



STATE OF INDIANA

Request for Proposal 18-003

INDIANA DEPARTMENT OF ADMINISTRATION

On Behalf Of
Family and Social Services Administration (FSSA)

Solicitation For:
Care Management for Social Services (CaMSS) Support
Services

Response Due Date EXTENDED TO November 14th, 2017

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SECTION ONE

GENERAL INFORMATION AND REQUESTED PRODUCTS/SERVICES

1.1 INTRODUCTION

In accordance with Indiana statute, including IC 5-22-9, the Indiana Department of Administration (IDOA), acting on behalf of the Family and Social Services Administration (FSSA), requires Maintenance, Operations, and Enhancement Services for FSSA's Care Management for Social Services (CaMSS) system. It is the intent of IDOA to solicit responses to this Request for Proposals (RFP) in accordance with the statement of work, proposal preparation section, and specifications contained in this document. This RFP is being posted to the IDOA website (<http://www.IN.gov/idoa/2354.htm>) for downloading. A nominal fee will be charged for providing hard copies. Neither this RFP nor any response (proposal) submitted hereto are to be construed as a legal offer.

1.2 DEFINITIONS AND ABBREVIATIONS

Following are explanations of terms and abbreviations appearing throughout this RFP. Other special terms may be used in the RFP, but they are more localized and defined where they appear, rather than in the following list.

Award Recommendation	IDOA's summary to the agency being supported, typically in letter format, of the solicitation and suggestion on vendor selection for the purposes of beginning contract negotiations.
IAC	Indiana Administrative Code
IC	Indiana Code
Contract Award	The acceptance of IDOA's Award Recommendation by the agency being supported in conjunction with the public posting of the Award Recommendation.
CUF	Commercially Useful Function – A business function that supports the scope of this solicitation
Full Time Equivalent (FTE)	The State defines FTE as a measurement of an employee's productivity when executing the scope of work in this RFP for a specific project or contract. An FTE of 1 would mean that there is one worker fully engaged on a project. If there are two employees each spending 1/2 of their working time on a project that would also equal 1 FTE
Implementation	The successful implementation of system maintenance, operations, and enhancement services of the Care Management for Social Services

(CaMSS) system at the Indiana Government Center as specified in the contract resulting from this RFP

Installation	The delivery and physical setup of products or services requested in this RFP
Other Governmental Body	An agency, a board, a branch, a bureau, a commission, a council, a department, an institution, an office, or another establishment of any of the following: 1) The judicial branch 2) The legislative branch 3) A political subdivision (includes towns, cities, local governments, etc.) 4) A state educational institution
Products	Tangible goods or manufactured items as specified in this RFP
Proposal	An offer as defined in IC 5-22-2-17
Respondent	An offeror as defined in IC 5-22-2-18. The State will not consider a proposal responsive if two or more offerors submit a joint or combined proposal. One entity or individual must be clearly identified as the respondent who will be ultimately responsible for performance of the contract
Services	Work to be performed as specified in this RFP
State	The State of Indiana
State Agency	As defined in IC 4-13-1, “state agency” means an authority, board, branch, commission, committee, department, division, or other instrumentality of the executive, including the administrative, department of state government
Total Bid Amount	The amount that the respondent proposes on Attachment D that represents their total, all-inclusive price
Contractor	Any successful respondent selected as a result of the procurement process to deliver the products or services requested by this RFP

1.3 PURPOSE OF THE RFP

The purpose of this RFP is to select a vendor that can satisfy the State’s need for support for FSSA’s CaMSS system. It is the intent of FSSA to contract with a vendor that provides quality system maintenance, operations, and enhancement services for the CaMSS system.

1.4 SUMMARY SCOPE OF WORK

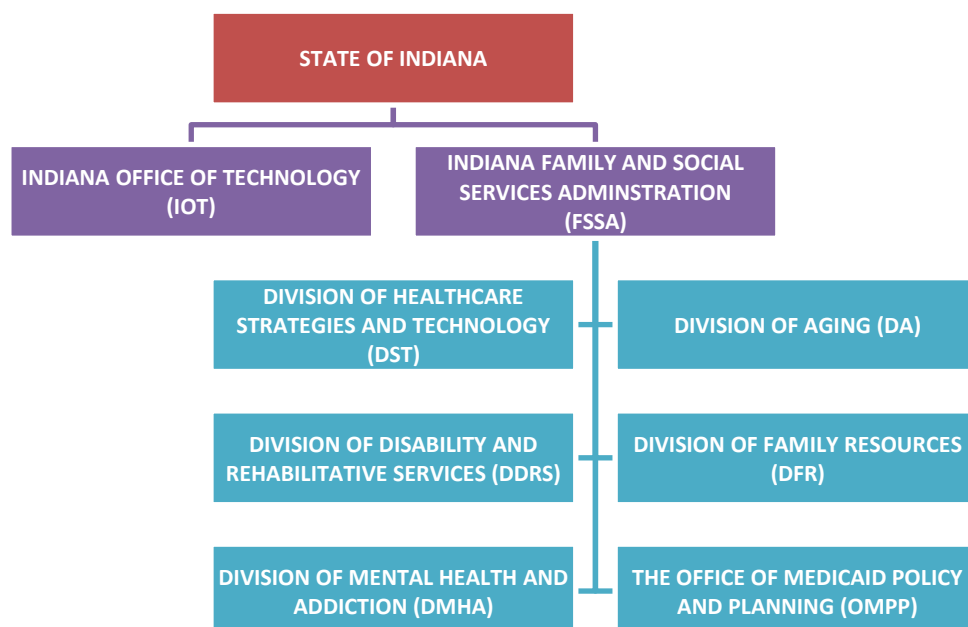
1.4.1 Background and Purpose

The CaMSS system is part of the larger Integrated Care and Case Management System initiative to modernize and consolidate various care management applications used throughout FSSA. The enterprise system is being developed using Microsoft Dynamics CRM and several other tools including, but not limited to, .NET, InRule and Oracle WCC. FSSA will contract with the Contractor to support the various components of the CaMSS system in the following two ways:

- **Maintenance and Operation Services:** The Contractor will provide maintenance and operations support for CaMSS. This includes working with the initial System Integrator to transfer support of the CaMSS System to the Contractor.
- **System Enhancement Services:** It is expected that additional FSSA divisions will begin utilizing the CaMSS solution in the future. As part of this expansion, the Contractor will provide System Enhancement Services to expand the scope of the CaMSS solution as directed by FSSA, including Planning, Design, Development, and Implementation of solution enhancements ranging from moderate to significant in size as defined in the Integrated Care and Case Management System Service Strategy.

1.4.2 Organizational Overview

Indiana FSSA is responsible for development, finance, and administration of health care and social service programs designed to enhance and improve the quality of life for residents of the State of Indiana. Indiana FSSA is divided into several divisions, each responsible for supporting specific, assigned functions designed to serve the public. The chart below depicts the relationship of the entities as they are described as a part of this RFP.



- 1) **Division of Aging (DA)** – Establishes and monitors programs that serve the needs of Indiana seniors. Focuses on home- and community-based services for the elderly and disabled. Responsible for nursing home reimbursement policies. Oversees the Residential Care Assistance Program. Includes Adult Protective Services (APS).
- 2) **Division of Disability and Rehabilitative Services (DDRS)** – Manages the delivery of services to children and adults with intellectual and developmental disabilities. DDRS develops, finances and compassionately administers programs to provide healthcare and other social services to Hoosiers in need in order to enable them to achieve healthy, self-sufficient and productive lives. Among the various program managed by DDRS are:
 - a. **Bureau of Developmental Disabilities Services (BDDS)**, which provides services for individuals with developmental disabilities that enable them to live as independently as possible in their communities. BDDS assists individuals in receiving community supports and residential services using a person-centered plan to help determine which services are needed and who can best provide them. BDDS also monitors the quality of care and the facilities of those who are approved to provide these services in Indiana. **BDDS administers two major programs:**
 - i. **Home and Community Based Services (HCBS) Medicaid Waivers**, which support participants in a range of community settings as an alternative to care in an intermediate care facility for individuals with developmental disabilities(ICF/IID) or related conditions. The waivers serve persons with a developmental disability, intellectual disability or autism and who have substantial functional limitations. Participants may choose to live in their own home, family home, or community setting appropriate to their needs. Participants develop a Person Centered Individualized Support Plan (PCISP) using a person-centered planning process guided by an Individualized Support Team (IST). The goal of HCBS Waivers is to provide access to meaningful and necessary home and community-based services and supports, seeks to implement services and supports in a manner that respects the participant’s personal beliefs and customs, ensures that services are cost-effective, facilitates the participant’s involvement in the community where he/she lives and works, facilitates the participant’s development of social relationships in his/her home and work communities, and facilitates the participants independent living. Currently, BDDS administers two waivers: the Community Integration and Habilitation Waiver (CIHW) and the Family Supports Waiver (FSW), The CIHW currently serves approximately 9,000 individuals and the FSW serves approximately 15,000 individuals.
 - ii. **Supervised Group Living (SGL)** provides group home, supported group living as a residential option and alternative to waiver placements for eligible individuals with intellectual/developmental disabilities who need services. There are almost 500 SGL homes in the State of Indiana with a capacity to serve over 3,000 individuals. Homes are licensed and governed by state and federal regulations.
 - b. **First Steps*** – Indiana's First Steps system is a family-centered, locally-based, coordinated system that provides early intervention services to infants and young children under the age of three with disabilities or who are developmentally vulnerable. First Steps brings together

families and professionals from education, health, and social service agencies to provide an array of services such as Assistive Technology, Developmental Therapy, and family education, training, and counseling.

- c. **Vocational Rehabilitation (VR)*** – Indiana VR Services provide quality, individualized services to enhance and support people with disabilities to prepare for, obtain, or retain employment. Through active participation in their rehabilitation, people with disabilities achieve greater levels of independence in their workplaces and living environments. As a client of Indiana VR Services, an individual becomes a part of a team focused on their employment goals. The team is composed of VR Counselors and various public and private providers who help the individual achieve their goals by giving them the supports and services they need.
- 3) **Division of Family Resources (DFR)*** – Establishes eligibility for Medicaid, Supplemental Nutrition Assistance Program (SNAP – food assistance), and Temporary Assistance for Needy Families (TANF – cash assistance) benefits. Manages the timely and accurate delivery of SNAP and TANF benefits. Provides employment and training services to SNAP and TANF recipients. Focuses on the support and preservation of families by emphasizing self-sufficiency and personal responsibility.
- 4) **Division of Mental Health and Addiction (DMHA) Services** – Set care standards for the provision of Mental Health and Addiction services to residents of the State of Indiana. Ensure that individuals have access to quality services that promote individual, family, and community resiliency and recovery. DMHA operates six psychiatric hospitals and certifies all Community Mental Health Centers and addiction treatment services providers. Provides funding support for Mental Health and Addiction services to target populations with financial need and administers federal funds earmarked for substance abuse prevention projects. Among the various program managed by DMHA are:
 - a. **Adult Mental Health Habilitation Services (AMHH – 1915i)** - Provide community-based opportunities for the care of adults with serious mental illness who may benefit from keeping or learning skills to maintain a healthy lifestyle in the community.
 - b. **Behavioral & Primary Healthcare Coordination (BPHC – 1915i)** – Coordinate healthcare services to manage the mental health/addiction and physical healthcare needs of eligible recipients.
 - c. **Data Assessment Registry Mental Health and Addiction (DARMHA)** – DMHA’s main application for data collection. In order to receive federal funds, DMHA must collect data about the individuals served by the public behavioral health system and their outcomes. Also, DARMHA contains assessment tools that are utilized by the Department of Child Services and other providers around the state.
 - d. **Child Mental Health Wraparound (CMHW – 1915i) Services** – Provide youth who have serious emotional disturbances (SED) with intensive home- and community-based wraparound services to augment their existing or recommended behavioral health treatment plan.
- 5) **The Office of Medicaid Policy and Planning (OMPP)*** – Administers Medicaid programs and performs medical review of Medicaid disability claims. OMPP’s suite of programs, called the Indiana Health Coverage Programs, includes traditional Medicaid, risk-based managed care, and a variety of waiver services tailored to the needs of specific populations.

As with other departments within the State of Indiana, the Indiana Office of Technology (IOT) provides guidance and support on policies and services related to IT infrastructure. The FSSA Division of Healthcare Strategies and Technology (DST) provides IT services to other FSSA divisions as needed.

*Please note that First Steps, VR, DFR, and OMPP will not be participating in the implementation of the CaMSS solution even though they are described above.

1.4.3 Anticipated CaMSS Implementation Timeline

1.4.3.1 System Roadmap

When the contract starts, the CaMSS functionality will support services provided by DA and DMHA. Based on the system roadmap, it is expected that the Contractor will provide system enhancements for additional DMHA and DA functionality, as well as integrate and develop a system to meet the needs of BDDS. Support policies will be driven by the Information Technology Infrastructure Library (ITIL) service strategy framework. The estimated releases for the affected divisions are shown in the table below. The State will work with the Contractor to determine the release dates for the BDDS functionality releases. The State reserves the right to change or cancel any releases based on changes to the system strategy.

Please note that user stories have been developed with the incumbent vendor for the DMHA-1915i release as part of their Agile development approach. These will serve as one source of data for the functional requirements, though it is expected that the Contractor will need to conduct further data gathering and validation to develop requirements. A sanitized version of the “User Stories” spreadsheet can be found in Attachment H. This document has been cleansed of individual and company names as well as any confidential information. Please note that though the DA/DMHA release has been developed using the Agile approach, the State does not have a preference for the system development approach (waterfall, Agile, etc.) that the Contractor will use. Regardless of the methodology that the Contractor uses, there will be additional work required to draft requirements at a level of detail necessary to complete system design, development, and implementation.

For the development of anticipated modular releases, the Contractor shall utilize the State defined development tool set for CaMSS, which is the Atlassian Suite, including Jira and Confluence. For code repository, the Contractor shall continue to use Team Foundation Server (TFS).

The table below shows the current and anticipated releases, along with high level information. Please note that the State reserves the right to make changes to the release schedule, including adding and removing anticipated releases as well as changing release timeframes.

Release ID	Affected Divisions	DDI Vendor	User Stories Developed?	Estimated Release
DA/DMHA	DA/DMHA	Initial System Integrator	Yes	2017

Release ID	Affected Divisions	DDI Vendor	User Stories Developed?	Estimated Release
BDDS – Home and Community Based Services (HCBS)	DDRS	Contractor	No	2018
BDDS – Institutional	DDRS	Contractor	No	2018
Provider (PROV)	DDRS	Contractor	No	2018
DMHA Children 1915i	DMHA	Contractor	Yes	2018
Incident Reporting (INCD)	DA/DMHA/ BDDS	Contractor	No	2019
DMHA Adult 1915i	DMHA	Contractor	Yes	2019
APS	DA	Contractor	No	TBD

A list of features for each module release by division is provided in the table below. This list of features is preliminary and is subject to change at the State's discretion. Each module is color-coded for ease of reference. Note: VR was initially part of the CaMSS strategy, but it has since been removed.

Module	Feature	DMHA			DDRS		DA
		DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	APS
1. Inquiry & Screening	1.1 Manage Individual Inquiry Log	DA/DMHA	DA/DMHA	DA/DMHA	HCBS	Inst.	TBD
	1.2 Manage Individual Screening Record	DA/DMHA	DA/DMHA	DA/DMHA	HCBS	Inst.	TBD
	1.3 Activity Management	DA/DMHA	DA/DMHA	DA/DMHA	HCBS	Inst.	TBD
	1.4 Contact Management	DA/DMHA	DA/DMHA	DA/DMHA	HCBS	Inst.	TBD
	1.5 Crisis Call Management	DA/DMHA	DA/DMHA	DA/DMHA	HCBS	Inst.	TBD
	1.6 Referral Management	DA/DMHA	DA/DMHA	DA/DMHA	HCBS	Inst.	TBD
	1.7 Reports	DA/DMHA	DA/DMHA	DA/DMHA	HCBS	Inst.	TBD
	1.8 Security Roles	DA/DMHA	DA/DMHA	DA/DMHA	HCBS	Inst.	TBD
2. Intake	2.1 Intake Individual Management	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	2.2 Intake Individual Management - Assessment	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	2.3 Intake Individual Management - Financial	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	2.4 Intake Individual Management - Health	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD

Module	Feature	DMHA			DDRS		DA
		DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	APS
	2.5 Intake Individual Management - Goals & Outcomes	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	2.6 Reports	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	2.7 Security Roles	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
3. Assessment & Eligibility	3.1 Manage Income Record	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	3.2 Manage Individual Supporting Documentation Record	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	3.3 Manage Eligibility Determination	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	3.4 Manage Certification of Eligibility	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	3.5 Manage Certification of Ineligibility	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	3.6 Manage Individual Assessments	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	3.7 Manage Assessment Tools	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	3.8 InterRAI	DA/DMHA					TBD
	3.9 Level of Care Assessment				HCBS	Inst.	
	3.10 Manage AMHH Applications		Children 1915i	Adult 1915i			TBD
	3.11 Manage BPHC Applications		Children 1915i	Adult 1915i			TBD
	3.12 Manage CMHW Applications		Children 1915i	Adult 1915i			TBD
	3.13 Manage Action Plans	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	3.14 Manage Supporting Assessment Information	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	3.15 Reports	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	3.16 Security Roles	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	3.17 Modification Approval Process	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD

Module	Feature	DMHA			DDRS		DA
		DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	APS
4. Severity	4.1 Manage Services Severity Determination Form	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	4.2 Manage Services Certification of Severity Level	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	4.3 Reports	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
5. Service Plan	5.7 Manage General Service Plan	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	5.8 Manage initial Service Plan	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	5.9 Manage Annual/Renewal Service Plan	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	5.10 Manage Re-Entry Service Plan	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	5.11 Manage Update Service Plan	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	5.12 System Generated Notifications	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	5.13 Reports	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	5.14 Security Roles	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
6. Service Authorization	6.1 Manage Service Authorizations	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	6.2 Manage Easy Authorizations	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	6.3 Manage Authorization Search Plus	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	6.4 Manage System Generated Associated Documents	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	6.5 Alert/Warnings that are in Current System	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	6.6 AMHH Application Process		Children 1915i	Adult 1915i			TBD
	6.7 BPHC Application Process		Children 1915i	Adult 1915i			TBD
	6.8 CMHW Application Process		Children 1915i	Adult 1915i			TBD
	6.9 Manage Care Plan	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD

Module	Feature	DMHA			DDRS		DA
		DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	APS
	6.10 Manage Crisis Plan	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	6.11 Manage Intervention Plan	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	6.12 Manage RFI	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	6.13 Slot Management	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	6.14 Reports	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	6.15 Security Roles	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
7. Financials	7.1 Manage Service Claims	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	7.10 Pay Points	DA/DMHA					TBD
	7.2 Manage Services invoices	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	7.3 Manage Service rates	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	7.4 Manage Service Vouchers	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	7.5 Financials Admin	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	7.6 Cost Share	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	7.7 Manage Electronic Remittance Advice	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	7.8 Reports	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	7.9 Security Roles	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
9. Provider	9.1 Provider Profile Management	DA/DMHA	DA/DMHA	DA/DMHA	PROV	PROV	TBD
	9.2 Provider Certification Management - New Application	DA/DMHA	DA/DMHA	DA/DMHA	PROV	PROV	TBD
	9.3 Provider Certification Management - Renewal Application	DA/DMHA	DA/DMHA	DA/DMHA	PROV	PROV	TBD
	9.4 Provider Certification Management - AAA (Area Agency on Aging)	DA/DMHA					TBD

Module	Feature	DMHA			DDRS		DA
		DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	APS
	9.5 Provider Certification Management - Closure	DA/DMHA	DA/DMHA	DA/DMHA	PROV	PROV	TBD
	9.6 Provider Data Migration	DA/DMHA	DA/DMHA	DA/DMHA	PROV	PROV	TBD
	9.7 Reports	DA/DMHA	DA/DMHA	DA/DMHA	PROV	PROV	TBD
	9.8 Security Roles	DA/DMHA	DA/DMHA	DA/DMHA	PROV	PROV	TBD
	9.9 Governance	DA/DMHA	DA/DMHA	DA/DMHA	PROV	PROV	TBD
10. Order of Selection (Waitlist)	10.1 Manage Order of Selection Priority	DA-DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	10.2 Manage Individuals on Order of Selection	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	10.3 Adding Individual to Waitlist	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	10.4 Eligibility Confirmation	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	10.5 Waiver Slot Available	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	10.6 Removing Individual from Waitlist	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	10.7 Reports	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	10.8 Security Roles	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
11. Interfaces	11.1 Daily Interfaces	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	11.2 Weekly Interfaces	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	11.3 Monthly Interfaces	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	11.4 On-Demand Interfaces	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	11.5 QIS Management	DA/DMHA	Children 1915i				TBD
	11.6 National Outcome Measures (NOMS)		Children 1915i				TBD
	11.7 National Aging Program Information System (NAPIS) Management	DA/DMHA					TBD
	11.8 PeopleSoft Interface				HCBS	Inst.	

Module	Feature	DMHA			DDRS		DA
		DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	APS
	11.9 Quality Vendor Interface				HCBS	Inst.	
	11.10 Reports	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	11.11 Security Roles	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
14. Care Management	14.1 Manage PCMP (Primary Care Medical Provider)	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	14.2 Care Notes	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	14.3 Episode Management	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	14.4 Reports	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
	14.5 Security Roles	DA/DMHA	Children 1915i	Adult 1915i	HCBS	Inst.	TBD
16. Individual	16.1 Manage Individual	DA/DMHA	Children 1915i	DA/DMHA	HCBS	Inst.	TBD
	16.2 Data Governance	DA/DMHA	Children 1915i	DA/DMHA	HCBS	Inst.	TBD
	16.3 Reports	DA/DMHA	Children 1915i	DA/DMHA	HCBS	Inst.	TBD
	16.4 Security Roles	DA/DMHA	Children 1915i	DA/DMHA	HCBS	Inst.	TBD
17. System	17.1 System Administration	DA/DMHA	Children 1915i	DA/DMHA	HCBS	Inst.	TBD
18. Incident Reporting	18.1 Manage Individual Incident	INCD	INCD	INCD	INCD	INCD	TBD
	18.2 Manage Provider Incident	INCD	INCD	INCD	INCD	INCD	TBD
	18.3 Data Governance	INCD	INCD	INCD	INCD	INCD	TBD
	18.4 Report	INCD	INCD	INCD	INCD	INCD	TBD
	18.5 Security Roles	INCD	INCD	INCD	INCD	INCD	TBD

1.4.3.2 Additional Functionality

Additional functionality may be introduced to support use of the system by other FSSA divisions or expanded needs within DA, DMHA, and/or DDRS.

If major changes to the original contract are needed, these changes will be addressed if and when functionality and/or use of the CaMSS application is expanded. The Contractor shall research, scope, and price changes, and develop a proposal at no cost to the State and without using the State's Modifications and Enhancements Hours Pool (see Section 1.4.5.2). If pricing increases are required, the hourly cost must not exceed the contractual hourly rates. The Contractor must receive

formal, written approval from the State before beginning work.

1.4.4 CaMSS Technology and Functionalities

1.4.4.1 CaMSS System Technology Matrix

The CaMSS solution leverages MS Dynamics Customer Relationship Management (CRM) for the base platform. Additional technologies and functionalities include, but are not limited to, the current ones outline below.

REF	AREA	ITEM	TECHNOLOGY	COMMENTS
1	MS Dynamics CRM	Entity configuration	CRM	
2		Form configuration	CRM	
3		Workflow configuration	CRM	
4		Security configuration	CRM/3rd party tool	
5		Navigation configuration	CRM	
6		Dashboard configuration	CRM	
7		Queue configuration	CRM	
8		Email template configuration	CRM	
9		Report design	SQL Server Reporting Services (SSRS)	
10		User management	CRM/3rd party tool	
11		Plug-in support	C#	
12		DB Optimization	SQL Server	
13		JavaScript	Java	
14		Source control	Stash/Team Foundation Server (TFS)	
15		Code promotion	Stash/TFS	
16	Application Integrations	Assuresign	C#/Java	
17		InRule	CRM/C#	
18		Oracle WebCenter Content (WCC)	C#	
19		Scribe		
20	Portal Interfaces	Provider portal	AngularJS	Supported by 3rd party
21		Provider search	.net	Supported by 3rd party
22		Consumer portal	AngularJS	Potential addition to be built by third party. Will leverage CRM.
23	Data Interfaces	Ascend	Web service	
24		Inter RAI	Web service	
25		Contract management system (CMS)	Data transfer (Text/web service)	
26		MMIS	Data transfer (Text/web service)	Leveraging BizTalk Enterprise Service Bus (ESB)
27		PeopleSoft	Data transfer (Text/web service)	
28		Indiana State Department of Health (ISDH)	Data transfer (Text/web service)	Leveraging BizTalk ESB
29		Interlocal Community Action Program (ICAP)	Data transfer (Text/web service)	

REF	AREA	ITEM	TECHNOLOGY	COMMENTS
30		Indiana Client Eligibility System (ICES)/Indiana Eligibility Determination Services System (IEDSS)	Data transfer (Text/web service)	Leveraging BizTalk ESB
31		Fiscal intermediary – Public Partnership LLC (PPL)	Data transfer (Text/web service)	
32	User Authentication	Identity management	Active Directory (AD)	Leveraging Active Directory Federation Services (ADFS)
33	User Authentication	Identity management	Azure AD (AAD)	Leveraging (ADFS)
34	Database Management	Reference data loads	SQL Server	
35		Integration database	SQL Server	
36		Historical data export to data warehouse	SQL Server	
37		Database optimization	SQL Server	

1.4.4.2 Legacy Systems Technology Matrix

A list of legacy technologies by division is found in the table below. Yellow shading denotes status after the CaMSS DA-DMHA release. Note: These legacy applications may continue to be used by other divisions.

Legend:

	Status after DA-DMHA Release
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Component	DA (DA/DMHA release)	DMHA			DDRS		
		DA/DMHA (DA/DMHA release)	Adult - 1915i AMHH-BPHC (Adult 1915i release)	Children - 1915i CHMW (Children 1915i release)	BDDS – CM Portal (HCBS release)	BDDS – Insite (HCBS release)	BDDS – DART (Inst release)
Base Case/Case Management	CRM (CaMSS)	SQL/.net	SQL/.net (DARMHA)	CRM (TOBI)	DotNet	FoxPro	VB 6
Client Validation	Enterprise Client Index (ECI)	File Transfer	File Transfer	File Transfer	File Transfer	File Transfer	File Transfer
Scheduled jobs	Scribe	SQL Server Jobs	SQL Server Jobs	Scribe	Desktop Task Scheduler	Desktop Task Scheduler	Desktop Task Scheduler
Data Archive	Enterprise Data Warehouse (EDW)	EDW		CRM	MSSQL	FoxPro	MSSQL
Document Storage	Oracle WCC	Folder on Web Server	Folder on Web Server	CRM	SQL Server	SQL Server	SQL Server
Primary Integration Pattern	BizTalk	File Transfer	File Transfer/Biz Talk	File Transfer	File Transfer	File Transfer	File Transfer

Rule Management	InRule	Embedded Code	Embedded Code	Embedded Code	InRule	Embedded Code	Embedded Code
State Interface	CRM	.net	.net	CRM	DotNet/MSSQL	FoxPro	VB6/MS SQL
Local Office Interface	CRM	.net	.net	CRM	DotNet/MSSQL	FoxPro	VB6/MS SQL
Provider Interface	Portal	Portal	Portal	Portal	DotNet/MSSQL	Portal	NA
Provider Management	CRM	SQL/.Net	SQL/.Net	CRM	NA	SQL	MSSQL
Federal Reporting Platform	CRM*	SQL/.Net	None	CRM	NA	FoxPro; SQL	TBD
User Management : Case	AD;(AAD)	SQL	SQL	AD	DotNet	FoxPro; SQL	VB6
User Management : Provider	AAD	SQL	SQL	AAD	DotNet	SQL	NA

*This is a temporary solution. Ultimately, DA federal reporting will be pulled using a data warehouse.

1.4.4.3 User Counts

FSSA estimates the following number of DA and DMHA users who will interface with the initial 2017 release of the CaMSS system (DA/DMHA). The user counts are broken down by functionality type and division in the following two tables.

Current Users

Role	User Functions and Capabilities	Business Unit (Approximate User Quantity of Initial Release)
Helpdesk (Current)		
Helpdesk	Helpdesk responsible for technical support, troubleshooting, and fielding questions.	All Divisions (5-7)
DA (Current)		
DA Administration	Main administrators for aging, waiver, and provider information. Full access rights to CaMSS (edit and create) to all agency records, but cannot delete individual, contact, provider, or care plan records.	DA (3)
DA Field - Billing	Responsible for waiver claims and resubmitting claim transmissions, non-waiver invoicing and vouchering, and/or NAPIS (National Aging Program Information System) unit entry. Can edit individual and related records. Has read-only access for provider and service plan records.	AAA (50)
DA Field - Care Manager (AAA Care Managers, Integrated Care Manager (ICM) Care Managers, Options Counselors)	Can review individual and related records assigned to them. Can create and edit inquiry, case, individual, eligibility determination, action plans, service plans, waitlist entry, and child records for a case or an individual.	AAA (650)

Role	User Functions and Capabilities	Business Unit (Approximate User Quantity of Initial Release)
DA Field - Care Management Supervisor	Staff that is managing Care Managers. Have the same rights as Care Managers with the additional role of being able to review individual and related records assigned to their agencies.	AAA (50)
DA Field – Clerical (Care Manager Assistants, other Clerical/Receptionists)	Performs various administrative and clerical tasks such as generating reports and provider pick lists, and transferring calls to the appropriate Care Manager. Can write case notes and create activities. Has read-only access to case, crisis, income, inquiry, provider, and provider certification records.	AAA (40)
DA Field- Provider Management	Staff responsible for provider contract management, including application approvals/denials for non-waiver services, adding services, and adding and changing service rates.	AAA (16)
DA Consultant (DA Waiver Consultants, QIS)	Approves or denies service plans, LOCs and RFAs, and sends out RFIs. Also can create and edit QIS measure and remediation data.	DA (6)
DA Provider Consultant	Staff that only has access to provider and relative child records. They conduct provider site visits for the services that require a site visit.	DA (1)
DA Provider Management	Staff that do all provider application/certification approvals/denials	DA (2)
DA Staff	Frontline staff. Can create inquiries and contacts. Has read-only access for individual and provider records.	DA (3)
DMHA Adult (Current)		
DMHA Provider Staff (1915i Adult)	Apply for program and update information.	DMHA (692)
DMHA Administrator	Staff that are the main administrators for DMHA. Full access rights to edit and create all agency records, but cannot delete individual, contact or provider records.	DMHA (5)
DMHA Certificate Licensing Agent (CLA)	Creates and edits provider records and approves new providers. Once this process is complete, CLA will assign providers to QA staff.	DMHA (1)
DMHA CLA Manager	Reviews workload and assigns tasks to CLA staff. These employees can act on behalf of the CLA, view audit history, assign managers to the user, and email as another user.	DMHA (1)
DMHA QA Staff	Reviews policies and procedures of new providers that are assigned by CLAs, schedules site visits, and reviews corrective action plans.	DMHA (6)
DMHA QA Manager	Reviews workloads and assigns tasks to QA staff. Can act on behalf of the QA staff, view audit history, assign manager to the user, and email as another user.	DMHA (1)
DMHA Liaison	Creates contact and individual records based on information received via phone call, walk in, and e-mail inquiries. Refers individuals to providers.	DMHA (3)
DMHA Liaison Manager	Reviews workload and assigns tasks to Liaison staff. Can act on behalf of the Liaison, view audit history, assign manager to the user, and email as another user.	DMHA (1)
DMHA Youth (Current)		
DMHA Youth Provider Analyst	Creates and edits provider records and approves new providers.	DMHA (2)

Future Users

Role	User Functions and Capabilities	Business Unit (Approximate Quantity of Initial Release)
DDRS (Future)		
DDRS Administration	Main administrators for HCBS waivers, institutional care (SGL, nursing facilities) and provider information. Full access rights to CaMSS (edit and create) to all agency records, but cannot delete individual, contact, provider, or care plan records.	DDRS (5)
DDRS Field Staff	State staff who support individuals receiving all BDDS services. Can enter new individuals and cases from start to finish; can review and edit specific fields based on security roles. Access to reporting services	DDRS (125)
DDRS Case Management Companies	Can review individual and related records assigned to them. Can edit inquiry, case, individual, , action plans, service plans, and child records for a case or an individual. These companies are enrolled as BDDS providers and are not state staff.	CMCO (10)
DDRS Supervisory Case Managers	Employees for Case Management Companies who supervise Case Managers who can edit inquiry, case, individual, , action plans, service plans, and child records for a case or an individual.	CMCO (50)
DDRS Case Managers	Employees for Case Management Companies who can edit inquiry, case, individual, , action plans, service plans, and child records for a case or an individual. .	CMCO (500)
DDRS Providers	Companies who provide paid services to individuals in the waiver and group home programs. Read only view to individuals and cases based on security role.	DDRS (500)
DDRS Provider Enrollment	Staff responsible for provider enrollment and management. including application approvals/denials and provider maintenance	DDRS (5)
DMHA Youth (Future)		
DMHA Youth Access	Creates contact and individual records based on information received via phone calls, walk ins, and email inquiries.	DMHA (50)
DMHA Youth Wraparound Facilitator	Reviews individual records assigned to them.	DMHA (150)
DMHA Youth Wraparound Facilitator Supervisor	Reviews individual records. These supervisors can act on behalf of the Wraparound Facilitator, view audit history, assign manager to the user, and email as another user.	DMHA (30)
DMHA Youth Site Coach	Reads and edits individual and related records for the agency. Processes corrective action plans.	DMHA (5)
DMHA Youth Site Coach Lead	Edits privileges for individual and all related records for the agency. They can act on behalf of the Site Coach, view audit history, assign manager to the user, and email as another user. Processes corrective action plans	DMHA (1)
DMHA Youth Provider Analyst	Creates and edits provider records and approves new providers. Process incident reports and corrective action plans.	DMHA (3)
DA - APS (Future)		

APS Field Staff	Investigates allegations of abuse, neglect and exploitation of elder and disabled adults	APS (84)
APS State Staff	Manages State funding for the 17 prosecutors' offices that administer APS programs in their areas. Maintains State and unit level statistics surrounding endangered adults. Provides data driven analysis of elder and disabled abuse to the State Legislature and other stakeholder groups.	APS (2)

1.4.5 Overview of Scope of Services

The Contractor will work closely with the FSSA Application Manager and the FSSA Help Desk for all components of the CaMSS system for the following services. It is expected the Contractor's key personnel, at a minimum, will conduct the work on-site at the FSSA offices.

Note: As a part of this contract, the Contractor shall be responsible for providing the staffing flexibility to accommodating any unexpected surges in work necessary to make modifications as directed by legislation and/or other authorities, such as policy changes and rate changes. These surges in work would fall under 1.4.5.1 or 1.4.5.2 below.

1.4.5.1 Maintenance and Operations Services Responsibilities

The Contractor will be expected to provide Maintenance and Operations support for the system for the term specified in the contract. Prior to taking over the Maintenance and Operations Services, the Contractor will work with the State to develop and manage plans for transferring services from the initial System Integrator to the Contractor. Transfer of services will be no longer than 30 days. Following the transfer period, the Contractor will have sole responsibility for Maintenance and Operations support.

As a part of the maintenance and operations responsibilities, the Contractor shall provide the following services:

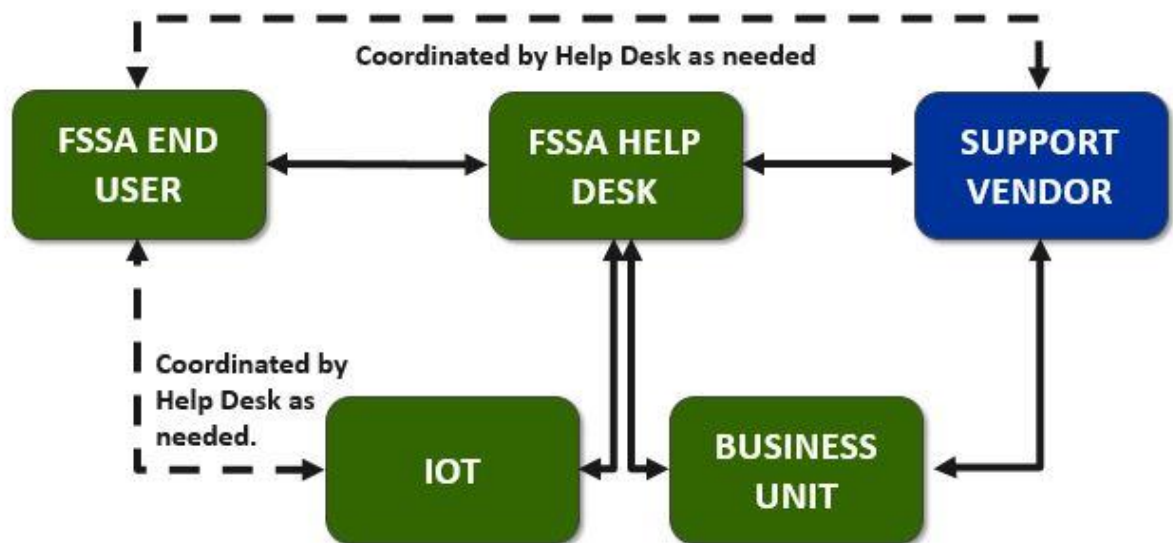
1) General Systems Support

- Develop, execute, and manage processes and procedures required to provide technical and functional support for the CaMSS application.
- Address all questions and reported problems related to the technical and functional operation of the system.
- Perform defect resolution of all defects discovered and prioritized by the defined processes.
- Make routine maintenance changes in the ordinary course of the Contractor's provision of services defined within the scope of its contract (such as changes to operating procedures, schedules, equipment configurations) at no additional cost to the State.
- Conduct monitoring and analysis of system performance to determine if actions are required to meet or improve on Service Level Agreements.
- Resource availability

- Toll-free telephone or email support where a qualified technician shall respond within the timeframes listed in Section 1.4.8.2 based upon the request's function type and severity code.
- On-site qualified incident support from 8:00 AM to 5:00 PM Eastern Time, Monday through Friday. Support shall adhere to the timeframes listed in Section 1.4.8.2 based upon the request's function type and severity code for problems that cannot be resolved via telephone. Note: incidents may be reported in person, by phone, or by email.
- After hours support (defined as from 5:01 PM to 7:59 AM Eastern Time Mondays to Fridays, and weekends and State holidays) will be provided via phone and email. Required response times for incidents reported outside of normal business hours will be determined based on the severity of the incident (see Section 1.4.8.2).
- The Contractor shall provide disaster recovery and business continuity support for CaMSS. Please see the IOT Policy for Continuity of Operation Plan (COOP)/Business Continuity (BC) at this link for more information:
<http://www.in.gov/iot/files/Continuity%20of%20Operation%20Plan%20-%20Business%20Continuity.pdf>

2) Help Desk Support

The CaMSS helpdesk approach utilizes a three-tier approach for support, troubleshooting, fielding questions and product fixes:



- Tier 1 Support Services (FSSA Responsibility)
 This first point of contact for the reporting and resolution of all incidents is staffed and operated by the State. The Tier 1 team is responsible for diagnosis, resolution, and escalation of all incidents as needed. The team coordinates activities and communication between Tier 2/3 support and end users. Specific responsibilities include the following:

- Initial reception and recording of the user or tester reported incidents (ticket).
 - Logging and categorization of the incident with regards to priority and effect on the system.
 - Resolution of connectivity or other workstation issues which are not related to the CaMSS application.
 - Oversight of user rights within the system.
 - Resolution of issues that result from need for training.
 - System administration for access or system resources consumed by the systems that support CaMSS.
 - Determination of which incidents need to be transferred to Tier 2 or 3.
 - Transfer to Tier 2 or 3 support.
- Tier 2 Support Services (Contractor Responsibility)
 The Contractor will be responsible for staffing and operating a Tier 2 support team, which must include a named onsite Technical Lead per Division and a named onsite dedicated Project Manager per Division. This first point of escalation provides guidance and instructions to Tier 1 support to diagnose, and it takes ownership of incidents where subject matter expertise and experience is required for diagnosis and/or resolution. Any policy related inquiries shall be directed to the relevant business unit. The Contractor shall not respond to any policy related questions. The Contractor will be responsible for the following:
 - Single point of contact for escalation.
 - Maintain call scripts for Tier 1 support to conduct initial call resolution and determination.
 - Modification of solution to as described in Section 1.4.5.1.
 - Administer weekly incident releases(bugs) as well as feature releases to all environments.
 - Coordinate the application of patches to the CaMSS system and all environments in coordination with IOT.
 - Test all configuration changes and patches.
 - Conduct architectural review of all configuration changes to business rules and integrations that are performed by Tier 1 or Tier 2 teams.
 - Tier 3 Support Services (Contractor Responsibility)
 The Contractor will be responsible for staffing and operating a Tier 3 support team, including architectural and design resources. The Contractor will be responsible for the following services:
 - Single point of contact for escalation to third party vendors including Microsoft, Scribe, InRule, and Oracle WCC.
 - Open and facilitate service tickets on behalf of FSSA with third party vendors.
 - Support IOT with items that relate to system performance and uptime.
 - Support interfaces with other FSSA systems.

3) Incident and Problem Management

As a part of the Incident and Problem Management responsibilities, the Contractor shall:

- Perform tasks in a manner consistent with minimizing and avoiding problems.
- Monitor events and system performance with the goal of taking proactive actions to

avoid problems.

- Prioritize and communicate tasks' associated incidents and service requests.
- Notify the State of unplanned system downtime immediately upon, and at most within 1 hour of, confirmation. If the downtime is anticipated beforehand, the Contractor shall notify the State at least 72 hours prior to the planned downtime.
- Maintain system uptime described in Section 1.4.8.2.1 (Maintenance and Operations Services Service Levels – System Uptime).
- Notify the Chief Information Officer or designees of system performance or functionality issues (excluding those that result in system downtime) within 1 business day of occurrence. The Contractor shall describe the issue, what is being done to remedy the issue, and when the issue is expected to be fixed.

4) Access Management

Provide assistance in the definition of user roles and security configurations, specifically the creation of new roles and monitoring of user access rights in relation to internal requirements.

5) Application Management

Plan and execute tasks required to ensure the CaMSS system stays relevant and useable. This includes resolution of functional issues, application of patches, and planning/execution of enhancements and upgrades. Make all product releases and upgrades, such as predeveloped software accelerator packages, available to the State at no additional costs. At least on an annual basis, Contractor shall communicate to the State any available information on the product roadmap, planned upgrades and enhancements, and seek State input where practical. It is the State's expectation that most federally mandated changes are included in the releases and upgrades as part of support and maintenance. If significant changes are required as a result of federal mandates, these changes will be considered enhancements and billed using the Modifications and Enhancements Hours Pool.

1.4.5.2 System Enhancement Services Responsibilities

The Contractor shall provide enhancements and modifications to CaMSS as determined necessary by the CaMSS Change Review Board. Enhancements are defined as changes to the properly working application in response to new or changed user needs or an expansion of the CaMSS solution. The FSSA Change Review Board will be responsible for collecting and prioritizing CaMSS enhancement requests. The FSSA Application Manager will communicate enhancement requests to the Contractor and work with the Contractor's Support Manager in prioritization and planning using a service portfolio management strategy. As a part of the System Enhancement Services responsibilities, the Contractor shall provide the following services:

1) Technical Guidance for Modifications Implemented by State Staff

FSSA reserves the right to complete select minor modifications within the CaMSS application as staffing levels allow. In instances where this option is exercised, the Contractor will be involved in the enhancement planning and technical guidance. All work performed by the FSSA will follow the agreed upon SDLC processes.

2) Implementation of System Modifications and Enhancements

The Contractor will provide design, development, and implementation services for system enhancements and modifications not being implemented by State staff. Please see Section 1.4.3.1 for the currently planned enhancements. Additional enhancements may be identified by the State, including those that may come up from help desk incidents or as a result of direction by legislation and/or other authorities, such as policy changes and rate changes. As the enhancements' rollout schedule may change over time, the Contractor must work with FSSA on a regular basis to plan enhancements and be flexible about adjusting plans based on changes to enhancements' timing and scope. System modifications and enhancements shall be billed using the contractual hourly rate agreed upon by the State and Contractor.

a. **Modifications and Enhancements Hours Pool**

i. **Transition Period.**

The Contractor shall provide base staffing of three (3) full-time staff for three (3) months after the contract start date to address a backlog of existing bugs and ensure system stability. After 45 days, the State and Contractor shall conduct a check-in meeting to determine if three (3) months is sufficient or if additional time is needed. If necessary, the transition period can be extended to up to a total of nine (9) months. Any additional resources beyond base staffing of three (3) FTEs required for the completion of the transition period shall be billed at the contractual hourly rate set for system modifications and enhancements. As a part of the Transition Period, the incumbent contractor will leave behind additional system documentation such as solution requirements, system requirements, a security matrix, user stories, and data migration patterns. The Contractor will take over responsibility for keeping these documents and other relevant documents up-to-date during the Transition Period.

- ii. **Steady State.** After the Transition Period, the Contractor shall provide a Modifications and Enhancements Hours Pool of 100 hours of development work per month to work on enhancements and modifications to CaMSS at no additional cost to the State for the term of the contract. The State maintains the right to adjust staffing to meet the needs of the State once the Steady State commences. The State anticipates the utilization of the Modifications and Enhancements Hours Pool will begin three months after the contract start date.

Any unused hours from this base 100 hours per month shall roll over to the subsequent month. If the Hours Pool is expected to exceed 100 in any month, the Contractor must receive formal written State approval before performing the work beyond 100 hours. If approved and if there are not enough extra hours rolled over from the prior month to cover the increased needs for the month, the Contractor may invoice the State the extra hours at the contractual hourly rates for system modifications and enhancements, unless otherwise agreed to by FSSA and the Contractor.

- iii. **Major Enhancements.** The State will have the ability to increase the Modifications and Enhancements Hours Pool to a maximum of 800 hours per month to accommodate major system enhancements with the approval

of FSSA's Chief Information Officer (CIO). The State will provide at least a thirty (30) day notice prior to any need for increased resources. The Contractor shall be responsible for making staffing adjustments based on the projected increased staffing needs. These resources will be incorporated into a sixty (60) day rolling staffing plan maintained by the Contractor. The Contractor will only bill for any **actual** hours worked of that increase in Modifications and Enhancements Hours Pool hours.

Please note for planning purposes: The State currently anticipates there will be major enhancements soon after the Transition Period. However, any near-term enhancement staffing needs will be determined with the State after contract start.

- iv. **True Up.** A true-up shall be performed at the end of each State fiscal year and the State shall be credited for any unused hours on the Contractor's final invoice for each fiscal year.
- v. 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. This includes resources who are already working on Maintenance and Operations but also involved in Modifications and Enhancements in some capacity (e.g., Project Manager).

b. **Hours Estimation and Reconciliation**

- i. Prior to making each modification and enhancement, the Contractor shall provide an estimated number of hours for the modification or enhancement using a State's Statement of Work (SOW) form provided at the start of the contract term. The Contractor shall obtain formal written State approval from the FSSA CIO or State-designated party prior to making any modification and enhancement that requires over 40 hours of work.
- ii. After completion of any modification and enhancement, Contractor shall provide actual hours worked by position. The Contractor shall also compile a monthly report listing all hours worked by position for each modification and enhancement.

3) **Use of Systems Development Life Cycle (SDLC)**

The Contractor shall follow the industry standard SDLC processes, including the creation of the following deliverables, for each system enhancement. For system modifications, the State will provide guidance on what work products they expect from the Contractor as less complex modifications may require fewer work products.

- a. **Requirements** – The Contractor will provide FSSA with detailed functional and technical requirements, which must then be approved by FSSA before development begins. Requirements shall meet the following standards. The State will monitor compliance with these standards and take action to address consistently poor performance.
 - i. On-time submission of specifications in relation to timeline agreed to by FSSA and the Contractor.
 - ii. Consistency in formatting and content.

- iii. Reasonable accuracy in relation to user-defined requests.
- b. **Configuration Documents** – The Contractor will be responsible for the maintenance of CaMSS configuration documents. Documents will be updated by the Contractor when configurations are approved and migrated to the production environment. The Contractor will be responsible for document version control. Copies of original configuration documents will be provided during the transfer of support from the System Integrator. Configuration documents shall meet the following standards. The State will monitor compliance with these standards and take action to address consistently poor performance.
 - i. On-time submission of updates to documents in relation to when modifications are migrated to production.
 - ii. Consistency in formatting and version control.
 - iii. Accuracy of information.
- c. **User Manuals, Training Materials, and Process Documents** – The Contractor will be responsible for the maintenance of CaMSS user manuals, training materials, and process documents. Manuals will be updated to reflect changes or additions to functionality as they are approved and migrated to production. The Contractor will be responsible for updating the SCORM compliant training content. The Contractor will be responsible for version control of all subject documents. Copies of original documents will be provided during the transfer of support from the System Integrator. User manuals shall meet the following standards. The State will monitor compliance with these standards and take action to address consistently poor performance.
 - i. On time completion of updates to documents in relation to when modifications are migrated to production.
 - ii. Consistency in formatting and version control.
 - iii. Accuracy of information.
- d. **Testing** – Contractor shall conduct unit, system, interface, performance, regression, and user testing per Contractor policy and procedures approved by the State. Testing responsibilities include, but are not limited to:
 - i. Comply with State of Indiana – IOT and FSSA testing standards (<http://www.in.gov/iot/2394.htm>).
 - ii. Provide integration testing that is designed to ensure that all components, data feeds, identity management solutions, etc., work together properly and, as a whole, meet the business and functional requirements of the system.
 - iii. Provide component integration testing that shall include the development and use of automated system test scripts to validate that the system operates in accordance with the design specification, for example:
 - User roles are performing properly.
 - Authentication performs properly.
 - Workflows perform properly.
 - Data flows perform properly.
 - iv. For User Acceptance Testing (UAT), the Contractor shall schedule and facilitate State-selected users to complete UAT, track their results, and

present to State for review prior to requesting authorization for production releases.

- v. Conduct testing and ensure that the modification or enhancements are completed with 100% positive results, and receive approval from State designee(s) before activating any modifications or enhancements. If there are minor issues (i.e., resulting in less than 100% positive results), the State may choose to approve modification or enhancement release. In those situations, the Contractor will be responsible for resolving issues on a State approved timeline post release.

- e. **Formal Production Readiness Reviews** – Contractor shall conduct formal production readiness reviews prior to production releases to ensure releases are ready for deployments (e.g., pass test cases, documents are updated, etc.) Formal review process must be agreed upon by the State.

1.4.5.3 Training

- 1) At contract commencement, the State will already have train-the-trainer training materials developed by the System Integrator for the DA/DMHA release. Additionally, staff training content for that release will have been developed by a contracted training vendor.
- 2) As new releases are rolled out (e.g., DMHA-1915i), the Contractor will be responsible for developing training content for train-the-trainer materials and conducting those trainings. FSSA will engage a contracted training vendor to create training courses for the overall staff and provide those staff trainings. After that initial roll-out and training for the new release, the Contractor shall be responsible for updating the training content to reflect any minor modifications and enhancements.
- 3) The Contractor shall be responsible for updating the training content to reflect any modifications and enhancements.
- 4) The Contractor shall, as required but no more than twice a year, provide refresher training for new and select incumbent staff, including updates for deployed components based on minor modifications and enhancements to the system
- 5) The Contractor shall create leave-behind video training for State users.
- 6) The Contractor shall conduct a quarterly analysis of support tickets, and create additional training to address any areas of frequent inquiries/issues.

1.4.5.4 Other Responsibilities

- 1) The Contractor will be responsible for project management and oversight of all assigned tasks. This includes timeline management, budget management, resource management, risk management and mitigation, issue identification and resolution, tracking of service level related metrics, and preparation of status reports.
- 2) FSSA will utilize an independent Software Quality vendor to ensure a high level of quality prior to all software deployments. The Contractor shall provide any information or assistance as requested by the Software Quality vendor.
- 3) IOT shall be responsible for setting, managing, and executing policies and processes associated with IT infrastructure. IOT shall be responsible for management of CaMSS infrastructure and hardware in all environments. The Contractor shall provide any

information or assistance as requested by IOT as it pertains to supporting CaMSS.

1.4.5.5 Contractor Project Roles

The Contractor will be expected to provide resources to support roles and responsibilities of the Contractor as defined in the contract. The table below provides a listing of Key Personnel for the Contractor's team. The Project Manager and Support Manager must be onsite to support incident reporting and resolution during normal business hours. The System Enhancement Manager must be onsite during the design, development, and implementation of a new release or a significant enhancement, unless otherwise directed by the State. In addition to the Key Personnel, the Contractor shall be fully staffed to meet the anticipated State's anticipated Maintenance and Operations needs as well as System Modifications and Enhancements needs based on the sixty (60) day rolling staffing plan to be maintained by the Contractor. The Contractor may choose to utilize off-site resources for particular tasks such as technical architecture, design, documentation, and enhancements but the ability to meet the State's needs must not be impacted. If the State requests, such off-site resources must be made available for on-site meetings. Additional resources may be called upon as needed by the Contractor and FSSA.

The following table outlines the State's perspective on minimum Contractor **Roles** and qualifications necessary to support this project but is not intended to define specific **Positions** which will be required. The Contractor may propose a specific staffing plan but should detail how this plan meets the roles and responsibilities represented in this section in the Technical Proposal.

Role	Description	Required Skills
Project Executive	Ensures contract compliance and contract quality assurance. Oversees overall project planning and execution.	<ul style="list-style-type: none">• At least three (3) years of experience on public sector projects. At least one (1) year of experience with a health and human services agency.• At least two (2) years of executive experience with enterprise application oversight.• Documented experience with Medicaid Home and Community Based Services programs is preferred.• At least two (2) years of experience with system implementation, maintenance, and operations.• Knowledge of case management systems is preferred.• Strong written and communication skills.
Project Manager	Responsible for coordinating the overall project tasks, including project planning, scheduling, and staffing. Serves as the primary day-to-day contact for contract services and issues resolution. Ensures service level agreements	<ul style="list-style-type: none">• At least one (1) year of experience with a health and human services agency.• At least two (2) years of experience with system implementation, maintenance, and operations.• Knowledge of case management systems is preferred.• At least four (4) years of project management experience. Experience with the principles of the Project Management Body of Knowledge

Role	Description	Required Skills
	are sustained and deliverables are submitted on timely basis.	<p>(PMBOK®). Current certification as a Project Management Professional (PMP) by the Project Management Institute (PMI) preferred.</p> <ul style="list-style-type: none"> • Strong written and communication skills.
Support Manager	Manages the Maintenance and Operations services team and ensures the service level agreements are sustained. Ensures the services and deliverables required as a part of the Maintenance and Operations duties of this contract are completed on a timely basis and to the satisfaction at the State.	<ul style="list-style-type: none"> • At least two (2) years of experience managing the maintenance, operations, and enhancements of systems of a similar size and complexity to the CaMSS system. • Knowledge of case management systems is preferred. • Project management experience. • Strong written and communication skills.
System Enhancement Manager	Manages the System Enhancement Services team and ensures the service level agreements are sustained. Ensures the services and deliverables required as a part of the System Enhancement Services duties of this contract are completed in a timely basis and to the satisfaction of the State.	<ul style="list-style-type: none"> • At least two (2) years of experience managing the enhancements of systems of a similar size and complexity to the CaMSS system. • Strong technical background and at least two (2) years of experience with System Development Life Cycle Processes for system design, development, and implementations of a similar size and complexity to the CaMSS system. • Knowledge of case management systems is preferred. • Project management experience. • Strong written and communication skills.
Deployment Manager	Manages the planning, design build, configuration and testing of all software and hardware to create the release package for the delivery of enhancements or changes to the CaMSS system. Ensures the service level agreements are sustained. Ensures the services and deliverables required as a part of the System deployment duties of this contract are completed in a timely basis and to the satisfaction of the State.	<ul style="list-style-type: none"> • Strong technical background and at least two (2) years of experience with System Development Life Cycle Processes for system design, development, and implementations of a similar size and complexity to the CaMSS system. • Strong knowledge of all aspects of the end-to-end release process. • Knowledge of case management systems is preferred. • Project management experience. • Strong written and communication skills.

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. This resume review and approval process will begin before the Key Personnel member departs, if it is not an expedited change initiated by the State.

1.4.6 Reporting

The Contractor shall provide the following reports in the format and timeframe as agreed upon with the State:

- 1) Weekly Status Report - The Contractor will provide the FSSA Application Manager with a weekly status report due by 5:00pm each Tuesday on the general health of the project including:
 - a) Activities completed in the past week.
 - b) Activities planned in the next four weeks.
 - c) Number of open helpdesk tickets/issues.
 - d) Number of closed helpdesk tickets/issues.
 - e) Milestone dates for on-going development activities.
 - f) Planned application release and bug fixes.
 - g) Project risks and mitigation strategies.

If the Tuesday is on a state holiday, the report will be due the next business day.

- 2) Monthly Service Level Agreement Report – Report detailing previous month's performance in accordance with agreed upon Service Level Agreements. Monthly status reports for the previous month will be due no later than the 10th of the month. If the 10th is on a weekend or holiday, the report will be due the next business day.
- 3) Quarterly Performance Report – Report detailing deviations to SLAs for the past quarter and reasons for the deviations. Quarterly status reports for the previous quarter will be due no later than the 10th day of the current quarter. If the 10th is on a weekend or holiday, the report will be due the next business day.

- 4) Annual Summary Reports – Annual reports for the previous year’s performance will be due by the end of the first month in the new year. If that day is on a weekend or holiday, the report will be due the next business day.
- 5) Incident Reporting and Tracking – JIRA Issue and Bug Tracker will be used for reporting and tracking of incidents. FSSA will provide accounts for Contractor resources and provide training on the use of the tool.
- 6) Staff Utilization Report – In addition to all invoices, the Contractor shall provide a staff utilization report that outlines the employee name, classification, and hours invoiced for all maintenance and operations and enhancement projects.
- 7) Other Reports and Documentation – Other reports and documentation will be due as determined FSSA and the Contractor.

1.4.7 Meetings

The Contractor shall participate in the following meetings:

- 1) Monthly Status Meeting – Monthly meeting between FSSA Application Manager, Divisions, and the Contractor discussing performance in relation to SLAs, upcoming enhancement/configuration requests, open issues requiring escalation, and staffing needs.
- 2) Quarterly Performance Meeting – Quarterly meeting between FSSA Application Manager, Divisions, and the Contractor to discuss overall performance in relation to SLAs, deviations, reasons for deviations, proactive counter measures, and potential contract amendments.
- 3) As required, conduct user interface demonstrations for business units and other stakeholders. Provide the agenda a minimum of 1-week in advance of the demonstration.
- 4) Additional ad hoc meetings as requested by the State.

1.4.8 Service Levels

1.4.8.1 Service Levels Overview

Failure by the Contractor to meet Service Level Agreements (SLAs) may cause the State to incur economic damages and losses, including but not limited to:

- Federal penalties
- Lost Federal match funding if certain implementation deadlines are missed
- Staff productivity losses due to downtime/poor response times
- Costs incurred due to any overtime necessitated
- Applicant time lost if interface is partially or completely down
- Impact on other State systems due to downtime or other processing issues
- Negative project impact and/or risk of negative audit findings due to lack of proper

- documentation or improper procedures
- Impact to timeline/budget due to unavailability of key staff resources and/or adequate resources on site

As such, compensation to the Contractor will be tied to the SLAs below. The Contractor will provide periodic (monthly and quarterly) updates on its performance in relation to the SLAs. FSSA will hold the Contractor accountable to these SLAs and failure to meet SLAs on a consistent basis could have a significant impact on compensation levels to the Contractor (please see Performance-Based Withholds in section 1.4.8.2 and 1.4.8.3). Depending on the finalized scope of work, the State reserves the right to implement additional SLAs for module releases.

The table below provides a description of four severity codes. The severity code for each incident will be assigned by the State, but may be adjusted based on discussions with the Contractor. Severity codes 1 and 2 are considered system defects. Severity codes 3 and 4 are considered bug fixes.

Severity Code (JIRA System)	Definition
1 - Critical	A problem has made a critical application function unusable or unavailable, and no workaround exists.
2 - Major	A problem has made a critical application function unusable or unavailable, but a workaround exists. <i>or</i> A problem has made an important application function unusable or unavailable, and no workaround exists.
3 - Average	A problem has diminished critical or important application functionality or performance, but the functionality still performs as specified in the user documentation.
4 - Minor	A problem has diminished supportive application functionality or performance.

1.4.8.2 Maintenance and Operations Service Levels

The following are service levels for Maintenance and Operations. All service levels will be reported monthly to the State in a written report, per Section 1.4.6.

1) System Uptime

Contractor shall maintain a minimum of 99.8% uptime against a 24 hours per day, 7 days per week operating schedule, excluding scheduled downtime.

2) User Support and Incidents/Defects/Bugs Correction Timeliness

Service level metrics will vary based on application function type and severity level. The table below provides descriptions for each of the applications function type.

Application Function Type	Description	Features
Critical	These application functions are critical to ensuring services are able to be provided to clients within the State of Indiana, in turn impacting FSSA's reputation. Extended failure will impact or damage clients and/or FSSA's reputation.	Assessment & Eligibility, Service Plan, Service Authorization, Financials, Individual, Care Management, Provider, Services Severity, Interfaces
Important	These application functions are important to business productivity, but are not critical.	Inquiry & Screening, Order of Selection (Waitlist)
Supportive	These applications support productivity, but are not essential to business effectiveness.	Intake, Reporting

Based on the severity codes listed above, the State will track the timeliness of the following four (4) incident phases:

Incident Phase	Definition
Initial Response	Time taken from when the incident is originally reported by FSSA Helpdesk to when the Contractor acknowledges the incident by updating status in system.
Estimation Response	Time taken from when the incident is originally reported by FSSA Helpdesk to when the Contractor logs the estimated response time into the system.
Incident/Action Updates	Frequency of status updates logged into the system if there is an update to the incident.
Incident/Action Resolution Completion	Time taken from when the incident is originally reported by FSSA Helpdesk to when the Contractor resolves the incident.

The required response time SLAs by severity code and incident phase for opened incidents are provided below. Response and resolution times are measured from when the incident is received by Tier 2 or 3 from FSSA Helpdesk. The Contractor shall provide the State updates if there are changes to response and resolution time estimates within the stated Incident/Action Updates timeframes.

Severity Code (JIRA System)	Initial Response	Estimation Response	Incident/Action Updates, if there is an updated	Resolution Completion, unless otherwise approved by the State
1 - Critical	15 minutes	2 hours	Every 2 hours	4 hours
2 - Major	30 minutes	2 hours	Every 2 hours	8 hours
3 - Average	1 hour	8 hours	Every 4 hours	4 calendar days
4 - Minor	1 hour	Next business day	Weekly	20 calendar days

The requirement for response time compliance is 98% of total measured response times every month. For example, if there are 25 incidents opened in a month, that equates to 100 response

time measurements. The Contractor must meet the response times for at least 98% of these measurements in the month.

3) Open Incidents/Actions

The Contractor will report the number of incidents/actions resolved and remaining open in a given monthly period, the amount of time the action or incident has been open, and the amount of time originally estimated for resolution. The Contractor shall resolve 99% of opened incidents in the required timeframes to the satisfaction of the State.

4) Performance-Based Withhold

The State will apply a 10% withhold of monthly fees if Maintenance and Operations Service Levels as defined in items 1-3 above are not reached. Withholds will be released if metrics are met in the next two consecutive months, otherwise the fees will be forfeited. At the State's request, the Contractor shall perform a Corrective Action Plan (CAP) that outlines how the Contractor plans to correct poor performance.

If two or more instances of failure to meet an SLA (as detailed in above) are reported in two (2) consecutive months, Contractor must prepare and submit a root-cause analysis and remediation plan to the State, the form and scope of which shall be agreed to by the parties.

1.4.8.3 System Enhancements Service Levels

The following are service levels for System Enhancements. Service levels 1 to 3 will be reported monthly to the State in a written report, per Section 1.4.6.

1) Enhancement Scoping Timeliness

The Contractor shall provide 100% of cost and time estimates within one week from request submission.

2) Enhancement Completion Timeliness

The Contractor shall complete 100% of requested enhancements within estimated timeframes.

3) Incident/Defects/Bugs Correction Timeliness

The Contractor shall correct 100% of defects (Severity Level 1 and 2) and 95% of bugs (Severity Level 3 and 4) found during User Acceptance Testing per the timeframes agreed upon with the State at the time the defects/bugs are reported. The Contractor shall receive State approval on which bugs are allowed to be uncorrected before production.

4) Budget Management

The Contractor shall complete requested enhancements within the State approved budget. The Contractor shall be responsible for any expenditures over the State approved budget if no changes in scope were made.

5) Software Quality

The State requires a 90-day warranty for new releases rollouts (e.g., DMHA-1915i). 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 Modifications and Enhancements Hours Pool hours. Fit functionality in relation to user request

and agreed to specifications will be tracked by the State. Action may be taken to address consistently poor performance.

6) **Performance-Based Withhold**

The State will apply a 10% withhold of the monthly invoice if any of the System Enhancements Service Levels as defined in items 1-5 above are not reached in the month. Withholds will be released if SLAs are met the next two consecutive months, otherwise the fees will be forfeited.

If two (2) or more instances of failure to meet an SLA (as detailed in above) are reported in two (2) consecutive months, Contractor must prepare and submit a root-cause analysis and remediation plan to the State, the form and scope of which shall be agreed to by the parties.

1.4.9 Minimum Contractor Experience

The following represent qualifications for the selected Contractor. For relevant project experience, please provide in the technical proposal the entity served, scope of your services, contract start date, contract end date, number of users, and number of vendor staff needed to complete project. **Bold** formatting indicates required experience. The State reserves the right to remove from consideration any Respondent that does not meet the Minimum Contractor Experience. **The Contractor shall have:**

- 1) **Demonstrated experience with Microsoft Dynamics CRM experience.**
- 2) **Provided implementation and support services for applications for a minimum of three (3) years.** Case management system experience is preferred.
- 3) **Demonstrated prior experience for a minimum of three (3) years in the public sector, specifically with city, county, or state health and human services agencies.**
- 4) **Demonstrated good communications skills, sound judgment, integrity, reliability, and a professional reputation of providing high-quality services. This will be evidenced by satisfactory references from three clients with a minimum of one city, county, or state government agencies.**

1.5 RFP OUTLINE

The outline of this RFP document is described below:

Section	Description
Section 1 – General Information and Requested Products or Services	This section provides an overview of the RFP, general timelines for the process, and a summary of the products/services being solicited by the State/Agency via this RFP

Section 2 – Proposal Preparation Instruction	This section provides instructions on the format and content of the RFP including a Letter of Transmittal, Business Proposal, Technical Proposal, and a Cost Proposal
Section 3 – Proposal Evaluation Criteria	This sections discusses the evaluation criteria to be used to evaluate respondents' proposals
Attachment A	M/WBE Participation Plan Form
Attachment A1	IVOSB Participation Plan Form
Attachment B	Sample Contract
Attachment C	Indiana Economic Impact Form
Attachment D	Cost Proposal Template
Attachment E	Business Proposal Template
Attachment F	Technical Proposal Template
Attachment G	Q&A Template
Attachment H	User Stories
Attachment I	Intent to Respond Form

1.6 QUESTION/INQUIRY PROCESS

All questions/inquiries regarding this RFP must be submitted in writing by the deadline of **3:00 p.m. Eastern Time** on October 10, 2017. Questions/Inquiries may be submitted in Attachment G, Q&A Template, via email to rfp@idoa.IN.gov and must be received by the time and date indicated above.

Following the question/inquiry due date, Procurement Division personnel will compile a list of the questions/inquiries submitted by all Respondents. The responses will be posted to the IDOA website according to the RFP timetable established in Section 1.24. The question/inquiry and answer link will become active after responses to all questions have been compiled. Only answers posted on the IDOA website will be considered official and valid by the State. No Respondent shall rely upon, take any action, or make any decision based upon any verbal communication with any State employee.

Inquiries are not to be directed to any staff member of the Family and Social Services Administration (FSSA), or any other participating agency. Such action may disqualify Respondent from further consideration for a contract resulting from this RFP.

If it becomes necessary to revise any part of this RFP, or if additional information is necessary for a clearer interpretation of provisions of this RFP prior to the due date for proposals, an addendum will be posted on the IDOA website. If such addenda issuance is necessary, the Procurement Division may extend the due date and time of proposals to accommodate such additional information requirements, if required.

1.7 DUE DATE FOR PROPOSALS

All proposals must be received at the address below by the Procurement Division no later than **3:00 p.m. Eastern Time** on **November 14, 2017**. Each Respondent must submit **one original CD-ROM/USB Drive (marked "Original") and one (1) complete copy on CD-ROM/USB Drive** of the proposal, including the Transmittal Letter and other related documentation as required in this RFP. The **original CD-ROM/USB Drive** will be considered the official response in evaluating responses for scoring and protest resolution. **The respondent's proposal response on this CD/USB Drive may be posted on the IDOA website, (<http://www.in.gov/idoa/2462.htm>) if recommended for selection.** Each copy of the proposal must follow the format indicated in Section Two of this document. Unnecessarily elaborate brochures or other presentations, beyond those necessary to present a complete and effective proposal, are not desired. All proposals must be addressed to:

Teresa Deaton-Reese
Indiana Department of Administration
Procurement Division
402 West Washington Street, Room W468
Indianapolis, IN 46204

If you hand-deliver solicitation responses:

To facilitate weapons restrictions at Indiana Government Center North and Indiana Government Center South, as of **July 21, 2008**, the public must enter IGC buildings through a designated public entrance. The public entrance to Indiana Government Center South is located at 10 N. Senate Avenue (East side of building). This entrance will be equipped with metal detectors and screening devices monitored by Indiana State Police Capitol Police.

Passing through the public entrance may take some time. Please be sure to take this information into consideration if your company plans to submit a solicitation response in person.

If you ship or mail solicitation responses: United States Postal Express and Certified Mail are both delivered to the Government Center Central Mailroom, and not directly to the Procurement Division. It is the responsibility of the Respondent to make sure that solicitation responses are received by the Procurement Division at the Department of Administration's reception desk on or before the designated time and date. Late submissions will not be accepted. The Department of Administration, Procurement Division clock is the official time for all solicitation submissions.

Regardless of delivery method, all proposal packages must be **sealed** and clearly marked with the RFP number, due date, and time due. IDOA will not accept any unsealed bids. Any proposal received by the Department of Administration, Procurement Division after the due date and time will not be considered. Any late proposals will be returned, unopened, to the Respondent upon request. All rejected proposals not claimed within 30 days of the proposal due date will be destroyed.

No more than one proposal per Respondent may be submitted.

The State accepts no obligations for costs incurred by Respondents in anticipation of being awarded a contract.

1.8 PRE-PROPOSAL CONFERENCE

A pre-proposal conference will be held on October 5, 2017 at 1:00 PM in Indiana Government Center South Auditorium. At this conference, potential respondents may ask questions about the RFP and the RFP process. Respondents are reminded that no answers issued verbally at the conference are binding on the State and any information provided at the conference, unless it is later issued in writing, also is not binding on the State.

1.9 MODIFICATION OR WITHDRAWAL OF OFFERS

Modifications to responses to this RFP may only be made in the manner and format consistent with the submittal of the original response, acceptable to IDOA and clearly identified as a modification.

The Respondent's authorized representative may withdraw the proposal, in person, prior to the due date. Proper documentation and identification will be required before the Procurement Division will release the withdrawn proposal. The authorized representative will be required to sign a receipt for the withdrawn proposal.

Modification to, or withdrawal of, a proposal received by the Procurement Division after the exact hour and date specified for receipt of proposals will not be considered.

1.10 PRICING

Pricing on this RFP must be firm and remain open for a period of not less than 180 days from the proposal due date. Any attempt to manipulate the format of the document, attach caveats to pricing, or submit pricing that deviates from the current format will put your proposal at risk.

Please refer to the Cost Proposal sub-section under Section 2 for a detailed discussion of the proposal pricing format and requirements.

1.11 PROPOSAL CLARIFICATIONS AND DISCUSSIONS, AND CONTRACT DISCUSSIONS

The State reserves the right to request clarifications on proposals submitted to the State. The State also reserves the right to conduct proposal discussions, either oral or written, with Respondents. These discussions could include request for additional information, request for cost or technical proposal revision, etc. Additionally, in conducting discussions, the State may use information derived from proposals submitted by competing respondents only if the identity of the respondent providing the information is not disclosed to others. The State will provide equivalent information to all respondents which have been chosen for discussions. Discussions, along with negotiations with responsible respondents may be conducted for any appropriate purpose.

The Procurement Division will schedule all discussions. Any information gathered through oral discussions must be confirmed in writing.

A sample contract is provided in Attachment B. Any requested changes to the sample contract must be submitted with your response (See Section 2.3.5 for details). The State reserves the right to reject

any of these requested changes. It is the State's expectation that any material elements of the contract will be substantially finalized prior to contract award.

1.12 BEST AND FINAL OFFER

The State may request best and final offers from those Respondents determined by the State to be reasonably viable for contract award. However, the State reserves the right to award a contract on the basis of initial proposals received. Therefore, each proposal should contain the Respondent's best terms from a price and technical standpoint.

Following evaluation of the best and final offers, the State may select for final contract negotiations/execution the offers that are most advantageous to the State, considering cost and the evaluation criteria in this RFP.

1.13 REFERENCE SITE VISITS

The State may request a site visit to a Respondent's working support center to aid in the evaluation of the Respondent's proposal. Site visits, if required will be discussed in the technical proposal.

1.14 TYPE AND TERM OF CONTRACT

The State intends to sign a contract with one or more Respondent(s) to fulfill the requirements in this RFP.

The term of the contract shall be for a period of two (2) years from the date of contract execution. There may be four (4) one-year renewals for a total of six (6) years at the State's option.

1.15 CONFIDENTIAL INFORMATION

Respondents are advised that materials contained in proposals are subject to the Access to Public Records Act (APRA), IC 5-14-3 *et seq.*, and, after the contract award, the entire RFP file may be viewed and copied by any member of the public, including news agencies and competitors. Respondents claiming a statutory exception to the APRA must indicate so in the Transmittal Letter. Confidential Information must also be clearly marked in a separate folder on any included CD-ROM/**USB Drive**. The Respondent must also specify which statutory exception of APRA that applies. The State reserves the right to make determinations of confidentiality. If the Respondent does not identify the statutory exception, the Procurement Division will not consider the submission confidential. If the State does not agree that the information designated is confidential under one of the disclosure exceptions to APRA, it may seek the opinion of the Public Access Counselor. Prices are not confidential information.

1.16 TAXES

Proposals should not include any tax from which the State is exempt.

1.17 PROCUREMENT DIVISION REGISTRATION

In order to receive an award, you must be registered as a bidder with the Department of Administration, Procurement Division. Therefore, to ensure there is no delay in the award all Respondents are strongly encouraged to register prior to submission of their response. Respondents should go to www.in.gov/idoa/2464.htm.

1.18 SECRETARY OF STATE REGISTRATION

If awarded the contract, the Respondent will be required to register, and be in good standing, with the Secretary of State. The registration requirement is applicable to all limited liability partnerships, limited partnerships, corporations, S-corporations, nonprofit corporations and limited liability companies. Information concerning registration with the Secretary of State may be obtained by contacting:

Secretary of State of Indiana
Corporation Division
402 West Washington Street, E018
Indianapolis, IN 46204
(317) 232-6576
www.in.gov/sos

1.19 COMPLIANCE CERTIFICATION

Responses to this RFP serve as a representation that it has no current or outstanding criminal, civil, or enforcement actions initiated by the State, and it agrees that it will immediately notify the State of any such actions. The Respondent also certifies that neither it nor its principals are presently in arrears in payment of its taxes, permit fees or other statutory, regulatory or judicially required payments to the State. The Respondent agrees that the State may confirm, at any time, that no such liabilities exist, and, if such liabilities are discovered, that State may bar the Respondent from contracting with the State, cancel existing contracts, withhold payments to setoff such obligations, and withhold further payments or purchases until the entity is current in its payments on its liability to the State and has submitted proof of such payment to the State.

1.20 EQUAL OPPORTUNITY COMMITMENT

Pursuant to IC 4-13-16.5 and in accordance with 25 IAC 5, Executive Order 13-04 and IC 5-22-14-3.5, it has been determined that there is a reasonable expectation of minority, woman, and Indiana veteran business enterprises subcontracting opportunities on a contract awarded under this RFP. Therefore a contract goal of 8 % for Minority Business Enterprises, 8 % for Woman Business Enterprises, and 3% for Veteran Business Enterprises have been established and all respondents will be expected to comply with the regulation set forth in 25 IAC 5, Executive Order 13-04 and IC 5-22-14-3.5.

Failure to address these requirements may impact the evaluation of your proposal.

1.21 MINORITY & WOMEN'S BUSINESS ENTERPRISES RFP SUBCONTRACTOR COMMITMENT (MWBE)

In accordance with 25 IAC 5-5, the respondent is expected to submit with its proposal a Minority & Women's Business Enterprises RFP Subcontractor Commitment Form. The Form must show that there are, participating in the proposed contract, Minority Business Enterprises (MBE) and Women Business Enterprises (WBE) listed in the Minority and Women's Business Enterprises Division (MWBED) directory of certified firms located at <http://www.in.gov/idoa/2352.htm>.

If participation is met through use of vendors who supply products and/or services directly to the Respondent, the Respondent must provide a description of products and/or services provided that are directly related to this proposal and the cost of direct supplies for this proposal. Respondents must complete the Subcontractor Commitment Form in its entirety.

Failure to meet these goals will affect the evaluation of your Proposal. The Department reserves the right to verify all information included on the MWBE Subcontractor Commitment Form.

Respondents are encouraged to contact and work with MWBED at 317-232-3061 to design a subcontractor commitment to meet established goals as referenced in this solicitation.

Prime Contractors must ensure that the proposed subcontractors meet the following criteria:

- Must be listed on the IDOA Directory of Certified Firms, **on or before** the proposal due date
- Prime Contractor must include with their proposal the subcontractor's M/WBE Certification Letter provided by IDOA, to show current status of certification.
- Each firm may only serve as one classification – MBE, WBE, or IVOSB (see section 1.22)
- A Prime Contractor who is an MBE or WBE must meet subcontractor goals by using other listed certified firms. Certified Prime Contractors cannot count their own workforce or companies to meet this requirement.
- **Must serve a Commercially Useful Function (CUF). The firm must serve a value-added purpose on the engagement, as confirmed by the State.**
- Must provide goods or service only in the industry area for which it is certified as listed in the directory at <http://www.in.gov/idoa/2352.htm>
- Must be used to provide the goods or services specific to the contract
- National Diversity Plans are generally not acceptable

MINORITY & WOMEN'S BUSINESS ENTERPRISES RFP SUBCONTRACTOR LETTER OF COMMITMENT (MWBE)

A signed letter(s), on company letterhead, from the MBE and/or WBE must accompany the MWBE Subcontractor Commitment Form. Each letter shall state and will serve as acknowledgement from the MBE and/or WBE of its subcontract amount, a description of products and/or services to be provided on this project, and approximate date the subcontractor will perform work on this contract. The State may deny evaluation points if the letter(s) is not attached, not on company letterhead, not signed and/or does not reference and match the subcontract amount,

subcontract amount as a percentage of the “**TOTAL BID AMOUNT**” and the anticipated period that the Subcontractor will perform work for this solicitation.

By submission of the Proposal, the Respondent acknowledges and agrees to be bound by the regulatory processes involving the State’s M/WBE Program. Questions involving the regulations governing the MWBE Subcontractor Commitment Form should be directed to: Minority and Women’s Business Enterprises Division at (317) 232-3061 or <http://www.in.gov/idoa/2352.htm>.

1.22 INDIANA VETERAN OWNED SMALL BUSINESS SUBCONTRACTOR COMMITMENT (IVOSB)

In accordance with Executive Order 13-04 and IC 5-22-14-3.5, it has been determined that there is a reasonable expectation of Indiana Veteran Owned Small Business subcontracting opportunities on a contract awarded under this RFP. The IVOSB Subcontractor Commitment Form is to be submitted alongside the Respondent’s proposal. The Form must show that they are participating in the proposed contract and IVOSB firms that meet the requirements listed at the Veteran’s Business Program website (<http://www.in.gov/idoa/2862.htm>).

If participation is met through use of vendors who supply products and/or services directly to the Respondent, the Respondent must provide a description of products and/or services provided that are directly related to this proposal and the cost of direct supplies for this proposal. Respondents must complete the Subcontractor Commitment Form in its entirety.

Failure to address these goals may impact the evaluation of your Proposal. The Department reserves the right to verify all information included on the IVOSB Subcontractor Commitment Form.

Prime Contractors must ensure that the proposed IVOSB subcontractors meet the following criteria:

- Must be listed on Federal Center for Veterans Business Enterprise ([VA OSDBU](#)) registry or listed on the IDOA Directory of Certified Firms, **on or before** the proposal due date
- Prime Contractor must include with their proposal the subcontractor’s veteran business Certification Letter provided by either IDOA or Federal Govt. (VA OSDBU), to show current status of certification.
- Each firm may only serve as one classification – MBE, WBE (see Section 1.21) or IVOSB
- IVOSB must have a Bidder ID (see section 2.3.7 - [Department of Administration, Procurement Division](#))
- A Prime Contractor who is an IVOSB must meet subcontractor goals by using other listed certified firms. Certified Prime Contractors cannot count their own workforce or companies to meet this requirement.
- **Must serve a Commercially Useful Function (CUF). The firm must serve a value-added purpose on the engagement, as confirmed by the State.**
- Must provide goods or service only in the industry area for which it is certified as listed in the [VA OSDBU](#) or IDOA Certified Firm directories <http://www.in.gov/idoa/2352.htm>
- Must be used to provide the goods or services specific to the contract

INDIANA VETERAN OWNED SMALL BUSINESS RFP SUBCONTRACTOR LETTER OF COMMITMENT

A signed letter(s), on company letterhead, from the IVOSB must accompany the IVOSB Subcontractor Commitment Form. Each letter shall state and will serve as acknowledgement from the IVOSB of its subcontract amount, a description of products and/or services to be provided on this project, and approximate date the subcontractor will perform work on this contract. The State reserves the right to deny evaluation points if the letter(s) is not attached. The State may deny evaluation points if the letter(s) is not attached, not on company letterhead, not signed and/or does not reference and match the subcontract amount, subcontract amount as a percentage of the **“TOTAL BID AMOUNT”** and the anticipated period that the Subcontractor will perform work for this solicitation.

By submission of the Proposal, the Respondent acknowledges and agrees to be bound by the policies and processes involving the State’s IVOSB Program. Questions involving the regulations governing the IVOSB Subcontractor Commitment Form should be directed to:
indianaveteranspreference@idoa.in.gov.

1.23 AMERICANS WITH DISABILITIES ACT

The Respondent specifically agrees to comply with the provisions of the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 *et seq.* and 47 U.S.C. 225).

1.24 SUMMARY OF MILESTONES

The following timeline is only an illustration of the RFP process. The dates associated with each step are not to be considered binding. Due to the unpredictable nature of the evaluation period, these dates are commonly subject to change. At the conclusion of the evaluation process, all Respondents will be informed of the evaluation team’s findings.

Key RFP Dates

Activity	Date
Issue of RFP	September 26 th , 2017
Pre-Proposal Conference	October 5 th , 2017
Deadline to Submit Intent to Respond and Written Questions	October 10 th , 2017
Response to Written Questions/RFP Amendments	October 20 th , 2017
Submission of Proposals	EXTENDED TO November 14th, 2017

<i>The dates for the following activities are target dates only. These activities may be completed earlier or later than the date shown.</i>	
Proposal Evaluation	TBD
Proposal Discussions/Clarifications (if necessary)	TBD
Oral Presentations (if necessary)	TBD
Best and Final Offers (if necessary)	TBD
RFP Award Recommendation	January 4 th , 2017

1.25 RESERVED

1.26 CONFLICT OF INTEREST

Any person, firm or entity that assisted with and/or participated in the preparation of this RFP document is prohibited from submitting a proposal to this specific RFP. For the purposes of this RFP “person” means a state officer, employee, special state appointee, or any individual or entity working with or advising the State or involved in the preparation of this RFP proposal. This prohibition would also apply to an entity who hires, within a one-year period prior to the publication of this RFP, a person that assisted with and/or participated in the preparation of this RFP.

SECTION TWO PROPOSAL PREPARATION INSTRUCTIONS

2.1 GENERAL

To facilitate the timely evaluation of proposals, a standard format for proposal submission has been developed and is described in this section. All Respondents are required to format their proposals in a manner consistent with the guidelines described below:

- Each item must be addressed in the Respondent's proposal.
- The Transmittal Letter must be in the form of a letter. The business and technical proposals must be organized under the specific section titles as listed below.
- The electronic copies of the proposal submitted via CD-ROM/**USB Drive** should be organized to mirror the sections below and the attachments.
- Each item, i.e. Transmittal Letter, Business Proposal, Technical Proposal, Cost Proposal, etc., must be separate standalone electronic files on the CD-ROM/**USB Drive**. Please do not submit your proposal as one large file.
- Whenever possible, please submit all attachments in their original format.
- Confidential Information must also be clearly marked in a separate folder/file on any included CD-ROM/**USB Drive**.

2.2 TRANSMITTAL LETTER

The Transmittal Letter must address the following topics except those specifically identified as "optional."

2.2.1 Agreement with Requirement in listed in Section 1

The Respondent must explicitly acknowledge understanding of the general information presented in Section 1 and agreement with any requirements/conditions listed in Section 1.

2.2.2 Summary of Ability and Desire to Supply the Required Products or Services

The Transmittal Letter must briefly summarize the Respondent's ability to supply the requested products and/or services that meet the requirements defined in Section 2.4 of this RFP. The letter must also contain a statement indicating the Respondent's willingness to provide the requested products and/or services subject to the terms and conditions set forth in the RFP including, but not limited to, the State's mandatory contract clauses.

2.2.3 Signature of Authorized Representative

A person authorized to commit the Respondent to its representations and who can certify that the information offered in the proposal meets all general conditions including the information requested in Section 2.3.4, must sign the Transmittal Letter. **In the Transmittal Letter, please indicate the principal contact for the**

proposal along with an address, telephone and fax number as well as an e-mail address, if that contact is different than the individual authorized for signature.

2.2.4 Respondent Notification

Unless otherwise indicated in the Transmittal Letter, Respondents will be notified via e-mail.

It is the Respondent's obligation to notify the Procurement Division of any changes in any address that may have occurred since the origination of this solicitation. The Procurement Division will not be held responsible for incorrect vendor/contractor addresses.

2.2.5 Confidential Information

Respondents are advised that materials contained in proposals are subject to the Access to Public Records Act (APRA), IC 5-14-3 *et seq.* (see section 1.16).

Provide the following information:

- List all documents where claiming a statutory exemption to the APRA;
- Specify which statutory exception of APRA that applies for each document;
- Provide a description explaining the manner in which the statutory exception to the APRA applies for each document.

2.2.6 Other Information

This item is optional. Any other information the Respondent may wish to briefly summarize will be acceptable.

2.3 BUSINESS PROPOSAL

The Business Proposal must address the following topics except those specifically identified as “optional.” **The Business Proposal Template is Attachment E.**

2.3.1 General (optional)

This section of the business proposal may be used to introduce or summarize any information the Respondent deems relevant or important to the State's successful acquisition of the products and/or services requested in this RFP.

2.3.2 Respondent's Company Structure

The legal form of the Respondent's business organization, the state in which formed (accompanied by a certificate of authority), the types of business ventures in which the organization is involved, and a chart of the organization are to be included in this

section. If the organization includes more than one product division, the division responsible for the development and marketing of the requested products and/or services in the United States must be described in more detail than other components of the organization.

2.3.3 Company Financial Information

This section must include the Respondent's financial statement, including an income statement and balance sheet, for each of the two most recently completed fiscal years. The financial statements must demonstrate the Respondent's financial stability. If the financial statements being provided by the Respondent are those of a parent or holding company, additional financial information should be provided for the entity/organization directly responding to this RFP.

2.3.4 Integrity of Company Structure and Financial Reporting

This section must include a statement indicating that the CEO and/or CFO has taken personal responsibility for the thoroughness and correctness of any/all financial information supplied with this proposal. The particular areas of interest to the State in considering corporate responsibility include the following items: separation of audit functions from corporate boards and board members, if any, the manner in which the organization assures board integrity, and the separation of audit functions and consulting services. The State will consider the information offered in this section to determine the responsibility of the Respondent under IC 5-22-16-1(d).

The Sarbanes Oxley Act of 2002, H.R. 3763, is NOT directly applicable to this procurement; however, its goals and objectives may be used as a guide in the determination of corporate responsibility for financial reports.

2.3.5 Contract Terms/Clauses

A sample contract that the state expects to execute with the successful Respondent(s) is provided in Attachment B. This contract contains both mandatory and non-mandatory clauses. Mandatory clauses are listed below and are non-negotiable. Other clauses are highly desirable. It is the State's expectation that the final contract will be substantially similar to the sample contract provided in Attachment B.

In your Transmittal Letter please indicate acceptance of these mandatory contract terms (see section 2.2.2). In this section please review the rest of the contract and indicate your acceptance of the non-mandatory contract clauses. If a non-mandatory clause is not acceptable as worded, suggest specific alternative wording to address issues raised by the specific clause. If you require additional contract terms please include them in this section. To reiterate it's the State's strong desire to not deviate from the contract provided in the attachment and as such the State reserves the right to reject any and all of these requested changes.

The mandatory contract terms are as follows:

- Duties of Contractor, Rate of Pay, and Term of Contract
- Authority to Bind Contractor
- Compliance with Laws
- Drug-Free Workplace Provision and Certification
- Employment Eligibility
- Funding Cancellation
- Governing Laws
- Indemnification
- Information Technology
- Non-Discrimination Clause
- Ownership of Documents and Materials
- Payments
- Penalties/Interest/Attorney's Fees
- Termination for Convenience
- Non-Collusion and Acceptance

Any or all portions of this RFP and any or all portions of the Respondents response may be incorporated as part of the final contract

2.3.6 References

The Respondent must include a list of at least three (3) government clients for whom the Respondent has provided products and/or services that are the same or similar to those services requested in this RFP.

- At least one must be an application for which the Respondent has provided implementation and support services for a minimum of three (3) years. Case management system experience is preferred.
- At least one should be a city, county, or state health or human services agency

Information provided should include the name, address, and telephone number of the client facility and the name, title, ~~and phone/fax numbers of a person who may be contacted for further information.~~ phone number, and email address of a person who may be contacted for further information. Additionally, please provide an overview of the scope of services delivered by the Respondent, the contract start and end date, and proposed staff members who worked on the project and in what capacity.

2.3.7 Registration to do Business

Secretary of State

If awarded the contract, the Respondent will be required to be registered, and be in good standing, with the Secretary of State. The registration requirement is applicable

to all limited liability partnerships, limited partnerships, corporations, S-corporations, nonprofit corporations and limited liability companies. The Respondent must indicate the status of registration, if applicable, in this section of the proposal.

Department of Administration, Procurement Division

Additionally, respondents must be registered with the IDOA. This can be accomplished on-line at <http://www.in.gov/idoa/2464.htm>.

The IDOA Procurement Division maintains two databases of vendor information. The Bidder registration database is set up for vendors to register if you are interested in selling a product or service to the State of Indiana. Respondents may register on-line at no cost to become a Bidder with the State of Indiana. To complete the on-line Bidder registration, go to <http://www.in.gov/idoa/2464.htm>. The Bidder registration offers email notification of upcoming solicitation opportunities, corresponding to the Bidder's area(s) of interest, selected during the registration process. Respondents do need to be registered to bid on and receive email notifications. Completion of the Bidder registration will result in your name being added to the Bidder's Database, for email notification. The Bidder registration requires some general business information, an indication of the types of goods and services you can offer the State of Indiana, and locations(s) within the state that you can supply or service. There is no fee to be placed in Procurement Division's Bidder Database. To receive an award, you must be registered as a bidder. Problems or questions concerning the registration process or the registration form can be e-mailed to Amey Redding, Vendor Registration Coordinator, aredding@idoa.in.gov, or you may reach her by phone at (317) 234-3542.

2.3.8 Authorizing Document

Respondent personnel signing the Transmittal Letter of the proposal must be legally authorized by the organization to commit the organization contractually. This section shall contain proof of such authority. A copy of corporate bylaws or a corporate resolution adopted by the board of directors indicating this authority will fulfill this requirement.

2.3.9 Subcontractors

The Respondent is responsible for the performance of any obligations that may result from this RFP, and shall not be relieved by the non-performance of any subcontractor. Any Respondent's proposal must identify all subcontractors and describe the contractual relationship between the Respondent and each subcontractor. Either a copy of the executed subcontract or a letter of agreement over the official signature of the firms involved must accompany each proposal.

Any subcontracts entered into by the Respondent must be in compliance with all State statutes, and will be subject to the provisions thereof. For each portion of the proposed products or services to be provided by a subcontractor, the technical

proposal must include the identification of the functions to be provided by the subcontractor and the subcontractor's related qualifications and experience.

The combined qualifications and experience of the Respondent and any or all subcontractors will be considered in the State's evaluation. The Respondent must furnish information to the State as to the amount of the subcontract, the qualifications of the subcontractor for guaranteeing performance, and any other data that may be required by the State. All subcontracts held by the Respondent must be made available upon request for inspection and examination by appropriate State officials, and such relationships must meet with the approval of the State.

The Respondent must list any subcontractor's name, address and the state in which formed that are proposed to be used in providing the required products or services. The subcontractor's responsibilities under the proposal, anticipated dollar amount for subcontract, the subcontractor's form of organization, and an indication from the subcontractor of a willingness to carry out these responsibilities are to be included for each subcontractor. This assurance in no way relieves the Respondent of any responsibilities in responding to this RFP or in completing the commitments documented in the proposal. The Respondent must indicate which, if any, subcontractors qualify as a Minority, Women, or Veteran Owned Business under IC 4-13-16.5-1 and Executive Order 13-04 and IC 5-22-14-3.5. See Sections 1.21, 1.22 and Attachments A/A1 for Minority, Women, and Veteran Business information.

2.3.10 RESERVED

2.3.11 General Information

Each Respondent must enter your company's general information including contact information.

2.3.12 Experience Serving State Governments

Each Respondent is asked to please provide a brief description of your company's experience in serving state governments and/or quasi-governmental accounts.

2.3.13 Experience Serving Similar Clients

Each Respondent is asked to please describe your company's experience in serving clients of a similar size to the State that also had a similar scope. Please provide specific clients and detailed examples.

2.3.14 Indiana Preferences

Pursuant to IC 5-22-15-7, Respondent may claim only one (1) preference. For the purposes of this RFP, this limitation to claiming one (1) preference applies to Respondent's ability to claim eligibility for Buy Indiana points. **Respondent must**

clearly indicate which preference(s) they intend to claim. Additionally, the Respondent's Buy Indiana status must be finalized when the RFP response is submitted to the State.

Buy Indiana

Refer to Section 2.7 for additional information.

2.3.15 Payment

Respondent should be able to accept payment by credit card as an optional form of payment, but should be able to accept other forms of payment from the State as well. In the Respondent's proposal, the Respondent should agree to accept any credit card-user handling fees associated with acceptance of the State's Purchasing Card. Please demonstrate how your company will meet this requirement of accepting payment by credit card as the only form of payment if the State chooses to implement this policy.

2.4 TECHNICAL PROPOSAL

The Technical Proposal must be divided into the sections as described below. Every point made in each section must be addressed in the order given. The same outline numbers must be used in the response. RFP language should not be repeated within the response. Where appropriate, supporting documentation may be referenced by a page and paragraph number. However, when this is done, the body of the technical proposal must contain a meaningful summary of the referenced material. The referenced document must be included as an appendix to the technical proposal with referenced sections clearly marked. If there are multiple references or multiple documents, these must be listed and organized for ease of use by the State. **The Technical Proposal Template is Attachment F.**

2.5 COST PROPOSAL

The Cost Proposal Template is Attachment D.

The Cost Proposal must be submitted in the original format. Any attempt to manipulate the format of the Cost Proposal document, attach caveats to pricing, or submit pricing that deviates from the current format will put your proposal at risk.

Cost Proposal Narrative

The Respondent should provide a brief narrative (not longer than two pages) in support of each Cost Proposal item. The narrative should be focused on clarifying how the proposed prices correspond directly to the Respondent's Technical Proposal. For example, evaluators will expect detailed explanation of *Maintenance and Operations* to correspond to *Maintenance and Operations items* as described in the Technical Proposal.

Cost Assumptions, Conditions and Constraints

The respondent should list and describe as part of its Cost Proposal any special cost assumptions, conditions, and/or constraints relative to, or which impact, the prices presented on the Cost Schedules. It is of particular importance to describe any assumptions made by the respondent in the development of the respondent's Technical Proposal that have a material impact on price. It is in the best interest of the respondent to make explicit the assumptions, conditions, and/or constraints that underlie the values presented on the Cost Schedules. Assumptions, conditions or constraints that conflict with the RFP requirements are not acceptable.

2.6 INDIANA ECONOMIC IMPACT

All companies desiring to do business with state agencies must complete an “Indiana Economic Impact” form (Attachment C). The collection and recognition of the information collected with the Indiana Economic Impact form places a strong emphasis on the economic impact a project will have on Indiana and its residents regardless of where a business is located. The collection of this information does not restrict any company or firm from doing business with the state. The amount entered in Line 16 “Total amount of this proposal, bid, or current contract” should match the amount entered in the Attachment D, Cost Proposal Template.

2.7 BUY INDIANA INITIATIVE/INDIANA COMPANY

It is the Respondent’s responsibility to confirm its Buy Indiana status for this portion of the process. If a Respondent has previously registered its business with IDOA, go to <http://www.in.gov/idoa/2464.htm> and click on the link to update this registration. Click the tab titled Buy Indiana. Select the appropriate category for your business. Respondents may only select one category. Certify this selection by clicking the check box next to the certification paragraph. Once this is complete, save your selection and exit your account.

Respondents that have not previously registered with IDOA must go to <http://www.in.gov/idoa/2464.htm> and click on the link to register. During the registration process, follow the steps outlined in the paragraph above to certify your business’ status. The registration process should be complete at the time of proposal submission.

Respondent must clearly indicate which preference(s) they intend to claim in the Business Proposal, Attachment E, section 2.3.14 (Respondent will only be evaluated on the criteria selected/cited from IC 5-22-15-20.5).

Additionally, Respondents that wish to claim the Buy Indiana preference (for any criteria listed below) must have an email confirmation of their Buy Indiana status provided by buyindianainvest@idoa.in.gov included in the proposal response. The email confirmation must have been provided from within one year prior to the proposal due date.

Respondents must also fully complete the Indiana Economic Impact form (Attachment C) and include it with their proposal response.

Defining an Indiana Business:

“Indiana business” refers to any of the following:

- (1) A business whose principal place of business is located in Indiana.

- (2) A business that pays a majority of its payroll (in dollar volume) to residents of Indiana.
- (3) A business that employs Indiana residents as a majority of its employees.
- (4) A business that makes significant capital investments in Indiana.
- (5) A business that has a substantial positive economic impact on Indiana.

Substantial Capital Investment:

Any company that can demonstrate a minimum capital investment in Indiana of \$5 million or more in plant and/or equipment or annual lease payments in Indiana of \$2.5 million or more shall qualify as an Indiana business under I.C.5-22-15-20.5 (b)(4).

Substantial Indiana Economic Impact:

Any company that is in the top 500 companies (adjusted) for one of the following categories: number of employees (DWD), unemployment taxes (DWD), payroll withholding taxes (DOR), or Corporate Income Taxes (DOR); it shall qualify as an Indiana business under I.C. 5-22-15-20.5 (b)(5).

SECTION THREE PROPOSAL EVALUATION

3.1 PROPOSAL EVALUATION PROCEDURE

The State has selected a group of personnel to act as a proposal evaluation team. Subgroups of this team, consisting of one or more team members, will be responsible for evaluating proposals with regard to compliance with RFP requirements. All evaluation personnel will use the evaluation criteria stated in Section 3.2. The Commissioner of IDOA or their designee will, in the exercise of their sole discretion, determine which proposals offer the best means of servicing the interests of the State. The exercise of this discretion will be final.

The procedure for evaluating the proposals against the evaluation criteria will be as follows:

- 3.1.1 Each proposal will be evaluated for adherence to requirements on a pass/fail basis. Proposals that are incomplete or otherwise do not conform to proposal submission requirements may be eliminated from consideration.
- 3.1.2 Each proposal will be evaluated on the basis of the categories included in Section 3.2. A point score has been established for each category.
- 3.1.3 If technical proposals are close to equal, greater weight may be given to price.
- 3.1.4 Based on the results of this evaluation, the qualifying proposal determined to be the most advantageous to the State, taking into account all of the evaluation factors, may be selected by IDOA and FSSA for further action, such as contract negotiations. If, however, IDOA and FSSA decide that no proposal is sufficiently advantageous to the State, the State may take whatever further action is deemed necessary to fulfill its needs. If, for any reason, a proposal is selected and it is not possible to consummate a contract with the Respondent, IDOA may begin contract preparation with the next qualified Respondent or determine that no such alternate proposal exists.

3.2 EVALUATION CRITERIA

Proposals will be evaluated based upon the proven ability of the Respondent to satisfy the requirements of the RFP in a cost-effective manner. Each of the evaluation criteria categories is described below with a brief explanation of the basis for evaluation in that category. The points associated with each category are indicated following the category name (total maximum points = 108). Negative points may be assigned in the cost score. Additionally, there is an opportunity for a bonus of five points if certain criteria are met. For further information, please reference Section 3.2.3 below. If any one or more of the listed criteria on which the responses to this RFP will be evaluated are found to be inconsistent or incompatible with applicable federal laws, regulations or policies, the specific criterion or criteria will be disregarded and the responses will be evaluated and scored without taking into account such criterion or criteria.

Summary of Evaluation Criteria:

Criteria	Points
1. Adherence to Mandatory Requirements	Pass/Fail
2. Management Assessment/Quality (Business and Technical Proposal)	50 available points
3. Cost (Cost Proposal)	25 available points
4. Indiana Economic Impact	5
5. Buy Indiana	5
6. Minority Business Enterprise Subcontractor Commitment	5 (1 bonus point is available, see Section 3.2.6)
7. Women Business Enterprise Subcontractor Commitment	5 (1 bonus point is available, see Section 3.2.6)
8. Indiana Veteran Owned Small Business (IVOSB) Subcontractor Commitment	5 (1 bonus point is available, see Section 3.2.7)
Total	100 (103 if bonus awarded)

All proposals will be evaluated using the following approach.

Step 1

In this step proposals will be evaluated only against Criteria 1 to ensure that they adhere to Mandatory Requirements. Any proposals not meeting the Mandatory Requirements will be disqualified.

Step 2

The proposals that meet the Mandatory Requirements will then be scored based on Criteria 2 and 3 ONLY. This scoring will have a maximum possible score of 75 points ~~with a potential of 3 bonus points if certain criteria are met~~. All proposals will be ranked on the basis of their combined scores for Criteria 2 and 3 ONLY. This ranking will be used to create a “short list”. Any proposal not making the “short list” will not be considered for any further evaluation.

Step 2 may include one or more rounds of proposal discussions, oral presentations, clarifications, demonstrations, etc. focused on cost and other proposal elements. Step 2 may include a second “short list”.

Step 3

The short-listed proposals will then be evaluated based on all the entire evaluation criteria outlined in the table above.

If the State conducts additional rounds of discussions and a BAFO round which lead to changes in either the technical or cost proposal for the short listed Respondents, their scores will be recomputed.

The section below describes the different evaluation criteria.

3.2.1 Adherence to Requirements – Pass/Fail

Respondents passing this category move to Phase 2 and proposal is evaluated for Management Assessment/Quality and Price.

The following 2 categories cannot exceed 75 points.

3.2.2 Management Assessment/Quality – 50 available points

3.2.3 Price – 25 available points

Cost scores will then be normalized to one another, based on the lowest cost proposal evaluated. The lowest cost proposal receives a total of 25 points. The normalization formula is as follows:

- $$\text{Respondent's Cost Score} = (\text{Lowest Cost Proposal} / \text{Total Cost of Proposal}) \times 25$$

3.2.4 Indiana Economic Impact (5 points)

See Section 2.6 for additional information.

The total number of full time equivalent (FTE – please see Section 1.2 for a definition of FTE's) Indiana resident employees for the Respondent's proposal, to execute the scope of work proposed in this RFP, (prime contractor and subcontractors) will be used to evaluate the Respondent's Indiana Economic Impact. Points will be awarded based on a graduated scale. The Respondent with the most Indiana FTEs will be awarded 5 points. Points will then be awarded to the remaining Respondents proportionately. Please see Attachment C, Indiana Economic Impact Form, for more detailed instructions.

3.2.5 Buy Indiana Initiative – 5 points

Respondents qualifying as an Indiana Company as defined in Section 2.7 will receive 5 points in this category.

3.2.6 Minority (5 points) & Women's Business (5 points) Subcontractor Commitment - (10 points).

The following formula will be used to determine points to be awarded based on the

MBE and WBE goals listed in Section 1.20 of this RFP. Scoring is conducted based on an assigned 10-point, plus possible 2 bonus-points, scale (MBE: Possible 5 points + 1 bonus point, WBE: Possible 5 points + 1 bonus Point). Points are assigned for respective MBE participation and WBE participation based upon the BAFO meeting or exceeding the established goals.

If the respondent's commitment percentage is less than the established MBE or WBE goal, the maximum points achieved will be awarded according to the following schedule:

%	1%	2%	3%	4%	5%	6%	7%	8%
Pts.	.625	1.25	1.875	2.5	3.125	3.75	4.375	5.0

NOTE: Fractional percentages will be rounded up or down to the nearest whole percentage. (e.g. 7.49% will be rounded down to 7% = 4.375 pts., 7.50% will be rounded up to 8% = 5.00 pts.)

If the respondent's commitment percentage is rounded down to 0% for MBE or WBE participation the respondent will receive 0 points.

If the respondent's commitment percentage is 0% for MBE or WBE participation, a deduction of 1 point will be discounted on the respective MBE or WBE score.

The respondent with the greatest applicable CUF participation which exceeds the stated goal for the respective MBE or WBE category will be awarded 6 points (5 points plus 1 bonus point). In cases where there is a tie for the greatest applicable CUF participation and both firms exceed the goal for the respective MBE/WBE category both firms will receive 6 points.

3.2.7 Indiana Veteran Owned Small Business Subcontractor Commitment - (5 points).

The following formula will be used to determine points to be awarded based on the IVOSB goal listed in Section 1.20 of this RFP. Scoring is conducted based on an assigned 5-point, plus possible 1 bonus-point, scale. Points are assigned for IVOSB participation based upon the BAFO meeting or exceeding the established goals.

If the respondent's commitment percentage is less than the established IVOSB goal, the maximum points achieved will be awarded according to the following schedule:

%	0%	0.6%	1.2%	1.8%	2.4%	3%
Pts.	-1	1	2	3	4	5

NOTE: Fractional points will be awarded based upon a graduated scale between whole points. (e.g. a 0.3% commitment will receive .5 points and a 1.5% commitment will receive 2.5 points)

If the respondent's commitment percentage is 0% for IVOSB participation, a deduction of 1 point will be assessed.

The respondent with the greatest applicable CUF participation which exceeds the stated goal for the IVOSB category will be awarded 6 points (5 points plus 1 bonus point). In cases where there is a tie for the greatest applicable CUF participation and both firms exceed the goal for the IVOSB category both firms will receive 6 points.

3.2.8 Qualified State Agency Preference Scoring

When applicable, pursuant to Indiana Code 5-22-13, a qualified state agency submitting a response to this RFP will be awarded preference points for Minority, Women's, and Indiana Veteran Business Enterprise equal the Respondent awarded the highest combined points awarded for such preferences in the scoring of this RFP.

The Commissioner of IDOA or their designee will, in the exercise of their sole discretion, determine which proposal(s) offer the best means of servicing the interests of the State. The exercise of this discretion will be final.