

RFP 26-86378 Community Supports IT Systems
Attachment K – Statement of Work (SOW)

Contents

Glossary	3
1.0 Background.....	5
1.1 Purpose	5
1.2 Community Supports Programs Overview	5
1.3 Systems Overview	8
2.0 Maintenance and Operations (M&O) Services Responsibilities	12
2.1 General Systems Support.....	12
2.2 Help Desk Support	13
2.3 Incident and Problem Management	15
2.4 Access Management	17
2.5 Application Management	18
2.6 Maintenance and Operations Plan.....	18
2.7 M&O Following Individual System Component Consolidation & Sunset.....	18
3.0 System DDI and Enhancement Services (General Responsibilities)	19
3.1 System Enhancement Services Responsibilities.....	19
3.2 Training	27
4.0 Reporting	28
4.1 Weekly Community Supports IT Systems M&O Status Report	28
4.2 Weekly Enhancements & Consolidation Report.....	28
4.3 Monthly Service Level Agreement (SLA) Report.....	29
4.4 Quarterly Performance Report.....	29
4.5 Annual Summary Reports.....	29
4.6 Federal Reporting	29
4.7 Reporting to interRAI Organization	29
4.8 Community Supports IT Systems Incident Reporting and Tracking.....	29
4.9 Staff Utilization Report.....	29
4.10 Ad Hoc Reporting	30
5.0 Meetings	30
5.1 Transition Specific Meetings	30
5.2 Monthly Status Meeting	30
5.3 Quarterly Performance Meeting.....	30
5.4 System Priorities Meetings	31

RFP 26-86378 Community Supports IT Systems
Attachment K – Statement of Work (SOW)

5.5 Ad Hoc Meetings	31
6.0 Staffing.....	31
6.1 Contractor Staff Working Location	31
6.2 Vital Positions.....	31
6.3 Non-Vital Positions	34
6.4 Supporting Staff.....	37
6.5 Contractor Staff Replacement.....	37
6.6 Staffing Plan	37
6.7 Staff Compliance	38
7.0 Project Management and Administrative Duties	38
7.1 Coordination with State Entities, Vendors, and Partners	38
7.2 Location and Offices	39
7.3 Project Management and Documentation	39
7.4 Change Review Board.....	40
7.5 Accessibility Requirements	41
7.6 IV&V Engagement Language	41
8.0 Transition and Turnover	42
8.1 Initial Transition	42
8.2 End of Contract Turnover	44
9.0 Payments and Invoicing	45
10.0 Service Level Agreements (SLAs) and Open Incidents	46
10.1 Service Levels Overview	46
10.2 Maintenance and Operations Service Levels.....	47
10.3 System Enhancements Service Levels.....	48
10.4 Corrective Action and Performance-Based Withholds.....	49

RFP 26-86378 Community Supports IT Systems
Attachment K – Statement of Work (SOW)

Glossary

Acronym	Term
AAA	Area Agencies on Aging
ADRC	Aged and Disabled Resource Center
BBA	Better Bureau on Aging
BC	Business Continuity
BDS	Bureau of Disabilities Services
CaMSS	Care Management for Social Services
CHOICE	Community and Home Options to Institutional Care for the Elderly and Disabled
CIH Waiver	Community Integration and Habilitation Waiver
CIO	Chief Information Officer
CMO	Case Management Organizations
COOP	Continuity of Operation Plan
DART	Developmental Disabilities Automated Resource Tool
DDARS	Division of Disability, Aging and Rehabilitative Services
DDI	Design, Development, and Implementation
EDW	Enterprise Data Warehouse
EY	Early Years
FSSA	Family and Social Services Administration
FS Waiver	Family Supports Waiver
H&W Waiver	Health and Wellness Waiver
HC	Home Care
HCBS	Home and Community Based Services
I/DD	Individuals with Intellectual and Developmental Disabilities

RFP 26-86378 Community Supports IT Systems
Attachment K – Statement of Work (SOW)

ICF/IID	Intermediate Care Facility for Individuals with Intellectual Disabilities/Development Disabilities
IFUR	Incident and Follow-up Reporting
IMP	Integrated Management Portal
IOT	Indiana Office of Technology
IST	Individual Support Team
LOE	Level of Effort
M&O	Maintenance and Operations
MFP	Money Follows the Person
NFLOC	Nursing Facility Level of Care
OAA	Older Americans Act
OMPP	Office of Medicaid Policy and Planning
PEDS-HC	Child and Youth Pediatric Home Care
PIP	PathWays Incident Processing
QA	Quality Assurance
RAI	Resident Assessment Instrument
SDLC	Software Development Life Cycle
SGL	Supervised Group Living
SLA	Service Level Agreement
TBI	Traumatic Brain Injury
UAT	User Acceptance Testing

RFP 26-86378 Community Supports IT Systems
Attachment K – Statement of Work (SOW)

1.0 Background

The Indiana Family and Social Services Administration (FSSA), in partnership with various entities, operates IT systems in support of a variety of community-based supports and services programs, including both Medicaid Waiver and non-Medicaid/non-Waiver programs, described in greater detail in Section 1.3 below. This suite of Community Supports IT Systems currently includes the Developmental Disabilities Automated Resource Tool (DART), Division of Disability, Aging, and Rehabilitative Services (DDARS) Provider Site, Incident and Follow-up Reporting (IFUR), interRAI toolset(s) system, Bureau of Disabilities Services (BDS) Portal, BDS Gateway, Integrated Management Portal (IMP), and PathWays Incident Processing (PIP). FSSA is currently engaged in a multi-year effort to consolidate these system components and functions to the greatest extent possible to promote alignment across program operations, improve user experience, increase efficiency and transparency while maintaining integrity and oversight, and improve data collection and traceability. This includes transitioning Community Supports IT Systems operations and enhancements under a single vendor through this RFP process. The services the Community Supports IT Systems support are administered by FSSA's Division of Disability, Aging and Rehabilitative Services (DDARS) in partnership with the Office of Medicaid Policy and Planning (OMPP).

1.1 Purpose

The purpose of this solicitation is to identify a Contractor to support the ongoing operation and performance of current Community Supports IT Systems while furthering FSSA's IT system consolidation efforts according to the State's timeline and priorities. To facilitate consolidation efforts, the State prefers a Contractor with experience providing IT support for the types of systems and programs described below (Section 1.2 and 1.3). In particular, the State strongly prefers vendors with demonstrated experience with IT systems development and maintenance for State-level health and social services programs, Medicaid, and Home and Community-Based Services (HCBS). Respondents must detail their experience in Attachment F - Section 1. At a high level, the Contractor will support Maintenance and Operations (M&O) and Enhancement services for the full suite of Community Supports IT Systems including as legacy and ancillary Community Supports IT Systems components are consolidated.

1.2 Community Supports Programs Overview

The suite of Community Supports IT Systems supports the delivery of crucial services for Indiana residents on numerous Medicaid Waiver and non-Medicaid and non-Waiver programs.

1.2.1 Medicaid Waivers

The components of Community Supports IT Systems outlined in this Statement of Work are used to support the delivery of FSSA's HCBS waivers. These waivers, administered by OMPP and BDS with authority from the Centers for Medicare and Medicaid Services (CMS), support older adults, children, and individuals with disabilities on Medicaid. The Medicaid waiver programs that are supported by the suite of IT systems include:

RFP 26-86378 Community Supports IT Systems
Attachment K – Statement of Work (SOW)

- a. Indiana PathWays for Aging (PathWays) Waiver - serves individuals who are 60 or older who meet Medicaid and Nursing Facility Level of Care (NFLOC) eligibility requirements. Individuals receiving services through the PathWays Waiver are enrolled in the PathWays managed care program. The PathWays Waiver is administered by OMPP. PathWays Waiver slots are limited, and the State manages new invitations for individuals seeking waiver placement through a Waiting List.
- b. Health and Wellness (H&W) Waiver - serves individuals who are 59 and under who meet Medicaid and NFLOC eligibility requirements. The H&W Waiver is administered by BDS. H&W Waiver slots are limited, and the State manages new invitations for individuals seeking waiver placement through a Waiting List.
- c. Traumatic Brain Injury (TBI) Waiver - serves Medicaid-eligible individuals with a traumatic brain injury by providing services based on their needs and the needs of their families. To be enrolled in the TBI Waiver, individuals must either meet NFLOC if the brain injury occurred at 22 years of age or older or meet the Intermediate Care Facility for Individuals with Intellectual Disabilities/Developmental Disabilities (ICF/IID) level of care if the brain injury occurred before 22 years of age. The TBI Waiver is administered by BDS.
- d. Family Supports (FS) Waiver - provides limited, non-residential supports to Medicaid-eligible individuals with developmental disabilities who live with their families or in other settings with informal supports. To be enrolled in the FS Waiver, individuals must meet ICF/IID level of care, have an intellectual disability diagnosed prior to the age of 22, and reside in or be transitioning to an HCBS-compliant setting (non-institutionalized). The FS Waiver is administered by BDS.
- e. Community Integration and Habilitation (CIH) Waiver - serves Medicaid-eligible individuals with intellectual and developmental disabilities diagnosed prior to the age of 22 who reside in, or are transitioning, to an HCBS-compliant setting (non-institutionalized). To be enrolled in the CIH Waiver, individuals must meet ICF/IID level of care. The CIH Waiver is administered by BDS.

1.2.2 Non-Waiver Programs

The Community Supports IT Systems outlined in this SOW are also used to support delivery of both non-Waiver programs and non-Medicaid Waiver services. These programs are defined as programs supporting older adults and individuals with disabilities that are not funded by a Medicaid waiver. Rather, these “non-waiver” programs may provide either Medicaid State Plan services or be funded through alternative, non-Medicaid sources, such as the Social Services Block Grant (SSBG). As a note, the BDS Portal is undergoing a transition of duties and will begin supporting non-waiver IT services in February 2026. Non-waiver programs supported by the suite of Community Supports IT Systems include:

RFP 26-86378 Community Supports IT Systems
Attachment K – Statement of Work (SOW)

- a. Aging and Disability Resource Center (ADRC): ADRCs help older adults, people with disabilities, and their families access long-term services and supports (LTSS) by providing information, guidance, and assistance with navigating public and private programs for individuals of all income levels including pre-waiver activities and No Wrong Door.
- b. Community and Home Options to Institutional Care for the Elderly and Disabled (CHOICE): The CHOICE program, which is State-funded and administered through Area Agencies on Aging (AAA), provides services for aging individuals. CHOICE offers HCBS to individuals who are at least 60 years of age or have a disability. There are no income limits for the CHOICE program; however, there is a cost-sharing formula, and applicants with higher incomes may be asked to pay for a portion of their services. CHOICE funds may not be used if other funding such as Medicare or Medicaid is available to meet the individual's needs. The delivery of CHOICE is supported by interRAI and the Resident Assessment Instrument (RAI).
- c. Intermediate Care Facility for the Individuals with Intellectual Disabilities (ICF/IID) Program: The ICF/IID program provides individuals with intellectual disabilities institutional based services, inclusive of Supervised Group Living (SGL), that offer care and rehabilitation services. Facilities are licensed by BDS and certified through the Indiana Department of Health. The delivery of ICF/IID services is supported by the DART system.
- d. Money Follows the Person (MFP): MFP is a funding source that assists individuals in returning from a qualifying institution to their community. It is funded through a grant from CMS and State funds. Individuals funded by MFP are receiving the same services as Medicaid Waiver recipients and ultimately transition from the MFP funding source to a Medicaid waiver. The delivery of MFP is supported by Assessment Pro, IMP, DART system and BDS Portal depending on the individual's ultimate waiver enrollment.
- e. Older Americans Act programs (e.g. Title III B, Title III C1, Title III C2, Title III D, Title III E): The Older Americans Act (OAA) provides community-based support to individuals over the age of 60 and family caregivers. Examples of services offered by OAA include attendant care, case management, respite, and transportation. The delivery of OAA programs is supported by interRAI and the RAI.
- f. State Funded Services: State funded services provide a limited number of services to individuals with I/DD in Nursing Facilities and community-based settings who are not eligible for Medicaid or HCBS.
- g. Social Services Block Grants (SSBG): SSBG support low-income older adults and individuals with disabilities. SSBG has income guidelines, and individuals must have a documented need to receive services. SSBG may not be used when other funding such as Medicaid or Medicare is available to support the individual's need.

RFP 26-86378 Community Supports IT Systems
Attachment K – Statement of Work (SOW)

1.3 Systems Overview

In collaboration with the State, the following systems are managed across two vendors. The functions and purpose of each system included in the suite of Community Supports IT Systems are defined below. Unless otherwise noted, IOT will host all systems, and there is no anticipated change in hosting structure. IOT will be responsible for infrastructure management, infrastructure monitoring, network access management, business continuity, and disaster recovery for the suite of Community Supports IT Systems, with any requested assistance from the Contractor. The Contractor shall be responsible for the requirements listed in Section 2.0 - Maintenance and Operations and Section 3.0 - System DDI and Enhancements, which broadly include solution maintenance, access management, defect and incident management, integration and interfaces, service desk, and software deployment. For more technical information for each system, including sizing and interfaces, please see Attachment L - Bidders' Library.

1.3.1 Bureau of Disabilities Services (BDS) Portal

The BDS Portal is a recent solution that captures Waiver and non-Waiver functionality for case managers and waiver service providers via a web-based system. All significant functions in support of CIH and FS waiver participants are completed in the BDS Portal. This includes service planning, waiver management, provider referrals, provider management, case management, documentation, and pre-waiver activities among others. ICF/IID Providers for the CIH and FS Waivers maintain provider profiles in the BDS Portal and have the ability to add and deactivate services/counties, update profiles, request and deactivate privileges, and facilitate referrals. A round of enhancements in July 2025 incorporated functionality for the H&W and TBI Waivers into existing BDS technology systems, so the BDS Portal currently supports all of DDARS's active HCBS Waivers. Additionally, there is functionality in the BDS Portal that supports both PathWays and MFP. The BDS Portal continues to be updated over time through ongoing, planned releases.

1.3.2 Bureau of Disabilities Services (BDS) Gateway

In early 2021, BDS launched the BDS Gateway as an online avenue for individuals with disabilities and their families to apply for BDS I/DD (Individuals with Intellectual and Developmental Disabilities) supports and services. In January 2025, the BDS Gateway was enhanced to allow individuals applying for BDS I/DD supports and services to have the ability to set up an Access Indiana account, save their application prior to submission and return to it later, as well as manage documents after submission of the application.

1.3.3 Developmental Disabilities Automated Resource Tool (DART)

The primary components of DART include a mortality review module, interfaces with IFUR, SGL functionality, provider billing, and ICF/ID. These systems support both Medicaid Waiver and non-Waiver programs, such as SGL, ICF/ID, and MFP.

RFP 26-86378 Community Supports IT Systems
Attachment K – Statement of Work (SOW)

1.3.4 Division of Disability, Aging, and Rehabilitative Services (DDARS) Provider Site

FSSA's DDARS Provider Site has web tools that are utilized by both individuals and providers. The site allows for individual lookups and offers a portal for providers to submit claims for State-funded services and billing information.

1.3.5 Incident and Follow-up Reporting (IFUR)

IFUR is the front-end website for OMPP PathWays and DDARS and interfaces with DART and PIP. IFUR is used for all Medicaid Waiver and non-Waiver programs for BDS, OMPP, and the Bureau for Better Aging (BBA).

1.3.6 interRAI Tool Functionality

The interRAI organization is a collaborative network of researchers and practitioners that develop assessment instruments, which establish assessment protocols, case-mix algorithms, and quality indicators for persons who are disabled or medically complex. Each assessment provides information to inform clinical decision-making and care planning. The RAI stands for Resident Assessment Instrument.

The State of Indiana requires the use of specific interRAI assessments to establish functional eligibility and support care planning for individuals seeking both waiver and non-waiver programs supported by BDS, BBA, and OMPP. Qualified entities, such as AAAs and case managers, access interRAI toolsets through the suite of Community Supports IT Systems that the Contractor will support. In order to continue to offer interRAI tools as part of system functionality, the Contractor will be responsible for becoming a Registered Publisher for the interRAI organization and working with DDARS to implement and support the functioning of such proprietary assessment tools. As each interRAI tool is updated, the Contractor will be responsible for supporting system updates to maintain user access and ensure overall compliance with interRAI organization requirements. DDARS currently utilizes the following assessments from interRAI:

- a. Home Care (HC) v9.1.2 – evaluates the needs, strengths, and preferences of persons in home and community care settings. It facilitates referrals and focuses on the person's functioning and quality of life. The HC can be used to assess persons with chronic needs for care as well as those with post-acute care needs.
- b. Child and Youth Pediatric Home Care (PEDS-HC) v9.2.0 – evaluates children with special health care challenges. It assesses the care needs of children and youth (ages 4 to 20 years) who are seeking or receiving LTSS.
- c. Early Years (EY) v10.0 – evaluates young children with developmental and mental health concerns to support comprehensive care planning, outcome measurement, quality indicators, and case mix classification to estimate relative resource intensity.
- d. Intellectual Disabilities (ID) – assesses the needs, strengths, and preferences of persons with intellectual or developmental disabilities. It is intended to be used with adults of all ages in community, residential, and institutional settings.

RFP 26-86378 Community Supports IT Systems
Attachment K – Statement of Work (SOW)

- e. Child and Youth Mental Health and Developmental Disability (ChYMH-DD) – is for children and youth with intellectual or developmental disabilities in community and mental health care settings. The Adolescent Supplement is completed for youth 12+ years of age.

1.3.7 Integrated Management Portal (IMP)

IMP's primary function enables BDS and OMPP staff to add individuals to a Waiting List for the PathWays Waiver and H&W Waiver. A BDS or OMPP staff person has the ability to generate an Invitation Letter and automatically update the Waiting List to let clients know they have been invited to join their appropriate waiver. Invitations are given one of four priorities provided by FSSA. IMP updates individual records on the Waiting List based upon their date of birth. If a person will turn 60 in a given month, the IMP will move their record from the H&W Waiting List to the PathWays Waiting List on the 1st of that month. Please note, the IMP may require enhancements in the future as part of this scope of services to manage additional Waiting Lists for other Waivers, if introduced.

1.3.8 PathWays Incident Processing (PIP)

PIP is the incident reporting system for the PathWays Waiver. The system is built on Microsoft .net-Core v.6.0 and is utilized by OMPP to process incidents for its HCBS waiver program. PathWays incidents are entered into IFUR (front-end incident reporting for DDARS BDS, BBA, and PathWays waiver) and processed through PIP. PIP may be consolidated in the future, in which case the Contractor shall remain responsible for its functionality as part of M&O for the respective system, depending on future State decisions.

1.3.9 Systems Overview

The table below outlines the technical infrastructure for each system.

System	Backend	UI
DART	SQL Server, IOT / on-premise virtual	Visual Basic 6
DART-IR	SQL Server, IOT / on-premise virtual	.Net Framework 3.5
DDRS Provider site	SQL Server, IOT / on-premise virtual	.Net Framework 4.7
IFUR	SQL Server, IOT / on-premise virtual	.Net 6.0
IMP	SQL Server, IOT / on-premise virtual	.Net 6.0
PIP	SQL Server, IOT / on-premise virtual	.Net 6.0
interRAI – Non-Waiver	SQL Server, Azure	.Net Framework 4.8, Azure

RFP 26-86378 Community Supports IT Systems
Attachment K – Statement of Work (SOW)

interRAI – ICF/IID	SQL Server, IOT / on-premise virtual	.Net 9
BDS Portal	SQL Server / on-premise virtual	.Net 4.8
BDS Gateway	SQL Server / on-premise virtual	.Net 8

1.3.10 Anticipated Enhancements

BDS currently oversees four separate HCBS Waivers and has been making a series of updates to support better alignment across the waiver programs. Instead of redesigning the current waivers, BDS plans to create entirely new waivers that more effectively serve clients across all disabilities and levels of care. This ambitious Waiver Reset will be completed in 2027 and will give BDS the opportunity to clear the slate and create a system that provides the best and most appropriate support for people with disabilities in Indiana.

The suite of Community Supports IT Systems is part of the Waiver Reset work, and the Contractor shall be responsible for making system enhancements based on Waiver Reset policy changes, at the direction of the State. More broadly, the Contractor will be responsible for systems enhancements throughout the life of the Contract that improve functionality, usability, and data integrity. Key priorities for current system functionality and future enhancements include:

- a. Reporting and analytics: Generate flexible, configurable, and easily accessible reporting tools
- b. Training and knowledge transfer: Support training for systems and technical components
- c. Data quality and integration: Ensure clean, validated data that can interface and transfer across State and vendor systems
- d. Access and security management: Implement strong user controls and permission management
- e. Audit and compliance: Maintain a detailed audit log to track system changes
- f. User support and guidance: Incorporate on-screen help features and establish mechanisms for responsive user support

1.3.11 System Consolidation Background

BDS' Systems Consolidation Project aims to establish a singular enterprise solution for data to be used by BDS Central/District Staff, Case Management Organizations ("CMOs"), and Providers. BDS began system consolidation efforts in 2019 with the following objectives:

- a. Reduce the number of case management systems in use by BDS
- b. Continue to emphasize and systematically improve the Individual Support Team's (IST's) ability to facilitate person-centered planning and support

RFP 26-86378 Community Supports IT Systems
Attachment K – Statement of Work (SOW)

- c. Increase transparency amongst all IST members
- d. Include and increase automation (for efficiency) when and where possible (while maintaining appropriate integrity and oversight by BDS)
- e. Improve data collection
- f. Increase tracking and traceability of requests while processing through certain workflows

The Community Supports IT Systems Contractor will support further consolidation of legacy systems into the BDS Portal and Gateway. Systems with further consolidation needs include DART, IFUR, IMP, and PIP. The Care Management for Social Services (CaMSS) consolidation into the BDS Portal will be complete prior to the beginning of the Community Supports IT Systems contract.

2.0 Maintenance and Operations (M&O) Services Responsibilities

The Contractor shall provide M&O services for the following suite of Community Supports IT Systems which includes DART, IMP, IFUR, interRAI tools, BDS Portal, BDS Gateway, and PIP through the contract term (except where explicitly denoted otherwise or in the case that a system is fully consolidated into BDS Portal or BDS Gateway). As a part of the M&O responsibilities, the Contractor shall provide the services described in Section 2.1 through 2.6.

2.1 General Systems Support

As part of general systems support for the suite of Community Supports IT Systems, the Contractor shall be responsible for the following activities and services:

- a. Develop, execute, and manage processes and procedures required to provide technical and functional support for the Community Supports IT Systems
- b. Address all questions and reported problems related to the technical and functional operation of the systems
- c. Perform defect resolution of all defects discovered and prioritized by the defined processes
- d. Support any requests from IOT to assist with resolving issues affecting the network or servers utilized for business and program functions, as applicable
- e. Make routine maintenance changes in the ordinary course of the Contractor's provision of services defined within the scope of this contract (e.g., changes to operating procedures, schedules, equipment configurations) at no additional cost to the State, including updating system documentation to reflect the latest changes on a monthly basis
- f. Keep system requirements and user stories updated to reflect the latest changes as part of enhancement execution
- g. Conduct continuous monitoring and analysis of system performance to determine if actions are required to meet or improve on Service Level Agreements (SLAs)
- h. Provide sufficient resource availability: User support will be requested via the State's JIRA web portal, which is provided and maintained by FSSA
 - i. A qualified technician shall respond within the timeframes listed in Section 10.1 (Service Level Overviews) based upon the request's function type and priority code.

RFP 26-86378 Community Supports IT Systems
Attachment K – Statement of Work (SOW)

- ii. Qualified incident support from 8:00 AM to 5:00 PM Eastern Time, Monday through Friday. Support shall adhere to the timeframes listed in Section 10.1 (Service Level Overviews) based upon the request's function type and priority code. Note: All incidents will be reported via the web portal.
- i. Implement hot fixes, updates, and changes mandated by the State, IOT, or the software manufacturer to hardware and software
- j. Interface with IOT for assistance and provide information to IOT as needed
- k. Provide disaster recovery and business continuity support for the Community Supports IT Systems. Please see the IOT Policy for Continuity of Operation Plan (COOP)/Business Continuity (BC) at this link for more information:
<https://www.in.gov/iot/files/Continuity-of-Operation-Plan-Business-Continuity.pdf>
- l. Provide ad hoc reporting as requested by the State
- m. Provide standard, recurring data requests and reports, such as slot counts
- n. Prevent data loss and inaccuracies
- o. Report data loss and accuracy problems
- p. Comply with State and Federal security requirements
- q. Report system security concerns, including notification in the event of discovery of Security Incidents in alignment with Contract Clause 12 (Attachment B)
- r. Report missed requirements
- s. Integrate with all applicable State of Indiana systems as required to maintain business
- t. The State has robust and comprehensive data transmission standards operating enterprise-wide. IOT established and maintains these standards, which support IOT's data exchange and API-led strategies. The Contractor's solution must support the State's standard API and file transfer methods to facilitate secure data transmission. The State's standardized data transmission technologies are MuleSoft API Management and GoAnywhere Managed File Transfer (MFT). See <https://www.in.gov/iot/policies-procedures-and-standards/applications-standards/>
- u. Maintenance and support for all applicable databases
- v. Conduct scheduled task maintenance and code stabilization
- w. Implement system modifications/changes that are less than 80 hours of development time. Please note that standard SDLC (Section 3.1.6) applies to modifications (under 80 hours) made as part of M&O.

2.2 Help Desk Support

The Help Desk utilizes a three-tier approach for support, troubleshooting, fielding questions, and product fixes. The State will be responsible for performing Tier 1 functions for all system components. In some instances, State staff may also perform Tier 2 functions; however, the Contractor shall be responsible for handling Tier 2 and Tier 3 unless otherwise indicated by the State. In all cases, the Contractor must coordinate with State staff to ensure all tickets assigned to the Contractor are addressed. As assigned, the Contractor will be responsible for providing the end user with the status of their ticket on a regular basis until it is closed. The Contractor is responsible for addressing all data changes, system defects, or

RFP 26-86378 Community Supports IT Systems
Attachment K – Statement of Work (SOW)

enhancements assigned to them resulting from a help desk ticket according to a schedule agreed upon by the State. The help desk functions are covered by the Community Supports IT Systems M&O monthly fees.

2.2.1 Tier 1 Support Services (FSSA)

The State shall be responsible for staffing a team to serve as the first point of contact for reporting and resolution, which will include initial logging of incidents into JIRA and initial triage. Tier 1 is responsible for diagnosis, resolution, and escalation of all incidents as needed. The State Tier 1 team will coordinate activities and communication between Tier 2/3 support and end users. Specific State Tier 1 responsibilities include the following:

- a. Initial reception and recording of the user or tester reported incidents (ticket)
- b. Logging and categorization of the incident with regards to priority and effect on the system
- c. Oversight of user rights within the system
- d. Resolution of issues that result from the need for training
- e. Determination of which incidents need to be transferred to Tier 2 or 3
- f. Transfer to Tier 2 or Tier 3 support for Contractor triage and resolution

2.2.2 Tier 2 & 3 Support Services (Contractor)

The Contractor shall be responsible for staffing a team to address Tier 2 & 3 inquiries, including when assigned to the Contractor by the State, which must include a named Technical Lead per Division and a named dedicated Project Manager per Division. Any policy-related inquiries shall be directed to the relevant business unit. The Contractor shall not respond to any policy related questions. The Contractor will be responsible for the following:

- a. Provide a single point of contact for escalation
- b. Maintain a knowledge base, which may include FAQs and/or call scripts, for Tier 1 support to conduct initial ticket resolution and determination
- c. Modify solution as described in Section 2.0 (Maintenance and Operations (M&O) Services Responsibilities)
- d. Administer weekly incident releases (bugs) and feature releases to all environments
- e. Coordinate the application of hot fixes to the suite of Community Supports IT Systems and all environments in coordination with IOT
- f. Test all configuration changes and hot fixes
- g. Conduct architectural review of all configuration changes to business rules and integrations that are performed by Tier 1 or Tier 2 teams.
- h. Ensure impacts on other system components are considered during the defect resolution processes
- i. Support independent assessment of the system for CMS certification as needed

RFP 26-86378 Community Supports IT Systems
Attachment K – Statement of Work (SOW)

- j. Coordinate with third party vendors as needed
- k. Open and facilitate service tickets on behalf of FSSA with third party vendors
- l. Support IOT with items that relate to system performance and uptime
- m. Support interfaces with other FSSA systems

The above responsibilities include providing the State with architectural and design resources to address inquiries when assigned to the Contractor by the State.

2.2.3 interRAI Tool Support

The Contractor will provide help desk support (Tier 2 and Tier 3) for interRAI toolsets' system functionality, implement errata changes to the tools' functionality as requested and approved by the State, assist in troubleshooting issues with the interaction between interRAI and the Community Supports IT Systems, maintain the interRAI in accordance with the requirements of the interRAI vendor (see Section 1.3.6), and work with the State to provide interRAI data as needed to interRAI organization, Enterprise Data Warehouse (EDW), and relevant stakeholders.

2.2.4 Consolidation - Data Assistance

The Contractor shall provide additional assistance to State help desk staff, as needed, to support data exchange as legacy systems are integrated into BDS Portal and Gateway as part of the State's System Consolidation Plan. See Section 3.1.7 for other requirements around Data Migration.

2.3 Incident and Problem Management

The Contractor will lead the Incident and Problem Management processes for the reported or proactively identified Community Supports IT Systems application-related incidents until a definitive root cause is identified. As a part of the Incident and Problem Management responsibilities for the Community Supports IT Systems, the Contractor shall:

- a. Perform tasks in a manner consistent with minimizing and avoiding problems
- b. Monitor events and system performance with the goal of taking proactive actions to avoid problems
- c. Prioritize and communicate tasks associated with incidents and service requests
- d. Notify the State of unplanned system downtime immediately upon, and at most within 1 hour of confirmation. If the downtime is anticipated beforehand, the Contractor shall notify the State at least 72 hours prior to the planned downtime
- e. Maintain system uptime described in Section 10.2.1 (Maintenance and Operations Services Service Levels – System Uptime)
- f. Notify the Chief Information Officer, or designees, of system performance or functionality issues (excluding those that result in system downtime) within one (1) business day of occurrence. The Contractor shall describe the issue, what is being done to remedy the issue, and when the issue is expected to be fixed

RFP 26-86378 Community Supports IT Systems
Attachment K – Statement of Work (SOW)

- g. Meet with the State when requested about any specific incident while resolution is being reached to share information or expedite resolution.

2.3.1 Issue and Incident Resolution Plan

The Contractor shall develop an Issue Resolution Plan for State approval after the commencement of this Contract at a schedule agreed upon by the State. This plan will provide a standard process that will be used to identify, track, and resolve issues which may arise between Contractor and State in the performance of duties under the Contract. The plan will also include a section on risk management covering how risks will be mitigated to avoid issues from occurring. Such plan shall include:

- a. Any troubleshooting tools and techniques that will diagnose issues with networks, services, equipment, software, and data.
- b. Standard processes for handling system defects and issues, in alignment with the broader SDLC practices. Processes must cover the Contractor's proposed approach to identifying and triaging issues, conducting root cause analysis, addressing issues, conducting testing, coordinating production deployment, and closing out issues.
- c. The approach and metrics to measure the success of issue resolution efforts.
- d. FSSA should approve all issue resolution plans and procedures prior to implementation.

2.3.2 Priority Codes for Incident and Problem Management

The table below provides a description of five priority codes. The priority code for each incident will be assigned by the State but may be adjusted based on discussions with the Contractor. Priority codes 1, 2, and 3 are considered system defects. Priority code 4 is considered bug fixes. Priority code 5 is considered minor or cosmetic fixes. Please note, these priority codes also apply to defects identified during testing of system enhancements prior to implementation.

Priority Code (JIRA System)	Definition
1 - Resolve Immediately	This is reserved specifically for production defects when there is a critical issue that brings the system down.
2 - Give High Attention	When multiple interconnected critical business functions or solution components do not work as required or are blocked by a single issue.
3 - Major	When a critical business function or solution component does not work as required.
4 - Normal	When there is restricted functional capability, but processing can continue.
5 - Low	When there are minor or cosmetic issues.

RFP 26-86378 Community Supports IT Systems
Attachment K – Statement of Work (SOW)

2.3.3 Incident Phases

Based on the above priority codes, the Contractor will be responsible for resolving issues according to the established incident phases defined below. The State and Contractor will track the timeliness of the four (4) incident phases as part of ongoing performance management. See Section 10.2 for required response times by priority code and incident phase.

Incident Phase	Definition
Initial Response	Time taken from when the incident is originally reported by FSSA Help Desk to when the Contractor acknowledges the incident by updating status in the State's designated ticket tracking system.
Estimation Response	Time taken from when the incident is originally reported by FSSA Help Desk to when the Contractor logs the estimated response time into the State's designated ticket tracking system.
Incident/Action Updates	Frequency of status updates logged into the State's designated ticket tracking system if there is an update to the incident.
Incident/Action Resolution Completion	Time taken from when the incident is originally reported by FSSA Help desk to when the Contractor resolves the incident. Resolution is defined as ready for testing for Average and Minor Incidents. System downtime, Critical, and Major incidents will be considered resolved once the system and/or functionality is operating as intended again. The Contractor shall not be held responsible for timeliness of resolution completion when a delay is solely attributable to the State or its vendors.

2.4 Access Management

The Contractor shall develop an Access Management Plan for State approval after the commencement of the Contract at a schedule agreed upon by the State that describes the Contractor's approach and methodology for access management including all processes, resources, and responsibilities for each system within the suite of Community Supports IT Systems. At a minimum, the Contractor must be able to assist in the definition of user roles and security configurations, specifically the creation of new roles and monitoring of user access rights in relation to internal requirements. The Contractor shall provide knowledge and resources to enable designated State staff to directly manage user roles and accounts for applicable systems.

The Contractor must support interfacing, as needed, with other State access management systems, such as Access Indiana. At the time of this RFP, only BDS Gateway interfaces with Access Indiana.

The proposed solution is expected to integrate with Access Indiana, the State's single sign-on authentication mechanism and Identity Provider, where feasible and upon the State's

RFP 26-86378 Community Supports IT Systems
Attachment K – Statement of Work (SOW)

direction. See <https://www.in.gov/inwp/applications/authentication/> for benefits of standard authentication, integration strategy, and process. The Contractor shall plan, design, and implement such integration where applicable and identify any constraints or timelines required to enable this integration.

2.5 Application Management

The Contractor shall plan and execute tasks required to ensure the Community Supports IT Systems stay relevant and usable without any interruptions or degraded services. This includes resolution of functional issues, application of hot fixes, and planning/execution of enhancements and upgrades. The Contractor shall make all product releases and upgrades, such as predeveloped software accelerator packages, available to the State at no additional cost. At least annually, the Contractor shall communicate to the State any available information on the product roadmap, planned upgrades and enhancements and seek State input where practical. Federally mandated changes shall be included in the releases and upgrades as part of support and maintenance and shall be covered by the standard M&O fees. If significant changes (defined as changes requiring eighty (80) or more hours of work) are required as a result of federal mandates, these changes will be considered enhancements and billed using the Enhancements Hours Pool.

2.6 Maintenance and Operations Plan

The Contractor shall develop a Maintenance and Operations (M&O) Plan that describes the Contractor's approach and methodology for M&O, including all processes, resources, any and all updates and required applications/tools following Contract commencement at a schedule agreed upon by the State. The M&O Plan must address ongoing operations services, including all processes, resources, and any required applications or tools. The M&O Plan must address all tasks identified in Section 2 (Community Supports IT Systems - Maintenance and Operations Services Responsibilities) necessary to operate the required suite of Community Supports IT Systems in accordance with any applicable federal and State policy requirements.

The M&O Plan shall describe and provide the type, roles, and number of staff associated with all M&O activities and provide a description of responsibilities for Vital, non Vital and supporting staff assigned during the M&O period. The plan shall also describe the approach to reporting on all M&O activities, in alignment with Section 4.0 - Reporting.

2.7 M&O Following Individual System Component Consolidation & Sunset

The suite of Community Supports IT Systems includes several legacy and ancillary systems that the State intends to consolidate over time into the BDS Portal and Gateway systems. The Contractor shall be responsible for M&O for all Community Supports IT Systems and components following the Initial Transition Period until such time as systems or their components are consolidated, and the State has agreed in writing the component is considered sunset. Consolidation work will be governed by the enhancements process (see

RFP 26-86378 Community Supports IT Systems
Attachment K – Statement of Work (SOW)

Section 3).

In the event of system consolidation, the Contractor shall remain responsible for any functionality and components that have been consolidated into another Community Supports IT Systems for which the Contractor provides M&O. The State is interested in understanding what efficiencies and cost savings the Contractor anticipates in the delivery of M&O across the suite of Community Supports IT Systems as individual, legacy system components are consolidated into more modern systems. The exact timing and order for system consolidation work is yet to be determined; however, the State has identified the following potential consolidation scenarios, for which Respondents should provide information on any anticipated efficiencies, such as reduced FTE needs, as part of their Technical Proposal (see Attachment F):

- a. Scenario 1 - DART consolidation into BDS Portal and Gateway
- b. Scenario 2 - DDARS Provider Site consolidation into BDS Portal and Gateway
- c. Scenario 3 - IMP consolidation into BDS Portal and Gateway

The State recognizes that the above scenarios do not represent all possible consolidation approaches, including partial consolidation of some functionality into BDS Portal and Gateway. The State and Contractor shall revisit these scenarios, estimated efficiencies, and cost savings during the Contract Term as the need arises.

In Attachment D - Cost Proposal, Respondents must indicate cost savings as a percentage impact that they anticipate each scenario would independently have on overall monthly M&O fees. Cost saving percentages should be reflective of overall changes that a consolidation scenario has on M&O activities, including both the sunset of legacy system(s) (e.g., reduction in effort) and any expansion of functionality to the integrated system (e.g., increase in effort). Please note, the savings information captured in Attachment D - Cost Proposal shall not be used for evaluation purposes.

3.0 System DDI and Enhancement Services (General Responsibilities)

3.1 System Enhancement Services Responsibilities

The Contractor shall provide enhancements to Community Supports IT Systems as determined necessary by the FSSA Change Review Board using funds from the applicable portion of the Enhancement budget. The Contractor will be expected to provide detailed reports on the use of enhancement hours and funds, including YTD tracking of approved enhancement expenditures for each division against the Enhancement Pool. Enhancements are defined as changes requiring 80 or more hours of work to the properly working application in response to new or changed user needs, an expansion of the solution, or the consolidation of components of one system into another (e.g., IFUR into BDS Portal). Changes or updates to Community Supports IT Systems that require fewer than 80 hours of work will be handled as part of regular Maintenance and Operations, in alignment with the requirements of Section 2.0, using funds from the M&O budget. The FSSA Change Review

RFP 26-86378 Community Supports IT Systems
Attachment K – Statement of Work (SOW)

Board shall be responsible for collecting and prioritizing enhancement requests. The FSSA Application Manager shall communicate enhancement requests to the Contractor and work with the Contractor in prioritizing and planning using a service portfolio management strategy.

At the time of this RFP, not all details have been analyzed and approved by the State. Please see Section 1.3.9 for anticipated enhancements and system consolidation plans. If major changes are needed; these changes will be addressed if and when functionality and/or use of the Community Supports IT Systems is expanded or identified. The State will determine if an amendment is needed or if additional needs can be met using hours from an alternate category. Any costs for additional functionality will be delineated with hourly rates that do not exceed the contractual hourly rates in alignment with Section 9.0 Payments and Invoicing.

Customizations require written approval in alignment with the Enhancements approval process as described in 3.1.4, 3.1.5, and 7.4 below and must include a configuration-first analysis, functional specification, technical design, impact analysis (maintenance, upgrade compatibility, security, performance, accessibility, TCO), test plan, rollback plan, schedule impact, and itemized pricing. Approved customizations must meet State security standards and be upgrade compatible or provide a documented migration path. The State receives source code, developer/user documentation, and a perpetual royalty-free license for any custom code. The Contractor will consider approved customizations for incorporation into the core solution going forward. As a part of the System Enhancement Services responsibilities, the Contractor shall provide the following services:

3.1.1 Technical Guidance for Modifications Implemented by State Staff

FSSA reserves the right to complete select minor modifications within the Community Supports IT Systems as staffing levels allow. In instances where this option is exercised, the Contractor shall be involved in the enhancement planning and technical guidance. All work performed by FSSA will follow the agreed upon SDLC processes. The Contractor will not be held to the SLAs and warranty for items completed by non-Contractor resources, such as State staff and/or its vendors' staff.

3.1.2 Implementation of System Enhancements

The Contractor shall provide design, development, and implementation services for system enhancements not being implemented by State staff. Please see Section 1.3.9 for the currently anticipated enhancements. Additional enhancements may be identified by the State, including those that may arise from help desk incidents or as a result of direction by legislation and/or other authorities, such as policy changes and rate changes. As the enhancements' rollout schedule may change over time, the Contractor shall work with FSSA on a regular basis to plan enhancements and be flexible about adjusting plans based on changes to enhancements' timing and scope. System enhancements shall be billed using the contractual hourly rate in alignment with Section 9.0 - Payments and Invoicing. Documentation shall be provided with the

RFP 26-86378 Community Supports IT Systems
Attachment K – Statement of Work (SOW)

Contractor's invoice accounting for the hours being invoiced for all Community Supports IT Systems enhancements. If services are to be provided in exchange for fixed or not-to-exceed compensation, the Contractor is solely responsible for any costs in excess of the specified compensation.

3.1.3 Enhancements Hours Pool

The Contractor shall provide a capped Enhancements Hours Pool each year. At the time of this procurement, the State estimates the Enhancement Hours Pool to be 52,200 hours. The State reserves the right to adjust the number of hours in the Enhancement Hours Pool throughout the course of the Contract to meet the State's needs.

Enhancement Pool hours include project management, requirements gathering and validation, design, development, testing, and implementation needed for enhancements. The State is not required to use up the hours and dollars allocated for the Enhancements Hours Pool for each year. If the enhancement work is projected to exceed the annual approximated pool (52,200 hours at the time of this procurement), the Contractor must receive formal written State approval before performing the work beyond the annual cap.

Any project management, requirements gathering, design, development, testing, and implementation activities needed for Enhancements shall be conducted according to the Contract's SDLC processes. Enhancements can be for new system components or modifications/configuration changes to existing system components. Any update that requires less than 80 hours of work shall be considered part of M&O. Enhancements are governed by the Change Review Board.

The State and Contractor shall work to maintain a level of staffing continuity for the Enhancement Services team in order to support staffing availability of the appropriate skills and the level of effort required for Approved Enhancement requests. In the event that the State anticipates the yearly Enhancement Pool of hours will significantly change, the State will provide at least thirty (30) days' notice prior to any significant need for increased or decreased resources. The Contractor shall be responsible for making staffing adjustments based on projected increased staffing needs. These resources will be incorporated into a sixty (60) day rolling staffing plan maintained by the Contractor. The Contractor will only bill for actual hours worked for approved, non-Fixed-Fee Enhancements. For approved, Fixed-Fee Enhancements, the Contractor will only bill the fixed-fee, regardless of actual hours worked, upon completion of Fixed-Fee Enhancement milestones/deliverables according to the agreed-upon payment schedule, unless otherwise approved by the State (see Section 3.1.5).

The maximum hours invoiced for an individual shall not exceed forty (40) hours a week, regardless of the number of hours worked by the individual to complete

RFP 26-86378 Community Supports IT Systems
Attachment K – Statement of Work (SOW)

deliverables on time and meet service levels. This includes resources that are already working on Maintenance and Operations but are also involved in Enhancements in some capacity (e.g., Project Manager).

3.1.4 Enhancement Level of Effort

Prior to making each enhancement, the Contractor shall provide an estimated number of hours for the enhancement using the State's Level of Effort (LOE) form, which will be provided at the commencement of the Contract Term. Any enhancement that is a development LOE of eighty (80) hours or more will be documented in an LOE form. In the form, the Contractor shall provide an estimate of the number of hours needed to implement the enhancement and a description of the anticipated scope and impact of the change. The LOE form will be sent to the State for approval prior to the Contractor beginning work.

After completion of any enhancement, the Contractor shall provide a record of actual hours worked by position. The Contractor shall also compile a monthly report listing all hours worked by position for each enhancement as part of the Staff Utilization Report (Section 4.9).

3.1.5 Enhancement Impact Analysis for Fixed-Fee Enhancements

For larger or more complex enhancement projects, the State may require the Contractor to develop a comprehensive Enhancement Impact Analysis in addition to, or in lieu of, the LOE form. Enhancement Impact Analyses must be developed within fifteen (15) days (or such longer period as the Contractor and the State may mutually agree) following receipt of the State's request. The Enhancement Impact Analysis must include the following minimum components:

- a. Description and justification of the proposed Enhancement
- b. Staffing plan (organization chart, staff names and titles)
- c. A proposed fixed-fee budget with a cost breakdown (hours by individual multiplied by contractual rates)
- d. Staffing projection analysis, with supporting documentation
- e. An analysis of the impact of the proposed Enhancement on the following (as appropriate given the nature of the proposed Enhancement):
 - i. Scope of the Contract
 - ii. Projected or anticipated savings, if any
 - iii. Performance measures
 - iv. Delivery dates
 - v. Security impacts and how they shall be addressed
 - vi. Any other matter reasonably requested by the State or reasonably considered by the Contractor to be relevant
- f. A list of work products or deliverables
- g. A timeline for implementation of the proposed Enhancement and proposed payment schedule (e.g., percent of the fixed-fee to be tied to successful completion of major deliverables/milestones)

RFP 26-86378 Community Supports IT Systems
Attachment K – Statement of Work (SOW)

- h. Any required assumptions and State responsibilities

The State shall review the Enhancement Impact Analysis and approve or disapprove the enhancement with feedback. Enhancement Impact Analyses for Disapproved enhancements may be resubmitted to address the State's feedback. Once the Enhancement Impact Analysis has been approved for implementation (including any modifications made during the review process), the Enhancement Impact Analysis shall be deemed an approved Fixed-Fee Enhancement. The Contractor shall not begin work on any enhancement for which the State has requested an Enhancement Impact Analysis prior to receiving the State's written and dated approval of the Enhancement Impact Analysis.

The Contractor shall be paid the agreed-upon fixed-fee according to an agreed-upon payment schedule for any approved Fixed-Fee Enhancement based on the approved Enhancement Impact Analysis, regardless of actual hours worked, unless otherwise approved by the State.

3.1.6 Use of Systems Development Life Cycle (SDLC)

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

- a. **Requirements** – The Contractor shall provide FSSA with detailed functional and technical requirements and/or user stories at FSSA's request, which must then be approved by FSSA before development begins. Requirements shall be captured and maintained in a Requirements Traceability Matrix. Requirements and user stories shall meet the following standards. The State will monitor compliance with these standards and take action to address consistently poor performance.
- i. On-time submission of specifications in relation to timeline agreed to by FSSA and the Contractor.
 - ii. Consistency in formatting and content.
 - iii. Clear, detailed, and with reasonable accuracy in relation to user-defined requests.

User stories and requirements shall also include detailed acceptance criteria to inform State and Contractor testing and defect management.

- b. **Configuration Documents** – The Contractor shall be responsible for the development and maintenance of configuration documents. Documents shall be updated by the Contractor when configurations are approved and migrated to the production environment. The Contractor shall be

RFP 26-86378 Community Supports IT Systems
Attachment K – Statement of Work (SOW)

responsible for document version control. Configuration documents shall meet the following standards listed below. The State will monitor compliance with these standards and take action to address consistently poor performance.

- i. On-time submission of updates to documents in relation to when modifications are migrated to production.
 - ii. Consistency in formatting and version control.
 - iii. Accuracy of information.
- c. **Manuals and Process Documents** – Additionally, the Contractor shall update manuals and process documents to reflect changes or additions to functionality as enhancements are approved and migrated to production. These manuals shall be developed in collaboration with FSSA staff to ensure the most up to date material is included. FSSA reserves the right to review and approve any amendments or changes to the Manuals and Process Documents before their implementation. Updated and new manuals and documents shall be subject to the standards outlined in Section 2.7.
- d. **Testing** – The Contractor shall conduct unit, system (including interface), and user testing per Contractor policy and procedures approved by the State. The Contractor will support the QA Vendor on interface, performance, and regression testing. Testing responsibilities include but are not limited to the following:
 - i. Comply with State of Indiana – IOT and FSSA testing standards (<http://www.in.gov/iot/2394.htm>).
 - ii. Provide integration testing that is designed to ensure that all components, data feeds, identity management solutions, etc., work together properly and, as a whole, meet the business and functional requirements of the system.
 - iii. Provide end-to-end testing to ensure all Community IT Support Systems interface appropriately
 - iv. Provide component integration testing that shall include the development and use of automated system test scripts to validate that the system operates in accordance with the design specification. The State and the Contractor will agree upon the level of automation used for testing. Examples include:
 - User roles are performing properly.
 - Authentication performs properly.
 - Workflows perform properly.
 - Data flows perform properly.
 - v. For User Acceptance Testing (UAT), the Contractor shall schedule and facilitate State-selected users to complete UAT, assist with tracking their results, and present to the State for review prior to

RFP 26-86378 Community Supports IT Systems
Attachment K – Statement of Work (SOW)

requesting authorization for production releases. If requested by the State, the Contractor shall also assist in developing UAT test scripts. The Contractor will work with FSSA to determine the agreed upon timeline for completion of UAT.

- vi. Conduct testing and ensure enhancements receive approval from State designee(s) before activating any enhancements. If there are minor issues (i.e., resulting in less than 100% positive results), the State may choose to approve enhancement release. In those situations, the Contractor shall be responsible for resolving issues on a State approved timeline post release at no additional cost.
 - vii. Conduct performance and capacity testing
 - viii. Conduct usability and accessibility testing
 - ix. Develop test scripts covering all functionality for each testing cycle in collaboration with the State
 - x. Recurring meetings will be held to triage and resolve the defect reports from testing.
- e. **Formal Production Readiness Reviews** – The Contractor shall conduct formal production readiness reviews prior to production releases to ensure releases are ready for deployments (e.g., pass test cases, documents are updated, etc.). The formal review process must be agreed upon by the State.

3.1.7 Data Migration and Conversion

The Contractor shall conduct data migration and conversion management, ensuring data across each Community Supports IT Systems is retained before, during, and following consolidation efforts. Migration and conversion responsibilities may include, but are not limited to:

- a. Examine the data from existing sources to identify data challenges early in the project for the data conversion/migration effort and compile a list of defined rules to be built to address challenges.
- b. Develop a Data Conversion and Migration Plan to describe the conversion and migration strategy and data migration testing strategy. The Data Conversion and Migration Plan should also include a list of the legacy data to be included in the migration and legacy data that can be archived. The Contractor shall collaborate with the State to define an archival data strategy for archiving historical data that is no longer needed, in adherence with the State's records management rules.
- c. Provide a data dictionary, data models, data flow models, process models, and other related planning and design documents to the State in a timely manner prior to data conversion/migration validation.
- d. Develop scripts to convert high volume data objects automatically.
- e. Provide tools to minimize the manual effort required.

RFP 26-86378 Community Supports IT Systems
Attachment K – Statement of Work (SOW)

- f. Lead data conversion and migration activities including developing a schedule for all data mapping and conversion activities involving State resources.
 - i. Coordinate all automated and manual data loads during data conversion.
 - ii. Based on the data migration plan and all accompanying data documents, migrate cleansed/converted legacy data to a test environment for demonstrations, system and unit testing, and UAT.
 - 1. Perform data conversion testing according to the approved Data Conversion and Migration Plan and provide tools or guidance to help data conversion by identifying common error conditions (e.g., duplicate records) and minimizing manual effort during the data conversion and migration process by automating where possible the corrective action process (e.g., merging duplicate records).
 - 2. Validate test data for accuracy and functionality according to the approved Data Conversion and Migration Plan. Ensure there are no duplicate records. If there is a period of operation where data will be maintained in both systems, synchronize the data.
 - 3. Support the review and approval of data conversion testing results.
 - 4. Complete mock conversions with 100% successful/zero defects or agreement to address defects after implementation.
 - iii. Plan and address any data synchronization needs.
 - iv. Develop audit trails and logs to ensure that all data has been correctly migrated and, when appropriate, that the correct synchronization has been achieved.

3.1.8 Defect Management

Defects are discrepancies between the documented expected system behavior (such as the user stories, requirements, and acceptance criteria required in Section 3.1.6 SDLC) and the actual system behavior encountered during testing and in production. As part of testing responsibilities for system enhancements, the Contractor shall resolve defects identified by the State or Contractor according to timeframes agreed upon with the State at the time of defect identification. The State may provide additional details on required timelines. At a minimum, all defects assigned a priority level of 1, 2, or 3 must be resolved before the system enhancement may go into production. Defects shall be logged in JIRA and assigned one of the five priority levels defined in Section 2.3.2. The Contractor shall attend, schedule, and/or hold defect management meetings as directed by the State. Resolution includes either

RFP 26-86378 Community Supports IT Systems
Attachment K – Statement of Work (SOW)

defect correction or providing a mutually agreeable resolution plan or workaround. Upon resolution, the Contractor and/or the State will be engaged to verify the fixes.

3.1.9 Payment Processing

Currently no payment processing functionality exists within these systems. However, if any future enhancements require payment processing, the following applies. If payment processing capabilities are in scope for any Community Supports IT System component, the Contractor must utilize one of the State's contracted payment processors, according to IC 5-27-3-2. See <https://www.in.gov/inwp/payment-processing/>. For payment activities not governed by IC 5-27-3-1/-3-2, the Contractor must provide fully PCI DSS-compliant payment processing (secure cardholder data storage, robust encryption, network security monitoring, and periodic compliance assessments).

3.2 Training

The State reserves the right to determine whether the Contractor shall perform any or all of the training requirements detailed in Section 3.2.1 and 3.2.2 below. The Contractor shall include in its technical proposal a detailed description of how it would carry out training services, including what staff roles would be needed, should the State decide to require the following services:

3.2.1 Training Service Requirements

The following are training services to be required by the Contractor at the State's discretion.

- a. As enhancements are rolled out, the Contractor shall be responsible for developing training content for train-the-trainer materials and conducting those trainings. FSSA will engage a contracted training vendor to create training courses for the overall staff and provide those staff trainings. After initial roll-out and training for the new release, the Contractor shall be responsible for updating the training content to reflect any minor modifications and enhancements.
- b. The Contractor shall, as required but no more than twice a year, provide refresher training for new and select incumbent staff, including updates for deployed components based on minor modifications and enhancements to the system.
- c. The Contractor shall create leave-behind video training for State users.
- d. The Contractor shall conduct a quarterly analysis of support tickets and create additional training to address any areas of frequent inquiries/issues.
- e. The Contractor shall provide a data dictionary to define the data fields used within the system. The data dictionary shall be updated on regular and ad hoc bases to ensure data field definitions match the definitions used for those data fields in State-internal systems. The Contractor shall submit the data dictionary to the State for review and approval upon request. At a minimum,

RFP 26-86378 Community Supports IT Systems
Attachment K – Statement of Work (SOW)

the data dictionary must be reviewed and updated annually.

3.2.2 Training Plan

The Contractor shall develop a training plan for State approval prior to the commencement of any services under this Contract at a schedule agreed upon by the State. This plan shall cover both initial and ongoing training in accordance with Section 3.2

4.0 Reporting

The Contractor shall provide the following reports in the format and timeframe agreed upon with the State, unless the State and Contractor mutually agree in writing to modify reporting (e.g., types of reports, frequency, format, timeframes, etc.):

4.1 Weekly Community Supports IT Systems M&O Status Report

The Contractor shall provide the FSSA Application Manager with a weekly status report on the general Contract status and ongoing M&O support for the suite of Community Supports IT Systems including:

- a. Activities completed in the past week;
- b. Activities planned in the next four weeks;
- c. Number of open issues;
- d. Number of closed issues;
- e. Milestone dates for on-going development activities;
- f. Planned application release and bug fixes; and
- g. Ad hoc requests.

These components may be combined by the Contractor and delivered as a single report; however, the Contractor must specify which system from the suite of Community Supports IT Systems each report component applies to (e.g., for 5.1.1 the Contractor should list activities by system).

4.2 Weekly Enhancements & Consolidation Report

The Contractor shall provide a weekly Enhancements & Consolidation report to the State detailing any planned and ongoing enhancements across all components of the Community Supports IT Systems. This report must include the following elements:

- a. Milestone dates for on-going development activities;
- b. Estimated versus actual staff hours for enhancement activities;
- c. Number and status of defects identified during testing;
- d. Planned application release and bug fixes;
- e. Project risks or constraints and mitigation strategies;
- f. Project change requests; and
- g. Project dependencies.

RFP 26-86378 Community Supports IT Systems
Attachment K – Statement of Work (SOW)

4.3 Monthly Service Level Agreement (SLA) Report

A report detailing the previous month's performance in accordance with agreed upon SLAs (Section 10.0). Monthly status reports for the previous month will be due no later than the 10th of the month. If the 10th is on a weekend or holiday, the report will be due the next business day. Monthly SLA Reports must also accompany the month's invoice submission as supporting documentation (Section 9.0 - Payment and Invoicing).

4.4 Quarterly Performance Report

A report detailing deviations to SLAs for the past quarter and reasons for the deviations. Quarterly status reports for the previous quarter will be due no later than the 10th day of the current quarter. If the 10th is on a weekend or holiday, the report will be due the next business day.

4.5 Annual Summary Reports

Annual reports for the previous year's performance will be due by the end of the first month in the new year. If that day is on a weekend or holiday, the report will be due the next business day.

4.6 Federal Reporting

The Contractor shall assist the State by developing (or assisting the State in its development, if directed accordingly) any reporting the State may be required to submit to federal partners, such as but not limited to CMS and the Administration for Community Living (ACL), to ensure federal compliance and funding as directed by the State.

4.7 Reporting to interRAI Organization

The Contractor shall submit reports and data as required by interRAI for use of the interRAI suite of tools. In order for the State and Contractor to meet obligations to the interRAI organization in order to use interRAI suite of tools, data needs to be submitted in a timely manner as defined by the Contractor's agreement with interRAI and in the file format required by interRAI organization.

4.8 Community Supports IT Systems Incident Reporting and Tracking

JIRA Issue and Bug Tracker shall be used for reporting and tracking of system incidents. FSSA will provide accounts for Contractor resources and provide training on the use of the tool. The Contractor shall provide a status of open incidents by Incident Priority Level and the status of open defects by Defect Priority Level along with the length of time each has been open. In addition to ongoing reporting and tracking of system incidents, a summary of Contractor-assigned JIRA tickets and issues must be included in the weekly M&O Status Report (Section 4.1).

4.9 Staff Utilization Report

In addition to all invoices, the Contractor shall provide a monthly staff utilization report that outlines the employee's name, classification, and hours invoiced for all maintenance and operations and enhancement projects.

RFP 26-86378 Community Supports IT Systems
Attachment K – Statement of Work (SOW)

4.10 Ad Hoc Reporting

The Contractor shall provide reporting as requested by FSSA. Other reports and documentation shall be due as determined by FSSA and the Contractor. Upon request, the Contractor shall provide information for State reports to IOT.

5.0 Meetings

Upon contract commencement, the Contractor's Project Executive and Project Manager must facilitate a project kick off meeting with support from the State's Project Manager and the identified State resources to review the approach to accomplishing the project, schedule tasks and identify related timing, and identify any risks or issues related to the planned work and any upcoming system enhancements and consolidation.

Throughout the contract period, the Contractor shall participate in the following meetings (Sections 5.1 - 5.5) unless the State and Contractor mutually agree in writing to modify meetings (e.g. types of meetings, frequency, attendees, etc.).

On-site presence is not required on a day-to-day basis; however, the State may require the Contractor to attend certain meetings at the Indiana Government Center. If the State requests, off-site resources shall be made available for meetings at the Contractor's working location. Unless otherwise stated, all of the below meetings will be held virtually or with a virtual attendance option available.

5.1 Transition Specific Meetings

In the event of a vendor transition, the Contractor shall facilitate weekly meetings (or more if determined necessary by the parties) to provide updates on transition progress throughout an agreed-upon transition period.

5.2 Monthly Status Meeting

There will be a monthly meeting between the FSSA Application Manager, Division leads, and the Contractor to discuss performance in relation to SLAs, upcoming enhancement/configuration requests, open issues requiring escalation, and staffing needs. The Contractor shall develop the agenda and provide the agenda and the most recent status report to the designated FSSA staff two (2) calendar days prior to the meeting. The Contractor shall record and prepare meeting minutes and provide minutes to the State within three (3) business days of the meeting. The agenda and minutes are subject to State review and approval.

5.3 Quarterly Performance Meeting

There will be a quarterly meeting between the FSSA Application Manager, Division leads, and the Contractor to discuss overall performance in relation to SLAs, deviations, reasons for deviations, proactive counter measures, and potential contract amendments.

RFP 26-86378 Community Supports IT Systems
Attachment K – Statement of Work (SOW)

5.4 System Priorities Meetings

As needed, the Contractor shall attend and conduct meetings to plan, discuss, and report progress on major system efforts. This includes any meetings necessary to facilitate requirements gathering, testing, and readiness review in alignment with the requirements of Section 4.3 - System Enhancement Service Levels.

5.5 Ad Hoc Meetings

The Contractor shall participate in additional ad hoc meetings as requested by the State.

6.0 Staffing

The Contractor shall comply with the following staffing requirements including the identification of personnel to hold Vital positions, non-Vital positions, and supporting staff needed to meet the requirements of this Statement of Work.

6.1 Contractor Staff Working Location

All Contractor staff, regardless of position, should work from within the United States unless approved otherwise by the State.

6.2 Vital Positions

The Contractor shall provide resources to support the roles and responsibilities of the Contractor as defined in the contract. The table below provides a list of Vital Positions for the Contractor's team. The Project Executive and Project Manager shall be available to be onsite at the State's request to attend in-person meetings and support incident reporting and resolution, as needed. In addition to the Vital Positions, the Contractor shall be fully staffed to meet the State's anticipated Maintenance and Operations needs as well as System Enhancements needs based on a sixty (60) day rolling staffing plan to be maintained by the Contractor. The Contractor shall utilize off-site resources to meet all requirements laid out in this Statement of Work, but the ability to meet the State's needs must not be impacted. If the State requests, off-site resources shall be made available for on-site meetings. Additional resources may be called upon as needed by the Contractor and FSSA.

The following table outlines Vital Positions and their minimum qualifications necessary to support this project. For all Vital positions, the State prefers staff with experience working with health and social service agencies' IT systems. In the event of replacement of a staff member fulfilling a Vital Position, the following represent the qualifications necessary for each Vital Position needed as staff in order to complete the duties of the Contract.

RFP 26-86378 Community Supports IT Systems
Attachment K – Statement of Work (SOW)

Vital Position	Description	Required Skills
Project Executive	Ensures contract compliance and contract quality assurance. Ensures that the client is satisfied with project progress and outcomes. Acts as a point of escalation for client leadership and executive sponsor. Coordinates and develops Contracts, SLAs, Statements of Work. Oversees overall project planning and execution. Must attend all regularly scheduled meetings as defined in Section 5.0	• At least three (3) years of experience on public sector projects. At least one (1) year of experience with a health and human services agency. • At least two (2) years of executive experience with systems oversight. • At least two (2) years of experience with system implementation, maintenance, and operations. • Documented experience with Medicaid HCBS programs is preferred. • Knowledge of case management systems is preferred. • Strong written and communication skills.
Project Manager	Responsible for coordinating the overall project tasks, including project planning, scheduling, and staffing. Serves as the primary day-to-day contact for contract services and issues resolution. Ensures service level agreements are sustained and deliverables are submitted on a timely basis. To facilitate the creation of DDI functionality, the Project Manager will guide and direct activities across the Community Supports IT	• At least one (1) year of experience with a health and human services agency. • At least two (2) years of experience with system implementation, maintenance, and operations. • At least four (4) years of successful (on time, within budget) project management experience. Experience with the principles of the Project Management Body of Knowledge (PMBOK®). • Current certification as a Project Management Professional (PMP) by the Project Management Institute (PMI) preferred. • Knowledge of case management systems is preferred. • Strong written and communication skills. • Good listening and excellent problem-solving abilities

RFP 26-86378 Community Supports IT Systems
Attachment K – Statement of Work (SOW)

Vital Position	Description	Required Skills
	Systems for enterprise-level decisions across the various Divisions that are part of the Community Supports IT Systems (OMPP, DDARS, etc.).	
Technical Lead/Lead Developer	Manages the planning, design build, configuration, and testing of all software and hardware to create the release package for the delivery of updates, changes, or enhancements to the Community Supports IT Systems. Ensures the service level agreements are sustained. Ensures the services and deliverables required as a part of the System M&O and enhancement deployment duties of this Contract are completed on a timely basis and to the satisfaction of the State.	• Strong technical background, with eight (8) or more years of experience in relevant software development capabilities • At least two (2) years of experience with SDLC Processes for system design, development, and implementations of a similar size and complexity to the Community Supports IT Systems. • Strong knowledge of all aspects of the end-to-end release process. • Knowledge of case management systems is preferred. • Project management experience. • Strong written and communication skills. • Good listening and excellent problem-solving abilities

Vital Positions are subject to approval by the State. The Contractor shall maintain the same Project Executive throughout the Term of this Contract, unless:

- i. The State requests in writing the removal of Project Executive;
- ii. The State consents in writing to any removal request by the Contractor in writing;
- iii. Contractor Project Executive ceases to be employed by Contractor, whether by resignation, involuntary termination or otherwise.

The Contractor may not make any temporary or permanent changes to Vital Positions without at least three (3) weeks prior notice to the State and the State's prior written

RFP 26-86378 Community Supports IT Systems
Attachment K – Statement of Work (SOW)

approval, unless change in Vital Positions is outside of Contractor's control (e.g. shorter deployment departure, sudden illness, and death).

Vital positions shall not remain vacant for longer than one (1) month. In the event a vital position is vacant for more than one (1) month, the amount the State owes the Contractor shall be reduced by the cost of that Vital position (as evidenced in the cost schedule of contract) for the period during which that position remains unfilled. the Contractor's invoice(s) for the subject month(s) shall delimitate this reduction.

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

6.3 Non-Vital Positions

FSSA expects the Contractor to employ the staff necessary to comply with the State's performance requirements, which may include but not be limited to, the following:

- a. Sufficient technical resources, such as analysts, developers, engineers, architects, subject matter experts, and quality assurance specialists, to ensure the delivery of M&O services and Enhancement services. The Contractor must specifically provide staff with experience in supporting applicable legacy systems.
- b. Sufficient Help Desk staff to provide Tier 2 & Tier 3 support for the applicable Community Supports IT Systems at the levels defined in Section 2.2
- c. Sufficient staff to support all other contractual requirements, such as Reporting (Section 4.0) and Project Management and Administrative Duties (Section 7.0)

For several anticipated non-Vital Positions, the State has defined minimum qualifications that Contractor staff must meet to be able to fulfill those specific roles. For each non-Vital Position that the Contractor identifies in addition to the State-defined roles, the Contractor must propose minimum qualifications, skills, and experience.

Non-Vital Position	Position Description	Experience Description
M&O Support Manager	- Manages the Maintenance and Operations services team and ensures service level agreements are sustained. - Ensures the services and deliverables required as part of the Maintenance and Operations	- At least two (2) years of experience managing the maintenance and operations of systems of a similar size and complexity to those included in the Community Supports IT Systems. - Knowledge of case management systems preferred.

RFP 26-86378 Community Supports IT Systems
Attachment K – Statement of Work (SOW)

Non-Vital Position	Position Description	Experience Description
	duties of this contract, including Help Desk, are completed on a timely basis and to the satisfaction of the State.	• Project management experience. • Strong written and communication skills.
System Enhancements Manager	• Manages the Systems Enhancements services team and ensures service level agreements are sustained. • Ensures the services and deliverables required as part of the System Enhancement duties of this contract are completed on a timely basis and to the satisfaction of the State.	• At least two (2) years of experience managing the enhancements of systems of a similar size and complexity to those included in the Community Supports IT Systems. • At least two (2) years of experience with SDLC Processes for system design, development, and implementations of a similar size and complexity to the Community Supports IT Systems. • Knowledge of case management systems preferred. • Project management experience. • Strong written and communication skills.
Quality Assurance (QA) Analyst	• Develops technical procedures, methodologies, metrics, checklists, and standards. Is familiar with automated testing to augment quality assurance work. Identifies and applies best practices. • Evaluates software development procedures and new/modified programs to verify that applications function according to user requirements and conform to establishment guidelines. • Writes, revises, and verifies quality standards for program design and product evaluation to attain the quality of software economically and efficiently. • Evaluates program output and reports for accuracy, and policies and procedures for quality. • Recommends improvements or corrections to developers.	• Approximately 1-3 years of experience in the field or in a related area. Has knowledge of commonly used concepts, practices, and procedures within a particular field. Relies on instructions and pre established guidelines to perform the functions of the job.
Business Analysts	• Reviews, analyzes, and evaluates systems and user needs. • Formulates systems to mirror overall business strategies.	• Approximately 2-4 years of experience in the field or in a related area. Has knowledge of commonly used concepts, practices, and procedures

RFP 26-86378 Community Supports IT Systems
Attachment K – Statement of Work (SOW)

Non-Vital Position	Position Description	Experience Description
	- Experienced with business process reengineering and identifying new applications of technology to business problems to make business more effective. - Familiar with industry standards, current and emerging technologies (e.g., AI), and business process mapping and reengineering.	within a particular field. Relies on instructions and pre-established guidelines to perform the functions of the job.
Data Analysts	- Collects and cleans data from various sources to ensure accuracy and quality. - Understands data distributions, identifying patterns, and detecting anomalies. - Performs statistical modeling to uncover relationships and trends. - Presents findings using charts, graphs, dashboards, and reports. - Translates data-driven insights into actionable recommendations to support State business/program staff.	At least 2 years of experience, rely on instructions and pre-established guidelines to perform the functions of the job, primary job functions do not typically require exercising independent judgment.
Software Developers	- Customizes system(s) to meet specific business requirements. This includes adding custom fields, customizing workflows, and configuring the system to perform special approval processes for purchases above a certain amount. - Works closely with business users to understand their requirements and design a solution that meets those requirements. - Once the design is complete, configures the system to implement the solution, including testing and debugging to ensure it functions properly. - Provides ongoing support to ensure the success of the enhancements.	Software Developer capabilities with approximately 1-3 years of experience, rely on instructions and pre-established guidelines to perform the functions of the job, primary job functions do not typically require exercising independent judgment. Works under the guidance of experienced developers.
Help Desk	Offers detailed instructions to fix problems and ensure users are satisfied with the solutions	At least 2 years of experience, rely on instructions and pre-established guidelines to perform the functions of

RFP 26-86378 Community Supports IT Systems
Attachment K – Statement of Work (SOW)

Non-Vital Position	Position Description	Experience Description
	provided. • Keep users updated on the status of their tickets, estimated resolution times, and any actions being taken to address their issues. • Creates and updates FAQs, self-help guides, and other resources to empower users to solve common issues on their own. • Manages user accounts and ensures security protocols are followed.	the job, primary job functions do not typically require exercising independent judgment.

6.4 Supporting Staff

The Contractor shall provide sufficient support staff to complete day-to-day, non-supervisory functions. For each supporting role that the Contractor identifies and defines in their proposal, the Contractor must propose minimum qualifications, skills, and experience.

6.5 Contractor Staff Replacement

During the course of the contract, the State reserves the right to require replacement of any Contractor employee or subcontractor employee found unacceptable to the State. Reasons for unacceptability include, but are not limited to, the inability of the individual to carry out work assignments or unsatisfactory job performance as determined by the State. The individual must be removed within two (2) weeks of the request for removal, or sooner if requested by the State, and be replaced within thirty (30) calendar days after the position is vacant, unless a longer period is approved by the State. The Contractor may also remove an employee or subcontractor employee for poor performance. The Contractor shall notify the State immediately if an employee or subcontractor employee has been identified as a poor performer and will be removed from the project and remove the employee or subcontractor employee within one (1) week unless circumstances dictate the employee should be removed immediately. The Contractor shall replace the employee within thirty (30) calendar days after the position is vacant, unless a longer period is approved by the State.

6.6 Staffing Plan

The Contractor must maintain a written backup personnel plan, including a discussion of the staffing contingency plan for:

- a. The process for replacement of personnel in the event of a loss of vital personnel or others before or after signing a Contract;

RFP 26-86378 Community Supports IT Systems
Attachment K – Statement of Work (SOW)

- b. Allocation of additional resources to the Contract in the event of an inability to meet a performance standard;
- c. Replacement of staff with vital qualifications and experience and new staff with similar qualifications and experience;
- d. The time frame necessary for obtaining replacements; and
- e. The method of bringing replacements or additions up to date regarding the Contract.

The Contractor shall ensure efficient utilization of staff resources. The State reserves the right to request changes to the Contractor's staffing plan in the event the State believes there is a more efficient use of staffing resources.

6.7 Staff Compliance

The Contractor and all Contractor Personnel shall comply with all rules, regulations, and policies of the State that are communicated to the Contractor in writing, including security procedures concerning systems and data and remote access, building security procedures, including the restriction of access by the State to certain areas of its premises or systems, and general health and safety practices and procedures. The Contractor must comply with applicable Federal and State security and privacy requirements, including FSSA Security Policies (<https://www.in.gov/fssa/security-policies/>).

7.0 Project Management and Administrative Duties

The section below outlines Contractor requirements for coordination with other entities, working location, onsite accommodations, and the development of project management and compliance plans.

7.1 Coordination with State Entities, Vendors, and Partners

- a. At the State's direction, the Contractor shall cooperate with State vendors that are providing services to or on behalf of FSSA in relation to Community Supports Services, including those vendors providing services with respect to encounter processing, enrollment and eligibility, data analytics, and those engaged by FSSA to monitor, validate, or verify the Contractor's performance.
- b. At the State's direction, the Contractor shall cooperate with the State's federal partners, such as but not limited to the CMS and ACL. This may include preparing meeting materials, data, and reports (Section 5.0) to support the State in meeting federal system and program compliance requirements.
- c. FSSA will utilize an independent Software Quality vendor to ensure a high level of quality prior to all software deployments. The Contractor shall provide any information or assistance as requested by the Software Quality vendor.
- d. IOT shall be responsible for setting, managing, and executing policies and processes associated with IT infrastructure. IOT shall be responsible for management of the Community Supports IT System's infrastructure and hardware in all environments. The Contractor shall provide any information or assistance as requested by IOT as it

RFP 26-86378 Community Supports IT Systems
Attachment K – Statement of Work (SOW)

pertains to supporting all components within the Community Supports IT Systems including assisting with upgrades, as necessary.

7.2 Location and Offices

The Contractor shall have staff located within a 100-mile radius of Indianapolis such that they are able to attend in-person engagements with the State, as requested, without requiring an overnight stay. At minimum, the Contractor is expected to supply its own computers and software for its employees, including any employees located in State offices.

The Contractor shall have access to a conference room for use by Contractor staff and any State or State designee staff that may need to be present at the Contractor's location.

If equipment is needed to access the State's network, the Contractor shall use State-issued machines that meet security requirements. The Contractor will reimburse the State for equipment and access-related costs per the current Indiana Office of Technology Services Catalog rates (including, but not limited to, Seat (Maintenance) Charge, Security Support Fee, and User Account Access Fee). Rates are subject to annual adjustment and reissuance on July 1 of each fiscal year. Alternatively, the Contractor may utilize an Amazon WorkSpace environment in place of State-issued machines. However, the usage of an Amazon WorkSpace is at the discretion of the State and is subject to compliance with State requirements.

7.3 Project Management and Documentation

The Contractor shall be responsible for the project management and oversight of all assigned tasks. This includes timeline management, identifying tasks, budget management, resource management, risk management and mitigation, issue identification, escalation and resolution, tracking service level metrics, and preparation and delivery of status reporting as needed or requested.

7.3.1 Project Management Plan

The Contractor shall develop a detailed project management plan for State approval at an agreed-upon date following the execution of the Contract. This plan shall address how the Contractor shall provide timely and quality services, quality and reliable technology, qualified staffing, project management tools, and ongoing collaboration between the Contractor, any subcontractors, State, State designees, and any other identified stakeholders. The Contractor shall maintain the finalized management plan and make it available to Contractor staff, State staff, and State designees. The State may require changes to the project management plan.

7.3.2 Compliance Plan

The Contractor shall develop and maintain a plan to ensure compliance with all State and federal laws, policies, procedures, and regulations, including those explicitly mentioned in this Statement of Work as well as others not explicitly mentioned. This

RFP 26-86378 Community Supports IT Systems
Attachment K – Statement of Work (SOW)

plan is due following the commencement of services under this Contract at a schedule agreed upon by the State and is subject to State review and approval.

- a. The compliance plan must accommodate FSSA's right to review and approve the Contractor's compliance plan prior to the commencement of any services and as often as it may require throughout the duration of the Contract.
- b. The compliance plan must accommodate FSSA's right to review the compliance plan for a reasonable period after the termination of the Contract.
- c. The compliance plan must include Contractor's responsibility to monitor and adjust to, changes in applicable State and federal laws, policies, procedures, and regulations, including those explicitly mentioned in this Contract as well as others not explicitly mentioned.

7.3.3 AI Policy Compliance

The State of Indiana has adopted an enterprise-level policy governing the use of Artificial Intelligence (AI) within state government. The State of Indiana AI Policy is issued and monitored by the Office of the Chief Data Officer (OCDO), in cooperation with the Chief Privacy Officer (CPO) and the Management Performance Hub (MPH). The State Agency Artificial Intelligence Systems Standard outlines the AI Readiness Assessment process required for any use of AI. The Contractor shall support the State's AI Policy and follow the AI Readiness Assessment Process, including submission of the Readiness Assessment Questionnaire, prior to implementation or use of any AI tool or system. See <https://www.in.gov/mph/AI/> for more information.

7.3.4 Business Continuity/Disaster Recovery (BC/DR) – Annual Updates

The Contractor shall maintain and share with the State a Disaster Recovery Plan and a Business Continuity Plan specific to operating State systems; annual updates are required and shall be provided to the State. The Contractor's Disaster Recovery Plan is deemed a trade secret and exempt from disclosure under Indiana's Access to Public Records Act as applicable.

7.4 Change Review Board

The State will provide a Change Review Board that will be the central point of communication and decision making regarding the data governance, data management, architecture, navigation, and user interface of the Community Supports IT Systems. The State will provide a single point of escalation for any decisions that are not able to be agreed to by the Change Review Board.

7.4.1 Change Control Plan

Prior to the commencement of any services under the Contract, at a schedule agreed upon by the State, the Contractor shall develop a detailed change control plan that details the process by which Change Requests (CR) are identified, prepared, validated, monitored, approved, and reviewed, subject to FSSA approval.

RFP 26-86378 Community Supports IT Systems
Attachment K – Statement of Work (SOW)

The change control plan shall detail the various steps, roles, responsibilities, and decision points of a change request process, including the relevant staff contacts.

The Contractor, in conjunction with the State Change Review Board, shall determine a standard process for accessing the Enhancements Pool Hours. The Contractor shall also maintain a history of all enhancement change requests, including the estimated number of hours for the enhancement from submitted LOE forms and Enhancement Impact Analyses, the actual cost and duration for every enhancement, and the cumulative cost and schedule impacts for all enhancement for all periods FSSA specifies. Following the implementation of an approved enhancement, the Contractor shall continue to monitor the initial issue and report on the solution quality and effectiveness. At times, the State may request the Contractor's attendance and participation in meetings related to the State Change Review Board.

7.5 Accessibility Requirements

Any materials the Contractor develops in partnership with the State for public distribution and/or to be published on State websites must comply with the State's Assistive Technology standards and architectural standards, and Section 508 of the US Rehabilitation Act. The Contractor specifically agrees that all hardware, software and services provided to or purchased by the State shall be compatible with the principles and goals contained in the Assistive Technology Standard, within the State's Information Security Framework (<https://www.in.gov/iot/iot-vendor-engagement/>), State Assistive Technology (<https://www.in.gov/core/accessibility.html>), and the State's architectural standards. Any deviation from these requirements must be approved in writing by IOT in advance. Exceptions to accessibility requirements may be approved for legacy systems at the discretion of the State.

7.6 IV&V Engagement

In the event the State determines that any independent verification and validation ("IV&V") oversight is required by the State during the term of this Contract, the Contractor shall comply with any such oversight during the term of this Contract, pursuant to which an independent third-party review may be conducted by a reviewer selected by the State, for the purpose of verifying that the Contractor has performed its obligations in compliance with the terms of this Contract. In the absence of any such IV&V oversight, the Contractor shall comply with any other appropriate methods or means for verification and validation required by the State during the term of this Contract for the purpose of verifying and validating that the Contractor has performed its obligations in compliance with the terms of this Contract. The Contractor shall provide all information and documentation requested during the State's IV&V oversight or verification and validation efforts related to this Contract and in connection with any IV&V oversight or verification and validation efforts related to an initiative of which this Contract is a part.

RFP 26-86378 Community Supports IT Systems
Attachment K – Statement of Work (SOW)

8.0 Transition and Turnover

8.1 Initial Transition

In the event that this contract results in a transition of services, prior to taking over M&O and Enhancement services, the Contractor shall work with the State to develop and manage plans for transferring services from the existing vendor(s) over a six (6) month period. The existing vendor will provide leave-behind M&O and Enhancement documentation (system details, code/logic, training materials, SDLC artifacts, correspondence, documentation of outstanding issues, and operational support information). Further, it will be clarified what in-progress enhancement activities will be transitioned to the Contractor during the Transition Period. It is anticipated that some enhancements may be in the early design and/or conception phase.

The Contractor will complete the following deliverables during the Transition Period. While the activities below are cited as deliverables, it is anticipated that the Contractor will undertake a number of sub-activities to accomplish the milestones implied by the deliverables listed.

RFP 26-86378 Community Supports IT Systems
Attachment K – Statement of Work (SOW)

Month	Deliverables
1	- Define critical success factors (goals) for the end of a Transition period for approval by the State. - Initial Transition Plan finalized, subject to State approval, including resources and activities for the Transition Period. Indicate what FSSA and incumbent vendor(s) would make available to the Contractor. - Confirmation of working read-only access to all aspects of the infrastructure, including State issued credential process understood and realized for initial Contractor users. - If applicable, work with the incumbent Community Supports IT Systems vendor(s) on the timing of any change of employment of incumbent Community Supports IT Systems vendor(s) staff. - Documented Hybrid Agile SDLC, in compliance with State and Federal requirements, subject to State approval.
2	- Begin shadowing the incumbent Community Supports IT Systems vendor(s) and State on all aspects of Project Management, M&O, Enhancement, and other supporting activities. This shadowing includes the monitoring of help desk tickets. - Confirm ticket practices with the FSSA team, including a description of the full process from ticket initiation to resolution. - Submit a documented Project Management Plan (Section 7.3.1) and Compliance Plan (Section 7.3.2), in compliance with State and Federal requirements, subject to State approval.
3	- Complete all training provided by the incumbent Community Supports IT Systems vendor(s) in operations and procedures. - Complete shadowing of the incumbent Community Supports IT Systems vendor(s) staff. - Confirm full administrative edit access for appropriate staff.
4-6	- Stage and coordinate the transition of responsibilities from incumbent Community Supports IT Systems vendor(s) to Contractor for each system component, including any in-progress or planned enhancement rollouts - May include “reverse shadowing” activities during which the Contractor is shadowed by the incumbent vendor(s) to ensure complete understanding of responsibilities and verify Contractor performance

RFP 26-86378 Community Supports IT Systems
Attachment K – Statement of Work (SOW)

8.2 End of Contract Turnover

The Contractor will collaborate with successor parties to ensure that program stakeholders experience no adverse impact from the transfer of scope to either the State or to a successor contractor when the Contract is complete or terminated early. In addition to the requirements in the Contract, the following end of Contract turnover requirements shall apply:

- a. Six (6) months prior to the end of the base Contract period, or any extension thereof, the Contractor shall develop and implement a State-approved Turnover Plan covering the possible turnover of the System and System M&O activities to either the State or a successor contractor. The Turnover Plan shall be a comprehensive document detailing the proposed schedule and activities associated with the turnover tasks. The plan shall describe the Contractor's approach and schedule for transfer of all SDLC, and operational artifacts and documentation created, maintained, and updated throughout the Contract term. The information shall be supplied on media specified by the State and according to the schedule approved by the State. Turnover task requirements and approximate timeframes are provided in the sections below. The dates and data requirements in the following sections are illustrative only and do not limit or restrict the State's ability to require additional information from the Contractor or modify the turnover schedule as necessary.
- b. Four (4) months prior to the end of the base Contract period, or any extension thereof, the Contractor shall transfer the following information to the State or its agent on a medium acceptable to the State:
 - i. A copy of non-proprietary solution components or database(s) used. Please see the Contract for requirements regarding ownership of work products; and
 - ii. All other SDLC and operational artifacts and documentation.
- c. Four (4) months prior to the end of the Contract or any extension thereof, the Contractor shall begin training State staff or its designated agent's staff, in the System M&O and other operational activities performed by Contractor staff. Such training shall be completed at least two (2) months prior to the end of the Contract. The State's turnover of services to a potential new contractor shall take place two (2) months prior to the end of the Contract. The Contractor shall be available for the last two (2) months of the Contract to provide support as requested by the State. This support shall be invoiced according to the contractual hourly rates.
- d. The Contractor shall appoint, with State approval, a Turnover Manager who shall manage and coordinate all Turnover activities. The Contractor shall submit their manager's qualifications as part of their Turnover Plan. The Contractor shall not reduce operational staffing levels during the turnover period without prior approval by the State. The Contractor shall not in any way restrict or prevent Contractor employees from accepting employment with the State. The State will work with the Contractor on the timing of any transition of Contractor staff. The Contractor shall provide to the State, or its agent, within fifteen (15) business days of request all updated data and reference files, scripts, and all other documentation and records as required by the State or its agent.

RFP 26-86378 Community Supports IT Systems
Attachment K – Statement of Work (SOW)

- i. If the optional Contract extensions are exercised during turnover activities, these turnover activities shall shift to the next year. If the turnover is halted due to the State exercising an optional term extension, invoices shall not include Turnover Manager costs after the State's date to halt turnover activities until those activities resume (with the State's approval) in the following year.
 - ii. Turnover costs shall only include the Turnover Manager's costs. Any additional staff costs shall be covered by the M&O fees unless otherwise approved by the State.
- e. For any approved custom code developed under this Contract, the Contractor shall place the most recent version into escrow and maintain updates throughout the Contract Term, with access to the State if needed under defined release conditions. The Contractor shall perform all custom application development work exclusively within the State's designated tenant environment, ensuring that no development, testing, or deployment activities occur outside the State-managed tenant. The Contractor shall also ensure that the most recent, up-to-date version of all custom-developed application components, source code, configuration files, and associated documentation is placed into the associated project repository.

9.0 Payments and Invoicing

The Contractor shall invoice the State on a monthly basis at agreed-upon, fixed-fee rates for M&O during the Initial Transition Period and at a standard monthly fixed-fee rate for M&O thereafter. The Contractor will only bill for any actual hours worked for approved, non-Fixed-Fee Enhancements. For approved, Fixed-Fee Enhancements, the Contractor will only bill the fixed-fee, regardless of actual hours worked, upon completion of Fixed-Fee Enhancement milestones/deliverables according to the agreed-upon payment schedule, unless otherwise approved by the State (see Section 3.1.5). The Contractor shall also invoice the State for reimbursement for approved pass-through interRAI costs, which include interRAI Annual Subscription for Assessment Toolsets, royalties, and interRAI CAPs, Booklets, and Manuals.

The Contractor must use a State-approved invoice form. The Contractor must clearly delineate each respective cost as a separate line item in invoices submitted to the State for reimbursement, including the monthly fixed-fees for M&O, actual hours worked for approved non-Fixed-Fee enhancements, fixed-fees for approved Fixed-Fee Enhancements, pass-through interRAI costs, and any other State-approved non-staffing materials costs (e.g., software licenses).

The Contractor's invoices shall reflect any applicable withholding and withhold adjustments in accordance with the provisions of Section 10.4.2. The Contractor's submitted invoice shall be for ninety percent (90%) of the amounts due for Maintenance and Operations (the set fixed fee for M&O). The remaining ten percent (10%) of the M&O Fee for a given month shall be noted on the invoice but withheld (i.e., not invoiced), until the State determines that the Contractor has

RFP 26-86378 Community Supports IT Systems
Attachment K – Statement of Work (SOW)

met with that month's Performance Measures for M&O as described in Section 10.4.2. Similarly, the Contractor's submitted invoice shall be for ninety percent (90%) of the amounts due for approved Enhancements, both non-Fixed Fee and Fixed Fee, due in a given month according to actual hours worked (non-Fixed Fee) or achievement of milestones/deliverables in the approved Enhancement Impact Analysis (Fixed Fee). The remaining ten percent (10%) of the Enhancement costs for a given month shall be noted on the invoice but withheld (i.e., not invoiced), until the State determines that the Contractor has met with that month's Performance Measures for Enhancements as described in Section 10.4.2. At the end of each quarter, the State shall determine whether the Contractor's performance was sufficient to earn all or a portion of the performance-related delayed payments for M&O and Enhancements for the quarter.

10.0 Service Level Agreements (SLAs) and Open Incidents

10.1 Service Levels Overview

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

- a. Federal penalties
- b. Lost Federal match funding if certain implementation deadlines are missed
- c. Staff productivity losses due to downtime/poor response times
- d. Costs incurred due to any overtime necessitated
- e. Applicant time lost if interface is partially or completely down
- f. Impact on other State systems due to downtime or other processing issues
- g. Negative project impact and/or risk of negative audit findings due to lack of proper documentation or improper procedures
- h. Impact to timeline/budget due to unavailability of key staff resources and/or adequate resources on site

As such, compensation to the Contractor shall be tied to the SLAs below. SLAs apply to all Community Supports IT Systems unless otherwise stated. The Contractor will provide periodic (monthly and quarterly) updates on its performance in relation to the SLAs (Section 4.0 - Reporting). FSSA will hold the Contractor accountable to these SLAs and failure to meet SLAs on a consistent basis could have a significant impact on compensation levels to the Contractor (please see Performance-Based Withholds in Section 10.4.2. Depending on the finalized scope of work, the State reserves the right to implement additional SLAs for system consolidation or significant enhancement rollouts.

The State may waive compliance with any or all SLAs for a specific period of time. The State reserves the right to grant a waiver of the SLAs, and the FSSA CIO or CIO's designee and Contractor shall agree to any waiver, including the timeframe for said waiver, in writing. The Contractor shall provide a plan for complying with SLAs by the end of that time period.

RFP 26-86378 Community Supports IT Systems
Attachment K – Statement of Work (SOW)

10.2 Maintenance and Operations Service Levels

The following are service levels for Maintenance and Operations. These M&O SLAs shall apply to the Contractor's operation of all current systems upon the Contract commencement date and any new system components or enhancements implemented over the Contract period following the Contract commencement date. All service levels shall be reported monthly to the State in a written report, per Section 4.0 - Reporting.

10.2.1 System Uptime

Contractor shall maintain a minimum of 99.8% uptime against a twenty-four (24) hours per day, seven (7) days per week operating schedule, excluding scheduled downtime. The Contractor shall not be held accountable for system downtime that is solely attributable to the FSSA, its vendors and other third parties (such as products), Indiana Office of Technology, and/or its vendors.

10.2.2 User Support and Incidents/Defects/Bugs Correction Timeliness

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

Community Supports IT Systems Priority Codes

Priority Code (JIRA System)	Initial Response, Unless Otherwise Approved by the State	Estimation Response, Unless Otherwise Approved by the State	Incident/Action Updates (if there is an update), Unless Otherwise Approved by the State	Resolution Completion, Unless Otherwise Approved by the State
1 - Resolve Immediately	Thirty (30) minutes during business hours	Two (2) hours during business hours	Every two (2) hours during business hours	Four (4) business hours
2 - High Attention	Thirty (30) minutes during business hours	Two (2) hours during business hours	Every two (2) hours during business hours	Eight (8) business hours
3 - Major	Two (2) hours during	Eight (8) hours during	Daily	Four (4) calendar days

RFP 26-86378 Community Supports IT Systems
Attachment K – Statement of Work (SOW)

	business hours	business hours		
4 - Normal	Three (3) hours during business hours	Next business day	Weekly	Twenty (20) calendar days
5 - Low	Four (4) hours during business hours	Two (2) business days	Bi-Weekly	Thirty (30) calendar days

High Attention (2), Major (3), Normal (4), and Low (5) incidents are only required to be worked during business hours, defined as 8:00am to 5:00pm Monday-Friday Eastern Time, excluding State of Indiana holidays. However, “Resolve Immediately” (1) incidents identified during business hours must continue to be worked after business hours unless the State gives written approval for the incident resolution to continue on the next business day.

If an incident is logged after business hours, the measurement of initial response, estimation response, incident action updates, and resolution times do not begin until the beginning of the next business day at 8:00am Eastern Time. Similarly, incident responsiveness will only be measured during business hours unless the measurement is otherwise noted in calendar days. The requirement for response time compliance is 98% of total measured response times every month. For example, if there are 25 incidents opened in a month, that equates to 100 response time measurements. The Contractor must meet the response times for at least 98% of these measurements in the month.

10.2.3 Open Incidents/Actions

The Contractor shall address open incidents according to the requirements set forth in Section 2.3 - Incident and Problem Management and Contractor's State-approved M&O Plan. The Contractor shall report the number of incidents/actions resolved and remaining open in a given monthly period, the amount of time the action or incident has been open, and the amount of time originally estimated for resolution. The Contractor shall resolve 99% of opened incidents in the required timeframes to the satisfaction of the State.

10.3 System Enhancements Service Levels

The following are service levels for System Enhancements. These System Enhancement SLAs shall apply to the Contractor's work on all State-requested Enhancements, as defined in Section 3.1 - System Enhancement Services Responsibilities.

RFP 26-86378 Community Supports IT Systems
Attachment K – Statement of Work (SOW)

10.3.1 Enhancement Scoping Timeliness

The Contractor shall provide 100% of cost and time estimates within one week from request submission, unless otherwise approved by the State.

10.3.2 Enhancement Completion Timeliness

The Contractor shall complete 100% of requested enhancements within estimated timeframes, unless otherwise approved by the State.

10.3.3 Incident/Defects/Bugs Correction Timeliness

The Contractor shall correct 100% of defects (Priority Level 1 and 2) and 95% of bugs (Priority Level 3, 4, and 5) found during UAT per the timeframes agreed upon with the State at the time the defects/bugs are reported. The Contractor shall receive State approval on which bugs are allowed to be uncorrected before production.

10.3.4 Budget Management

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

10.3.5 Software Quality

The State requires a 90-day warranty for new releases rollouts. During the 90-day warranty period, the Contractor shall fix any post-production defects or bugs at no additional cost to the State. The hours required for the fixes will not count against the Enhancements Hours Pool hours. Fit functionality in relation to user request and agreed-to specifications will be tracked by the State. Corrective Action may be taken to address consistently poor performance.

The Contractor shall not be required to provide warranty for post-production defects/bugs that are solely attributable to FSSA and/or its vendors, and its third parties. Post-production defects or bugs are defined as issues found in UAT that are not fixed in the production environment or are found not to comply with the approved requirements of design documents.

10.4 Corrective Action and Performance-Based Withholds

10.4.1 Corrective Action

It is the State's primary goal to ensure that the Contractor is accountable for delivering quality services as defined and agreed to in the Contract. This includes, but is not limited to, performing all items described in the Statement of Work, completing all deliverables in a timely manner, and generally performing to the satisfaction of the State. Failure to perform in a satisfactory manner may result in Corrective Actions and Payment Withholds described below.

RFP 26-86378 Community Supports IT Systems
Attachment K – Statement of Work (SOW)

The State may require corrective action(s) when the Contractor has failed to provide the requested services. The nature of the corrective action(s) will depend upon the nature, severity and duration of the deficiency and repeated nature of the non-compliance. Severity shall be determined by the State, in its sole discretion.

The written notice of corrective actions may be instituted in any sequence and include, but are not limited to, any of the following:

- a. Written Warning: The State may issue a written warning and solicit a response regarding the Contractor's corrective action.
- b. Formal Corrective Action Plan (CAP): The State may require the Contractor to develop a formal corrective action plan to remedy the breach.
- c. Withholding Full or Partial Invoice Payments: If no acceptable Corrective Action Plan is provided as required above, or after receiving an approved Corrective Action Plan the Contractor has failed to comply with the terms of the Corrective Action Plan, the State may suspend full or partial invoice payments for one (1) or more months for such non-compliance. The State must give the Contractor written notice ten (10) business days prior to the suspension of invoice payments and specific reasons for non-compliance that result in suspension of payments. The State may continue to suspend all invoice payments until non-compliance issues are corrected. However, the State may retain a portion or all of invoiced payments withheld in proportion to the value of lost services.
- d. Assigning the Contractor's Responsibilities to another Contractor: The State may assign the Contractor's responsibilities to one (1) or more other contractors that also provide services for the Statement of Work subject to consent by the Contractor that would gain that responsibility. The State must notify the original Contractor in writing of its intent to transfer its responsibilities to another contractor at least ten (10) business days prior to transferring any services.
- e. Appointing Temporary Management of the Contractor's services: The State may assume management of the Contractor's services or may assign temporary management of the Contractor's services to the State's agent, if at any time the State determines that the Contractor can no longer effectively manage the Services for the Statement of Work.
- f. Contract Termination: The State reserves the right to terminate the contract pursuant to the contract termination clauses in the contract.

If a written warning is issued, the Contractor shall provide a written response regarding their proposed remedies within five (5) business days of the occurrence or State request.

RFP 26-86378 Community Supports IT Systems
Attachment K – Statement of Work (SOW)

The CAP must be approved by the State. If the CAP is not acceptable, the State may provide suggestions and directions to bring the Contractor into compliance.

If a formal CAP is requested, the Contractor shall submit, within ten (10) business days of the occurrence, or State request a formal CAP that addresses the causes of the deficiency, the impacts and the measures being taken and/or recommended to remedy the deficiency, and whether the solution is permanent or temporary. It shall also include a schedule showing when the deficiency shall be remedied, and for when the permanent solution shall be implemented, if appropriate. Upon State's approval of the CAP, the Contractor shall execute the CAP.

The Contractor shall complete all necessary corrective measures within ninety (90) calendar days of discovery of an issue prompting a CAP unless an alternative schedule is agreed to by the State. The Contractor shall provide updates on CAP progress to the State in an agreed upon cadences until the CAP has been successfully completed.

The Contractor shall seek the State's written release from the obligations of the CAP upon successful completion of the CAP and correction of performance.

10.4.2 Performance- Related Delayed Payments

The Contractor shall invoice to the State 90% of the total amount payable each period for both M&O fees and Enhancement costs (see Section 9). As a result of the performance-related delayed payment structure, the remaining 10% shall be held back according to the Contractor's demonstrated and documented performance against the standards listed in this section. At the end of each quarter, the State shall determine whether the Contractor's performance was sufficient to earn all or a portion of the performance-related delayed payments for the quarter.

Any withhold amounts not released reflect the lost value of the services the State did not receive from the Contractor for the time period measured and thus will not be payable to the Contractor. The State's decision to release some of or the entire withheld amount shall be final.

The release of performance-related delayed payments shall be based on the M&O SLAs and Enhancement SLAs as outlined in Section 10.4.2 respectively of the Statement of Work. The percentage payout of performance-related delayed payments related to each invoice category shall be based on the following schedules:

RFP 26-86378 Community Supports IT Systems
Attachment K – Statement of Work (SOW)

Schedule 1: Compliance with Maintenance & Operations Service Levels

Number of Standards Achieved During Month	Percentage Payout of Performance- Related Delayed Payments
3 of 3	100%
2 of 3	50%
1 or 0	0%

The withhold will be based on compliance with the Maintenance and Operations standards set forth in Schedule 1.

For example, if during the quarter, the Contractor met only one (1) of the listed three (3) standards in Schedule 1, the Contractor would receive no performance-related delayed payments held for the quarter allocated to M&O requirements. The permanently withheld performance-related delayed payments for that quarter reflect the lost value of the services the State did not receive from the Contractor during the quarter and will not be payable to the Contractor.

Schedule 2: Compliance with System Enhancements Service Levels

Number of Standards Achieved During Month	Percentage Payout of Performance- Related Delayed Payments
5 of 5	100%
4 of 5	75%
3 of 5	50%
2 of 5	25%
1 or 0	0%

The withhold will be based on compliance with the System Enhancements standards set forth in Schedule 2.

For example, if during the quarter, the Contractor met two (2) of the listed five (5) standards in Schedule 2, the Contractor would receive only 25% of the performance-related delayed payments held for the quarter allocated to System Enhancements requirements. The permanently withheld portion of the performance-related delayed payments for that quarter reflect the lost value of the services the State did not receive from the Contractor during the quarter and will not be payable to the Contractor.