year, and the USDA may choose to approve selected OA projects and award funding for the project. Requests are normally submitted by the WIC Program in September and the USDA normally informs the WIC Programs of award approval and funding amounts by November/December. The funds designated for the project shall be fully spent by the following September (the Federal government’s fiscal year runs October – September). The USDA’s OA Request process means that system enhancements will usually receive approval in December with funding generally available by February and a completion date by September – an approximate 7-month timeframe.

## Billable Changes

Changes to the system that are above and beyond the project scope as defined in the RFP and the Respondent’s proposal will be considered billable and will go through the full change order process as described above.

Funds in the annual Enhancement Pool will be used toward billable enhancements. Pricing for enhancements will either follow the fixed fee deliverables-based approach or the time and materials-based approach based on Contractual hourly rates. The State shall determine the method to use for each Enhancement through the Change Order Process described in Section 9.2. As a default, the State prefers a fixed-fee approach to pricing all enhancements. If services are to be provided in exchange for fixed or not-to-exceed compensation, the Contractor is solely responsible for any costs in excess of the specified compensation. Please note, that regardless of the pricing approach, all payment to the Contractor for enhancements shall be tied to the completion of enhancement milestones, as determined in the approved SMR.

The maximum hours invoiced for an individual shall not exceed 40 hours a week, regardless of the number of hours worked by the individual to meet service levels and complete deliverables on time.

## Logging/Tracking in-progress changes

The Contractor must establish a process and tool to log and track the status of pending changes including:

1. A Contractor-assigned sequence number based on the fiscal year, i.e., request number 1 for FY 2019 will be number SMR IN19-01;
2. A short description of the requested change;
3. Whether the change is a table change, software change, or other;
4. The date of the original CR from the State;
5. The date the SMR was sent to the State;
6. The date the SMR was approved/not approved by the State;
7. The date the detailed design/cost estimate was submitted to the State;
8. The date the State approved/not approved/put on hold the detailed design;
9. The cost of the change;
10. The proposed implementation date;
11. Comments section

## Quality Assurance and Testing

The Contractor is responsible for providing thorough quality assurance testing of all software releases, reference database table updates, bug fixes, and other system changes. The Contractor must provide a written report of release testing results, which the State will review and approve before a release is implemented. The State may opt to perform additional UAT testing on some releases prior to implementation.

The Contractor shall develop a test plan for any system change that details the activities; dependency risks, contingencies, assumptions, and resources required to fully test the change. The test plan shall include the test schedule, approach, and a statement of required and assigned resources with associated roles and responsibilities. The test plan shall also include a go-no/go date for implementation that will be agreed upon with the State. Identification of testing tools that shall be used and their purpose, and a method to track and manage test issues shall also be included. The Project Plan shall include test scripts that systematically exercise all functions of the system. The plan shall cover all applicable test stages and elements as listed below.

### Unit Testing

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

### Integration Testing

Integration Testing shall ensure that all components including software and hardware work together. Integration testing shall be completed before system testing can begin.

### System Testing

System testing must be performed and validated on all components and functional areas of the Contractor’s systems before delivery. This includes functional testing to ensure that all components of the INWIC system work correctly.

### Interface Testing

Interface Tests must be conducted between all State and Federal interfaces (as applicable), including the EBT processor, and the Contractor’s system to ensure that all files transmitted are properly formatted, transmitted, received, edited, accepted, confirmed, and processed according to design.

### User Acceptance Testing (UAT)

The User Acceptance Test provides both State and Federal representatives (if applicable) the opportunity to test system functionality and ensure compliance with system design requirements. During User Acceptance Test, testing participants must follow detailed test scripts developed by the Contractor and reviewed and approved by the State and FNS, if applicable.

The tests and test scripts must cover all facets of the system's operations and test all of the system processing options and environmental conditions. Test cases should include:

1. Test case number
2. Date created
3. Author
4. Description of case
5. Type of test
6. Inputs
7. Steps
8. Expected results
9. Actual results
10. Pass/fail
11. Run date
12. Tester
13. Failure reason

### UAT - Error Logging and Correction System

Additionally, the Contractor shall provide an error logging system for UAT testers to use. Errors found will be classified using a scale of one (1) to five (5) using the following criteria:

| **UAT Severity Level** | **Criteria** |
| --- | --- |
| 1 | * Critical * Does not allow testing to continue * Major malfunctions in the system * Defect found in the processing component of the system |
| 2 | * Major component failure * Does not allow testing to continue * Defect or malfunction found in certain areas of the system * Problem must be resolved |
| 3 | * Minor functional problem * Testing can continue * Functions in certain components do not work properly * Components can still work with other components in the system |
| 4 | * Minor issue * Testing can continue * Minor editing error found in a system component * Cosmetic change needed |
| 5 | * Minor issue * Testing can continue * Design clarification issue * Implementation issue * Future enhancements to the system |

The Contractor must propose a process and timeline to fix all errors in a timely fashion to allow rapid retesting to verify that the errors have been corrected. At a minimum, the Contractor must correct all 1 and 2 severity errors within two (2) business days from the Contractor’s knowledge of the defect. All 3 severity errors must be corrected within five (5) business days from Contractor’s knowledge of the defect and all severity 4 and 5 must be corrected within fifteen (15) business days from the Contractor’s knowledge of the defect. All identified errors must be corrected before the system change can be certified as ready for full implementation.

### Regression Testing

After errors found in User Acceptance Testing have been corrected, a separate round of testing shall be performed by the Contractor, which not only tests the functions where the errors occurred (to make sure that they have been corrected), but also tests all other functions of the system to assure that new errors were not introduced with the corrected code.

### Performance/Stress Testing

This test must ensure that there is sufficient capacity within the Contractor’s system to accommodate the projected transaction volumes. Test results from the stress test must be used by the Contractor to formulate a system capacity model to determine the appropriate hardware and software requirements and configuration.

The Performance Test may be included as part of the User Acceptance Test.

### Test Results Reports

The Contractor must provide a report describing the results of each test performed, as well as all additional retesting required. The test reports must describe the intended scope and results from the tests, any necessary system modifications and a timeframe for these modifications.

The Contractor must submit test reports no later than two (2) weeks following the completion of each test’s performance. Upon the completion and acceptance of all tests, the test results must be incorporated into the approved test plan.

The Contractor must revise any system documentation (Detailed System Design Document, Functional Design Document, etc.) to reflect any system modifications identified and made as a result of testing. If revisions are required, the Contractor must submit updated system documentation no later than ten (10) business days following the completion of the modification, unless the State approves another timeline in writing. All updates to the Detailed System Design will be completed at no additional cost to the State. Please note that all updates to user documentation must be complete upon enhancement release.

## Post-Production Support

The Contractor shall be available for support at the start of the working day (8:00 AM) immediately following the implementation of any system enhancements and modifications to assist WIC staff in handling any Help Desk calls related to the changes including updates, fixes to module screens, and other related tasks.

The Contractor shall be prepared to uninstall a release and revert to the previous working system state if significant problems are encountered and the State approves the reversion to the previous working state.

## Warranty

The Contractor shall provide a 90-day warranty period for new release rollouts, including system releases, enhancements, and software upgrades. During the 90-day warranty period, the Contractor shall fix any post-production defects or bugs at no additional cost to the State. The hours required for the fixes will not count against the Enhancement Pool of hours for system changes per program. Action may be taken to address consistently poor performance.

* + 1. The Contractor represents and expressly warrants all services and deliverables provided under this Contract to be free of defects, properly functioning, and compliant with the terms of the Contract at no additional cost to the State. A defect is defined as any deviation from approved system specifications and requirements, including without limitation failure of system code to perform substantially as described in design documents.
    2. The Contractor agrees to provide corrections for any defects, discovered and/or reported by either the Contractor, State, or a State contractor during a ninety (90) day warranty period following the release of the Enhancement into production.
    3. The Contractor further warrants that application software and all materials delivered to the State under this Contract will not infringe any patent, copyright, trade secret or other proprietary right of any third party.

## Training on System Modifications

The Contractor shall provide training for all new system enhancements and/or modifications for quality assurance testers and WIC staff as required by the State in writing during the approval of the system enhancement. Training shall occur before deployment unless otherwise specified by WIC. Training shall be provided to end users as needed according to geographic location (region) and job classification. Training location and techniques will be approved by the State.

# End of Contract

The State seeks to ensure that program stakeholders experience no adverse impact from the transfer of scope to either the State or to a successor contractor when the Contract is complete or terminated early. In addition to the requirements in Attachment B Contract clause 13 (Continuity of Services), the following end of Contract turnover requirements apply:

* + 1. Six (6) months prior to the end of the base Contract period, the Contractor must develop and implement a State-approved Turnover Plan covering the possible turnover of INWIC and M&O activities to either the State or a successor contractor. The Turnover Plan must be a comprehensive document detailing the proposed schedule and activities associated with the turnover tasks. The plan shall describe the Contractor's approach, and schedule for transfer of all SDLC and operational artifacts and documentation created, maintained, and updated throughout the Contract term. The information must be supplied on media specified by the State and according to the schedule approved by the State. Turnover task requirements and approximate timeframes are provided in the sections below. The dates and data requirements in the following sections are illustrative only and do not limit or restrict the State's ability to require additional information from the Contractor or modify the turnover schedule as necessary.
    2. Four (4) months prior to the end of the base Contract period, or any extension thereof, the Contractor must transfer the following information to the State or its agent on a medium acceptable to the State:
       1. A copy of non-proprietary solution components or database(s) used. Please see the Section 26 (Ownership of Documents and Materials) in RFP Attachment B (Sample Contract) for requirements regarding ownership of work products;
       2. All other SDLC and operational artifacts and documentation.
    3. Four (4) months prior to the end of their Contract or any extension thereof, the Contractor must begin training State staff or its designated agent's staff, in the M&O activities performed by Contractor staff. Such training must be completed at least two (2) months prior to the end of the Contract. The State’s turnover of services to the new contractor will take place two (2) months prior to the end of the contract. The Contractor shall be available for the last two (2) months of the Contract to provide support as requested by the State. This support will be invoiced according to the contractual hourly rates.
    4. The Contractor shall appoint, with State approval, a Turnover Manager who will manage and coordinate all Turnover activities. The Contractor shall submit their manager's qualifications as part of their Turnover Plan. The Contractor shall not reduce operational staffing levels during the turnover period without prior approval by the State. The Contractor shall not in any way restrict or prevent Contractor staff from accepting employment with any successor contractor. The State will work with the Contractor and successor contractor on the timing of any transition of Contractor staff. The Contractor shall provide to the State, or its agent, within fifteen (15) business days of request all updated data and reference files, scripts, and all other documentation and records as required by the State or its agent.
       1. If the optional Contract terms are exercised during turnover activities, these turnover activities shall shift to the next year. If the turnover is halted due to the State exercising an optional term extension, invoices will not include Turnover Manager costs after the State's date to halt turnover activities until those activities resume (with the State's approval) in the following year.
       2. Turnover costs will only include the Turnover Manager’s costs. Any additional staff costs shall be covered by the M&O fees unless otherwise approved by the State.

# Facilities and Supplies

The Contractor shall be fully responsible for the costs of their facilities (including but not limited to leasing costs, parking fees, and utilities), and these costs will not be reimbursed by the State.

The Contractor shall supply all hardware, software, accessories, and peripherals for their staff (including any subcontractor staff) that will be necessary to complete the requirements of the Contract. The Contractor shall not invoice the State for these costs. The Contractor is responsible for ensuring use and management of all hardware, software, accessories, and peripherals are compliant with IOT policies, WIC policies, and applicable Indiana policies (for example, in terms of encryption, audit logging, audit processes, and antivirus protection).

## Hardware Consultation and Purchasing

The State may, at its option, request the Contractor purchase replacement equipment on its behalf. If requested to do so, Contractor shall assist the State in determining the appropriate technical specifications for the equipment to make sure that it is compatible with the INWIC system. The Contractor will be reimbursed by the State for such purchases as a pass-through expense on the monthly service invoice. The Contractor will ensure that such purchases result in a competitive price for the State and that they are tax exempt. Equipment purchased in this fashion is and will remain State owned.

## Inventory Control

The Contractor must provide secure storage, controlled access, and inventory control over all State-owned equipment, parts, and supplies held at the Contractor’s facility. This includes all equipment provided through the Contractor. Inventory records must be by physical location to include the minimum data set required by Federal Regulations 2 CFR 200. Current standards require that property inventory records include a description of the item, a serial number, the equipment manufacturer, who holds title (always the State WIC Program), the acquisition date, the acquisition cost, percentage of Federal funds (always 100%), the location, use, and condition of each item, and information on the disposition of the equipment. As equipment is replaced at a clinic location, the inventory system must be immediately updated. Please see the following link for an example: <https://sharepoint.roeing.com/wic/Documents/WIC_Reports/1201%20-Adams%20County%20WIC%20Program%20Inventory%20Detail.pdf> The inventory information on this web site only displays some of the information that must be maintained. Other information is maintained but is not viewable through the website. Please refer to Attachment J for a sample of the type of information maintained for inventory.

### Inventory Levels

The Contractor must establish on-hand inventory levels for each type of stocked equipment to ensure that an adequate supply of items is kept on hand at all times. The Contractor must provide at least a 60-day notice to the State when inventory needs to be replenished to maintain an adequate on-hand amount.

### Inventory Verification

The Contractor must perform an inventory verification process annually whereby each WIC site prints out its inventory listing, documents that it has or does not have each item, and then returns the completed verification form to the Contractor. The Contractor will then be responsible for ensuring that each site returns a completed inventory verification form in a timely manner, reviewing the form and updating inventory records as appropriate, and working with the site to resolve any differences that might exist.

### Inventory Transition

In the event of a transition from the incumbent vendor, the Contractor must coordinate the transfer of all State-owned equipment in the possession of the current WIC system contractor. This will include all equipment physically in the possession of the current contractor, as well as all electronic inventory and other equipment related records. The State will be responsible for providing current electronic inventory information to the Contractor.

# Reports

## Standard Reports

The Contractor shall provide the State with the ability to run the standard reports listed in Attachment H[[2]](#footnote-2) on demand in the MIS. All reports must available in Excel and PDF format at a minimum.

## Ad Hoc Reporting

The State has the ability to run the standard reports (above) at any time; however, the State also requires that the Contractor assist the State when special data needs arise and when requested in creating ad hoc reports as specified by the State in an agreed upon timeframe. Historically these requests have mostly been simple SQL database queries done without additional expense to the State. In the event that an ad hoc report request is more substantive, the State anticipates that its development can be accommodated from the System Enhancement pool contemplated in Section 9.

# Performance Management

The State shall hold the Contractor accountable for performance under the resulting Contract. This includes, but is not limited to, performance in accordance with the table of Performance Metrics in Section 13.3 below. In addition to all remedies available at law or in equity, the State specifically reserves the right to enforce the terms of this contract through Corrective Action Plans (CAP) and payment withholding as detailed below.

Reports provided by the Contractor must provide sufficient data to enable the State’s verification of the performance criteria and must provide sufficient detail to allow the State to further investigate the activity being reported.

## Corrective Action Plans

In the event that the Contractor fails to fulfill any of its contractual obligations, including but not limited to those outlined in the Performance Metrics below, the State may request that the Contractor prepare a CAP. Such CAP will be due to the State within ten (10) business days of the request. If the State uncovers any deficiency, the State will provide written notice of non-compliance (and request for CAP, if appropriate) to the Contractor within fifteen (15) calendar days of the State’s discovery of such non-compliance.

At a minimum, the CAP must address the causes of the deficiency, the impacts, and the measures being taken and/or recommended to remedy the deficiency and indicate whether the solution is permanent or temporary. It must also include a schedule showing when the deficiency will be remedied, and for when the permanent solution will be implemented, if appropriate (as determined by the State).

The CAP must be submitted under the signature of the Contractor’s project executive and must be approved by ISDH and the WIC Program Director. If the recommendations in the CAP are not acceptable to the State, the State may provide suggestions and direction to bring the Contractor into compliance.

## Performance Withhold

1. Each month, the Contractor shall invoice for 95% of the Contractor’s monthly charge (100% of the monthly charge minus the 5% amount) pending verification of the Contractor’s performance against the Performance Metrics for the previous month described in Section 13.3. The performance withholding shall be administered as further detailed below.
2. The withholding shall be as follows: 5% of the project’s monthly invoice amount, unless the Contractor fails to meet three (3) or more program-specific Performance Metrics in a single month, in which event the withholding percentage for subsequent months shall increase to 10% until resolution has been achieved as described in paragraphs 4 and 5 below.
3. Contractor shall submit detailed reports for the month prior to the month for which the invoice is being submitted (“measurement month”) that measure Contractor’s performance during the measurement month in relation to each performance standard. The reporting must be submitted to the State no later than the 15th calendar day of the month following the measurement month. The invoice shall include an attestation by the Contractor that the reported data and information is accurate.
4. Following verification that Contractor successfully met the requirements for all Performance Metrics in a given month, the Contractor may invoice the State for the withheld funds described in paragraph 2 above with the subsequent month’s invoice (for example, if Contractor successfully meets the Performance Metrics requirements for January, and verification is completed in February, the portion of the January invoice that was withheld can be claimed with the February invoice).
5. If the Contractor fails to meet the requirements for one or more Performance Metrics (“missed Metric(s)”) in a given month, the Contractor must submit a Corrective Action Plan (CAP) to the State within ten (10) calendar days following the documentation of failure to meet the missed Metric(s). The State shall review and make reasonable efforts to approve the CAP within ten (10) calendar days of the CAP being received.
   1. The State will continue to withhold funds for the month in which the Contractor failed to meet the missed Metric(s) and all subsequent months, subject to the terms of Paragraphs 1 and 2 above until Contractor demonstrates that the CAP has been implemented and further successfully meets the missed Metrics for two consecutive months in the four month period immediately following the month in which the Contractor failed to meet the missed Metric(s) (for example, if Contractor fails to meet one Metric in April 2020, Contractor shall have until August 2020 to demonstrate successful achievement of that missed Metric for two consecutive months; see also Table 1 for further elaboration)
   2. Following verification that the missed Metric(s) have been met for two consecutive months as described in 5.a above, Contractor may invoice the State for release of all withheld funds.
   3. If the Contractor fails to demonstrate it has met the missed Metric(s) for two consecutive months during the four month corrective period as described in 5.a above, the State shall permanently retain the withheld funds for all months during the four month corrective period during which the Contractor failed to meet the missed Metric(s) (as a continuation of the example in 5.a above, if the Contractor meets the missed Metric in July 2020, but fails to meet it in May 2020, June 2020, and August 2020, withheld funds for April, May, June and August 2020 shall be permanently retained by the State; see also Table 1 for further elaboration). Withheld amounts permanently retained by the State under this provision are not penalties, but rather the payment of lower amounts for lower quality performance.
6. **Table 1: Performance Metric withholding example**

| Month | Metric Met (Y/N) | Contractual Outcome | Impact on Withheld Funds for the subject Month |
| --- | --- | --- | --- |
| April 2020 | N | CAP triggered | Permanently retained/Cannot be invoiced |
| May 2020 | N |  | Permanently retained/Cannot be invoiced |
| June 2020 | N |  | Permanently retained/Cannot be invoiced |
| July 2020 | Y |  | Released to Contractor/Can be invoiced |
| August 2020 | N | Failure to meet conditions in 5.c above | Permanently retained/Cannot be invoiced |

1. **Table 2: Performance Metric withholding example**

| Month | Metric Met (Y/N) | Contractual Outcome | Impact on Withheld Funds for the subject Month |
| --- | --- | --- | --- |
| April 2020 | N | CAP triggered | Cannot be invoiced |
| May 2020 | N |  | Cannot be invoiced |
| June 2020 | Y |  | Released to Contractor/Can be invoiced |
| July 2020 | Y | Met conditions in 5.c above | Released to Contractor/  Can invoice for all withheld funds under the CAP |
| August 2020 | Y | CAP no longer in effect | Released to Contractor/Can be invoiced |

Verification of Contractor’s success or failure to achieve Performance Metrics may be performed by the State or a designated State contractor including but not limited to the State’s Operational Verification and Validation (OV&V) contractor.

1. All withholdings and penalties need to be remediated and billed by December 31 after the close of the federal fiscal year.

## Performance Metrics

The State shall hold the Contractor accountable for performance according to table of Performance Metrics (below).

For issues outside of the Contractor’s control or responsibility, the Contractor may request, within three (3) business days of the issue’s identification, that the issue not count toward the applicable “Issue/Defect Resolution” Performance Metric; however, the State shall ultimately decide, in writing, whether to approve such an exception on an issue-by-issue basis.

| **#** | **Performance Standard** | **Performance Deficiency** |
| --- | --- | --- |
| **1** | **Help Desk Response.** 90% of all calls must be answered within 60 seconds as measured over a calendar month after request for a live CSR. The remaining ten percent of calls must be answered within 120 seconds. Please note that a call that is answered but immediately put on hold is not considered answered. | Failure to answer 90% of calls within 60 seconds. |
| **2** | **Call Abandonment Rate.** Incoming customer service center call abandonment rate shall not exceed 5% of calls for the month. A call is considered abandoned if the caller hangs up after 120 seconds from the end of requesting to speak with a live CSR. | Failure to deliver a call abandonment rate of less than 5% averaged for the month. |
| **3** | **Voicemail Response Time.** All voice messages received during Help Desk business hours must be responded to within 30 minutes. | Failure to respond to a voicemail message within 30 minutes, when the call is received during Help Desk business hours. |
| **4** | **Help Desk Email Response Time.** All emails received by the Help Desk must be responded to within one (1) business day. | Failure to respond to an email message within one (1) business day. |
| **5** | **Help Desk Ticket Resolution.** Resolve all tickets in a timely manner:   * Tier 1 tickets within one (1) business days * Tier 2 tickets within three (3) business days * Tier 3 tickets within seven (7) business days (if the resolution requires a system modification, the resolution time can be adjusted with the State’s approval.)   If the resolution due date will be missed, the Contractor must notify the State and the party who submitted the ticket by the due date.    Requests must be sufficient to allow proper identification of individuals including accurate and complete contact information. | Failure is assessed if there are any instances in which the Contractor does not resolve tickets within the stated timeframes. |
| **6** | **Replacement Equipment Timeliness.** Requests for replacement equipment received by 3:00 pm EST must be shipped overnight that same day. Requests received after 3:00 pm EST must be sent the following business day. Requests for additional non-replacement equipment must be sent within 3 days of the request (requires prior State approval). | Failure to provide the replacement equipment within the specified timeframes. |
| **7** | **Incident Notification and Reports (Critical Severity).** The Contractor shall notify designated State staff within one (1) hour in the event of a critical incident.  Incident reports for critical severity incidents must be provided within 24 hours from the start of the system problem.  If the incident report does not include the permanent solution to the incident, that report must be updated every 24 hours to reflect the most current status of the incident until it is resolved. A follow-up incident report must be provided no later than 24 hours after the permanent solution has been defined. | Failure to provide the initial notification of a critical incident within one (1) hour and follow-up critical severity incident reports within 24 hours.  The Contractor must provide a report or other verifiable proof of meeting this requirement by the 10th calendar day of each month. |
| **8** | **Incident Notification and Reports (Non-Critical Severity Levels).** The Contractor shall notify designated State staff within the specified timelines for all non-critical severity level incidents.  If the non-critical severity level incident report does not include the permanent solution to the incident, that report must be updated every business day to reflect the most current status of the incident until it is resolved. A follow-up incident report must be provided no later than one (1) business day after the permanent solution has been defined. | Failure to provide the initial notification and follow-up incident reports for non-critical severity level incidents within the specified timeframes.  The Contractor must provide a report or other verifiable proof of meeting this requirement by the 10th calendar day of each month. |
| **9** | **Critical Severity - Issue/Defect Resolution.** 98% of all issues/defects in the production environment are corrected within four (4) hours of identification. | Failure to correct 98% of critical issues/defects within four (4) hours of identification. |
| **10** | **High Severity - Issue/Defect Resolution.** 98% of all issues/defects in the production environment are corrected within one (1) business day of identification. | Failure to correct 98% of critical issues/defects within one (1) business day of identification. |
| **11** | **Medium Severity - Issue/Defect Resolution.** 98% of all issues/defects in the production environment are corrected within three (3) business days of identification. | Failure to correct 98% of critical issues/defects within three (3) business days of identification. |
| **12** | **Low Severity - Issue/Defect Resolution.** 98% of all issues/defects in the production environment are corrected within one (1) week of identification, or within an alternate timeline approved by the State. | Failure to correct 98% of critical issues/defects within one (1) week of identification, or within an alternate timeline approved by the State |
| **13** | **Change Request Response**. Contractor shall provide a high-level written summary of a system modification request (SMR) within 15 days of the request from designated State staff.  Contractor shall provide written estimates/design documents to designated State staff within thirty (30) days of the approval of the SMR document for small to medium system modifications.  Larger SMR’s (in excess of 100 hours) must be estimated within 60 days. | Failure to be 100% timely in responding to Change Requests. |
| **14** | **Non-Billable Change Implementation.** For non-billable changes, the Contractor shall implement the changes within the timeframe agreed-upon in writing by the State. | Failure to be 100% timely in implementing Non-Billable Changes. |
| **15** | **Change Request Implementation**.  **(Small)**. Contractor shall implement change requests of fewer than 100 hours within 90 days of State approval or within an alternate timeline approved by the State. | Failure to be 100% timely in implementing Small Change Requests. |
| **16** | **Change Request Implementation (Large).** Approved change requests of 100 hours or more shall be implemented within 7 days of the estimated completion date or within an alternate timeline approved by the State. | Failure to be 100% timely in implementing Large Change Requests. |
| **17** | **Change Request Commencement.** The Contractor’s work on change requests of 100 hours or more must commence within forty-five (45) days of receiving State approval for the change request or within an alternate timeline approved by the State. | Failure to be 100% timely in commencing work on Large Change Requests. |
| **18** | **Reports/Files.** Required outbound State reports and files shall be accurate and delivered to the intended party on the approved schedule. Required inbound files shall be processed accurately and on time. Contractor will notify the State of processing issues outbound and/or inbound files. | Failure is assessed if the MIS Contractor misses any deadline for outbound or inbound report and file processing in any given month. The MIS Contractor shall not be held responsible for any issues outside of their direct responsibilities. |
| **19** | **System Documentation.** All listed system documentation shall be accurate and delivered to the State on the approved schedule. | Failure is assessed if the Contractor misses any deadline for updating system documentation in any given month. |
| **20** | **Readiness for State User Acceptance Testing (UAT).** The Contractor must meet the timeframe once the start date of the UAT is established and agreed upon by the State. | Failure to begin User Acceptance Testing on the agreed upon date when such failure is caused by the Contractor. |
| **21** | **Updates, Patches & Repairs.** The Contractor must conduct regression testing to ensure all previous updates, patches and repairs are incorporated by the scheduled release and do not impact operations. | Failure to properly conduct regression testing. |

1. Please note: INWIC does not create the APL file. It is created by another vendor while WIC staff maintains UPC information in INWIC. Any updates (additions, deletions, etc.) are sent nightly in a batch file to that vendor, who processes that batch file and uses all of the State’s UPC information to create the APL file. [↑](#footnote-ref-1)
2. The Reports list in Attachment H contains a column labeled Status. Please note the following conventions for the values in this column:

   Not Used – Report is not used and not needed

   Not Validated – Report exists in the current system but the data on the report has not been reviewed for accuracy

   Required Modification – Report exists in the current system and has been reviewed for accuracy. Report needs updates, either data or formatting corrections before it can be fully utilized.

   Runs Correctly – Report exists in the current system and has been validated for accuracy. Data and format is correct. [↑](#footnote-ref-2)