Mi-Case

Maintenance & Operations Manual

The information below has been reviewed and is approved for execution by the undersigned.

Executive Project Sponsor

Date

Technology Sponsor

Date

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# Revision History

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# Purpose

This document provides the description, deliverables, and Mi-Case (MI-CASE) and State responsibilities associated with performing Maintenance and Operations (M&O) of the Arizona Correctional Information System (ACIS).

## M&O Description

MI-CASE will initiate M&O upon the approved start of operations for all or any modules of the ACIS System and will perform M&O through December 02, 2026. CLIENT may exercise its option to extend MI-CASE M&O activities at its sole discretion for two five-year periods. CLIENT may terminate the contract at any time in the contract term by providing MI-CASE with one year notice as specified in the RFP Section IIII.A.

MI-CASE shall be responsible for the maintenance and operation of all hardware and software during the contract period. Ownership of all hardware and software licenses must transfer to the State on or before the end of the contracted M&Operiod.

## Scope

MI-CASE M&O support for the ACIS System will include the following:

* **Operations** - MI-CASE shall provide qualified personnel, resources, and supplies to support the operation of any module or functionality of the ACIS System that is implemented to meet the SLAs defined in the contract.
* **Maintenance** - Maintenance shall include supporting the ACIS System once any module or functionality is implemented at any CLIENT sites. Maintenance shall include:
  + Activities necessary for the ACIS System to perform efficiently under the standards and conditions for which it is approved
  + Activities necessary to ensure that all data and programs are current, and errors and defects are corrected
  + Activities necessary to meet new or revised Arizona or federal requirements
  + Implementation of edits and audits required to meet Arizona and federal requirements
  + Changes to established report, screen, or database formats, such as sort sequence, new data elements, or report items
  + Addition of new values and changes to existing system tables and reference tables, and conversion of prior records as necessary
  + Activities related to file growth and partitioning
  + Data and file maintenance activities for updates to all databases and files
  + Ongoing activities to ensure system tuning, performance, response time, database stability, and processing
  + Changes to the job scripts or system parameters concerning the frequency, number and media of reports
  + Updates to software, operating systems or other system components requiring version updates, manufacturer "patches," and other routine manufacturers' updates to software
  + Maintenance of security for user accounts
  + Responses to production problems and emergency situations according to CLIENT-approved guidelines
  + Investigation and correction of batch job failures and defects
  + Repair of jobs scheduled or run incorrectly, problems due to system hardware or software failures, problems due to operator/scheduler error, problems due to program or control language errors, security problems, corrupted files or databases, documentation or problems due to jobs run with incorrect data
  + Response to "emergency requests" which are problems having a significant impact on the end user's ability to perform their job. These requests will require "emergency fixes" and shall be resolved within 24 hours of notification.
* **Modifications** - CLIENT may request modifications or enhancements to the ACIS System throughout the term of the contract. The MI-CASE shall perform software modifications for all components of the ACIS System following completion of implementation activities and approved start of operations, as requested by CLIENT.

System and software upgrades available to all users/owners of the ACIS System shall not be considered as modifications and shall be available to the State· without additional cost. Software and system upgrades are considered part ofM&O.

The Technical Team Manager shall serve as the primary liaison between the modification team resources and CLIENT staff for all system changes.

**Specific M&O tasks shall include:**

### M&O Status Report

MI-CASE shall produce a monthly M&O Status Report. MI-CASE will propose the content, format, and frequency of these reports for CLIENT approval. M&O Status Reports will include the following:

* **Operations Performance -** Information that demonstrates MI-CASE's compliance with applicable Key Performance Indicators (KPis) and Service Level Agreements (SLAs).
* **Modification Hours** - Modification hours expended by week, Work Request, staff member, including subtotals and totals.
* **Problems** - Any problems identified, the proposed repair or remedy, impact of the repair or remedy, and the mitigation strategy implementation date.

### M&0 Status Meetings

MI-CASE will negotiate the schedule, format, and frequency of regular status meetings with CLIENT. MI-CASE will provide:

* An overview of Solution performance and resolution to any issues
* The status of all Service Requests, maintenance, and modification activities; this will include reporting of progress against schedules, proposed schedule revisions, specific details on Service Requests, and review of deliverables.

### M&0 Manual Updates

MI-CASE shall update the M&O Manual to reflect the results of the approved Post-Implementation Evaluation Report within ten (10) business days of approval.

### Monitor Key Performance Indicators (KP!s)

MI-CASE must monitor performance against CLIENT-specified Key Performance Indicators (KPIs) in the SLAs finalized in the contract. Upon request, MI-CASE will provide CLIENT with all reports and data used in the determination of SLA compliance and calculation of KPI metrics. If a KPI is not met, MI-CASE must notify CLIENT within specified time frames and provide a written CAP that describes:

* The missed KPI
* Full description of the issue
* Cause of the problem
* Risks related to the issue
* The resolution, including any failed solutions implemented pnor to resolution
* Proposed corrective action going forward to avoid future issues

Upon receipt of the report, CLIENT may request a follow-up meeting to discuss the issues and corrective actions. MI-CASE will implement the CAP upon CLIENT approval.

Prior to start of operations, CLIENT and MI-CASE will review all KPis to determine if revisions are needed. Similar reviews will be held annually, upon the implementation of a change that impacts existing KPis, or at the request of CLIENT.

CLIENT and MI-CASE agree that failure by MI-CASE to perform in accordance with established KPis results in a loss to CLIENT. If MI-CASE fails to meet the KPis, CLIENT may retain a percentage of the total monthly payment as agreed in contract. Retained amounts will be deducted from monthly payments forM&O.

### Problem Management

MI-CASE shall manage Solution problems during M&O. MI-CASE shall provide software tools to track each defect from identification through correction and testing. MI-CASE shall make the initial categorization of errors and resolve errors as follows:

* **Priority 1 Errors.** *Critical business impact.* Indicates Solution is unavailable for use resulting in a critical impact on operations. Requires notification of CLIENT within one (1) hour of problem discovery and resolution within two (2) hours.
* **Priority 2 Errors.** *Serious business impact.* Indicates serious production issues where the ACIS System is usable but is severely limited, and no workaround exists. Requires notification of CLIENT within one (1) hour of problem discovery and resolution within twenty-four (24) hours.
* **Priority 3 Errors.** *Significant business impact.* Indicates moderate production issue where the ACIS System is usable and a workaround is available (not critical to operations). Requires notification of CLIENT within one (I) hour of problem discovery and resolution within five (5) business days.
* **Priority 4 Errors.** *Minimal business impact.* Indicates the problem results in little impact on operations or there is reasonable circumvention of the problem Requires notification of CLIENT within one (1) hour of problem discovery and resolution within an agreed-upon schedule between MI-CASE and CLIENT.

CLIENT shall have final approval over categorization of errors.

### Release/Deployment Management

MI-CASE shall be responsible for performing Release/Deployment Management for the ACIS System. MI-CASE is responsible for defining and managing the processes, systems, and functions to package, build, test, and deploy a release into production. MI-CASE shall ensure the following:

* All software and hardware releases are planned and approved by CLIENT
* Releases are delivered on-time delivery according to the most recently approved work plan
* Version upgrades are applied in a controlled manner to prevent disruption to users
* CLIENT is informed when emergency security patches are made available, and MI-CASE develops a plan to apply those patches as soon as possible following plan review and approval by CLIENT. In the case of true emergency security patches, MI-CASE shall provide CLIENT with notice prior to system shutdown and a list of patches/updates applied afterwards.
* There is a capability to roll back data and software releases or programs as requested by CLIENT

### Regulatory Compliance

MI-CASE shall ensure that all Solution M&O support components acquired through this procurement are fully compliant with State and federal requirements in effect as of the date of contract signing and with any changes that subsequently occur, unless otherwise noted.

### Internal Quality Assurance

MI-CASE shall monitor operations to ensure compliance with CLIENT-specific performance requirements. MI-CASE will work with CLIENT to identify quality improvement measures that will have a positive impact on the business workflow. Quality assurance includes providing automated reports of operational activities, quality control sampling of specific transactions, and ongoing workflow analysis.

### Resource Capacity Utilization and Capacity Planning

MI-CASE shall be responsible performing resource capacity utilization and capacity planning for the ACIS System. MI-CASE shall implement needed expansions of hardware and network at MI-CASE's own expense, subject to CLIENT approval, before resource degradation impacts Solution performance through the life of the contract.

### Application Support

MI-CASE shall perform application support for the ACIS System to keep it operating as expected including but not limited to the following services:

* Monitoring and reporting system performance
* Investigation as to why data was not processed
* Monitoring and reporting computer resource usage
* Preparing and participating in application system problem review meetings
* Creating special holiday, year-end, and production calendar schedules
* Preliminary investigation of problems not identified by customer
* Enviromnents support
* Ad hoc schedule changes
* Data resource management
* Mass changes
* Business rules changes

All other application support services shall be performed on a daily (and/or as needed) basis.

### Audit Support

MI-CASE shall support and provide assistance with any State and federal audits as CLIENT requests.

### User Support

MI-CASE shall provide user support that includes direct support of the end user for technical questions and issues that cannot be handled by CLIENT Network Services. Specific support services shall include:

* Informal user training
* System broClientasts
* Answering customer questions about the application
* Preliminary investigation into possible problems identified by customer
* Investigating and ensuring user access to application system
* Ad hoc reporting
* Customer-requested updates to data in database tables
* User Manuals development and maintenance
* Online User Aids
* Help Desk

**User Manuals**

MI-CASE shall develop, deliver, maintain User Manuals that describe how to use the ACIS System from a business function perspective, including the following:

* General walkthrough of the ACIS System from the initiation through exit
* Graphical depiction of the equipment, communications, and network configuration of the ACIS System in a way that a non-technical user can understand
* Description of the different users and the restrictions placed on system accessibility for each
* Detailed description of the procedures necessary to access and exit the ACIS System
* Description of the organization of the ACIS System and the navigation paths to the main functions and features
* Description of each user function or feature explaining the characteristics of the required input and system-produced output
* Description of all recovery and error correction procedures, including error conditions that may be generated and corrective actions that may need to be taken

**Help Desk**

MI-CASE shall provide a centralized Help Desk service as a primary point of help for CLIENT's users relative to the implementation and operation of the ACIS System. The Help Desk shall be established, tested, and approved by CLIENT prior to start of the UAT.

At system implementation, MI-CASE must handle help issues related to the application, data, and Solution implementation. Issues not related to the application, data, and implementation of the ACIS System will be forwarded to the appropriate CLIENT contact. MI-CASE must perform the following activities:

* Develop a Help Desk Guide with help desk processes and scripts to support the new application, data, and workflow
* Communicate the Help Desk processes to CLIENT Network Services staff
* Staff the Help Desk during the following hours during implementation and initial maintenance and operations (to be determined by CLIENT):
  + Extended hours on Monday through Friday from 6 a.m. through 10 p.m.
  + Weekend hours on Saturday and Sunday from 6 a.m. from 6 p.m.
  + On-call support during all other hours for coverage 24 hours per day
* Perform the following tasks:
  + Implement a "triage" process to determine criticality of request
  + Perform initial investigation, impact assessment, and prioritization on all requests
  + Handle routine customer service requests (CSRs) such as logon id,

password, and security profile issues immediately (within 15 minutes) during the formal post-implementation period for each office. This may also be done by onsite support personnel

* + Handle routine CSRs such as logon id, password, and security profile issues within two hours after the formal post­ implementation period for each office has ended
  + Forward non-Solution related issues to the appropriate CLIENT contact
  + Forward CSRs that cannot be resolved immediately to the

appropriate staff, and, if possible, develop and communicate end user workaronnds for such requests

* + Capture and track help desk CSRs (i.e., "tickets")

**Online User Aids**

MI-CASE shall produce Online User Aids including help topics and channels (pop-up text, audio, video recording, etc.). The Online User Interface Guide must link to CLIENT policy to allow the user to identify the policy or regulation.

At a minimum, the Online User Aid shall include the following:

* Features most used in the proposed Solution
* Features most difficult to understand
* Potential issues most significant to the end user
* Features that cause the most calls to a Help Desk
* Features that would potentially result in less training required, supplementing the training already received
* Simulations to help the end-user complete a task

MI-CASE must develop, test, implement, and provide post-production support for online help. MI-CASE is expected to update online materials regularly, based on changes to the ACIS System, policy and feedback received from the end users.

### MI-CASE Workspace and Hosting Environment/Facility

MI-CASE shall provide local office space for its staff as required during implementation, maintenance, and operations associated with this document. CLIENT will provide space for staff during meetings, sessions, training, and other joint activities. If MI-CASE obtains office space, the following requirements apply:

* MI-CASE must ensure control of physical access to the office space and that only authorized persons are admitted into the facility.
* Visitors and messengers entry and exit into the workspace must be logged by visitor name, agency represented, date, time of arrival and departure, name of individual contact.
* All workspace shall be protected against intrusion during non-working hours with appropriate surveillance alann or system.
* MI-CASE shall ensure that the State's third-party auditors have security access at the selected MI-CASE's work space as authorized in writing by CLIENT.
* Any communication switches and network components outside the central computer room shall receive the level of physical security necessary to prevent unauthorized access.
* All MI-CASE staff shall abide by the State's security policies and procedures such as connecting equipment or other devices to the State's data network.
* No non-State owned computers shall be attached to any State network without prior permission and assurances that the State security standards are met. Commercially available diagnostic tools, State-owned PCs or other equipment as necessary to diagnose and resolve incidents may receive a blanket approval for use on the network.

### Service Requests

MI-CASE shall be responsible for identifying, preparing classifying, assigning priorities, and submitting Solution Service Requests (SRs) to CLIENT for approval, which conform to the current version of IEEE 1219, Standard for Software Maintenance. CLIENT may also submit SRs to MI-CASE. Once a SR is received, CLIENT will classify as either a maintenance or modification effort. Examples of modification activities include:

* Implementation of capabilities not specified in this document or not agreed to during design and development
* Implementation of edits and audits not defined in the approved design or currently operating Solution
* Activities necessary to meet new or revised Arizona or federal requirements
* Changes to established report, screen, or database formats, such as sort sequence, new data elements, or report items

MI-CASE will document and log SRs for review at the weekly meetings. MI-CASE will maintain an online tracking system of all SRs that provides a detailed description of the effort as well as the status from submittal through implementation and documentation. MI-CASE will maintain a summary log, updated weekly, of all SRs, as specified by CLIENT. The report and online tracking will be available online by both CLIENT and MI-CASE staff.

### Modification Service Requests (MSR)

MI-CASE shall be responsible for implementing service requests that CLIENT

has identified as a "Modification." MI-CASE must follow the following process for implementing an MSR:

**Modification Service Request Impact Assessments**

MI-CASE shall provide an Impact Assessment of each MSR within five (5) business days after submittal. The Impact Assessment will include a feasibility analysis that conforms with IEEE 1219,Standard for Software Maintenance. Upon receipt of the Impact Assessment, CLIENT will approve, require revisions, or request additional information from MI-CASE.

**Work Plan and Schedule**

MI-CASE shall develop, deliver, maintain, and execute a Work Plan and Schedule for each CLIENT-approved MSR. The Work Plan and shall include:

* Tasks and subtasks, including dependency tasks to the level the Work Plan is managed by MI-CASE
* Milestones and milestone reviews
* Resource loading - number, level, and type of staff summarized for each task and subtask to the level it is managed
* Estimated effort for each task at the level it is managed
* Gantt chart showing planned and actual start and end dates for tasks and percentage complete to the level it is being managed
* Identification of critical path activities
* Timeframes for CLIENT review and comment for deliverables and milestones, and subsequent timeframes for MI-CASE correction.

**Design Document**

MI-CASE shall be responsible for providing a Design Document upon CLIENT approval of all SRs and Impact Assessments. The Design Document shall include an updated design baseline. CLIENT approval of the Design Document will be required prior to start of work on an MSR.

**Updated Test Plans**

MI-CASE shall develop and execute a Test Plan that incorporates each affected software module affected by CLIENT-approved MSR. The test plans shall conform to IEEE 1219, Standard for software maintenance and address unit, system, and UAT.

**Test Results**

MI-CASE shall submit Test Results to CLIENT for approval, and update all related documentation and requirements based on CLIENT-approved test results.

**Implementing Modifications**

MI-CASE shall implement (move to production) modifications only after CLIENT approval of the test results.

### Maintenance Service Requests (MnSR)

MI-CASE shall be responsible for implementing service requests that CLIENT has identified as maintenance through an MnSR.

**Corrective MnSR**

It is CLIENT's intent to limit Corrective Maintenance fixes to correct data or functionality not working per requirements. CLIENT intends to bundle corrective MnSRs together. MI-CASE is expected to collect these corrective MnSRs, and implement them in a monthly maintenance patch release. Non-emergency corrective maintenance requests should be completed in the next production software release.

**Adaptive MnSR**

Adaptive MnSRs address upgrades to the ACIS System due to technical changes to system components to keep it maintainable, including:

* Upgrades or patches of application server, operating system, or other Solution software
* Software modification and upgrades necessary because of expmng MI-CASE support
* Hardware, database, or application conversions that do not modify user functionality
* File moves (from one device to another) due to hardware swaps
* One-time loads or reformats of user data (due to upgrades)
* Report distribution changes

CLIENT intends to bundle adaptive MnSRs together. MI-CASE is expected to collect these adaptive MnSRs, and implement them in a monthly maintenance patch release. Adaptive MnSRs related to report distribution can typically be completed independent of a production release and completed on a more frequent basis.

All Solution patches/releases/updates should follow the approved Release Management Plan.

### System Documentation Maintenance

MI-CASE shall be responsible for providing to CLIENT complete, accurate, and timely documentation related to the ACIS System. MI-CASE shall update Systems Documentation within ten (I 0) business days of major changes or as required by CLIENT.

As part of each development cycle, MI-CASE must update System Documentation to incorporate all system enhancements and modifications that have resulted from the completion of deliverables in that deliverable activity.

MI-CASE must use version control to identify current versus historical documentation. All documentation must be provided in electronic form, made available online, and include version numbers and modification dates. All previous versions must be available and viewable online and on demand. MI-CASE will maintain standard naming conventions in the documentation.

### MI-CASE's Preventive Maintenance

MI-CASE shall perform preventive maintenance activities that improve the performance of the application, as well as investigate and fix potential problems that have not yet occurred. Preventive maintenance includes the following services:

* Improving the performance, maintainability, or other attributes of an application system
* Data table restructuring and re-indexing
* Data purges to reduce or improve data storage
* Run time improvements
* Replacing utilities to reduce run time
* Potential problem correction
* Data set expansions to avoid space problems

It is CLIENT's intent to perform (release) preventive maintenance changes in a monthly production release or, for major changes requiring a more significant time to develop, test, and implement, the changes shall be included as part of a larger development release.

### System Availability

MI-CASE must provide an CLIENT-approved automated tools to measure and report network downtime (unavailable time) and response time. The network response time is measured from the time the transaction is entered until all data is displayed on the screen or print process begins. Network response times are outlined in the performance standards will be finalized in the KPis and SLAs in the contract. An application is considered unavailable when a user does not receive a complete, correct full-screen response to an input transaction after depressing the "enter" key or another specified function key.

MI-CASE must report service level indicators from CLIENT applications to indicate availability of the selected application, plus an exception log identifying those applications that were not available during the reporting period. MI-CASE will include the calculation of user access availability in the report. The frequency, content, and methodology for the reports must be approved by CLIENT. MI-CASE may schedule maintenance during the approved CLIENT maintenance windows.

### Quality Control

MI-CASE shall monitor the implemented Solution for quality control and verification that all activities are functioning properly. MI-CASE must expeditiously repair or remedy any function that does not meet standards set during Solution definition, design, and testing. When system modifications are moved to the production environment, MI-CASE must monitor the move and inform CLIENT within one (1) hour of any significant problem that would indicate a possible need to execute the back-out plan.

After system implementation, CLIENT expects new code updates to be released to production users weekly or less frequently as determined by CLIENT.

## M&O Deliverables

* M&O Status Reports
* M&O Status Meetings
* M&O Manual Updates
* Service Requests
* CAPs
* Modification Impact Assessments
* Modification Work Plan(s)
* Modification Design Documents
* Modification Test Results
* Monthly Maintenance Patch Releases
* Updates to System Documentation

## MI-CASE M&O Responsibilities

* Develop and deliver DEDs for all deliverables as defined in the RFP Section III.l 0(b)
* Develop, deliver, maintain and execute all deliverables as defined in the RFP Section III.!0(b)a)
* Maintenance responsibilities include:
  + Repair defects
  + Perform routine maintenance on reference files
  + Complete or repair functionality that did not function properly at system implementation
  + Make additions and modifications to business rules
  + Add users to security levels of access
* Notify CLIENT immediately of any unscheduled downtime
* Formally request approval for scheduled maintenance periods
* Identify changes to business processes required as a result of fixes or other maintenance
* Provide qualified systems staff to perform enhancements and modifications in a timely manner according to priorities set by CLIENT
* Ensure that the use of acronyms and codes are consistent with windows, screens, reports, and databases or data dictionaries
* Update System Documentation, user manuals and operating procedures within ten (10) business days of implementation of a fix or other maintenance or as specified by CLIENT. Changes to reports resulting from systems changes must accompany the first production of the report
* Provide data model documentation for accommodating new fields as part of upgrade strategy throughout the life of the contract
* Monitor Key Performance Indicators (KPis)
* Monitor performance against KPis in the SLAs documented in the contract
* Provide CLIENT with data to determine SLA compliance and calculation of KPI metrics
* Develop CAP's for all missed KPis
* Implement the plan identified in the CAP once approved by CLIENT
* Provide documentation to CLIENT demonstrating that the corrective action is complete and meets CLIENT requirements
* Recommend changes to KPis if revisions are needed
* Appropriately size hardware to handle the State's transaction traffic and volume at CLIENT-accepted performance levels
* Inform CLIENT when a system deficiency is identified according to the priorities defined in the SLAs documented in the contract
* Perform all activities relative to the correction of deficiencies within the timeframes stated in this section
* Correct all errors and discrepancies found in the operational system at no additional charge for computer or human resources
* Use automated application and network performance measuring tools for proactive system monitoring, tuning mechanisms, reporting, and trend analysis; ensure performance monitoring alerts are configurable and allow for user notification using multiple communication methods
* Submit SRs when operational problems occur within the timeframes specified in the SLAs and KPis finalized in the contract
* Monitor the Federal Information Security Management Act (FISMA) and Federal Risk and Authorization Management Program (FedRAMP) for emerging standards for overall and cloud security to ensure applicable controls are incorporated in the proposed Solution
* Review system and network access logs on a daily basis
* Support MSRs and MnSRs as follows:
* Prepare and submit SRs and suggestions for system changes
* Propose categorization of each **SR** as a defect or enhancement and indicate the severity of the defect
* Update documentation to reflect changes
* Provide an online tracking tool for CLIENT and MI-CASE to use to track and generate reports on the progress of all SRs
* Train CLIENT staff on changes resulting from systems changes resulting from modification and maintenance efforts
* Maintain adequate staffing levels to ensure SRs are completed within the specified timeframe determined by CLIENT
* Provide consultation to CLIENT in the identification of deficiencies and maintenance and the development of SRs
* Maintain and provide access to all changes made by CLIENT or MI-CASE to each **SR,** identifying the following the change description date and time and the person making the change
* Identify additional technical requirements to support changes based on system dependencies
* Perform systems tests on all MSRs and MnSRs unless exceptions are approved by CLIENT. Systems tests shall include unit testing, functional testing, regression testing using automated regression testing tools, and support CLIENT's UAT
* Maintain documented version control procedures that include the performance of regression tests whenever a code change or new software version is installed, including maintaining an established baseline of test cases, to be executed before and after each update, to identify differences
* Provide the ability to copy production system data to a test environment, as needed for testing
* Maintain documented and proven procedures for code promotion of modifications from the initiation of unit testing, through the final implementation, to production
* At CLIENT's option, assist in the performance ofUAT
* Produce SR Reports that are downloadable to other formats such as Excel
* Verify the successful implementation of fixes or other maintenance effort by monitoring accuracy of processing and correction of any problems
* Provide recommendations for performance improvements and system enhancements to gain overall efficiencies based on trend analysis; make other suggestions based on industry standards and best practices
* Track and report on remediation and rebuild to satisfy defects, bugs, and issues identified and resolved. If rework hours appear to jeopardize on

time release delivery, MI-CASE shall present a written mitigation plan to CLIENT, including the provision of additional resources at no additional cost to CLIENT

* Provide quality control and assurance reports, including tracking and reporting of quality control activities and tracking of corrective action plans

## State M&O Responsibilities

* Review all DEDs and provide feedback; approve all DEDs prior to MI-CASE development of deliverables in the RFP Section III.I0(b)
* Review all draft deliverables and provide feedback or request revisions; approve all final deliverables in the RFP Section III.I0(b)
* Determine the priority for MI-CASE completion of system maintenance and modification activities
* Monitor MI-CASE operations on an ongoing basis
* Perform UAT on modifications, if desired
* Provide signoff that maintenance is approved
* Facilitate coordination of activities involving multiple State staff, MI-CASE staff, agencies or other entities
* Attend regular meetings with CLIENTs and provide feedback
* Review and approve changes to KPis; request supporting reports and data
* Review MI-CASE compliance with performance KPis and SLAs
* Designate each SR as a maintenance or modification activity
* Submit SRs identified by State staff to MI-CASE
* Review notices of proposed SRs submitted by MI-CASE
* Review and approve all SRs and suggestions for system changes
* Approve changes to the testing methods and tools
* Review and approve the information to be captured in MSR Reports
* Review SR reports and provide feedback
* Consult with MI-CASE on quality improvement measures and determination of areas to be reviewed

# Turnover

This section describes MI-CASE's responsibilities for transfer of the ACIS System from MI-CASE to CLIENT at the end of Maintenance and Operations or upon termination of the Contract. CLIENT may exercise its option(s) to extend the M&O period of the contract and delay Turnover activities for that period, which would extend the M&O period through December 02, 2026. Turnover activities will overlap with M&O activities of the contract.

## Turnover Description

MI-CASE shall be responsible for planning the turnover of the ACIS System to CLIENT or a designated agent at the conclusion of the M&O period upon notification from CLIENT. CLIENT must approve the turnover plan and approach, including all updates.

All hardware, software, data, supplies and documentation developed, procured, or managed by MI-CASE shall be transferred to CLIENT. MI-CASE will be required to attest that the supplied components and materials are current, accurate and complete. MI-CASE shall maintain staff throughout the Turnover Period to satisfy and maintain compliance with all performance standards and contract requirements Turnover activities include the following:

* Planning for the Turnover
* Executing the Turnover Plan
* Knowledge Transfer for Turnover
* Cutover and Finalizing the Turnover
* Finalizing the Turnover

### Turnover Plan

MI-CASE shall develop, deliver, maintain, and execute a Turnover Plan. The plan shall define the resources, staffing, training, and tasks for successful transfer of M&O of the ACIS System to CLIENT. The plan shall address how MI-CASE turnover activities will help CLIENT assume responsibilities at the performance levels in the SLAs or the level delivered by MI-CASE. The plan shall propose the following for CLIENT approval:

* Procedures to identify and verify all software, data, documentation and miscellaneous supplies that will be transferred to CLIENT including:
  + All hardware specifications
  + All software, including custom-developed code and COTS systems purchased, developed, or managed by MI-CASE in delivery of this Contract
  + All data and information repositories such as databases, system

files, data files, archives, or libraries

* Procedures and timeframes for transfer of software, data and related documentation
* Proposed approach and success metrics for CLIENT assumption of the following application maintenance and support with minimal impact to users:
  + Application maintenance and support
  + Help desk operations and the approach to cutover of Help Desk operations concurrent with or after Solution cutover at the discretion of CLIENT
* Approach to verification of CLIENT's readiness, including assessments of staff, technology, and processes
* Turnover schedule
* MI-CASE and Department tasks for turnover
* Timeframe, process, and criteria for restricted change activity including freeze periods
* Mitigation and contingency plans to address turnover execution failures
* Approach to managing change to the ACIS System throughout the transition, including identification of in-progress development that cannot be completed prior to cutover
* Success criteria for the completion of cutover and final acceptance of all M&O service activity by CLIENT
* Approach for post-cutover MI-CASE support

### Requirements Statement

MI-CASE shall furnish CLIENT with a statement of the resources that will be required for CLIENT or its designated agent to take over M&O of the ACIS System. At a minimum, the statement shall contain the recommended organization required to maintain and operate the ACIS System at the required performance levels in the following categories:

* Application Management
* Technical Management
* Systems, Databases, Storage, etc.
* Help Desk
* Administrative staff
* Managers

The statement shall identify all resources required to operate the ACIS System, including:

* Inventory and configuration of all hardware/system components required to support M&O for all environments at the required level of performance including:
  + "As Is" hardware configuration diagrams showing the relationship

between all system, network, security, and service management components

* + All security management (monitoring, access, and ID

management), service management, storage management code management, and test systems or software

* Inventory of all software, data and associated documentation that is to be transferred; this includes system and application build and configuration specifications and procedures
* Inventory of all development, maintenance, and operations tools, processes, and procedures in use by MI-CASE in support of the ACIS System; this includes development work products and artifacts such as

test cases and test results

* Inventory of all tools and documentation in use by the Help Desk in support of the ACIS System
* Proof of licensing and maintenance contracts for all purchased software components

The statement of resource requirements shall be based on MI-CASE's experience in the operation of the ACIS System and shall include actual (accurate, complete and up-to-date) MI-CASE resources involved in operation of the ACIS System.

### Turnover Services

MI-CASE shall provide Turnover services to transition operation of the ACIS System to CLIENT. This transition includes the transfer of all software, including source program code, COTS systems, an executable copy of the enhanced Solution, licenses and all related documentation. MI-CASE shall ensure that all transferred information (source code, COTS, executable systems, data and documentation) is current as of the last successfully implemented change.

Throughout the Turnover services MI-CASE shall work with CLIENT to coordinate system change activities, define a freeze period, and develop a process for implementation and coordination of any emergency changes required during the execution of Turnover services.

All transfers must be made on electronic media or network transfer and approved by CLIENT. All transfers must be verified by CLIENT as accurate and complete.

At a minimum, the Turnover Services shall include the following items:

* All information including sufficient data to support an integrated system test
* Verification that documentation, including user, functional, maintenance, development and operational manuals needed to operate and maintain the system is available (at a minimum) on PC-compatible CD, using CLIENT­ approved software
* Transfer of all current and historical support records including:
  + End-user support scripts and diagnostic aids
  + Incident management records
  + Problem management records including work-arounds and known errors or defects
  + Change management records, including Post Implementation reports
  + Release management records
  + Security incident records
  + System and network performance reports
* System and network performance data records
* Root cause analysis reports
* Reports from operational recovery exercises
* Assistance in verifying all systems are appropriately configured, and support of incident response, system restoration, problem identification, and problem resolution throughout all stand-up and testing activity
* Completion of an CLIENT readiness assessment to include assessment of ability of technology, personnel and processes to support full Solution M&O at the level of performance established by MI-CASE or in the SLAs, as determined by CLIENT

### Turnover Training and Knowledge Transfer

MI-CASE shall provide knowledge transfer to State staff or its designated agent for the ACIS System M&O. Knowledge transfer shall include formal training, mentoring, allowing CLIENT to shadow MI-CASE activities, and shadowing CLIENT in conducting its activities during turnover.

The training shall be completed prior to the readiness assessment. Turnover training shall include training on the following:

* All applications development tools, processes and procedures
* All application(custom or COTS)/system/infrastructure responsibilities
* All application/system/infrastructure support processes and procedures
* All management tools (security management, systems management, storage management, network management, etc.)
* All Help Desk processes and procedures
* The vendor staff's knowledge base of information gained during maintenance and operation of the ACIS System
* All other responsibilities necessary to sustain M&O of the ACIS System at the required level of performance

### Cutover Activities

MI-CASE shall perform the following cutover activities:

* Coordination of activities (including verification of initiation of all batch jobs,, and any other activity defined in MI-CASE's plan)
* Cutover of the Help Desk services
* Validation of cutover success or execution of any required contingency activity in response to cutover failures
* Post-cutover support as defined in MI-CASE's plan Post-Cutover Support

According to the plan defined by MI-CASE in the Turnover Plan and approved by CLIENT, MI-CASE shall provide post-cutover support at the discretion of CLIENT according to the agreed approach, terms and conditions.

### Removal of Software

At the successful completion of the Turnover Period, upon notification from CLIENT, MI-CASE shall arrange for the removal all software, file systems and related documentation from all MI-CASE systems.

### Turnover Report and Completion Verification

MI-CASE must provide CLIENT with a Turnover Report on a date specified by CLIENT, which documents completion and results of each step of the Turnover Plan.

### Project Completion Report

MI-CASE shall develop a report to assess the completion of all scheduled activities within expected performance measures, and derive any lessons learned and best practices to be applied to future projects.

## Turnover Deliverables

* Turnover Plan
* Requirements Statement
* Turnover Training
* Turnover Report
* Project Completion Report

## MI-CASE Turnover Responsibilities

* Develop and deliver DEDs for all deliverables as defined in the ARFP Section III.ll(b)
* Develop, deliver, maintain, and execute all deliverables as defined in the RFP Section III.11(b)
* Perform Turnover processes once CLIENT approves initiation of the turnover
* Maintain sufficient resources and staff throughout the turnover period
* Coordinate with CLIENT on policies for transfer of MI-CASE staff to CLIENT in support of turnover (if applicable)
* If Solution components are leased, collaborate with CLIENT to transfer or terminate leases as required
* Work with CLIENT to coordinate system change activities, define a freeze period, and develop a process for implementation and coordination of any emergency changes required during the turnover period
* Ensure that all transfers are made on electronic media or network transfer and approved by CLIENT
* Provide turnover services to transition all aspects of operation of the ACIS System from MI-CASE to CLIENT
* Provide knowledge transfer and training to the State staff or its designated agent
* Coordinate all cutover activity as applicable. Cut over the Help Desk services at a time specified by CLIENT
* Validate cutover success or execution of any required contingency activity in response to cutover failures
* Provide post-cutover support as defined in the Turnover Plan
* Remove all software, file systems and related documentation from all MI-CASE systems and destroy it in accordance with CLIENT policy

## State Turnover Responsibilities

* Review all DEDs and provide feedback; approve all DEDs prior to MI-CASE development of deliverables in the RFP Section III.I I(b)
* Review all draft deliverables and provide feedback or request revisions; approve all final deliverables in the RFP Section III.I I(b)
* Issue the request for initiation of Turnover services
* Approve and coordinate resources for the readiness assessment and UAT (if applicable)
* Communicate turnover plans to stakeholders and coordinate related system outages
* Approve the approach and plan for post-turnover support from MI-CASE if applicable
* Complete identification, acquisition, or procurement of all resources required for the successful implementation of the Turnover Plan. If some components are leased, CLIENT shall collaborate with MI-CASE to coordinate the transfer or termination of the leases as required.
* Complete identification, assignment or recruitment of sufficient numbers of skilled personnel to complete CLIENT responsibilities for Turnover tasks and assumption of full M&O
* Ensure availability of sufficient facility/office space to house systems and personnel as identified in the Turnover Plan.
* Provide resources to coordinate the receipt of the transfer of the ACIS System software, file systems, and related documentation
* Verify and approve all transfers as accurate and complete
* Work with MI-CASE to coordinate system change activities, define a freeze period, and develop a process for implementation and coordination of any emergency changes required during the Turnover period
* Ensure the availability of personnel for required training and knowledge transfer as defined in MI-CASE's training plan
* Provide final approval for execution of the cutover
* Provide personnel to complete all State responsibilities for cutover
* Review cutover results and determine the degree of success
* Approve the completion of turnover and project closure

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