**Overview:**

Request for Proposal (RFP) 22-69735 is a solicitation issued by the State of Indiana in which organizations are invited to compete for contract amongst other respondents in a formal evaluation process. Please be aware that the evaluation of your organization’s proposal will be completed by a team of State of Indiana employees and your organization’s score will be reflective of that evaluation. The evaluation of a proposal can only be based upon the information provided by the Respondent in its proposal submission. Therefore, a competitive proposal will thoroughly address all components of the Scope of Work (SOW). The Respondent is expected to provide the complete details of its proposed operations, processes, and staffing for the Scope of Work detailed in the RFP document and supplemental attachments.

**Technical Proposal Components:**

All Respondents must complete all sections of the Technical Proposal. Please see the Instructions section below for further details on how to structure each proposal.

**A completed Technical Proposal is a requirement for proposal submission. Failure to complete and submit this form may impact your proposal’s responsiveness.**

**Submission Specifications:**

Technical proposals have limits and specifications as listed in section 2.4 of the RFP main document:

* It is the State's preference that the technical proposal components be submitted as single documents, however if excessive file size is an issue the state will accept multiple documents. The State prefers to not navigate an excessive number of files during the review process.
* Attachments and exhibits may be provided in a separate file; however, the technical proposal must contain an adequate description of the contents. In other words, the technical proposal should stand on its own and must contain enough information to understand the gist of the separate exhibits and attachments.

**Instructions:**

Please review the requirements in Attachment K (Scope of Work) carefully – the requirements in the Scope of Work should inform how Respondents complete their Technical Proposals in this template as the “Sections” referenced below correspond to the sections in the Scope of Work.

Respondents should insert their text in the provided boxes which appear below the question/prompts. Respondents are allowed to reference attachments or exhibits not included in the boxes provided for the responses, so long as those materials are clearly referenced in the boxes in the template. The boxes may be expanded to fit a response.

**For all areas in which subcontractors will be performing a portion of the work (except where prohibited), clearly describe their roles and responsibilities, related qualifications and experience, and how Respondent will maintain oversight of the subcontractors’ activities.**

**SOW Section 3 – Overview of Project**

1. Provide a high-level summary of how you would execute this project.
2. If applicable, identify subcontractors that will be performing a portion of the work. Be sure to clearly describe their roles and responsibilities, related qualifications and experience, and how Respondent will maintain oversight of the subcontractors’ activities.
3. Please provide a list of States to which you currently or in the past have provided similar services. In connection with this list, please provide information on:
   * Programs you have initiated in other states that can be replicable in Indiana to help the State meet its goals
   * Programs you intend to initiate that would be specific to Indiana
   * Examples of how you have worked with other states in a collaborative manner to address changing program needs and priorities
   * Any sanctions or formal complaints that you have been subject to
   * Any corrective actions that you have been subject to

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| **RFP Requirement** | **FDGS Response** | |
| 1. Provide a high-level summary of how you would execute this project. | The FDGS Team will work collaboratively with DFR in support of its pursuit of excellence and innovation. The FDGS Team will employ our 14 years of experience partnering with DFR to provide the following supportive services. | |
| * Measurement and Management of Vendors, including:   + Eligibility Services Vendor   + Employment & Training Vendor   + Staffing Services Vendor   + Help Desk Vendor   + General Training Services Vendor   + Document Center Vendor   + Print/Mail Services Vendor   + Interactive Voice Response Vendor * Task Volume Tracking Support * Invoice Monitoring * Report Generation * Deliverable and Work Product Reviews * General DFR Supports * Compliance Support * Project Management Support | * Monitor and Manage the IEMP State Inbox * Measuring Client Satisfaction * Assessment of Eligibility Determinations by the State * Serve as the Single Document Repository * SNAP Fraud Grant Administration Support * TANF MOU Support * Pandemic EBT Support * Meeting Facilitation and Participation * System Change Control Support * Testing Support * State and Federal Communication Support |
| The FDGS Team recognizes the importance of continuous improvement and how technology can be utilized to provide a more efficient, streamlined process. FDGS is proposing utilizing the State’s Microsoft Office suite of tools such as, MS Teams, OneDrive, Power Automate and Power BI to implement process and reporting improvements in several OV&V activities.  The following figure illustrates the FDGS OV&V Framework employed today to meet DFR needs, will continue to help us achieve your future goals.  Graphical user interface  Description automatically generated with low confidence  Our OV&V Framework, developed collaboratively with DFR, addresses operational and Vendor verification and validation areas including:   * **Operations Quality Management**   + **Performance Monitoring and Quality Assurance**: FDGS provides a robust performance monitoring and quality assurance program that includes monitoring and reporting of Vendor performance and validates the overall quality of the performance metrics.   + **Project Quality Management**: FDGS works with the eligibility services Vendor to support the development of the Quality Metric Management Plan (QMMP) and conducts Second Party Validation Reviews to assess the accuracy of the Eligibility Services Vendor’s metrics.   + **Project Operations Management Support**: FDGS provides a wide array of operational support such as case reviews, application and task volume reporting, as well as Local Office (LO) and Regional Change Center (RCC) reporting. * **System Development Lifecycle Review and Support**   + **Project Management Support**: FDGS uses industry standards and best practices for project management such as the Project Management Book of Knowledge (PMBOK) to provide sound, tested project management support.   + **Maintenance and Point Release Rollout Support**: FDGS is available and has previously participated in the entire Software Development Life Cycle (SDLC) with DFR from requirements reviews through testing support.   + **Project Deliverables Review**: FDGS is available to review project documentation and has provided actionable recommendations.   + **Change Order Process Support**: FDGS has helped to facilitate the change order process for IEDSS. * **Performance Metrics Reviews**   + **Performance Monitoring**: FDGS provides a robust performance monitoring program that includes monitoring and reporting of Vendor performance and validates the overall quality of the performance metrics.   + **Measuring Client Satisfaction**: FDGS has supported DFR Management in measuring client satisfaction by analyzing client satisfaction survey results.   + **Indiana Eligibility Custom Reports, Document Retention and Access**: FDGS works with DFR to determine the type, format and frequency of required reports. The Team also uses the DFR’s OV&V SharePoint, OneDrive and MS Teams-based sites to organize project initiatives and store project documentation. * **Cost Management**   + **Vendor Invoice Review:** As needed, FDGS works with DFR to identify the Vendors, periods and criteria needed to verify and validate billing accuracy.   + **IAPDU/PAPDU Support**: FDGS has worked with DFR to provide periodic updates to the approved multi-year IAPD/OAPD projects. Updates have included progress, accomplishments, and issues, budget/expenditure changes and any mechanisms needed to request further approvals. The most recent efforts yielded federal agency approvals. | |
| 1. If applicable, identify subcontractors that will be performing a portion of the work. Be sure to clearly describe their roles and responsibilities, related qualifications and experience, and how Respondent will maintain oversight of the subcontractor’s activities. | In alignment with Indiana’s commitment to provide equal opportunity to minority, women, and veteran own enterprises, FDGS will continue to employ the services of sub-contractors to augment the OV&V Team with Analysts and Case Reviewers. Our sub-contractor staff have demonstrated their deep DFR program and process knowledge over the past 14 years. The FDGS Team leadership will supervise sub-contracted staff directly. The roles and responsibilities of our subcontractors are identical to those engaged by our own staff—to coordinate and participate in multiple assignments simultaneously to measure and manage the performance, billing, quality and deliverables of DFR Vendors, as assigned.  The FDGS Team is comprised of the following partners:   * **eSense:** an Indiana Minority Business Enterprise partner since 2009 * **M.R.C. Inc.:** an Indiana Veteran Business Enterprise partner since 2017 * **Hypesmith:** an Indiana Women Business Enterprise partner since 2021   More detailed information related to the FDGS OV&V Team can be found in Sections 3.3 and 11 of our Technical Proposal. | |
| 1. Please provide a list of States to which you currently or in the past have provided similar services. In connection with this list, please provide information on: | The following table provides the experience FDGS has providing government consulting services nationwide.   | **Project** | **Timeframe** | **Activities** | | | | | | | | | | | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | | **Project Management** | **Quality Management** | **Training Support** | **Requirements Validation** | **Operating Environment** | **SDLC Support** | **Testing Support** | **Data Analysis Support** | **Operations Oversight** | | **Indiana.** Eligibility Modernization Program OV&V | 05/07–Present | **ü** | **ü** | **ü** | **ü** | **ü** | **ü** | **ü** | **ü** | **ü** | | **Indiana.** MMIS Operational Verification and Validation (OV&V) | 11/09–Present | **ü** | **ü** | **ü** | **ü** |  |  | **ü** |  | **ü** | | **Indiana.** Eligibility Determination Services System (IEDSS) | 12/12–09/20 | **ü** | **ü** | **ü** | **ü** | **ü** | **ü** | **ü** | **ü** | **ü** | | **Arkansas.** Department of Human Services Eligibility System | 05/13–12/15 | **ü** | **ü** | **ü** | **ü** | **ü** |  | **ü** | **ü** | **ü** | | **California.** LEADER Replacement (LRS) Quality Assurance | 04/15–Present | **ü** | **ü** | **ü** | **ü** | **ü** |  | **ü** | **ü** | **ü** | | **California.** C-IV Statewide Automated Welfare System | 08/97–Present | **ü** | **ü** | **ü** | **ü** | **ü** | **ü** | **ü** | **ü** | **ü** | | **California.** CalWORKs Information Network (CalWIN) | 07/95–04/18 | **ü** | **ü** | **ü** | **ü** | **ü** | **ü** | **ü** | **ü** | **ü** | | **California.** ISAWS Migration Development and Implementation | 10/07–8/10 | **ü** |  | **ü** | **ü** |  |  | **ü** | **ü** |  | | **California.** Health Benefit Exchange (CalHEERS) Procurement Assistance and Project Management Oversight | 10/11–Present | **ü** | **ü** |  | **ü** | **ü** | **ü** | **ü** | **ü** | **ü** | | **California.** Los Angeles Eligibility Automated Determination Evaluating and Reporting (LEADER) | 11/92–10/06 | **ü** | **ü** | **ü** | **ü** | **ü** | **ü** | **ü** | **ü** | **ü** | | **California.** Riverside County IT IV&V and Call Center | 09/11–09/12 |  |  |  |  | **ü** |  |  |  | **ü** | | **Colorado.** Health Benefit Exchange IV&V | 11/12–02/14 | **ü** | **ü** |  | **ü** | **ü** | **ü** | **ü** |  |  | | **Connecticut.** Department of Social Services Modernization | 09/08–Present | **ü** | **ü** |  | **ü** |  | **ü** | **ü** | **ü** |  | | **Connecticut.** Health Insurance Exchange IV&V | 04/13–06/16 | **ü** | **ü** |  | **ü** | **ü** |  | **ü** | **ü** |  | | **Idaho.** Health Insurance Exchange IV&V | 04/14–12/16 | **ü** | **ü** | **ü** | **ü** | **ü** | **ü** | **ü** | **ü** | **ü** | | **Louisiana.** One DCFS Modernization | 12/09–12/15 | **ü** | **ü** | **ü** | **ü** | **ü** | **ü** | **ü** | **ü** | **ü** | | **Nebraska.** Eligibility and Enrollment IV&V | 01/14–06/16 | **ü** | **ü** |  | **ü** |  |  | **ü** |  |  | | **New Mexico.** Child Support Enforcement System (CSES) & Medicaid Management Information System (MMIS) Replacement PMO Services | 10/14–04/16 | **ü** | **ü** |  | **ü** |  | **ü** |  |  |  | | **New York.** NY IES & NYSOH IV&V | 10/18–07/20 | **ü** | **ü** |  | **ü** | **ü** | **ü** | **ü** | **ü** | **ü** | | **New York.** DOL UI Systems Modernization Project | 01/05–09/07 | **ü** | **ü** |  | **ü** | **ü** |  | **ü** | **ü** |  | | **North Dakota.** MMIS Replacement | 09/07–09/09 |  |  |  | **ü** | **ü** |  | **ü** |  | **ü** | | **South Carolina.** Child Support Enforcement | 07/94–06/96 | **ü** | **ü** |  |  | **ü** | **ü** |  |  |  | | **Texas.** Compass21MMIS Implementation | 10/00–12/02 | **ü** | **ü** |  | **ü** |  |  | **ü** |  |  |   See also: Section 3.1 of our Technical Proposal | |
| * Programs you have initiated in other states that can be replicated in Indiana to help the State meet its goals | FDGS utilizes the best practices and lessons learned from multiple projects of similar size and scope across the United States to grow its OV&V methodologies on behalf of Indiana. Each project listed in the table above provides information and processes that we can recommend or in some case warn against replicating in Indiana. | |
| * Programs you intend to initiate that would be specific to Indiana | FDGS recognizes the complexities associated with the potential transition to new DFR services Vendors as a result of the State’s current procurement efforts. As a leading Independent Verification and Validation (IV&V) Vendor, FDGS will draw on this experience to augment its OV&V experience while assessing the completeness and quality of any future Contractors’ deliverables including:   * Work Plan(s) * Schedules * Task dependencies * Resources * Demonstrated understanding of each program for which we as your OV&V Contractor will have oversight   FDGS recommends that it act as an independent third-party facilitator of the collaboration between the Incumbent and future DFR Vendors. | |
| * Examples of how you have worked with other states in a collaborative manner to address changing program needs and priorities | FDGS consistently works collaboratively with our state and local government partners. To elaborate on the information provided in Sections 3.1 and 3.4 of our Technical Proposal, we offer this example of our collaborative relationship with the State of California. During the 20 plus years of partnering with the State Automated Welfare Systems (SAWS) and the multiple systems and county governance structures, many program and priority changes have occurred, including but not limited to the following:   * Design, Development and Implementation (DD&I) of the C-IV System and CalWIN System * State policy changed from Retrospective to Prospective budgeting for TANF and SNAP during systems design requiring complete overwrite of the eligibility rules engines for all SAWS systems * Establishment of the C-IV consortium of four (4) counties as a Joint Powers Authority (JPA) * Migration of the 18 additional counties to the C-IV System * Merger of the C-IV System with the Los Angeles Eligibility Automated Determination Evaluating and Reporting (LEADER) Replacement System (LRS) * Establishment of the newly formed CalACES consortium which represents all 58 California counties * Changes in state governance, which brought   Throughout our tenure, FDGS provided the following services:   * IV&V support for both C-IV and CalWIN system DD&I phase * Quality Assurance Services and Invoice Management during the Maintenance and Operations (M&O) phase of C-IV * Governance support during the multiple restructuring of the consortia and the JPA * Management support for multiple IAPDUs   See also: Section 3.4 of our Technical Proposal | |
| * Any sanctions or formal complaints you have been subject to | FDGS provides its AuthentiCare® solution to the State of South Carolina. AuthentiCare is a tool that facilitates the confirmation of health care providers’ performance of applicable health services. As the solution provider, FDGS was inappropriately requested to repay disallowed claims identified during an audit. Instead, the claims should have been assessed to the financial agent who actually pays the care providers on behalf of the State. FDGS appealed the decision to assess the disallowed claims to it and on appeal, the State of South Carolina agreed with the FDGS position and agreed to dismiss the claim for the disallowed charges. The parties stipulated to dismissal and FDGS facilitated the efforts of the financial agent and South Carolina to recover the disallowed claims from the care providers that were inappropriately paid. SC DHH Appeal 14-0249.  See also: Section 3.5 of our Technical Proposal. | |
| * Any corrective actions that you have been subject to | On February 22, 2010, the State of Indiana sent a notice of non-compliance to FDGS regarding the completion schedule for one deliverable under contract 99-10-LF-0493 with the Office of Medicaid Policy and Planning. On March 4, 2010, FDGS submitted a corrective action plan, and subsequently that deliverable has been completed, remedying the initial complaint.  See also: Section 3.6 of our Technical Proposal | |

**SOW Section 4 – Mandatory Requirements**

1. How will you ensure compliance with all applicable State and Federal Laws and Regulations, including the IOT security policies referenced in SoW Section 4b?
2. How will you ensure the security of the Protected Health Information as required by appliable laws?
3. Describe your experience providing OV&V, Quality Assurance, and/or Project Management services for a government client.
4. Confirm that you do not share ownership with, or have a financial interest in, any of the Vendors for which the Contractor shall perform, on behalf of the State, oversight and validation duties. For purposes of this confirmation, the Vendors are those with contracts in Attachment L.

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| **RFP Requirement** | **FDGS Response** |
| 1. How will you ensure compliance with all applicable State and Federal Laws and Regulations, including IOT security policies referenced in SOW Section 4b? | Due to the dynamic nature of policy and legislation, FDGS has continuously worked with our clients nationwide to evaluate the impact of policy changes on eligibility processes and eligibility systems. This experience means we can remain up-to-date and advise Indiana on the latest policy updates. In addition to the deep level of experience the proposed FDGS Team brings to the OV&V effort, FDGS has extensive experience with interpreting and complying with Federal Laws & Regulations. Section 7.2 of our Technical Proposal provides detailed information about our subject matter expertise, our history of working closely with DFR and the eligibility and system Vendors to evaluate the scope of changes necessary to meet the requirements and design for the new systems to support implementation of the new policy, and our membership in organizations such as the Human Services IT Advisory Group (HSITAG). The proposed team can draw on the FDGS Center of Excellence and Innovation (CoE&I) to review information about policy updates from our subject matter experts.  The FDGS Team will follow the protocols set forth by the Indiana Office of Technology (IOT) security policies as well as all FSSA-specific policies defined within the final contract (similar to those documented within the Sample Contract, Section 12, F. Improper Disclosure, Security Incident, and Breach Notification).  FDGS takes extreme measures to verify our staff and our technologies are not impacted. Such measures include but not limited to the following:   * Annual security training * Annual HIPAA training * Bit locker protected laptops * Laptops with USB ports deactivated * Security monitoring over email to validate Personally Identifiable Information (PII) is not distributed |
| 1. How will you ensure the security of the Protected Health Information as require by applicable laws? | The FDGS Team will have a Privacy & Security Plan that records the security policies and procedures to be followed throughout the term of our OV&V services for DFR. One of the premier rules or standards that we follow is the Minimum Necessary Standard of taking all reasonable steps to see that state data and protected health information (PHI) is only accessed to the minimum amount necessary to complete the tasks at hand.  See also: Section 13.2 of our Technical Proposal |
| 1. Describe your experience providing OV&V, Quality Assurance, and/or Project Management service for a government client. | OV&V as a defined process is unique to Indiana DFR, and as the incumbent FDGS has the distinction of 14 years of experience working collaboratively with DFR to develop and grow the OV&V processes and procedures employed on behalf of DFR. |
| 1. Confirm that you do not share ownership with, or have a financial interest in, any of the Vendors for which the Contractor shall perform, on behalf of the State, oversight and validate duties. For purposes of this confirmation, the Vendors are those with contracts in Attachment I. | FDGS does not own or have a financial interest in any of the Vendors identified in Attachment I. |

**SOW Section 5 – General Oversight and Validation Duties**

1. Explain how you propose to execute the described duties in their entirety, including but not limited to the specific elements included in SoW Section 5 and outlined below:
   * Measurement and Management of Vendors
   * Task Volume Tracking Support
   * Invoice Monitoring
   * Report Generation
   * Conduct Deliverable and Work Product Review
2. Describe all relevant experience. In your response, please be sure to signify answers to each specific requirement listed above and cross reference each section within the Scope of Work.
3. Describe your plan to ensure that each of these functionalities continues to operate smoothly and efficiently, how you plan to structure staff to fulfill each of these functions, how you propose to monitor trends to identify and address problem areas, and how you will ensure that all quality standards continue to be met.
4. Include any business processes or technology improvements that you will utilize.

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| **RFP Requirement** | **FDGS Response** |
| 1. Explain how you propose to execute the described duties in their entirety, including but not limited to the specific elements included in the SoW Section 5 and outlined below.    * Measurement and Management of Vendors    * Task Volume Tracking Support    * Invoice Monitoring Report Generation    * Conduct Deliverable and Work Product Review | FDGS has prepared a Technical Proposal to provide detailed plans for execution of the OV&V services outlined in *Attachment K, Scope of Work.* At a high-level, FDGS will draw on its 14 years of experience with DFR to provide a team that will execute the desired OV&V services using the following attributes:   * Experience in compliance with State, Federal and IOT Laws and Regulations * Experience in the design and operation of IEDSS * Experience supporting the Mission and Values FSSA * Knowledge of the quality measures used by DFR * Knowledge of the issues on which DFR typically focuses   The FDGS Team will:   * Use the established OV&V processes to provide consistent, tangible value * Identify and monitor trends and risks * Recommend actionable mitigation strategies * Work collaboratively with incumbent and future Vendors throughout the terms of their contracts |
| 1. Describe all relevant experience. In your response, please be sure to signify answers to each specific requirement listed above and cross reference each Section with the Scope of Work. | In addition to the information provided herein, the FDGS Technical Proposal is structured to align our relevancy and planned approaches to each specific requirement in the SOW. We have restated each requirement as a header or sub-header for easy cross-reference from our Technical Proposal to *Attachment K, Scope of Work*. |
| 1. Describe your plan to ensure that each of these functionalities continues to operate smoothly and effectively, how you plan to structure staff to fulfill each of these functions, how you propose to monitor trends to identify and address problem areas, and how you will ensure that all quality standards continue to be met. | FDGS understands the importance of maintaining the continuity and quality of the OV&V services currently enjoyed by DFR.  FDGS proposes retaining our current team structure and adding the minimum number of additional staff required to support the additional scope of work request by DFR. This approach provides the greatest continuity through the transition to the new Vendor contracts while maintaining the greatest amount of experience and knowledge for DFR. Although the OV&V Team has traditionally been organized into teams that focus on specific functions such as Project Management Support, Quality Assurance Support, we have recently added Special Projects and Pondera Fraud Project oversight to the services we provide. Our staff are cross trained to be flexible to the needs and priorities of DFR and to ensure continuity of service in the case of an absence. Section 3.3 of our Technical Proposal provided an overview of the proposed FDGS OV&V Team while Section 11 provides the details.  The FDGS believes trend analysis and other data analytics may be even more important to DFR should there be changes in Vendors as a result of the current procurement efforts. FDGS is prepared to work collaboratively with DFR to expand on the level of details provided as part of our OV&V efforts, including:   * Task Volume * Case processing errors * FSSA IT Help Desk Ticket data * Quality Assurance Metrics Validation * Invoice Monitoring   FDGS will continue to use our current OV&V quality standards since the current processes have been approved by DFR and have been established as the baseline for the current quality standards. |
| 1. Include any business processes or technology improvements that you will utilize. | The FDGS Teams individually and collectively practice Continuous Process Improvement methodologies which include the following steps   * ***Plan:*** Identify an opportunity and plan for change. * ***Engage***: Work collaboratively with process stakeholders to obtain approval to move ahead. * ***Do***: Implement the change on a small scale. * ***Check***: Use data to analyze the results of the change and determine whether it made a difference. * ***Act***: If the change was successful, implement it on a wider scale and continuously assess your results.   FDGS proposes the collaborative use of the State Microsoft Office 365 toolset and applications to provide automated Project and Vendor Management Dashboards. |

**SOW Section 6 – Overview of Vendors and Vendor Specific Duties**

1. Explain the approach you will take and the considerations you will make in executing the Vendor-related duties, including but not limited to the duties in SoW Section 6, for each Vendor outlined below:
   1. Eligibility Services Vendor (Current and Future)
   2. Employment and Training Services Vendor
   3. Staffing Services Vendor
   4. Help Desk Vendor
   5. General Training Services Vendor
   6. Document Center Services Vendor
   7. Print/Mail Services Vendor
   8. Interactive Voice Response (IVR) Vendor
2. Describe all relevant experience. In your response, please be sure to signify answers to each specific requirement listed above and cross reference each section within the Scope of Work.
3. Describe your plan to ensure that each of these functionalities continues to operate smoothly and efficiently, how you plan to structure staff to fulfill each of these functions, how you propose to monitor trends to identify and address problem areas, and how you will ensure that all quality standards continue to be met.

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| **REF Requirement** | **FDGS Response** |
| 1. Explain the approach you will take and the considerations you will make in executing the Vendor-related duties, including but not limited to the duties in SoW Section 6, for each Vendor outlined below:    1. Eligibility Services Vendor (Current and Future)    2. Employment and Training Service Vendor    3. Staffing Service Vendor    4. Help Desk Vendor    5. General Training Vendor    6. Document Center Vendor    7. Print/Mail Services Vendor    8. Interactive Voice Response (IVR) Vendor | Over the past 14 years, FDGS has successfully provided Vendor Oversight including examining Vendor invoices (IMPACT) and monitoring Vendor quality, performance metrics and Deliverables for the Vendors outlined in Section 6 of the SoW.  We are well positioned to continue to provide no less than the same level of Vendor Oversight regardless of who the Vendor is. The FDGS processes and reporting methodologies are designed to address the needs and priorities of DFR.  Our approach to Vendor Oversight is to assess each Vendor based on their documented Quality Requirements and current State policies and procedures. FDGS uses either the sample volume directed by DFR or a statistically valid sample of the work performed by the Vendor as the Review Sample Size. Our findings undergo a rigorous internal QA review before they are shared with the relevant parties. Vendors have an opportunity to rebut OV&V finding, the results of the rebuttal process are then calibrated before final Vendor Performance Metrics are submitted to DFR.  FDGS has addressed each of the State Vendors as provided in SoW, Section 6 in our Technical Proposal. Below we provide a reference to each relevant section.   |  |  | | --- | --- | | Overview of Vendors and Vendor Specific Duties | Section 6 | | Eligibility Services Vendor (Current and Future) | Section 6.1 Current  Section 6.2 Future | | Employment and Training Services Vendor | Section 6.3 | | Staffing Services Vendor | Section 6.4 | | Help Desk Vendor | Section 6.5 | | General Training Services Vendor | Section 6.6 | | Document Center Services Vendor | Section 6.7 | | Print/Mail Services Vendor | Section 6.8 | | Interactive Voice Response (IVR) Services Vendor | Section 6.9 | |
| 1. Describe all relevant experience. In your response, please be sure to signify answers to each specific requirement listed above and cross-reference each section within the Scope of Work. | Our FDGS Team has 14 years of experience providing OV&V Services to DFR. Our local team, with nearly eight decades of collective OV&V experience, currently demonstrates an extensive knowledge of DFR programs, policies and processes and is committed to continuing these relationships through standardized and ad hoc service offerings.  Our experience relevant to each requirement outlined in the SoW is provided in our Technical Proposal which is structured to match each section of the SoW. |
| 1. Describe your plan to ensure that each of these functionalities continues to operation smoothly and efficiently, how you plan to structure staff to fulfill each of these functions, how you propose to monitor trends to identify and address problem areas, and how you will ensure that all quality standards continue to be met. | The FDGS practices are the current foundation for DFR OV&V. We are well positioned to continue all functionalities smoothly and efficiently.  We have an experienced team already in place performing most if not all, of the duties outlined in the SoW so there would be no degradation of services should our bid be successful. We will execute any new services with the same level of commitment and expertise. Our OV&V Team is structured in such a way to focus on the following DFR priorities:   * Operations Support * Quality Assurance * Project Management * Pondera Fraud Management * Special Projects   We will continue to identify potential problem areas, emerging trends, and risks and provide data trending in our OV&V Monthly Status Report (MSR).  We plan to continue our current level of internal QA efforts to meet our own quality standards. We understand that the primary function of OV&V is to support DFR in ensuring that all Vendor quality standards are met.  If necessary, we are committed to developing and implementing a smooth transition to the successful OV&V Contractor. |

**SOW Section 7 – Overview of Non-Validation Duties**

1. Explain how you propose to execute the described duties in their entirety, including but not limited to the specific elements included in SoW Section 5 and outlined below:
   * General DFR Support
   * Compliance Support
   * Project Management Support
   * Monitor and manage IEMP State Inbox
   * Measuring Client Satisfaction
   * Training Review Support
   * Assessment of Eligibility Determination by the State
   * Document Warehouse
   * SNAP Fraud Grant Administration Support
   * TANF MOU Support
   * Pandemic EBT Support
   * Meeting Facilitation and Participation
   * System Change Control Support
   * State and Federal Communication Support
2. Describe all relevant experience. In your response, please be sure to signify answers to each specific requirement listed above and cross reference each section within the Scope of Work.
3. Describe your plan to ensure that each of these functionalities continues to operate smoothly and efficiently, how you plan to structure staff to fulfill each of these functions, how you propose to monitor trends to identify and address problem areas, and how you will ensure that all quality standards continue to be met.
4. Please describe how you will ensure the flexibility of your team to provide general support to DFR, as needed, while continuing to satisfactorily complete all other duties.

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| **RFP Requirement** | **FDGS Response** |
| 1. Explain how you propose to execute the described duties in their entirety, including but not limited to the specific elements included in SoW Section 5 and outlined below:    * General DFR Support    * Compliance Support    * Project Management Support    * Monitor and manage IEMP State Inbox    * Measuring Client Satisfaction    * Training Review Support    * Assessment of Eligibility Determination by the State    * Document Warehouse    * SNAP Fraud Grant Administration Support    * TANF MOU Support    * Pandemic EBT Support    * Meeting Facilitation and Participation    * System Change Control Support    * State and Federal Communication Support | As the Incumbent OV&V Vendor, FDGS proposes that we “***continue what we started***”. We have successful processes in place, a positive working relationship with DFR, and a strong understanding of the needs and priorities that DFR has for each of the categories of services included in the SoW, Section 5. Our Team is in place and finely tuned to providing these services.  In the last year alone, our Team has made many recommendations for improving the efficiencies of our General Oversight and Validation Duties that have been accepted by DFR including our improved Case Review and Quality Review Scorecards. These improvements have made our processes more streamlined and improved reporting of trends and problem areas.  Our detailed response to each of these categories is provided in Section 5 of our Technical Proposal. |
| 1. Describe all relevant experience. In your response, please be sure to signify answers to each specific requirement listed above and cross reference each section within the Scope of Work. | Our FDGS Team has 14 years of experience providing OV&V Services to DFR, including General Oversight and Validation Duties. Our local team, with nearly eight decades of collective OV&V experience and 355 years of DFR collective experience, currently demonstrates an extensive knowledge of DFR programs, policies and processes, and is committed to continuing these relationships through standardized and ad hoc service offerings. |
| 1. Describe your plan to ensure that each of these functionalities continues to operate smoothly and efficiently, how you plan to structure staff to fulfill each of these functions, how you propose to monitor trends to identify and address problem areas, and how you will ensure that all quality standards continue to be met. | As with all OV&V functionalities, the FDGS practices are the current foundation for DFR OV&V. We are well positioned to continue all functionalities addressed in the SoW smoothly and efficiently.  We have an experienced team already in place performing the most if not all of the duties outlined in the SoW in place so there would be no degradation of services should our bid be successful. We will execute any new services with the same level of commitment and expertise. As evidenced by our Organization Chart (Technical Proposal, section 11.1) our Team is structured in such a way to focus on the following DFR priorities:   * Operations Support * Quality Assurance * Project Management * Pondera Fraud Management * Special Projects   We currently identify potential problem areas, emerging trends, and risks and provide data trending in our OV&V Monthly Status Report (MSR).  We plan to continue no less than our current level of internal QA efforts to meet our own quality standards. A primary function of OV&V is to support DFR in ensuring that all Vendor quality standards are met. |

**SOW Section 8 – Reporting**

1. Describe how you will meet the reporting requirements outlined in SoW Section 8.
2. Please detail any additional reports to the ones mentioned in SoW Section 8 that you propose to provide as part of this Contract.
3. Describe your process for ad hoc report requests.
4. Provide any relevant example reports.

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| **RFP Requirement** | **FDGS Response** |
| 1. Describe how you will meet the reporting requirements outlined in SoW Section 8. | The FDGS Team knows one of the main challenges DFR faces with multiple Vendors is that comprehensive overview becomes a challenge when multiple Vendor reports are submitted. Hence, the FDGS Team is critical to providing comprehensive reporting within our Monthly Status Reports (MSR), Quarterly Project Assessment Reports (QPAR) and other ad-hoc reports to provide DFR stakeholders unified, comprehensive views of OV&V and Vendor activities. The FDGS Team has honed our reporting to meet the needs and concerns of DFR. We will continue our collaborative approach to preparing and submitting all the reports listed in Section 8.0 through 8.3 in the RFP SOW. |
| 1. Please detail any additional reports to the ones mentioned in SoW Section 8 that you propose to provide as part of this Contract. | The FDGS OV&V Team intends to continue to work with DFR leaders to further develop reports as they request, and to look for opportunities to propose updates, additions, and alternate presentation formats so these reports remain valuable and relevant in support of the needs, goals, and mission of DFR. |
| 1. Describe your process for ad hoc report requests. | Our process includes confirming the needs with the requestor. This may include determining the intended purpose or audience of the information we are asked to provide. Because our Team has such an intimate knowledge of the data, including data definitions, data structure and reporting tools, we can often make recommendations to the Requestor that will better meet their needs. We also confirm desired timeframes to facilitate prioritization. |
| 1. Provide any relevant example reports. | FDGS has provided the Table of Contents from the approved OV&V Monthly Status Report and Quarterly Project Assessment in our Technical Proposal, Section 8. Example reports are provided as an attachment to our Technical Proposal |

**SOW Section 9 – Offices**

1. Identify a potential proposed office that meets the requirements of SoW Section 9.1. Ensure that the potential location is consistent with the assumptions in your proposed cost proposal.
2. How will you provide your team with computers that comply with all applicable IDOA policies regarding Contractor provided technology?
3. Describe how you will ensure availability of to present on-site at the FSSA offices as needed.

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| **RFP Requirement** | **FDGS Response** |
| 1. Identify a potential proposed office that meets the requirements of SoW Section 9.1. Ensure that the potential location is consistent with the assumptions in your proposed cost proposal. | The FDGS Team is currently co-located in the Beech Grove Regional Change Center. If needed, FDGS commits to obtaining office space that meets the requires of SoW Section 9.1 with no cost passed onto the State. |
| 1. How will you provide your team with computers that comply with all applicable IDOA policies regarding Contractor provided technology? | The FDGS Team will work with IDOA and DFR to confirm compliance of Fiserv or Sub-contractor computers. The FDGS Team is currently outfitted with compliant State equipment. |
| 1. Describe how you will ensure availability of to present on-site at the FSSA offices as needed. | The FDGS Team will be available on-site at the FSSA office as needed. |

**SOW Section 10 – Project Management**

1. Describe your proposed plan to transition all operational verification and validation activity from the current contractor if you are awarded this contract. Outline the proposed transition approach and include a plan that incorporates all requirements identified in SoW Section 10. Your response must also clearly state the anticipated duration of transition activities leading up to the operational cutover as well as the expectations from the State/FSSA to facilitate a successful transition. Your transition plan must incorporate, at a minimum, the following elements:

* Transition Phase Work Plan (with schedule and resource allocations)
* Project Management Approach
* Business Structure Transition
* Staffing
* Training
* Development of operational documentation
* Coordination and communication
* Risk management and issue resolution
* Security management
* Disaster recovery and business continuity
* Integration and implementation of business operations, in order to achieve full operational capabilities at or before the start of this Contract (7/1/22)

1. Describe your on-going project management approach, including a list of deliverables and deadlines you would utilize to meet the requirements of the duties listed in Attachment K (Scope of Work).
   1. Be sure include your approach to planning, organizing, and managing Contractor staff and activities, what types of project management tools you propose to utilize, your proposed approach in facilitating effective communication and collaboration amongst staff members, your approach in working collaboratively with FSSA and other stakeholders, as well as your approach to administering the change control process for Vendors.
   2. In (SoW Section 10.3), your approach to developing an Issue Resolution Plan (SoW Section 10.4) and your approach to measuring and reporting your own performance.

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| **RFP Requirement** | **FDGS Response** |
| 1. Describe your proposed plan to transition all operational verification and validation activity from the current contractor if you are awarded this contract. Outline the proposed transition approach and include a plan that incorporates all requirements identified in SoW Section 10. Your response must also clearly state the anticipated duration of transition activities leading up to the operational cutover as well as the expectations from the State/FSSA to facilitate a successful transition. Your transition plan must incorporate, at a minimum, the following elements:  * Transition Phase Work Plan (with schedule and resource allocations) * Project Management Approach * Business Structure Transition * Staffing * Training * Development of operational documentation * Coordination and communication * Risk management and issue resolution * Security management * Disaster recovery and business continuity * Integration and implementation of business operations, in order to achieve full operational capabilities at or before the start of this Contract (7/1/22) | In compliance with section 10 of the SoW, FDGS will submit for State approval a master work plan for Transition should a transition be necessary. If applicable, this Plan will be submitted at least forty-five (45) days before the project go-live dare of the Contract. FDGS recommends a Transition Period of no less than three (3) months to accommodate the collaborative development of all Deliverable including the Quarterly Project Assessment Report.  If applicable, FDGS will work collaboratively with the future Contractor and DFR to mutually agree upon the Transition Schedule, review the proposed Transition Plan and make any applicable updates.  Our Transition Plan will at a minimum address the following:   * A Project Work Plan including   + - Schedule with start and end dates for all activities and Deliverables     - Resource Allocation     - Training Schedule * A RACI Matrix * Stakeholder Management and Communication approach * All tasks, Deliverables, schedules, task dependencies, and touch points with FSSA, IOT, and other State resources * A traceability matrix tracking the transition of all Contract/SOW requirements from FDGS to the future Contractor * Transition of Business Process flows * Transition of the custody of the Data Warehouse * A Transition Risk Management approach as well as the transfer of the existing Risk Management Matrix * Security management approach * Disaster recovery and business continuity approach * Integration and implementation of business operations, in order to achieve full operational capabilities at or before the start of this Contract (7/1/22) |
| 1. Describe your on-going project management approach, including a list of deliverables and deadlines you would utilize to meet the requirements of the duties listed in Attachment K (Scope of Work).    1. Be sure include your approach to planning, organizing, and managing Contractor staff and activities, what types of project management tools you propose to utilize, your proposed approach in facilitating effective communication and collaboration amongst staff members, your approach in working collaboratively with FSSA and other stakeholders, as well as your approach to administering the change control process for Vendors. | FDGS applies a robust Project Management approach based on lessons learned from other government consulting experiences and the on best practices identified by the Project Management Institute’s Project Management Body of Knowledge (PMBOK, 7th edition). Our OV&V Team can draw on proven templates and techniques contained in our Center of Excellence and Innovation (CoE&I) that can be tailored, if necessary, specifically for use at DFR.  FDGS will use a suite of Microsoft applications including, Office 365 to manage the OV&V Project. The tools we plan to use include:   * WORD and EXCEL for the development and tracking of FDGS and Vendor Deliverables and KPMs * OUTLOOK for secured email communication * TEAMS for meetings and secured communication, including dashboards displaying items such as:   + - Risks and Issue Management     - Key Performance Metrics     - Emerging Trends * POWER BI for compiling data analytics that feed the dashboards, if available to OV&V * PROJECT or EXCEL to track Deliverables and resource allocation * FDGS Time & Material Project Workbook for tracking monthly invoicing, retention invoicing, * FDGS Time Tracker for individual weekly timecards * FDGS SHAREPOINT for secured storage of FDGS project management information and documentation * State SHAREPOINT for secured storage of DFR project related information and documentation * The State PayAudit system to validate our MBE/WBE/VBE compliance. |
| * 1. Please provide a description of your approach to developing a Communication Plan (SoW Section 10.3), your approach to developing an Issue Resolution Plan (SoW Section 10.4) and your approach to measuring and reporting your own performance. | Development of a Communication Plan is critical for defining the methods by which communications will occur throughout the project lifecycle. The purpose of the Communication Plan is to identify the methods of exchanging information between OV&V Services Projects and project stakeholders. FDGS understand that a Communication Plan is required for DFR with other project stakeholders.  The FDGS Team will review the current Communication Plan to identify potential enhancements and will coordinate updates as appropriate. At a minimum we will review the following for the Communication Plan to assess any gaps or changes:   * Identify key points of contacts * Assigned roles and responsibilities * Current scheduled meetings * Attendees and contact information * Frequency of communication * Media utilized for communication * Structure for periodic written updates   The FDGS Team will submit the draft Communications Plan for approval at least 30 days before the project start of the new initiatives.  The FDGS issue management methodologies describe how issues will be identified, documented, validated, analyzed, tracked, escalated and resolved. As project issues are identified, they are managed, controlled and resolved through the issue management process. The process verifies proper oversight and management of issues.  We will work with DFR to review our standard issue management process and tailor it to meet agency needs. The FDGS Team’s issue management procedures are:   * Issue Identification and Documentation * Issue Validation, Assignment and Prioritization * Issue Analysis * Issue Tracking and Reporting * Issue Escalation (if needed) * Issue Resolution and Closure   The FDGS Team will submit a draft Issue Management Plan for approval at least 30 days before contract start of new initiatives. |

**SOW Section 11 – Staffing**

* 1. Provide a detailed staffing organization chart for this project, including both Key Staff and regular staff. The organization chart must include the number and type of staff resources that the Contractor proposes to assign to transition of the Contractor’s solution, subsequent operations, and maintenance. Ensure that the staffing plan is consistent with the assumptions in your proposed cost proposal. The organizational chart must clear map out reporting lines and the management structure for all staff.
  2. Provide a resume, a description of previous applicable experience for the proposed Project Manager to demonstrate that the proposed Project Manager meets the minimum qualifications established in SoW Section 11.2.
  3. Identify any other members of this project’s leadership team. Be sure to include a resume for each member that captures any relevant experience and expertise.
  4. Please describe how you will ensure continuity and availability of personnel.
  5. What are the specific strengths and expertise of your proposed team? Please describe how these would be effectively utilized on this project.

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| **RFP Requirement** | **FDGS Response** |
| 1. Provide a detailed staffing organization chart for this project, including both Key Staff and regular staff. The organization chart must include the number and type of staff resources that the Contractor proposes to assign to transition of the Contractor’s solution, subsequent operations, and maintenance. Ensure that the staffing plan is consistent with the assumptions in your proposed cost proposal. The organizational chart must clear map out reporting lines and the management structure for all staff. | Our detailed Organization Chart located in Section 11.1. of our Technical Proposal delineates the management structure of our proposed team, the make-up and reporting lines for each team, each team member’s role, Key Staff and the organization for whom each person works.  The FDGS staffing plan is consistent with our proposed cost proposal. |
| 1. Provide a resume, a description of previous applicable experience for the proposed Project Manager to demonstrate that the proposed Project Manager meets the minimum qualifications established in SoW Section 11.2. | FDGS is proposing a modified management team structure for the DFR OV&V Service Project by eliminating the Project Manager position. Mary Fitzgerald would continue in her role as Indiana Project Director and would be available to DFR Management to discuss any scope changes or performance issues. The FDGS Team Managers would be the direct contacts for the DFR Management Team and run the day-to-day operations of our OV&V services.  Mary’s resume included in Section 11.4 of our Technical Proposal, clearly demonstrates that she exceeds the minimum qualifications established in SoW Section 11.2 with 28 years working within Public Assistance/HS, five years managing the Indiana OV&V team, one-year leading FSSA IV&V team and ten years managing state human service projects.  Resumes for the other Team Managers are also provided. |
| 1. Identify any other members of this project’s leadership team. Be sure to include a resume for each member that captures any relevant experience and expertise. | Section 11.4 of our Technical Proposal provides the resumes of the FDGS Team Leadership. |
| 1. Please describe how you will ensure continuity and availability of personnel. | Cross-training allows us to move staff between teams as needed to meet the needs and priorities of DFR.  FDGS uses a continuous recruitment process whereby we receive and evaluate resumes on continuous basis. We interview prospective employees and sub-contractors and assign a rating. Should an opening occur we have a short-list of candidates to re-interview based on our specific needs.  FDGS commits that replacement personnel submitted for the departing resource will be fully qualified for the position  See also Section 11.3 of our Technical Proposal |
| 1. What are the specific strengths and expertise of your proposed team? Please describe how these would be effectively utilized on this project | Our FDGS Team has 14 years of experience providing OV&V Services to DFR. Our local team, with nearly eight decades of collective OV&V experience and 355 years of FSSA experience currently demonstrates an extensive knowledge of DFR programs, policies and processes, and is committed to continuing these relationships through standardized and ad hoc service offerings.  FDGS will use the best practices and lessons learned during this time to grow its OV&V methodologies on behalf of Indiana. Our practices and procedures have already been approved by DFR, but we believe that there are efficiencies available through the collaborative use of the State of Indiana Microsoft Office 365 tools such as the OV&V MS Teams and associated Teams SharePoint site.  See also: Sections 5,6, and 7 of our Technical Proposal |

**SOW Section 12 – State Resources for OV&V Vendor**

1. Describe how you will utilize State provided resources.
2. Describe your approach to collaborating with the State

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| **RFP Requirement** | **FDGS Response** |
| 1. Describe how you will utilize State provided resources. | FDGS will remain the subject matter expert (SME) through continuously reviewing all available information provided by the State, actively participating in meetings to which we are invited, and appropriately sharing only OV&V applicable information with the entire FDGS Team.  Each FDGS Team member’s access and security rights will be limited to accessing only that information created, collected, used and/or disclosed within the SOW activities for which that member is responsible. |
| 1. Describe your approach to collaborating with the State | The FDGS Team understands and appreciates the cost of supporting cross-pollination of ideas, mitigation strategies, issue resolution and basic Vendor relations communications. Based upon our experience, it is imperative Vendor touch points are clearly defined and documented. We recommend the following guidelines when determining if a touch point exists and should be managed:   * Is there any task that needs input from another Vendor? * Do any tasks depend upon a task being completed by another Vendor? * Do I need to interact with another Vendor for any of my tasks? * Do other Vendors’ tasks depend upon my tasks? * Do I need to provide any input to another Vendor’s tasks?   The FDGS Team will support and facilitate teamwork and collaboration through Touch Point Management. This methodology will document and address, in detail, the touch point identification process, the standards of status reporting, communication, tracking and the escalation process. Attention to this level of detail reduces risk of duplication of effort and individual entities working at cross purposes. FDGS brings a proven communications methodology that can be leveraged for DFR on the OV&V Services Project.  See also: Section 12.1 of our Technical Proposal |

**SOW Section 13 – Security and Risk Mitigation**

1. Describe your approach to protecting and ensuring security of all of the State’s data and information.
2. Describe your risk management and mitigation approach, including your proposed plans to identify any potential risks, and how you plan to track and manage the implementation of any mitigating steps.
3. Provide any proposed risk management tools you intend to use.

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| **RFP Requirement** | **FDGS Response** |
| 1. Describe your approach to protecting and ensuring security of all of the State’s data and information. | FDGS understands the significance of confidentiality and will comply with all applicable federal and state regulations pertaining to the protection of customer data. FDGS has a company-wide Information Security Policy in place that is aligned with ISO17799:00, the International Organization for Standardization code that establishes guidelines and general principles for initiating, implementing, maintaining, and improving information security management in an organization. Our policy has been analyzed against the requirements of the Health Insurance Portability and Accountability Act (HIPAA) and is compliant.  At least thirty (30) days prior to the go-live date of the Contract, we will submit for State approval our FDGS Privacy and Security Plan. This plan will describe the policies and practices we will follow to ensure the protection of all State data and information. This plan will include compliance with Fiserv, FSSA and IOT policies.  At a high-level our practices include at a minimum:   * Each member of the FDGS Indiana Team whether a FDGS/Fiserv associate or a sub-contractor is responsible for understanding and complying with all relevant FSSA policies. Each team member must: * Pass a background check commensurate with the duties of their position prior to being granted access to sensitive data * Complete the FSSA Workforce Contractor Privacy training * Complete Cybersecurity Awareness training * Review and sign the Information Resources Use Agreement (IRUA) * Complete annual HIPAA refresher training * Each FDGS Team member’s access and security rights will be limited to accessing only that information created, collected, used and/or disclosed within the SOW activities for which that member is responsible. * The FDGS Teams will take steps to ensure data is not accidentally disclosed by taking the following steps: * Locking desks or office doors when leaving for the day when locks are available * Following the clean desk guidelines * Never sharing passwords or other means of access * Not discussing project information in public areas * Ensuring that State electronic data resides only on State approved devices and within State designated file storage locations * Removing any items from printers and faxes no later than end of the day * The FDGS Teams will handle data securely through all phases of the Project. The teams will: * Use only secure methods for transferring data * Confirm the accuracy of all email addresses when sending data * Encrypt, mask, or otherwise secure personal data where possible, including in storage * Store only absolutely required State data using State supplied file storage locations such as secured OneDrive folders * Comply with applicable contracts and Records & Retention Policies   See also: Section 13.2 of our Technical Proposal |
| 1. Describe your risk management and mitigation approach, including your proposed plans to identify any potential risks, about you plan to track and manage the implementation of any mitigating steps. | The FDGS Team will provide an updated Risk Management and Mitigation Plan at least 30 days before the projected go-live date of the contract. Our plan will include the FDGS process for identifying, documenting and reporting risks and risk status to the State.  The FDGS approach to risk management includes these key components:   * **Identify –** Before risks can be managed, they must be identified. Identification discovers risks before they become problems and adversely affect a project. FDGS has developed techniques for surfacing risks by the application of a disciplined and systematic process that encourages project personnel to raise concerns and issues for subsequent analysis. * **Analyze –** Analysis is the conversion of risk data into risk decision-making information. Analysis provides the basis for the DFR Project Director to prioritize and work on the "right" risks. This step includes determining probability of occurrence, and assessing potential magnitude, to determine which risks warrant the highest level of attention. * **Plan –** Planning turns risk information into decisions and actions (both present and future). Planning involves developing actions to address individual risks, prioritizing risk actions, establishing an owner responsible to address each risk, and creating an integrated risk management plan. The plan for a specific risk could take many forms. Risk response strategy examples are depicted in the figure below: |
| 1. Provide any proposed risk management tools you intend to use. | FDGS is proposing Microsoft Office 365 as our project management tool for tracking, managing and reporting risk. Our Risk tracking and control process follows the progress of the risk and its probability, as well as the status of any mitigation and contingency strategies that have been executed. The use of Microsoft Offices 365 allows us to provide a dashboard view of our Risk Management process similar to the following.  See also: Section 13.1 of our Technical Proposal |

**SOW Section 14 – Service Levels and Performance Management**

1. Please confirm your understanding of the consequences of missing certain mutually agreeable service levels.
2. Please describe any policies or practices you will employ to ensure all service levels are met.

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| **RFP Requirement** | **FDGS Response** |
| 1. Please confirm your understanding of the consequences of missing certain mutually agreeable service levels. | FDGS understands the importance of meeting the goals and performance expectations of DFR. Each month we will invoice for 90% of our monthly charge pending verification of our performance in meeting the mutually agreeable Performance Metrics. Upon receipt of validation that we have met our Performance Metrics, we will invoice for the 10% withhold amount.  FDGS understand that should we fail to meet one (1) or two (2) Performance Metrics in a given month, we must submit a Corrective Action Plan (CAP) to the State within fifteen (15) calendar days following documentation of the failure to meet the Metric(s). The State will review and make reasonable efforts to approve the CAP within ten (10) calendar days of the CAP being received.  FDGS understands that the State will continue to withhold funds for the month in which we failed to meet the missed Metric(s) and all subsequent months until we have demonstrated that the CAP has been implemented and we have successfully met the missed Metric(s) for two consecutive months following the implementation of the CAP.  We will only be able to invoice the State for the release of the withheld funds following verification that we have successfully met the missed Metric(s) for two consecutive months as described above.  FDGS understands that should we fail to meet three (3) or more Metrics in any given month, the State will permanently retain the 10% withhold amount for that month.  We understand the concept that lower quality service equate to a lower value to the State and justify a lower payment. |
| 1. Please describe any policies or practices you will employ to ensure all levels are met. | FDGS begins our internal Quality Assurance (QA) practice by reviewing the SOW and our proposal with the entire team. We believe it is critical that everyone understands the requirements and performance measures we must meet and our commitment to how we intend to be successful.  Next, each team will update existing, or develop as needed, Desk Guides that describe the processes to be followed for each task. These reference materials serve to ensure consistency. We conduct peer-to-peer cross-training. Having fresh eyes on a subject helps us avoid the “we’ve always done it this way”. As part of our continuous process improve methodology, we are open to suggestion and when someone questions a process; we reassess its accuracy and make changes if necessary.  Additional key steps in confirming mutual understanding and consistency are our 2nd party peer reviews and 3rd party manager reviews that are performed prior to sharing error citations with the State. We look for consistent terminology and accurate citation of applicable policies & procedures.  After our review results are shared with the State and/or Vendors there is a rebuttal opportunity. The results of the rebuttals are documented, shared with the Team and our Desk Guide are updated if appropriate.  The Team Leaders meet regularly with their teams to review policies & procedures and to solicit input regarding our processes, risks and emerging trends.  In addition to these internal QA and continuous process improvement practices, FDGS also employs Project Management best practices and Microsoft Office 365 to manages its projects. For example, we use its Calendaring features to track attendance and Deliverable due dates, Excel to track our Key Performance Metrics and Teams to communicate amongst the Team. |