



ALABAMA DEPARTMENT OF HUMAN RESOURCES REQUEST FOR PROPOSALS

RFP Number: 2006-100-01	RFP Title: SACWIS Implementation 2006
RFP Due Date and Time: April 14, 2006 by 4:30 p.m., CST	Number of Pages: 93

PROCUREMENT INFORMATION	
Procurement Officer: Starr Stewart	Issue Date: January 30, 2006
Phone: (334) 353-4744 E-mail Address: sstewart@dhr.state.al.us Website: http://www.dhr.state.al.us	Issuing Division: Children and Family Services Division

INSTRUCTIONS TO VENDORS	
Return Proposal to: Starr Stewart – Policy, Planning and Research Alabama Department of Human Resources Gordon Persons Building, Room 2344 50 Ripley Street Montgomery, AL 36130-4000	Mark Face of Envelope/Package: RFP Number: 2006-100-01 RFP Due Date: April 14, 2006 Special Instructions: <i>Mandatory Pre-proposal Conference: 10:00 a.m. CST February 21, 2006</i>

VENDOR INFORMATION <i>(Vendor must complete the following and return with RFP response)</i>	
Vendor Name/Address:	Authorized Vendor Signatory: (Please print name and sign in ink)
Vendor Phone Number:	Vendor FAX Number:
Vendor Federal I.D. Number:	Vendor E-mail Address:

Proposal is original or copy. Indicate: <input type="checkbox"/> Original <input type="checkbox"/> Copy
Trade Secret Declarations: <u>(reference section/page(s) of trade secret declarations)</u>

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VENDOR'S RFP CHECKLIST

The 10 Most Critical Things to Keep in Mind When Responding to an RFP for the ALABAMA DEPARTMENT OF HUMAN RESOURCES

1. _____ **Read the entire document.** Note critical items such as: mandatory requirements; supplies/services required; submittal dates; number of copies required for submittal; licensing requirements; contract requirements (i.e., contract performance security, insurance requirements, performance and/or reporting requirements, etc.).
2. _____ **Note the procurement officer's name, address, phone numbers and e-mail address.** This is the only person you are allowed to communicate with regarding the RFP and is an excellent source of information for any questions you may have.
3. _____ **Attend the mandatory pre-proposal conference.** These conferences provide an opportunity to ask clarifying questions, obtain a better understanding of the project, or to notify the State of any ambiguities, inconsistencies, or errors in the RFP.
4. _____ **Take advantage of the “question and answer” period(s).** Submit your questions to the procurement officer by the due date(s) listed in the Schedule of Events and view the answers given in the formal “addenda” issued for the RFP. All addenda issued for an RFP are posted on the State’s website and will include all questions asked and answered concerning the RFP.
5. _____ **Follow the format required in the RFP** when preparing your response. Provide point-by-point responses to all sections in a clear and concise manner.
6. _____ **Provide complete answers/descriptions.** Read and answer **all** questions and requirements. Don’t assume the State or evaluation committee will know what your company capabilities are or what items/services you can provide, even if you have previously contracted with the State. The proposals are evaluated based solely on the information and materials provided in your response.
7. _____ **Use the forms provided**, i.e., cover page, sample budget form, certification forms, etc.
8. _____ **Check the State’s website for RFP addenda.** It is the Vendor’s responsibility to check the State’s website at www.dhr.state.al.us for any addenda issued for this RFP, no further notification will be provided. Vendors must submit a signed cover sheet for each addendum issued along with your RFP response.
9. _____ **Review and read the RFP document again** to make sure that you have addressed all requirements. Your original response and the requested copies must be identical and be complete. The copies are provided to the evaluation committee members and will be used to score your response.
10. _____ **Submit your response on time.** Note all the dates and times listed in the Schedule of Events and within the document, and be sure to submit all required items on time. Late proposal responses are *never* accepted.

This checklist is provided for assistance only and should not be submitted with Vendor’s Response.

SCHEDULE OF EVENTS

The following RFP Schedule of Events represents the State's best estimate of the schedule that shall be followed. Except for the deadlines associated with the vendor question and answer periods and the proposal due date, the other dates provided in the schedule are estimates and will be impacted by the number of proposals received. The State reserves the right, at its sole discretion, to adjust this schedule as it deems necessary. Notification of any adjustment to the Schedule of Events shall be posted on the RFP website as detailed in Section 1.3.3 of this RFP. Unless otherwise specified, the time of day for the following events shall be between 8:00 a.m. and 4:30 p.m., Central Time.

EVENT	DATE
SACWIS RFP Issued	1/31/06
Deadline for Receipt of First Written Questions	2/9/06
Mandatory Pre-Proposal Conference	2/21/06
State Posts First Written Answers to the State’s Website	2/28/06
Deadline for Receipt of Second Written Questions	3/7/06
State Posts Second Written Answers to the State’s Website	3/14/06
Vendor SACWIS Proposals Due	4/14/06
State Completes Initial Evaluation.....	5/5/06
State Makes “Proposals Likely to Award” Determination	5/5/06
State Completes Site Visits.....	6/26/06
State Completes Vendor Oral Presentations and Product Demonstrations	7/10/06
State Completes Final Evaluation.....	8/11/06
Proposal Submitted for Federal Approval	8/11/06
State Issues Intent to Award	9/25/06
Vendor Protest Period.....	9/25 – 9/27/06
Contract Negotiations	9/28/06
State and Vendor Sign Contract.....	10/5/06
Approval of State Legislative Oversight Committee*	10/16/06
Vendor Begins Work	10/23/06

** By State law, all contracts must be reviewed by the Legislative Oversight Committee. The Committee meets monthly and can, at its discretion, hold a contract for up to 45 days. The “Vendor Begins Work” date above may be impacted by the timing of the contract submission to the Committee for review and/or by action of the Committee itself.*

SECTION 1: PROJECT OVERVIEW AND INSTRUCTIONS

1.0 PROJECT OVERVIEW

The ALABAMA DEPARTMENT OF HUMAN RESOURCES, (hereinafter referred to as “the State”), invites qualified Vendors to submit a proposal to deliver and implement a Statewide Automated Child Welfare Information System (SACWIS). The State is open to all responsible vendor solutions for delivery of the SACWIS system, including the transfer of a compatible system from another state and modifying it to meet Alabama-specific requirements, adding functionality to the existing ASSIST legacy system to encompass all remaining Alabama requirements, or a custom-developed solution based on Alabama requirements. The system must meet the information needs for all service components of child welfare and Adult Protective Services case management, licensing, provider payments, program planning and policy development, grants and contract management and agency administration. The system must also meet Federal requirements for SACWIS planning, designing, development, and implementation [ACF-OISM-001 and ACF-OSS-05] and reporting requirements for AFCARS, Chafee Independent Living, and NCANDS [45 CFR Parts 1355, 1356 and 1357]. Because the child welfare system is being held to higher standards of accountability than ever before, case workers and management must have an information system that provides greater access to reliable information in the least amount of time. Child Welfare and Adult Protective Services caseworkers must have a system that is accessible, easy to navigate, alleviates repetitious data entry and duplication of effort, and assists with better utilization of work time. The goal of this SACWIS project is to support more efficient delivery of services to families, children and the community. To that end, DHR is soliciting proposals for the development, implementation, and one-year warranty/maintenance of a SACWIS system. A more complete description of the services sought for this project is provided in Section 4, Scope of Project.

1.1 CONTRACT TERM

The contract term is for a period of three years from the date of contract execution, the maximum contract term allowed by state law. The contract terms will allow for up to two additional option years by mutual agreement of both parties at one-year intervals, or any interval that is advantageous to the State, not to exceed a total of two option years. The total possible term of this contract is five years composed of the initial three-year term and up to two additional option years.

1.2 SINGLE POINT OF CONTACT

From the date this Request for Proposal (RFP) is issued until a Vendor is selected and the selection is announced by the procurement officer, all communication must be directed to the procurement officer in charge of this solicitation. **Vendors must not communicate with any State staff or officials regarding this procurement with the exception of the procurement officer.** Any unauthorized contact may disqualify the Vendor from further consideration. Contact information for the single point of contact is as follows:

Procurement Officer: Starr Stewart – Policy, Planning, and Research
Address: Alabama Department of Human Resources
Gordon Persons Building, Room 2344
50 Ripley Street
Montgomery, Alabama 36130-4000
Telephone Number: (334) 353-4744
E-Mail Address: ssstewart@dhr.state.al.us

1.3 REQUIRED REVIEW

1.3.1 REVIEW RFP

Vendors should carefully review the RFP and all requirements prior to the Pre-Proposal Conference. The RFP will be posted on the DHR website at www.dhr.state.al.us.

1.3.2 FORM OF QUESTIONS

Vendors with questions requiring clarification or interpretation of any section within this RFP have two opportunities to submit questions and receive formal, written replies from the State. Questions submitted on or before February 9, 2006, will be answered no later than February 28, 2006. Questions submitted on or before March 7, 2006, will be answered no later than March 14, 2006.

Each question must be submitted to the procurement officer via email and provide clear reference to the section, page, and item in question. Vendors must submit all questions posed in a single email message to the procurement officer. Questions received after the second deadline will not be considered.

1.3.3 STATE'S ANSWERS

The State will provide an official written answer by February 28, 2006, to all questions received by February 9, 2006. The State will provide an official written answer by March 14, 2006, to all questions received by March 7, 2006. The State's response will either provide clarification of the applicable issue or be in the form of a correction, for any answers that substantially modify the RFP. Vendor questions and the State's responses, as well as any formal written addendum, will be posted on the State's website along with the RFP at www.dhr.state.al.us by the close of business on the date listed.

1.4 PRE-PROPOSAL CONFERENCE

A mandatory Pre-Proposal Conference will be conducted at the *Gordon Persons Auditorium at 50 Ripley Street in Montgomery, Alabama on February 21, 2006 at 9:00 a.m. Central Time.* Vendors may use this opportunity to ask clarifying questions or obtain a better understanding of the project or to notify the State of any ambiguity, inconsistency, or error that they may discover upon examination of this RFP. At this conference, the State will, to the extent feasible, provide oral answers to the first submission of vendor questions. Oral responses provided to vendor questions are informational only and in no way bind the State. Written answers will be posted as

noted in the Schedule of Events and constitute the official, binding State responses to all vendor questions.

1.5 GENERAL REQUIREMENTS

1.5.1 ACCEPTANCE OF STANDARD TERMS AND CONDITIONS

By submitting a response to this RFP, Vendor agrees to acceptance of the standard terms and conditions as set out in this RFP. Requests for additions or exceptions to the standard terms and conditions are not allowed. Where there are discrepancies found among the documents, the ASSIST Implementation Contract terms and conditions will take precedence over those of this RFP, and the RFP terms and conditions will take precedence over those within the Vendor proposal.

1.5.2 DISCLOSURE STATEMENT

Alabama law provides that a foreign corporation (an out-of-state company/firm) may not transact business in the State of Alabama without submission of a completed Disclosure Statement to the Alabama Division of Purchasing. Disclosure Statements may be downloaded from the Alabama Purchasing website at www.purchasing.state.al.us.

1.5.3 MANDATORY REQUIREMENTS

All requirements set forth in this procurement are considered mandatory. To be eligible for consideration, a Vendor's proposal must meet all requirements in this RFP and the attached Functional Requirements in Appendix E. The State will determine whether a Vendor's RFP response complies with the requirements. RFP responses that do not meet all requirements listed in this RFP may be subject to point reductions during the evaluation process or may be deemed non-responsive.

1.5.4 VENDOR PROCESS MATURITY

The State requires that any systems development effort performed for its use be done by a Vendor that has been assessed as Capability Maturity Model Integration (CMMI) Level 3 or higher. In compliance with this mandate, any proposing Vendor shall provide documentation as evidence of a CMMI (or equivalent) Level 3 assessment as conducted by a certified Lead Assessor and independent assessment team for all organizations, including subcontractors, that will be performing work related to the contract resulting from this RFP. This documentation shall include the results of the assessment as well as any corrective action plans required if the assessment shows a failure to achieve a Level 3 rating.

In the absence of a successful independent CMMI Level 3 assessment within the two years preceding the proposal due date, or for a self-assessment, the Vendor shall provide a risk mitigation plan, an implementation plan, and a schedule for achieving full compliance with the required CMMI Level 3 rating. If the Level 3 assessment was not conducted on the Vendor's specific business unit proposed to conduct the State's SACWIS implementation, the Vendor shall provide information indicating how the software development processes for the organization assessed will be tailored and executed for specific application to this project. Likewise, if a successful CMMI Level 3 assessment has not been conducted on a proposed subcontractor, the Vendor shall provide information indicating how appropriate process discipline will be transferred, monitored and enforced for all subcontractors.

1.5.5 UNDERSTANDING OF SPECIFICATIONS AND REQUIREMENTS

By submitting a response to this RFP, Vendor agrees to an understanding of and compliance with the specifications and requirements described in this RFP.

1.5.6 PRIME CONTRACTOR/SUBCONTRACTORS

If a contract is awarded, the Vendor selected to be the prime contractor shall be responsible in total for all work of any subcontractors. The Vendor shall not assign, transfer or subcontract any portion of the contract without the express written consent of the State. The Vendor shall be responsible to the State for the acts and omissions of all subcontractors or agents and of persons directly or indirectly employed by such subcontractors, and for the acts and omissions of persons employed directly by the Vendor. Further, nothing contained within this document or any contract documents created as a result of any contract awards derived from this RFP shall create any contractual relationships between any subcontractor and the State.

If a proposing Vendor intends to use subcontractors, the Vendor must identify in the proposal the names of the subcontractors, portions of the work the subcontractors will perform, and background and experience qualifications as set out in Section 5.1.3.2 (Subcontractor Profile). A Vendor's failure to provide this information may cause the State to consider its proposal non-responsive and reject it.

1.5.7 JOINT VENTURES

Joint ventures are not acceptable in response to this RFP. If multiple Vendors are proposing to jointly perform the SACWIS ASSIST (Alabama Social Services Information System) implementation project, the proposal must be submitted in the form of a prime contractor/subcontractor(s) as set out in Section 1.5.6 of this RFP.

1.5.8 EXCLUSION FROM PARALLEL SERVICES

In parallel with the issuance of this ASSIST Implementation RFP, the State will also retain an external Vendor to provide quality assurance (QA) and independent verification and validation (IV&V) services during the ASSIST project. The ASSIST Quality Assurance Vendor will be in place prior to the start date of the ASSIST Implementation Contract. A Vendor will not be allowed to submit proposals to provide both ASSIST Implementation and ASSIST quality assurance services, whether as prime contractor and/or subcontractor. By submitting a proposal in response to this RFP, Vendor agrees that it will not be a candidate for the QA/IV&V Contract.

1.5.9 VENDOR'S SIGNATURE

The proposals must be signed in ink by an individual authorized to legally bind the business submitting the proposal. The Vendor's signature on a proposal in response to this RFP guarantees that the offer has been established without collusion and without effort to preclude the State from obtaining the best possible supply or service. Proof of authority of the person signing the RFP response must be furnished upon request.

1.5.10 OFFER IN EFFECT FOR 180 DAYS

A proposal may not be modified, withdrawn or canceled by the Vendor for a 180-day period following the deadline for proposal submission as defined in the Schedule of Events, or receipt of best and final offer, if required, and Vendor so agrees in submitting the proposal.

1.6 SUBMITTING A PROPOSAL

1.6.1 ORGANIZATION OF PROPOSAL

Vendors must submit a signed copy of the RFP cover sheet and the Proposal Compliance Checklist form attached as Appendix B to respond to this RFP. Vendors must label each RFP response item with the associated RFP section and subsection numbers. For example, the Vendor's proposed Project Management Methodology must be labeled 5.1.4.3.2 (a – k).

1.6.2 FAILURE TO COMPLY WITH INSTRUCTIONS

The State may deem non-responsive, and thus disqualify from further consideration, any proposals that do not follow the instructions set out in this RFP or are missing any requested information.

1.6.3 MULTIPLE PROPOSALS

Vendors may only participate in a single proposal in response to this RFP, either as prime contractor or subcontractor. If multiple proposals are received in which a Vendor is proposed as either prime or subcontractor, all proposals including said Vendor will be deemed non-responsive and excluded from consideration.

1.6.4 PRICE SHEETS

Vendors must respond to this RFP by utilizing the Vendor Price Sheets found in Appendix C. These price sheets will be used as the primary representation of each Vendor's cost/price, and will be used extensively during proposal evaluations. Additional information should be included as necessary to explain in detail the Vendor's cost/price.

1.6.5 SEPARATE COVER

Vendor Cost Proposals (Price Sheets) and Vendor Technical Proposals must be submitted in separately sealed containers. No pricing information shall be included in the Vendor Technical Proposal document. Inclusion of Price Sheet amounts in the Vendor Technical Proposal document shall make the entire proposal non-responsive.

1.6.6 COPIES REQUIRED

Vendors must submit the following versions of their Price Sheets and Technical Proposal documents to Policy, Planning and Research:

- One (1) original document with original signatures in ink;
- Ten (10) hard copies of the original paper document;
- One (1) electronic (PDF preferred) copy of the document on CD, DVD, or floppy disk clearly labeled with the Vendor name.

The Price Sheets and Technical Proposals must be submitted under separate cover as set out in Section 1.6.5 above. Thus, each container will include one original document, plus ten hard copies and one electronic copy of the original document.

1.6.7 DEADLINE FOR RECEIPT OF PROPOSALS

Proposals must be sealed and labeled on the outside of the package to clearly indicate that they are in response to RFP 2006-100-01. *Proposals must be received at the receptionist's desk of the Planning Division by close of business on April 14, 2006. Facsimile responses to requests for proposals are NOT accepted.*

1.6.8 LATE PROPOSALS

Regardless of cause, late proposals will not be accepted and will automatically be disqualified from further consideration. It shall be the Vendor's sole risk to assure delivery at the receptionist's desk at the designated office by the designated time. Late proposals will not be opened and may be returned to the Vendor at the expense of the Vendor or destroyed if requested.

1.7 COST OF PREPARING A PROPOSAL

1.7.1 STATE NOT RESPONSIBLE FOR PREPARATION COSTS

The costs for developing and delivering responses to this RFP and any subsequent presentations of the proposal as requested by the State are entirely the responsibility of the Vendor. The State is not liable for any expense incurred by the Vendor in the preparation and presentation of their proposal or any other costs incurred by the Vendor prior to execution of a contract.

1.7.2 ALL TIMELY SUBMITTED MATERIALS BECOME STATE PROPERTY

All materials submitted in response to this RFP become the property of the State and are to be appended to any formal documentation, which would further define or expand any contractual relationship between the State and Vendor resulting from this RFP process.

SECTION 2: RFP STANDARD INFORMATION

2.0 AUTHORITY

This RFP is issued under the authority of Section 41-16-72 of the Alabama Code (Act 2001-956, 2001 3rd Sp. Sess., p 817, §1.) and 45 CFR 74.40 through 74.48. The RFP process is a procurement option allowing the award to be based on stated evaluation criteria. The RFP states the relative importance of all evaluation criteria. No other evaluation criteria, other than as outlined in the RFP, will be used.

2.1 VENDOR COMPETITION

In accordance with 45 CFR 74.43, the State encourages free and open competition among Vendors. Whenever possible, the State will design specifications, proposal requests, and conditions to accomplish this objective, consistent with the necessity to satisfy the State's need to procure technically sound, cost-effective services and supplies.

2.2 NONDISCRIMINATION

In accordance with 45 CFR 74.44, no person shall be excluded from participation in, be denied benefits of, be discriminated against in the admission or access to, or be discriminated against in treatment or employment in the State's contracted programs or activities on the grounds of handicap and/or disability, age, race, color, religion, sex, national origin, or any other classification protected by Federal or Alabama State Constitutional or statutory law; nor shall they be excluded from participation in, be denied benefits of, or be otherwise subjected to discrimination in the performance of contracts with the State or in the employment practices of the State's contractors. Accordingly, all Vendors entering into contracts with the State shall, upon request, be required to show proof of such nondiscrimination and to post in conspicuous places, available to all employees and applicants, notices of nondiscrimination.

2.3 RECEIPT OF PROPOSALS AND PUBLIC INSPECTION

2.3.1 PUBLIC INFORMATION

All information received in response to this RFP, including copyrighted material, is deemed public information and will be made available for public viewing and copying shortly after the signing of contracts. The sole exceptions to this are as follow: (1) trade secrets meeting the requirements of the Alabama Trade Secrets Act, that have been properly marked, separated, and documented; and (2) any company financial information requested by the State to determine Vendor responsibility, unless prior written consent has been given by the Vendor.

2.3.2 PROCUREMENT OFFICER REVIEW OF PROPOSALS

Upon opening the proposals received in response to this RFP, the procurement officer in charge of the solicitation will review the proposals and separate any information that meets the referenced exceptions in Section 2.3.1 above, providing the following conditions have been met:

- Confidential information is clearly marked and separated from the rest of the proposal;
- The proposal does not contain confidential material in the cost or price section;
- An affidavit from a Vendor's legal counsel attesting to and explaining the validity of the trade secret claim is attached to each proposal containing trade secrets. Counsel must use the State "Affidavit for Trade Secret Confidentiality" form in requesting the trade secret claim. This affidavit form is included in this RFP as Appendix D.

Information separated under this process will be available for review only by the procurement officer, the evaluation committee members, and limited other designees. Vendors must be prepared to pay all legal costs and fees associated with defending a claim for confidentiality in the event of a "right to know" (open records) request from another party.

2.4 CLASSIFICATION AND EVALUATION OF PROPOSALS

2.4.1 INITIAL CLASSIFICATION OF PROPOSALS AS RESPONSIVE OR NON-RESPONSIVE

All proposals will initially be classified as either "responsive" or "non-responsive". Proposals may be found non-responsive at any time during the evaluation process or contract negotiation if any of the required information is not provided; the submitted price is found to be excessive or inadequate as measured by criteria stated in the RFP; or the proposal is not within the plans and specifications described and required in the RFP. If a proposal is found to be non-responsive, it will not be considered further.

Proposals failing to demonstrate that the Vendor meets the following mandatory requirements will be deemed non-responsive and not considered further in the evaluation process (and thereby rejected):

- CMMI Level 3 assessment or equivalent as set out in Section 1.5.4 of this RFP;
- Two (2) years experience working with government information systems project(s);
- Two (2) years experience working with case management software; for the purposes of this RFP, case management software is defined as software supporting the integrated creation, storage, and management of client, case, workflow, calendar, and document data. Case management software must facilitate the communication and work product flow across participating parties and support multiple views on the same data, including but not limited to client and case;
- Five (5) years experience developing web-enabled applications using relational database management systems;
- Five (5) years experience with application design, development, and implementation of systems of similar size, scope, and complexity;
- Three (3) years experience in applications development/implementation for health and human services organizations.

2.4.2 DETERMINATION OF RESPONSIBILITY

The procurement officer will determine whether a Vendor has met the standards of responsibility. Such a determination may be made at any time during the evaluation process and through contract negotiation if information surfaces that would result in a determination of non-responsibility. If a Vendor is found non-responsible, the determination will be communicated in writing, made a part of the procurement file and mailed to the affected Vendor.

2.4.3 EVALUATION OF PROPOSALS

The evaluation committee will evaluate the remaining proposals and recommend whether to award the contract to the highest scoring Vendor or, if necessary, to seek discussion/negotiation of a best and final offer in order to determine the highest scoring Vendor. All responsive proposals will be evaluated based on stated evaluation criteria. In scoring against stated criteria, the State may consider such factors as accepted industry standards and a comparative evaluation of all other qualified RFP responses in terms of differing price, quality, and contractual factors. These scores will be used to determine the most advantageous offering to the State.

2.4.4 COMPLETENESS OF PROPOSALS

Selection and award will be based on the Vendor's proposal and other items outlined in this RFP. Submitted responses may not include references to information located elsewhere, such as Internet websites or libraries, unless specifically requested by the State in this RFP. Information or materials presented by Vendors outside the formal response or subsequent discussion/negotiation of a "best and final offer," if requested, will not be considered, will have no bearing on any award, and may result in the Vendor being disqualified from further consideration.

2.4.5 OPPORTUNITY FOR ADDITIONAL INFORMATION

The State reserves the right to contact any Vendor submitting a proposal for the purpose of clarifying issues in that Vendor's proposal. Vendors should clearly designate in their proposal a point-of-contact for questions or issues that arise in the State's review of a Vendor's proposal. Upon receipt of all proposals, the State will conduct a comprehensive review and evaluation process resulting in a subset of the proposals being designated as "reasonably likely to award."

Vendors whose proposals are determined "reasonably likely to award" may also be required to make an oral presentation and/or product demonstration at DHR headquarters in Montgomery, AL, to clarify their RFP response or to further define their offer. Oral presentations and product demonstrations, if requested, shall be at the Vendor's expense. The State's intent with regard to the oral presentation and product demonstration is to gauge the level of competence of proposed project staff and to evaluate the suitability of the Vendor's product and approach. To that end, the State requires that the key project staff identified by the Vendor in its proposal facilitate and direct the oral presentation and product demonstration. For the purposes of this oral presentation and product demonstration, the key staff positions include the Engagement Manager, Project Manager, Technical Manager, Functional Manager, and Conversion Manager.

If a Vendor is proposing to transfer a system as part of its solution to this RFP, the Vendor must name the state or location where the base system is in production. At the State's discretion and in its best interest, State staff may make site visits to investigate Vendor capabilities and transfer system suitability. It is the State's expectation that the users of the system in production proposed

by the Vendor be responsible for presenting the system without Vendor involvement or intervention. Any such site visit will use a structured methodology and objective data to assess the capabilities of the base system.

At the point the State notifies the selected Vendor of its award, the State will enter into negotiations with the Vendor. The State may require that these negotiations be face-to-face. If the State so chooses, the Vendor must arrange for adequate and knowledgeable staff to travel to DHR headquarters in Montgomery, AL, to negotiate the terms of the contract. The travel to and from Montgomery, AL, and any expenses incurred as a result of the travel, is at the Vendor's expense.

2.4.6 BEST AND FINAL OFFER

The "Best and Final Offer" is an option available to the State under the RFP process, which permits the State to request a "best and final offer" from one or more Vendors if additional information is required to make a final decision. Vendors may be contacted asking that they submit their "best and final offer," which must include any and all discussed and/or negotiated changes. The State reserves the right to request a "best and final offer" for this RFP, based on price/cost alone.

2.5 STATE'S RIGHTS RESERVED

While the State has every intention to award a contract as a result of this RFP, issuance of the RFP in no way constitutes a commitment by the State to award and execute a contract. Upon a determination such actions would be in its best interest, the State, in its sole discretion, reserves the right to:

- Cancel or terminate this RFP, if it is deemed by the State to be in its best interest to do so;
- Reject any or all of the proposals submitted in response to this RFP;
- Change its decision with respect to the selection and to select another proposal, or to cancel the RFP, if it is deemed by the State to be in its best interest to do so;
- Waive any minor irregularity in an otherwise valid proposal which would not jeopardize the overall program and to award a contract on the basis of such a waiver in the event the State determines that such award is in the best interest of the State (minor irregularities are those which will not have a significant adverse effect on overall project cost or performance);
- Negotiate with any Vendor whose proposal is within the competitive range with respect to technical plan and cost;
- Adopt to its use all, or any part, of a Vendor's proposal and to use any idea or all ideas presented in a proposal;
- Require Vendors submitting proposals identified as reasonably likely to award to provide oral presentations and/or product demonstrations of their proposals in person at the Department of Human Resources in Montgomery, AL, at Vendor expense, as set out in Section 7.1.6 of this RFP;

- Amend the RFP. Amendments to the RFP will be made by written addendum issued by the State and will be posted on the RFP website;
- Not award if it is in the best interest of the State not to proceed with contract execution;
- If awarded, terminate any contract if the State determines adequate State funds are not available.

All contracts awarded by this State are subject to review and approval by the Legislative Oversight Committee and the Governor's Office.

SECTION 3: BACKGROUND

3.0 ALABAMA DHR BACKGROUND

The Alabama Department of Human Resources (DHR) is an agency of Alabama State Government headquartered in Montgomery, Alabama. Major programs of the State include Food Stamps, Child Support, Temporary Assistance to Needy Families (TANF), welfare-to-work programs, Adult Protective Services, Child Day Care Services, and Family Services.

DHR operates under the purview of the State Board of Human Resources with the Governor serving as Chairman of the Board and appointed board members serving six-year terms. The Board functions to approve major administrative actions including approval of the annual operating budget and the appointment of the DHR Commissioner.

DHR is a county-based, State administered agency with each of the 67 county offices having an appointed County Director. The agency has approximately 4,300 State merit system employees with most employees working in the county offices. Social workers represent the largest classification of employees within the Department.

3.1 DEPARTMENT OF HUMAN RESOURCES MISSION

The mission of the DHR is to partner with communities to promote family stability and provide for the safety and self-sufficiency of vulnerable Alabamians. The State's vision is to be an organization which is client focused, knowledge driven, result oriented, cooperative and collaborative with all stakeholders, open and effective in communications, and structured to provide quality and timely services.

The State employed 2,016 Child Welfare and Adult Protective Services staff, comprised of staff at both the State Office and county level, as of June 2005. The number of clients open for child welfare and adult protective services as of March 2005 was 45,148.

3.2 FAMILY SERVICES DIVISION (FSD)

Within DHR, the organizational group having responsibility for SACWIS related services is the Family Services Division (FSD). FSD's mission is to help families receive the least disruptive services they need, when they need them, and for only as long as they need them in order to maintain children in or return them to a safe, stable home. FSD develops programs, policies, and standards which govern social services directed toward the goals of prevention of and/or assisting in the solution of problems that may result from, or contribute to, dependency, neglect, abuse, or exploitation of children or adults; strengthening family life; and provision of adequate care for children in and away from their own homes. State office consultation is provided to county staff concerning these programs. In addition, FSD carries out foster home licensing functions and provides certain direct services, such as adoption placements. FSD works

cooperatively with other Divisions of DHR in planning resource allocation, monitoring, and evaluation of service programs for adults, families, and children.

FSD is responsible for the social service and eligibility components of the Title IV-E plan and program including Independent Living Services, as well as the Title IV-B plan and programs for children and their families funded through Title XX. In addition, FSD supports the child welfare reform efforts in accordance with the settlement requirements of a 1991 child welfare lawsuit known as the R.C. v. Walley Consent Decree. These social services are provided through a State-financed and supervised and locally administered program in all 67 counties. FSD is responsible for maintaining appropriate statistics and controls used to manage the program, developing provider resources, maximizing funding sources, conducting fair hearings, and monitoring program compliance.

FSD is responsible for developing, operating, and sustaining a system of child welfare services in accordance with the goals and principles of the R.C. v. Walley Consent Decree, which are as follows:

- Children will be protected from abuse and neglect;
- Children will live with their families whenever possible and when that cannot be achieved through the provision of services, children will live near their homes in the least restrictive environment that can meet their needs;
- Children will achieve stability and permanency in their living situation;
- Children will achieve success in school. Children will become stable, gainfully employed adults.

3.3 PROJECT GOALS, CURRENT STATUS

The ASSIST SACWIS project for Alabama is under the auspices of the Family Services program of DHR that serves the child welfare population. The project also includes the Adult Protective Services functions of the State. There are approximately 6,000 children in foster care of some kind in the State, and approximately 1,650 child welfare and adult services staff positions in the counties.

The ASSIST project will provide the tools to:

- Promote the safety, permanency, and well-being of children served by the State;
- Meet all Federal SACWIS requirements;
- Support the implementation and sustainability of the R.C. v. Walley Consent Decree;
- Promote family-centered, outcome-based social work practice for the Child Welfare (CW) and the Adult Protective Services (APS) programs;
- Emphasize the preservation of the family unit;
- Improve the ability to evaluate the performance of Adult Protective Services and Family Services;

- Achieve more coordinated, effective services;
- Meet all data processing hardware, software, and programming standards of DHR's Center for Information Services (CIS) and the Department of Finance, Information Services Division (Finance - ISD).

The quality of DHR services hinges on its ability to capture and retrieve pertinent information in an accurate and timely manner. ASSIST will provide DHR with a comprehensive, integrated automated information system that is worker-driven, but also capable of capturing management information needs. This will enhance the quality of DHR services by supporting the information needs of field workers as well as county and State decision-makers. The system will capture, monitor, and account for all factors of social services including: foster care and adoption services; child and adult protection and out-of-home care; family preservation and support services; and independent living services.

ASSIST will make it possible for DHR to improve its service delivery by electronically collecting information that will:

- Permit the State to maintain an inventory of all children in the care or custody of DHR, as well as all adults receiving protective services or in protective placements;
- Contain a case review system that provides for a case plan, periodic reviews, and procedural safeguards;
- Provide for the collection and management of information necessary to facilitate client intake, eligibility for Federal programs, client service authorization, and client service tracking;
- Track the costs of service delivery and Federal claiming of costs;
- Support the delivery of client services, acceptance and referral of clients, and evaluation of the need for services;
- Permit integration of the State's various programs and functions to provide a comprehensive, reliable information source;
- Make data available for management reporting;
- Support online summary of case activities;
- Provide case and client status at a glance;
- Generate documents, alerts, and reports as needed;
- Support effective use of the ASSIST application.

The system will support the full scope of services provided by DHR's Family Services Division and Adult Protective Services Division. It will provide the information required to document and evaluate progress in reforming child welfare practice and in implementing foster care initiatives.

Using in-house management and a combination of State and Vendor staff, DHR has implemented two SACWIS ASSIST releases in the past four years. The first, completed in 2001, included Intake Management and Assessment of Child Abuse/Neglect cases. The second, completed earlier this year, web-enabled Release One functionality and added Prevention functionality for child welfare. Release 2 of ASSIST is in production in every county and is being used by all Child Protective Services workers and Adult Protective Services workers for CPS intake and assessments and adult abuse, neglect and exploitation cases.

3.4 PROJECT WORK ENVIRONMENT

3.4.1 LOCATION OF WORK

The primary location where work is to be performed, completed and managed is Montgomery, AL. However, it is anticipated that the Vendor may need to travel to county offices or other DHR sites in Alabama during the course of the project.

It is the requirement of the State for the major development and management of project operations to occur in Montgomery, AL, to facilitate oversight of the project. The State does not object to alternative development sites for some limited project roles requiring little client/user interaction. The State will not allow any development related to this project to take place outside the borders of the United States.

If the Vendor elects to propose an alternative development location consistent with these constraints, a plan for facilitating oversight and communications, and the rationale for the proposal must be submitted. This plan should include any special preparations (hardware, software, installation, and support) for video-conferencing or other proposed means, and office space and equipment for State workers at the development site. Costs associated with this plan must be included in the cost proposal.

All Vendor costs associated with travel to Montgomery and other DHR locations during the course of the project, as well as lodging and per diem costs must be included in the Vendor's cost proposal.

3.4.2 WORKSPACE

The State will not provide workspace for Vendor staff. The Vendor must provide workspace for their entire project team except as provided in 3.4.1. The Vendor must include provision in the proposal to secure adequate office space for their entire project team within ten (10) miles of the Gordon Persons Building (location of the Alabama DHR) in downtown Montgomery.

In addition to meeting the needs of their project staff, the Vendor's office must include a conference room and workspace for up to twenty (20) members of State of Alabama DHR ASSIST team and a smaller number of QA Vendor staff. The exact number of QA Vendor staff will be determined at a later date but is not expected to be greater than six. DHR reserves the right to reject any facilities that the State deems objectionable. Specifics of this arrangement are subject to review during contract negotiation.

3.4.3 TECHNICAL INFRASTRUCTURE

The Vendor will provide the technical environment required to support their facility. This will include the following for all staff, State, QA Vendor and Implementation Vendor, housed at the facility:

- Workstations *;
- Office automation software (MS Office 2003 to be compatible with State standards);
- Application development software;
- Local area network;
- Connections to the DHR network;
- Printers, Faxes, Copiers.

The technical environment provided must be compatible with the DHR technical environment and standards as set out in Section 3.16.

** The State assumes that the QA Vendor will provide PCs for its staff but will need physical office space, network connections, and access to basic office equipment.*

3.5 CHILD PROTECTIVE SERVICES PROCESSES

Child Protective Services (CPS) are provided in response to concerns from all sectors of the community. They are directed toward preventing or remedying the abuse/neglect of children who are under the age of eighteen (18) and are unable to protect themselves. Child Protective Services includes the following services:

3.5.1 CHILD ABUSE AND NEGLECT REPORT (CA/N)

CA/N includes the intake of a report of allegation of abuse or neglect of a child; assessing the threat of serious harm to the child; initiating court involvement for removal of child; assessing needs of the child and the child's family; and providing on-going services to the child and the child's family.

3.5.1.1. Within the CA/N service, Alabama is required by policy to:

- Begin investigation and have contact with child within 12 hours for immediate threat of serious harm and within five calendar days for other reports of abuse and neglect of children (under the age of 18);
- Complete a safety assessment for the child;
- Complete a CA/N investigation within 90 calendar days of receipt of report;
- Develop an Individualized Service Plan (ISP – a written, comprehensive assessment) on each family receiving child welfare services. The ISP process includes the identification of strengths, risks, underlying conditions/needs that are creating the risks, and the identification and provision of services to address these underlying conditions/needs. The ISP identifies issues with regard to the safety, permanency, and well-being of children in the areas of education, emotional health, and physical health. A single format for

documenting the ISP is provided in policy. The ISP document consists of the identification of the desired permanency outcome, a list of agreed upon strengths, needs and risks, the goals to be achieved and the steps necessary to achieve the goals. Policy requires that an initial ISP be developed within 30 days on all open cases. The ISP must be reviewed and updated every six months.

3.5.1.2. Policy provides for Due Process for persons with a preliminary substantiated (indicated) finding of child abuse or neglect. Alabama currently has 2 different procedures for providing due process for persons alleged to have abused or neglected a child. One procedure is referenced as Child Abuse and Neglect (CA/N) Administrative Hearing. In accordance with Alabama law (Code of Alabama 26-14-7.1), hearing procedures must be provided to persons with a preliminary substantiated finding of having abused or neglected a child and who is employed, serves as a volunteer, holds a license or certificate for, or is connected with any facility, agency, or home which cares for and controls any children and which is licensed, approved, or certified by the State etc. These due process procedures are managed by the State's Attorney General's Office and are conducted in a court-like environment. The second due process procedure is designed to provide an administrative record review process for those persons that do not receive an administrative hearing. In this second procedure, the case material is reviewed by DHR employees who are not involved in the case and have authority to overturn the County's disposition if the case record does not have adequate documentation to support the substantiated finding of abuse or neglect. Persons' who are subjects of the administrative record review process have an opportunity to submit written information to the administrative record reviewers to prove they are not responsible for the abuse or neglect. In both procedures, the people's names are entered into the State's Central Registry on Child Abuse and Neglect.

3.5.2 CPS PREVENTION REFERRAL

Prevention referral includes intake of a referral of maltreatment to a child; assessing the risk of maltreatment to the child; assessing the needs of the child and the child's family; and providing on-going services to the child and the child's family. Within the CPS Prevention Referral service, Alabama is required by policy to:

- Initiate contact with the child identified at risk of maltreatment within five calendar days referral of children (under the age of 18);
- Complete a CPS Prevention within 90 calendar days of receipt of referral;
- Develop an Individualized Service Plan (see Section 3.5.1.1 for a description of the ISP process).

3.5.3 ONGOING PROTECTIVE SERVICES

A protective service case will be opened for those families identified with ongoing service needs to ensure the child's safety and well being.

3.5.3.1 All children/families opened for ongoing protective services must have a Comprehensive Family Assessment (CFA) initiated within 30 days of the opening of the case and continued until the case is safely closed. This is the process of gathering information from and about the child and family in order to gain an understanding of needs to be addressed and to evaluate progress toward meeting those needs. The information is analyzed and conclusions are reached, thus

creating a basis for informed decision making and the development of the family's Individualized Service Plan.

3.5.3.2. All children opened for on-going protective services must have an Individualized Service Plan (ISP). Initial ISPs must be completed within 30 days of when the determination is made that the case will be opened for on-going child welfare services. Thereafter, ISP reviews must occur at least every six months from the date of the initial ISP.

3.5.3.3. All children opened for on-going protective services must be contacted “face to face” monthly by their caseworker if they are designated as a “child at risk”, and must be contacted “face to face” once every two months if they are designated as a “child not at risk”.

3.6 FOSTER CARE / OUT-OF-HOME PLACEMENT PROCESSES

3.6.1 OVERVIEW

This program provides foster care (or out-of-home placement) services and care for children in need of State care; administers the Independent Living Program; provides a comprehensive case planning process to children in out-of-home care. This program must comply with the Adoption and Safe Families Act/permanency; Multi-Ethnic Placement Act and Independent Living Program to include the Educational Training Voucher (ETV) program.

3.6.2 POLICIES

Within the Foster Care / Out-of-Home Placement program, Alabama is required by policy to adhere to the following:

- All children/families must have a Comprehensive Family Assessment (CFA) initiated beginning with first contact and continuing until the case is safely closed. This is the process of gathering information from and about the child and family in order to gain an understanding of needs to be addressed and to evaluate progress toward meeting those needs. The information is analyzed and conclusions are reached, thus creating a basis for informed decision making and the development of the family's Individualized Service Plan;
- All children receiving foster care/out-of-home placement must have an Individualized Service Plan (ISP) within 72 hours of the placement (see Section 3.5.1.1 for a description of the ISP). The ISP must be reviewed and updated every six months. It is essential that both the CFA and ISP be documented and retained, as an on going process, according to policy, as the accumulated information is vital to the case. It is used by every child welfare service worker, every service provider, and each family member to assess activities and care outcomes. The documentation must be maintained and available to each new worker assigned to the case throughout the life of the case. It is also used for service delivery as well as Medicaid billing documentation and flex funding expenditures (see Section 3.14.4. for a description of flex funds);
- All children in foster care/out of home placement must have their case reviewed every six months by either the court or an administrative review panel composed of county DHR supervisors;

- All children in foster care/out of home placement must have a permanency hearing within twelve months of a child coming into custody, or sooner under certain circumstances;
- Voluntary placement agreements are valid for only 180 days. Prior to 180 days, the case must be brought before the court for review and transfer of custody if the child can not return home within the next 90 days;
- All children in foster care/out of home placement must have a “Face to Face” contact with their social worker monthly, with the exception of the Seriously Emotionally or Behaviorally Disordered child (SEBD). The SEBD child must be seen twice a month.

3.7 ADOPTION PROCESSES

Adoption services are provided on behalf of a child who is legally free for adoption. These services include recruitment and study of prospective adoptive homes; placement preparation of the child; supervision of the child’s placement; other post-placement services; legal services (e.g., reporting to the court and supervision of a child for whom an adoption petition has been filed in Probate Court); purchase of adoption placement services for children with special needs; and information and referral services.

3.7.1 RECRUITMENT

The increase in special needs children for adoption necessitates a continuous recruitment program of resources for these children. Special needs children include black children or children of African-American heritage age two (2) years old or older; white children age eight (8) years and older; sibling groups of three (3) or more brothers and sisters to be placed together at the same time in the same home; children whose biological background places them at high risk of physical and/or mental disorders; and children with diagnosed physical, mental or emotional disabilities.

The first approach to recruitment is generic recruitment. This method makes a broad or general statement of appeal to the public for homes for all waiting children, specifically those with special needs. The second approach is child-specific recruitment. This method presents a specific child or sibling group and gives limited detailed information about them.

3.7.2 APPLICATIONS AND HOME STUDIES

FSD offers services to individuals who are interested in having a child placed in their home for potential adoption. The State has an obligation to carefully consider their interest and, if appropriate, to enter into a study for the purpose of deciding with them whether adoption is a good plan and whether their home is a potential adoption resource. The application to adopt is filed in the potential adoptive parents’ county of residence.

FSD may, in some counties, be ordered to conduct non-DHR (i.e., independent) adoption investigations. Others who may be designated by the Probate Court to conduct non-DHR adoption investigations are (1) licensed child placing agencies (LCPAs) and (2) private independent practitioners (PIPs) who are certified to perform social casework.

3.7.3 PLACEMENTS

Children in DHR permanent custody are placed with individuals or couples who have been approved to adopt by the State, another State's child welfare agency, a licensed child placing agency or a private independent adoption practitioner. Approved individuals' ability and willingness to meet a child's immediate and future needs, through age nineteen (19) years, are paramount in placement decision-making. In addition, the individuals' immediate and extended family, as well as their community and its resources, must also be considered.

Requests by prospective adoptive parents to separate siblings will not be considered unless the children's individualized service planning team determines that it would be beneficial for the children to be permanently separated based on their needs.

3.7.4 SUBSIDY

FSD administers the Federal/State adoption assistance program in accordance with Code of Alabama 1975, § 26-10-20 through § 26-10-30, Public Law 96-272 (Adoption Assistance and Child Welfare Act of 1980), and the Adoption and Safe Families Act of 1997. Adoption subsidy is financial assistance to aid an adoptive family in providing for an Alabama child with special needs. For children considered hard to place, the financial assistance is intended to help remove financial barriers to an adoption. Some of these children will also have Medicaid. Subsidy is intended to help with the cost of raising the child, not to cover every expense.

3.7.5 ADULT ADOPTees

Code of Alabama 1975, § 26-10A-31 as amended in 1998, provides that adoptees who have arrived at the age of nineteen (19) years shall have the right to receive information about their placement.

3.8 CHILD WELFARE ELIGIBILITY

Child Welfare eligibility provides determination of IV-E eligibility, which allows States to be reimbursed by the Federal government for some costs for care of eligible foster care children. Child Welfare eligibility has the responsibility for the Emergency Assistance Program currently funded through the TANF Block Grant.

3.9 FINANCIAL RESOURCE MANAGEMENT

Financial Resource Management has the responsibility for policy, training, monitoring, and system development to educate staff and eliminate barriers in claiming reimbursement for services provided by the County Office staff and other providers of services to DHR recipients. These initiatives allow the State to use all available funding sources to provide services designed to rehabilitate and alleviate the suffering of abused and/or neglected children and adults. These services include, but may not be limited to:

3.9.1 MEDICAID REHABILITATIVE SERVICES

Child welfare social workers across the State authorize therapeutic services, such as, counseling, diagnostic testing, crisis intervention, etc., for the rehabilitation of children who have suffered neglect and/or abuse. Specific treatment goals are identified for each child and rehabilitative services are authorized and purchased from eligible Vendor and/or contract providers based on

the needs of the individual child. The State is also able to seek Federal reimbursement for eligible rehabilitative services that are provided by DHR social worker staff.

3.9.2 TARGETED CASE MANAGEMENT SERVICES

The State is able to seek reimbursement for the time spent by social workers who are assisting custodial children and adults who are at risk of abuse, neglect, exploitation or institutionalization to gain access to needed educational, social and other services.

3.10 INTERSTATE COMPACT ON THE PLACEMENT OF CHILDREN (ICPC)

Protection of and services for children placed across State lines for foster care or adoption is included in ICPC. ICPC reviews, approves/ disapproves and processes correspondence concerning the placement of children for foster care and residential placement. This office also approves/disapproves and processes correspondence for children to enter or leave the State for the purpose of adoption. The Compact is a uniform law that has been enacted by all 50 States, the District of Columbia and the U. S. Virgin Islands. ICPC establishes orderly procedures for the interstate placement of children. This office arranges travel for caseworkers and children for out-of-state placements.

3.11 RESOURCE MANAGEMENT

Resource Management focuses on areas including resource development, monitoring of service providers including residential facilities and therapeutic foster care providers, Family Preservation and Support Services including monitoring of Family Service Centers and the Family Options program, and the licensing of child care institutions, group homes, and child placing agencies.

3.12 QUALITY ASSURANCE (QA)

QA in Alabama monitors, evaluates and provides feedback to the State on the performance of the system of care and whether services provided are of sufficient intensity, scope and quality to meet the individual needs of children and their families. QA thereby identifies system strengths and needs and recommends actions to improve, refine or enhance services, capacity, outcomes, and conformity with Federal, State, and State program requirements.

Three outcome areas (safety, permanency and well being) are examined, along with seven systemic areas (community collaboration, service array & resource development, individualized service planning, quality assurance & supervision, staffing & caseloads, staff & provider training and information system capacity).

The information necessary to complete a thorough assessment comes from two key sources: aggregate data provided by the State's information systems, or case by case data such as that obtained through the Quality Service Review (QSR) process. The former includes retrieval of data across a given reporting period, or as of a given point-in-time (typically at the end of a

reporting period). It also includes cohort data, which is a means of capturing data on a longitudinal basis.

The QSR process is a method of case review that includes the determination of a numerical rating (on a scale of 1-6) on a number of items relevant to child welfare practice. The rating data for the items of each case are then entered into the QSR database, for which standard and ad hoc reports can then be generated relative to ratings across a number of cases. The functionality of the QSR database has been set out in the functional requirements attached as Appendix E and will be subsumed into the new SACWIS system.

3.13 ADULT PROTECTIVE SERVICES DIVISION (APSD)

3.13.1 OVERVIEW

The State also provides protective services to adults age 18 or older who are at risk of institutionalization and/or at risk of abuse, neglect, and exploitation, in domestic as well some institutional settings, by consent of the individual or court order. Court ordered services may include diagnosis/evaluation, placement, treatment, commitment, appointment of a guardian or conservator, and other protection orders. In addition, the State may provide, directly or through contract, services such as emergency shelter, case management, foster care, day care, homemaker, Mental Health (MH) Counseling, MH group home payment, and limited nursing home payment. By statute, investigations must be initiated within 7 days of receipt of a report. By policy, A/N/E investigations must be concluded within 60 days, foster care clients must be seen at least once a quarter, and case plans must be reviewed at least every six months. Adult foster care homes are subject to re-approval on an annual basis.

3.13.2 ADMINISTRATION

The Adult Protective Services program is administered by the State and implemented in each of 67 Counties. The State is responsible for policy development, program budgeting, case consultation, monitoring of county program compliance, constituent inquiries, training, resource allocation to County APS programs, and direct service contract negotiation. County Office APS staff is responsible for APS case work functions, including protective legal filings and local resource development. Case Management and supervision are provided by Merit System social work staff, 44% of whom are combination workers and supervisors (APS and CPS). Case Management for eligible individuals is reimbursed by Title XIX. The Medicaid Agency is billed for Targeted Case Management (TCM) by reporting of encounters with eligible clients. Other Case Management is paid by State and Title XX funds. Direct services such as homemaker and day care are provided primarily through contract and are funded by the State General Fund and Title XX Social Services Block Grant.

3.13.3 STATUTORY REQUIREMENTS

The Alabama Adult Protective Services Division (APSD) is required by statute to:

- receive reports (primarily county office but also State office);
- investigate within seven days reports of adults (18 years of age or older who are physically or mentally unable to protect themselves and who have no one ready, willing and available to protect them) who are suspected of being abused, neglected, and/or exploited (A/N/E);

- arrange services;
- file emergency petitions for services and/or placement;
- evaluate and submit written reports to the Court every six months when the Court has ordered services or placement at the State's request.

3.14 CROSS-PROGRAM PROCESSES

Items described in this section are processes that are performed in both the Adult Protective Services and Family and Children's Services Divisions of DHR.

3.14.1 SERVICE PROVIDER INSPECTION AND APPROVAL

Statute requires the State to establish rules and standards for the inspection and approval of out-of-home care homes and facilities, adult day care centers, and adult foster homes with whom the State contracts. The State may be appointed by the Court to conduct studies when a petition is filed for appointment of a guardian or conservator.

3.14.2 BACKGROUND CHECKS

Statute further requires criminal background checks for DHR providers of direct services to children and vulnerable adults. Individuals who must have background checks include case workers, supervisors, homemakers, day care workers, foster care providers, members of foster care providers' households, substitute foster care providers, potential adoptive families, and volunteers. The background check process includes a search of the Child Abuse and Neglect Central Registry and Adult Protective Services records.

3.14.3 SMOOTH TRANSITION TO ADULT SYSTEMS

Both APS and CPS are responsible for older children who are transitioning into adulthood. CPS is responsible for planning for children who age out of child system of care and APS staff participates in the ISP planning for children who are not expected to be self-sufficient.

3.14.4 FLEX FUNDS

All 67 of Alabama's counties are obligated to serve families in county with as comprehensive a range of services as possible. Toward that end, counties receive an allocation of State dollars ("flex funds") to be used at local county discretion. Among the uses of flex funds are developing local resources, paying for certain local or statewide services, making possible the placement of children as needed in facilities not available under contract, paying transportation and counseling costs, purchasing basic child or family needs such as clothing, food, etc. The R.C. v. Walley Consent Decree directs DHR to make these funds available so that resource development and other spending needs are individualized to each county and area of the State, and so that decisions about spending priorities are made at the local level.

3.14.5 LOCAL FUNDS

Counties also receive a small allocation for "otherwise unmet" emergency client needs. In addition, city and county governments may allocate funds to the Counties for emergency client needs. These funds are used to provide food, shelter, utilities, medications, and health care. Private entities may also contribute funds for specific purposes.

3.15 CURRENT AUTOMATION SUPPORT

Family Services and Adult Protective Services programs are currently supported by a number of automated systems. At the present time there are fourteen (14) such systems in place. The functionality of these systems will be absorbed by the new ASSIST system and unduplicated historical data will be converted. The appropriate functionality contained in these systems is included in the requirements in Appendix E.

The number of existing systems is so large because, to date, there has been no successful consolidation of functionality within these programs. Many of the systems were developed on an ad hoc basis to address immediate but limited needs. Others have been in existence for many years and address significant program functionality. As such, the systems to be converted vary significantly in their scope. Because of the number of systems and the variance in functionality, the State has decided to divide the responsibility for converting these systems between the State and the Implementation Vendor. The Vendor will have responsibility for the six major systems outlined in the table below. The State will take responsibility for the remaining systems outlined in the second table below. These systems are more limited in scope and it is not thought to be cost effective to require the Vendor to become familiar with each of these systems when experienced State staff are available for this task. It is understood, however, that this division of conversion responsibilities will require a high degree of coordination between the State and the Vendor to ensure that the converted data is correct and unduplicated.

The various systems currently in use by either CPS or APS staff are set out in detail below. The number of users and the number of case figures are as of 9/1/2005.

System Name	Platform	Database	Online / Batch	# Users	# Cases
ACWIS	Mainframe	VSAM/ Sequential	Online/Batch	Active: 2,423 Inactive: 4,210	Open: 4,084 Closed: 33,494
FSS	Mainframe	DB2	Online/Batch	Active: 2,402 Inactive: 3,420	Open: 6,180 Closed: 83,110
FCBS	Mainframe	DB2/ VSAM	Online/Batch	Active: 849 Inactive: 289	Open: 4,295 Closed: 42,312
STAC	PC	Paradox	Online/Batch	Active and Inactive: 3,967	Open: 41,465 Closed: 19,669 Active Service Authoriz.: 137,589 Inactive SA: 498,878 Active Providers: 42,256 Inactive Providers: 1,920

System Name	Platform	Database	Online / Batch	# Users	# Cases
ASSIST	Web	DB2	Online/Batch	Active: 2,268 Inactive: 1,549	Preventions/ CA/N/ Adult Services Intakes: 652,338 Prevention Assessments/CA/N Assessments/Adult Services Investigations: 645,666
Adoption Subsidy Payroll	PC	Paradox	Online/Batch	Active: 2	Open Cases: 2,063

The following table lists systems that the State is responsible for converting:

System Name	Platform	Database	Online / Batch	# Users	# Cases
ICPC	PC	SQL Server	Online	Active: 6	Open: 1,096 Closed: 5,262
920	Mainframe	VSAM/ Sequential	Batch	N/A	Active Clients: 522 Active Providers: 36
Adult FC Risk Management Registration	PC	Excel 97	Online	N/A	Providers: 100
PSP – 969	Mainframe	VSAM/ Sequential	Batch	N/A	Providers: 81 Open Cases: 105
Child Death Reporting System	PC	Access 97	Online	Active: 1	Cases: 800
Severely Emotionally Behaviorally Disordered	PC	Access 97	Online	Active: 4	Cases: 1,903
Putative Father	PC	Paradox	Online	Active: 10	Cases: 8,688
Administrative Record Review	PC	Access 97	Online	Active: 5	Cases: 6,038

3.15.1 ALABAMA CHILD WELFARE INFORMATION SYSTEM (ACWIS)

ACWIS has been operational in Alabama since November 1983. ACWIS is designed to support foster care placement, adoptive placement, and provider resources. ACWIS is a mainframe, client oriented management information system designed for use by all levels of staff within

Family Services. Workers use input documents to record data that will be entered into the database which results in ACWIS producing a series of output reports. The system aids decision making in the areas of management, service delivery, fiscal management and policy. The ACWIS system is designed to ensure security and confidentiality of its highly sensitive data. ACWIS consists of four subsystems, namely Client, Provider, Support, and Payment. These subsections are described in more detail below.

3.15.1.1 Client Subsystem: This ACWIS subsystem has been designed to track a child from entry into foster care to discharge. The primary emphasis of this subsystem is on permanency planning. Components include data collection in the areas of child, legal parent, referrals to childcare institutions and group homes, and adoption tracking.

3.15.1.2 Provider Subsystem: The Provider Subsystem maintains basic information on all foster care providers, adoptive resources, and child placing agencies, providing a profile on their characteristics and child preferences. The primary components of this subsystem consist of data collection in the areas of provider, (including, but not limited to, foster care), child placing agencies, and prospective adoptive resources.

3.15.1.3 Support Subsystem: This subsystem controls access to ACWIS through the registration of authorized users and computer terminals. It also provides State Office staff with the ability to delete erroneous data.

3.15.1.4 Payment Subsystem: The Payment subsystem utilizes information contained in the child and provider subsystems to calculate and determine regular foster care board payments, difficulty level of care payments (Level I and II) and telephone and mail allotments. The Payment Subsystem is also responsible for generating these payments.

3.15.2 FAMILY SERVICE SYSTEM (FSS)

FSS was implemented in 1994 to allow for registration and tracking of all children and families receiving protective services. FSS is designed for use by Family Services county and State staff. Direct users of the system include service social workers, service supervisors, county directors as well as State program directors and other SDHR Family and Children staff.

Although accessed via the ACWIS Master Menu, FSS is a stand-alone mainframe based system. Data entered in the ACWIS Child subsystem updates FSS if the social security number is the same in both systems.

There are six primary case types that are registered on the FSS: Child Protection, Home Evaluations, Court Ordered Supervision, Child Protection Services Prevention, Independent Living Program, and Children in Need of Supervision. Also, FSS includes a subsystem that gathers and produces data in accordance to the Emergency Assistance to Families and Children Program, which became effective December 1, 1993. The Emergency Assistance Program is aimed at maximizing Federal funding for child welfare services which are approved and authorized based on the policy and procedures contained in the Family and Children Services policy.

3.15.3 INTERSTATE COMPACT FOR THE PLACEMENT OF CHILDREN (ICPC)

ICPC is a Visual Basic/SQL server application implemented in December 2004 that is designed to track the number of children entering and leaving the State of Alabama who are eligible for placement services. The system produces statistical data for management analysis and generates needed forms and reports. The system currently contains 1,096 open cases and 5,262 closed cases, for a total of 6,358 cases. The only users of this application are the five ICPC caseworkers in the ICPC unit at the State Office.

3.15.4 FEDERAL CLAIMING AND BILLING SYSTEM (FCBS)

FCBS is a mainframe system that was implemented in 1994 to keep track of all custodial children currently registered on ACWIS. The primary function of the database is to maintain data on Targeted Case Management (TCM) encounters billed for Medicaid Reimbursement. The users of the system consist of Family and Children Services staff in both the county offices and SDHR. The system also tracks adult service clients and captures TCM services provided to adults.

FCBS serves as a link to ACWIS to allow for the SDHR staff to enter prior authorization of Medicaid numbers needed and for county staff to capture TCM services provided. FCBS processes services provided and bills the Medicaid Agency for reimbursement of eligible services. Further, FCBS was developed to maximize available Federal funding for eligible adult protective service clients. It provides the mechanism for billing the Medicaid Agency for TCM. In 1996, FCBS was revised to add all of the State's APS clients. FCBS captures services authorized by type, client, encounters per client, the encounter payment status, and the system also generates a report of case reviews due.

3.15.5 SERVICE TRACKING, ACCOUNTING AND CLAIMING SYSTEM (STAC)

STAC is a Paradox application implemented in 1997 to allow counties to report service and expenditure information for children and families receiving services from DHR. This system allows each county to manage child welfare funds by tracking each case and client, services authorized and paid, and the service units used and encumbered. It has also been useful in producing Federal claims. The system produces the end of month rehab reports used to enter claims into the Medicaid agency's claims system.

STAC is able to provide information such as:

- Disbursements per child and/ or per case;
- Disbursements per provider;
- Disbursements by object code;
- Encumbered amount per child and/or case;
- Encumbered amount by object code;
- Ability to identify high cost cases;
- Caseload distribution by worker;
- Medicaid Rehab Claiming reports for in-house, Vendor and local contract services;

- Mailing address labels for providers and clients.

STAC users include caseworkers, supervisors, and the local County Welfare Office Assistant (CWOA).

3.15.6 ALABAMA SOCIAL SERVICE INFORMATION SYSTEM (ASSIST)

The Alabama Social Services Information System (ASSIST) is a web-based application that was implemented in February 2005. This application was designed to gather data consisting of Intake for adults and children, Assessments that contain Preventions and Child Abuse and Neglect (CAN) cases, and Investigations for adult services. Also included in the application was the Child Abuse and Neglect Central Registry system previously accessed by child welfare staff on the ACWIS system. The implementation of the web-based application included a conversion of the original application from the client server mainframe system along with additional functionality to include safety analysis and decision making for Child Protective Services (CPS). The current users of ASSIST consist of Service Social Workers, Services Supervisors, as well as Program Administration staff.

3.15.7 ADULT DAY CARE PAYMENT SYSTEM (920 SYSTEM)

The 920 system is a mainframe system implemented in the 1970's to process monthly Adult Day Care Provider warrants. Data maintained in the system includes the provider's name, address, social security number, adult recipient's name, case category, days enrolled, days attended, monthly rate, and amount due. The system maintains historical data on all warrants produced since implementation.

3.15.8 ADOPTION SUBSIDY PAYROLL SYSTEM (ASP)

The Adoption Subsidy Payroll system is a Paradox application developed for the Office of Adoptions to process monthly subsidized payment authorizations for adoptive parents with special needs children. The system is designed to track Federal, State, Medicaid, Social Security Income (SSI), Social Security benefits (SSA), Veterans Administration (VA) benefits, and counseling received by children who currently meet the special needs criteria. Users of the ASP consist of staff from both the Office of Adoptions and the Office of Finance. County offices do not utilize this application. There are approximately 2011 cases in this database as of February 2005.

3.15.9 ADULT FOSTER CARE RISK MANAGEMENT REGISTRATION SYSTEM (AFCRMR)

AFCRMR is an Excel spreadsheet maintained by Adult Service's State Office staff for reporting to the Risk Management/Insurance Office of the Finance Department a listing of all Adult Foster Home Providers. The spreadsheet was developed in the early 1990's and is updated periodically by State staff from information received from the counties on additions, changes and terminations of foster home providers.

3.15.10 ADULT FOSTER CARE PROVIDER PAYMENTS SYSTEM (PSD-969)

The 969 system is a mainframe application implemented in the 1970's to process monthly Adult Foster Home Provider warrants. Included in the database is the provider's name address, social security number, monthly entitlement, recipient's name, case category, sex, race, social security claim number and Medicaid eligibility date. A standard form is used to authorize payment of the service fee to the foster care provider for each eligible adult receiving Adult Foster Care services.

A separate form is completed on each eligible adult for whom a foster care fee is authorized. These forms must be sent to DHR Finance by the 25th of each month. Checks are mailed on or about the 10th of the following month. The system maintains historical data on all warrants produced since implementation.

3.15.11 CHILD DEATH REPORTING SYSTEM (CDR)

CDR is an Access 97 database that was implemented in 1997 to capture child death information. Included in the system is the child's name, county, Date of Birth, Date of Death, sex, ethnicity, alleged perpetrator, cause of death, previous CA/Ns received, and if the child is known to the agency. Data entry on this system is completed by staff of the Office of Services Utilization.

3.15.12 SEVERELY EMOTIONALLY AND BEHAVIORALLY DISTURBED SYSTEM (SEBD)

SEBD is an Access 97 application that was created in the late 1990's to capture information on children who are determined to be either severely emotionally or behaviorally disturbed and who are receiving DHR services. Data maintained in SEBD includes the child's name, case number, DOB, number of placements to date, psychiatric placement, long term plan, medications, diagnosis, cost of placement, child's IQ, educational level, history of behavior, permanency plan, and family situation. Staff of the Office of Services Utilization completes data entry on this system.

3.15.13 ADMINISTRATIVE RECORD REVIEW (ARR)

ARR is an Access 97 application implemented in 1999 used by FSD State office staff to record the request and disposition of administrative record reviews. If a CA/N review is requested, the county caseworker will forward the appropriate form to a designated State office worker. This worker logs the request into ARR and then forwards the form on to a reviewer. Upon completion of the review, the reviewer returns a copy of the results to both the county worker and to the State office contact, who updates ARR with the disposition.

3.15.14 PUTATIVE FATHER REGISTRY

Putative Father Registry (PFR) is a personal computer based application utilizing Paradox software developed for the Office of Adoptions for tracking Putative Father Registry forms filed with mandated reporting authorities. Data includes the alleged father's name, social security number, mailing address and date registered. Data is entered on the registry by Office of Adoptions staff.

3.16 TECHNICAL ENVIRONMENT

The current DHR technical environment includes a range of centralized systems and distributed systems. The State intends to use the existing technical environment to support the ASSIST system. The State will continue to be responsible for the support of the technical infrastructure and the end user equipment. The State requires that any solution proposed work within the State's current technical infrastructure and using the end user equipment as described in this section.

DHR technical support is provided primarily from the Center for Information Services (CIS) Division, which is led by the CIS Director. The CIS Director reports to the Deputy Commissioner for Fiscal and Administrative Services. There are two IT Managers that report to

the CIS Director. One IT Manager is responsible for maintaining the ASSIST technical infrastructure (workstation and servers) and the other is responsible for application development and support.

The ASSIST Project staff will report directly to the ASSIST Project Director, who reports to the DHR Commissioner. There are two managers that report to the ASSIST Project Director, a Technical Manager and a Program Manager. The Technical Manager is responsible for the technical aspects of the project and acts as a liaison between the project and CIS. The Program Manager is responsible for the functional aspects of the project and serves as a liaison between the project and Child Protective Services and Adult Protective Services.

In addition to DHR's internal technology support, external technology support is provided by Finance-ISD. Finance is a partner agency with DHR and provides the infrastructure and architecture for DHR mainframe applications.

The following sections detail the technical production environment within which the ASSIST system will operate.

3.16.1 NETWORK ENVIRONMENT

The State network environment is structured as follows:

- Each of the DHR offices has a local area network (LAN) and one or more servers;
- All DHR offices including remote sites are connected to the State's wide area network (WAN);
- All DHR users log into a Windows Server;
- Access privileges are managed and administered at the user level;
- All DHR sites have e-mail;
- All DHR sites have 3270 connectivity to the mainframe systems;
- All DHR sites have internet access;
- All DHR sites to be wired with Category 5 unshielded twisted pair;
- The network links are either 100mbps switched or 10mbps shared to the desktop;
- All remote sites are connected with T-1 frame relay lines with at least 1.5mbps between the remote sites and Montgomery;
- The WAN is based on the TCP/IP protocol suite and is standardized on routers and switches;
- The network operating system is Windows 2003 R2;
- The approximate number of user sites is 115.

3.16.2 MINIMUM CLIENT WORKSTATION SPECIFICATIONS

Departmental staff members use desktop workstations with the following minimum specifications.

Component	Specification
Model	Dell GX240
Memory	256 MB SDRAM
CPU	1.5GHz Pentium 4
Disk Space	20Gb
CD-ROM	24x
Floppy Disk	1.44 MB
OS	Windows XP Professional (Service Pack 2)
Communication Protocols	TCP/IP
Database Communication Support	Client Application Enabler/ODBC
Mail	ACE - Alabama Centralized E-mail – Outlook 2003 on Exchange 2003, POP3 and SMTP.
Word Processor	MS Office 2003 / MS Word 2003
Web Browser	Internet Explorer 6

3.16.3 MINIMUM FILE SERVER SPECIFICATIONS

The State of Alabama DHR CIS server farm includes file servers with the following minimum configuration.

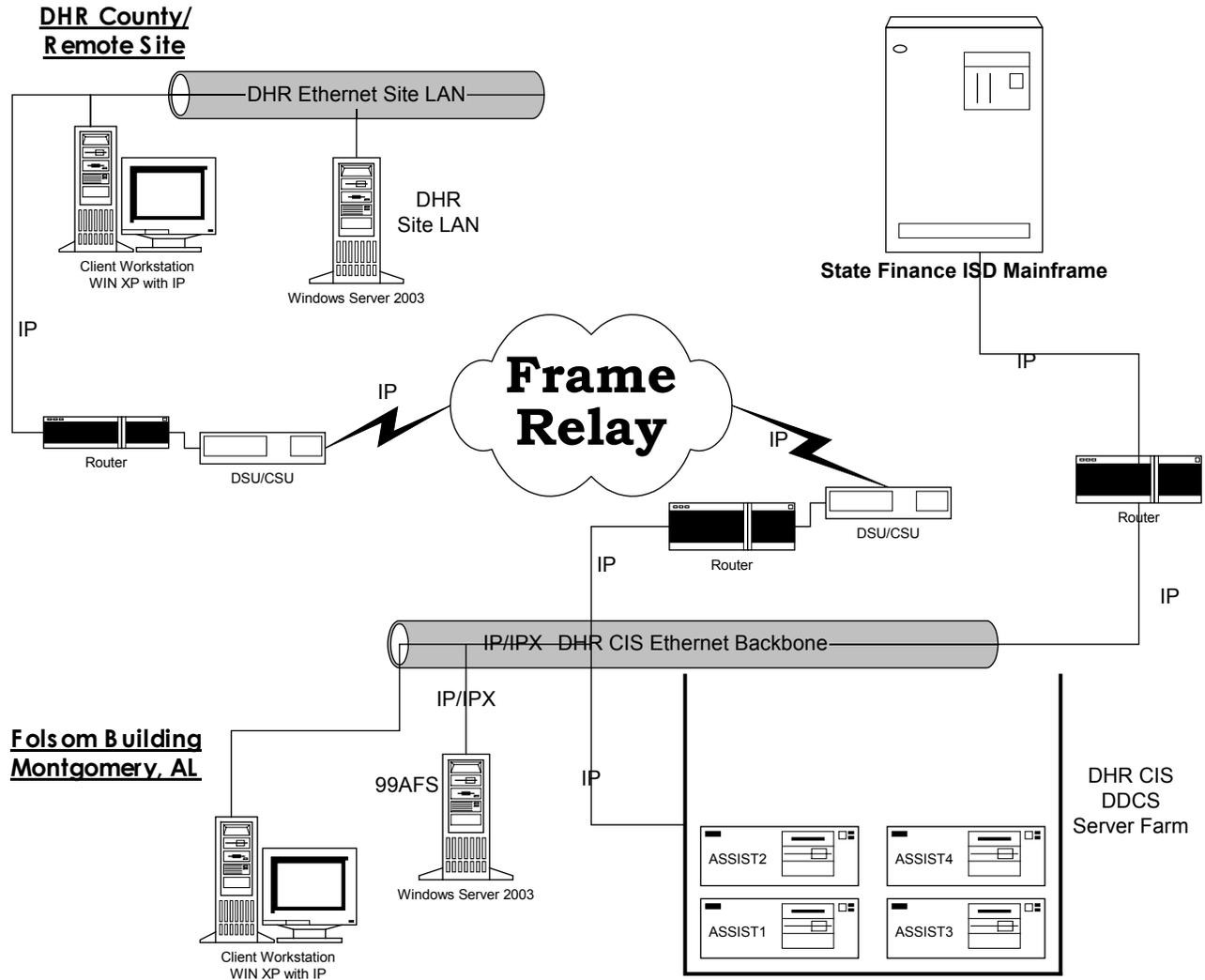
Component	Specification
Model	Dell PowerEdge 1800
Memory	2GB RAM
CPU	Intel Xeon 2.8 GHz
Disk Space	146GB Hard Drive usable space in a RAID5 configuration with a hot spare.
OS	Windows Server 2003
Communication Protocols	TCP/IP

3.16.4 STATE OF ALABAMA MAINFRAME SPECIFICATIONS

The State of Alabama DHR utilizes the State's centralized IBM mainframe as specified below.

Component	Specification
Model	IBM 2066-003 Z Series 800 Processor
Memory	16 GB Real Memory
CPU	499 MIPS Internal Speed w/3 Processors
OS	Z/OS
Ethernet	3 OSA Ethernet GB, 2 OSA Express Fast Ethernet
Channels (All ESCON)	92
Database	DB2 version 7 – tentatively planning to upgrade to version 8 in Spring 2006
COBOL	Enterprise COBOL
Application Development	Enterprise COBOL, CICS TS for Z/OS

3.16.5 DHR TECHNICAL ENVIRONMENT



State of Alabama DHR Technical Environment

SECTION 4: SCOPE OF PROJECT

This section outlines the expected project tasks for the ASSIST project along with the deliverables to be produced. The Vendor may propose a project approach that is based on different tasks so long as the underlying activities are completed and required deliverables are produced. In the event that the Vendor has proposed additional deliverables as necessary to meet State requirements within their proposed methodology, such deliverables must be documented in Section 5.1.4.3 Systems Delivery Methodology and its associated fixed price included in Price Sheet Part I (Appendix C). The Vendor may, with State approval, consolidate related deliverables into a single document so long as each deliverable is adequately addressed and clearly delineated so that the State can easily determine which deliverables are included

All work performed by the Vendor during the project will be monitored and reviewed by the State or its designated agent(s). All completed work must be in conformance with the ASSIST requirements set forth in Appendix E of this RFP and the Contract. The ASSIST requirements set forth in Appendix E are organized into system-wide requirements (including Technical, General, Alerts, Reports, Forms and Correspondence, Security, and Interfaces) and subsystem specific requirements (including Intake, Assessment/Investigation, Case Plan, Foster Care, Medicaid Rehab, Legal, Adoption, ICPC, ICWA, Provider, IV-E Eligibility, and Financial Management subsystems). If a vendor proposes to design, develop, and implement the system in these or similar subsystems, then the following tasks and associated deliverables must be completed for each subsystem proposed by the Vendor as part of its solution:

Task No.	Task
2.1.....	Existing Requirements Validation
2.2.....	Base System Gap Analysis (If Applicable)
2.3.....	Develop Application Strategy
3.2.....	Application/Software Architecture
3.4.....	Security Architecture
3.5.....	Detailed System Design
4.3.....	Partition, Develop, and Unit Test Subsystem
4.4.....	Prepare System Documentation
6.2.....	Conduct System Integration Test
6.3.....	Conduct Load / Performance Test
6.4.....	Conduct Pre-Acceptance Test
6.5.....	Conduct Acceptance Test (State-Led)
6.6.....	Certify the System As Ready For Pilot
7.1.....	Develop Training
7.2.....	Create/Modify User Documentation and Online Help
7.3.....	Deliver End-User Training
7.4.....	Technical Documentation and Training
8.4.....	Conduct Pilot Test
8.6.....	Implementation

State staff will review all work after it is completed and submitted by the Vendor in accordance with the following:

- Completed deliverables and all supporting documentation shall be submitted for review and approval by the State and its QA Vendor on or before the dates specified in the project plan. The State has provided descriptive text for most deliverables in this section. The text provides specifics of what the State expects to see in the deliverables but this list should not be considered exhaustive. The vendor is expected to provide context appropriate content for each deliverable.
- State personnel shall review each deliverable submitted by the Vendor and shall determine within ten (10) working days of receipt whether or not the deliverable is acceptable based on the specifications set forth in the RFP. The State reserves the right to add additional review time, not to exceed a total of twenty (20) working days total, to any deliverable submitted by the Vendor that exceeds two hundred (200) pages, including supporting documentation.
- The Project Director will notify the Vendor in writing when a deliverable is accepted by the State.
- If a deliverable or any portion of a deliverable is not acceptable to the State, the Project Director shall notify the Vendor in writing. The written notice shall contain a detailed analysis and explanation of the deficiency(ies) leading to the State's rejection. From the point the notice of deficiency is issued, the Vendor shall have five (5) days to cure the deficiency(ies) and resubmit the deliverable to the State. The State shall review the resubmitted deliverable within five (5) days and communicate its acceptance or rejection to the Vendor.
- The Vendor's repeated failure to timely submit acceptable deliverables shall be adequate cause for the State to exercise the penalty provisions of the contract up to and including termination.

Submission of the following Vendor deliverables will prompt a project go/no-go decision by the State. In the event of a design and implementation strategy in which the system is developed and implemented in subsystems, then these deliverables would be repeated for each stage.

- Requirements Specification and Requirements Traceability Matrix (Task 2.1);
- Base System Gap Analysis (If Applicable, Task 2.2);
- Develop Application Strategy (Task 2.3);
- System (database, software, infrastructure, and security) Architecture (Tasks 3.1-3.4);
- Detailed System Design (Task 3.5);
- Unit tested components and updated Requirements Traceability Matrix (Task 4.3);
- Integration Test Results (Task 6.2);
- Load /Performance Test Results (Task 6.3);
- Pre-Acceptance Test Results (Task 6.4);

- Acceptance Test Results (Task 6.5);
- Certification of System as Ready for Pilot (Task 6.6);
- Deliver End-User Training (Task 7.3);
- Pilot Test Results (Task 8.4).

At the completion of the implementation phase, the Vendor must provide one year of mandatory post-implementation support. The State requires the Vendor to warrant that the system is free of defects for twelve (12) months after the system is fully operational in all counties in the State.

Most Project Tasks are led and conducted by the Vendor with the support and oversight of the State and the ASSIST Quality Assurance Vendor. Where it is known that the Vendor will play an advisory or support role in a State-led activity, it will be noted in the associated discussion.

TASK 1: PROJECT COORDINATION AND COMMUNICATION

A project such as the ASSIST SACWIS development and implementation will require the coordination of skilled information technology professionals and effective communications both within the organization and to external stakeholders. Ongoing project management activities focus on ensuring that project resources are used efficiently and that the project outcome delivers the desired product.

TASK 1.1: PROJECT INITIATION

Task 1.1 is focused on those activities that must be completed to ensure that the project starts on a firm foundation and that the stakeholders are actively involved in decision making and direction setting. Specific Vendor-conducted activities include:

- Creating a project work plan and project schedule;
- Creating a project staffing plan, including staffing levels and location of staff, for duration of project;
- Creating a project risk management plan, assessing project risks and mitigation strategies from the Vendor's perspective;
- Establishing appropriate ASSIST team workspace and facilities;
- Creating a Knowledge Transfer Strategy and Plan setting out the Vendor's approach to preparing State staff to assume responsibility for the system at the end of the contract period.

Vendor-Produced Task 1.1 Deliverables:

- Project Work Plan – describes how the project will be managed to successful completion; plan should detail project organization, staff roles and responsibilities, project objectives, and stakeholder involvement;

- Project Schedule – a detailed project schedule indicating the various project tasks, their duration, estimated start and completion dates, actual start and completion dates, critical paths, resources, dependencies, completion percentages, and milestones;
- Project Staffing Plan – describes in detail how the Vendor plans to staff the project and includes an overview of the various positions, skill sets, experience requirements, and percentage of time spent on-site vs. off-site;
- Project Risk Management Plan – details project risks from the Vendor’s perspective and proposes strategies for managing and mitigating these risks;
- Workspace and Facilities Plan;
- Knowledge Transfer Strategy and Plan – a detailed plan for affecting a thorough knowledge transfer from Vendor staff to State staff over the life of the project with the ultimate goal of the State being fully prepared to assume responsibility for system operations and maintenance at the end of warranty period; the plan should address all areas of the application, such as development, training, maintenance, and operations.

All Vendor-produced Task 1.1 deliverables are due to the State no later than 45 days after ASSIST project initiation.

TASK 1.2: CONDUCT ONGOING PROJECT MANAGEMENT

Managing the activities required to acquire and modify the ASSIST system will require extensive project management, coordination, and controls. For this purpose, this subtask identifies the following Vendor-led activities that will occur throughout the duration of the project:

- Update the project work plan;
- Conduct project team meetings;
- Monitor progress toward the development and implementation plan and key milestones;
- Manage open issues;
- Coordinate project team activities;
- Brief stakeholders on project progress (jointly with State project leaders).

Vendor-Produced Task 1.2 Deliverables:

- Weekly Work Plan/Schedule Updates;
- Open Issues Management Report – tracks open issues related to the system and project;
- Weekly Status Report – provides an overview of the status of the project and a summary of key events from the prior week as well as a look ahead at key events in the upcoming week.

The Vendor should submit proposed formats for the above items to the State for approval.

TASK 1.3: MAINTAIN PROJECT COMMUNICATIONS

The Vendor must develop a plan for sharing information regarding progress and decisions that have been made regarding functionality. Specific Vendor-conducted activities related to project communications include:

- Developing communication strategy and plan;
- Creating periodic project status publications;
- Conducting stakeholder briefings.

State-Conducted Task 1.3 Activity

- Identifying stakeholders.

The Vendor will incorporate the identified stakeholders into its Task 1.3 deliverable (Communication Plan).

These project activities will be necessary to ensure that all stakeholders are kept well informed of project status and any issues that require attention.

Vendor-Produced Task 1.3 Deliverables:

- Communications Plan – details the Vendor’s plan for keeping all project stakeholders informed about project progress and identifies the goals/objectives of project communication, identifies the target audience, establishes the frequency and mode of communication.

TASK 2: REQUIREMENTS DETERMINATION

At completion of this task, the ASSIST team will have a clear understanding of the system requirements and will have defined the core components to be retained from, removed, or added to any foundation system.

TASK 2.1: EXISTING REQUIREMENTS VALIDATION

Using the requirements in Appendix E, this step will require the system Vendor to perform the following subtasks:

- Validate existing ASSIST requirements. This will involve joint sessions with appropriate state and county DHR staff to review all requirements and ensure that the Vendor’s understanding of the requirement conforms to that of the State;
- Modify, clarify, and add detail to system requirements as necessary;
- Review and validate business process workflows;
- Maintain a mapping and traceability of requirements as they are allocated to design units. This requirements traceability matrix (RTM) will link the functional requirements to the system design and, ultimately, to the software code and through to system and acceptance testing. This process facilitates ongoing visibility into how the implemented solution supports all user and technical requirements.

Vendor-Produced Task 2.1 Deliverables:

- Revised Requirements Document – updated requirements as a result of the requirements validation process;
- Revised Business Process Workflows – updated workflows as a result of the requirements validation process;
- Requirements Traceability Matrix – matrix updated to cross-reference the requirements to the base system’s functional components.

TASK 2.2: BASE SYSTEM GAP ANALYSIS (IF APPLICABLE)

If the chosen Vendor uses an existing system as a base for the Alabama ASSIST project, this task is required. Using the Revised Requirements Document created in Task 2.1 above and the base system, this step will require the system Vendor to perform the following subtasks:

- Update the Requirements Traceability Matrix to map the ASSIST requirements to the base system’s functional components;
- Analyze base system functionality gaps;
- Develop Transition Plan.

Vendor-Produced Task 2.2 Deliverables:

- Revised Requirements Traceability Matrix – matrix updated to cross-reference the requirements to the base system’s functional components;
- Base System Gap Analysis – identifies the “gaps” between the base system’s functional components and the requirements;
- Base System to ASSIST Transition Plan – describes in detail how the Vendor intends to transition from the base system to the new application, specifically laying out strategies for addressing the gaps identified in the Base System Gap Analysis.

Note: If a base system is used in the ASSIST project, the Vendor will be required to provide to the State the base system and all associated artifacts in the time and manner necessary for timely project progress.

TASK 2.3 DEVELOP APPLICATION STRATEGY

This task will include the following Vendor activities:

- Developing a Preliminary Design Document for the new ASSIST application.

Vendor-Produced Task 2.3 Deliverables:

- Preliminary Design Document – provides a high level overview of how the Vendor intends to meet the validated requirements; at a minimum, the Preliminary Design must include descriptions of the application, assumptions and constraints, an approach overview, functional specifications/requirements for the systems and sub-systems, approaches to meet the requirements, design variants and selection of design, block

diagrams for system and sub-systems, descriptions of the systems and sub-systems, and interfaces for all software modules.

TASK 3: SYSTEM ARCHITECTURE AND DESIGN

TASK 3.1: DATABASE ARCHITECTURE AND ADMINISTRATION

This task will focus on designing the new ASSIST database in order to meet the functional and performance needs of DHR. The following activities are involved in this task:

- Identify and confirm any foundation system's reusable data components, where applicable;
- Design data architecture which includes logical and physical data models, and indices;
- Create, update and communicate data dictionary to include description of data elements, characteristics, and properties;
- Identify and resolve potential database performance issues;
- Manage and coordinate database changes.

Vendor-Produced Task 3.1 Deliverables:

- Conceptual Data Models – sets out high level relationships among entities including attributes and entity-relationship diagrams illustrating views of the data architecture;
- Logical Data Model – describes the data in detail, including all entities and relationships, attributes, primary keys, and foreign keys;
- Physical Data Model – illustrates how the logical data model will be realized in the database schema; the model must include specification of all tables and columns, foreign key relationships between tables, and physical constraints;
- Stored Procedures – sets out the names, descriptions, operations and/or queries (SQL), compile parameters, and input and/or output parameters;
- Database Triggers – identifies the trigger names, descriptions, events causing the trigger to execute, and SQL;
- Data Integrity Rules – describes the rules and procedures for enforcing data integrity to insure that the data values in the database are correct and consistent; the rules must include entity and referential integrity, integrity rules, relationships between tables, parent rows, parent tables, dependent tables, and dependent rows;
- Definition of Database Views;
- Cross Reference of Tables and Stored Procedures;
- Cross Reference of Tables and Triggers;
- Cross Reference of Stored Procedures and Triggers;
- Cross Reference of Tables and Database Views.

TASK 3.2: APPLICATION/SOFTWARE ARCHITECTURE

The application architecture provides a global view of the system, illustrating the linkages between elements, and determining the level of integration of any foundation system's components within the new system. The application architecture highlights the aspects of the system that can be fully utilized within any foundation system, those that will require modifications, and those components that will require new development.

The following activities are involved in this task:

- Design the application architecture, including identification of any foundation system's reusable functionality, where applicable;
- Create, update and publish architecture/component map showing the structure of the application, the components and their relationships, rules followed by the components;
- Identify and resolve potential application performance issues;
- Manage and coordinate application architectural changes.

Vendor-Produced Task 3.2 Deliverables:

- Application Architecture Diagrams – details how the application's components interact;
- Module Diagrams – defines the allocation of classes and objects to modules, module descriptions, dependencies, rules, and relationships;
- Data Flow Diagrams – details how data is processed by the system in terms of inputs and outputs via high level context diagrams and detail level diagrams;
- Application Guide –discusses the different aspects of the application, procedures for running the application, component specifications, coding languages used for each module/component, reusable components, security implications, hardware/software design decisions, change tracking processes, software development processes, debugging processes, algorithm development and verification processes, database concepts, and database connectivity specifications;
- Systems Operations Guide – provides details on procedures for operations, shutdown, console, boot, backup, support, as well as system standards, specifications, and configurations.

TASK 3.3: INFRASTRUCTURE ARCHITECTURE

This task will focus on designing the new ASSIST data communication specifications to meet the functional and performance needs of DHR while working within the constraints of the existing State of Alabama network infrastructure. The following activities are involved in this task:

- Create the network configuration architecture;
- Create, update and communicate network map;
- Identify and aid State in identifying potential network performance issues;

- Work with State staff to manage and coordinate solutions to any network performance issues via changes to ASSIST application or database.

Vendor-Produced Task 3.3 Deliverables:

- Infrastructure Architecture Diagram – details the technical components of the system and their relationships, communications specifications, and the manner in which the system integrates with the State’s network infrastructure;
- Network Gap Analysis – identifies the “gaps” between the State’s network infrastructure and the Vendor’s solution, identifying additional hardware and/or software needed to ensure that the Vendor solution will operate within the parameters of the State’s network infrastructure; the analysis also addresses potential network performance issues.

TASK 3.4: SECURITY ARCHITECTURE

This task will focus on designing the security for user access either internal or external to DHR to the new ASSIST application to meet the security needs of DHR. The Vendor must ensure that the new SACWIS system safeguards access to data and modules in the system. Users who are not authorized to access certain applications and/or data will be prohibited from retrieving, viewing, using, or otherwise acquiring access. Security privileges will be tied to roles and administered by State staff. The Finance ISD Office and DHR CIS Office will manage access to the system (Internet and Intranet) and will manage network access security. Specific security guidelines are outlined in the functional requirements in Appendix E and in the State of Alabama Security Guidelines in Appendix F. The following activities are involved in this task:

- Create a security plan that details at a minimum;
 - Any DHR environmental or technical factors that raise special security concerns;
 - Rules for interconnecting applications;
 - A privacy impact assessment;
 - Security threats, vulnerabilities, and additional security controls required to mitigate risks;
 - Proposed ASSIST user rules of behavior delineating responsibilities and expected behavior of all individuals with access to the ASSIST system;
 - ASSIST role-based security profiles consistent with the requirements as set out in Appendix E of this RFP.
- Work with DHR CIS staff and Finance ISD to manage and coordinate solutions to any security issues arising from changes to ASSIST application or database.

Vendor-Produced Task 3.4 Deliverables:

- Security Plan – provides an overview of the system’s security approach, including details on the various user security profiles, permissions associated with each profile, and an overview of the interface security approach;
- Security Risk Assessment – discusses the risk assessment process, identifying actual risks and recommendations for mitigating these risks;

- Security Control Plan – illustrates the Vendor’s plans for maintaining system security controls through reviews, audits and findings;
- Revised Requirements Traceability Matrix – matrix updated to include all security controls to be automated in the new application;
- Security Evaluation/Test Procedures and Results – evaluates and tests the security of the total system and its logical subsystems.

TASK 3.5: DETAILED SYSTEM DESIGN

Using the system architecture developed in previous subtasks, the Vendor will develop detailed designs that are specific to the proposed ASSIST system. The detailed design determines and documents in more concrete terms how components will be built and implemented.

In completing this task the Vendor will be required to:

- Identify common/reusable components;
- Create/modify detailed designs for common/reusable components;
- Establish interface specifications;
- Develop database design and schema;
- Create/modify detailed program specification;
- Create/modify screen layouts;
- Create/modify report templates (layouts);
- Create/modify document templates;
- Update the Requirements Traceability Matrix to trace how each requirement is met in the designed application.

At completion of this task, the Vendor will have developed detailed specifications for each major element of the system.

Vendor-Produced Task 3.5 Deliverables:

- Detailed Design Documents – provides a detailed system overview and scope including flowcharts, logical screen/window flow, modules/programs (description, requirement met, impact, report layouts, screen layouts, tables), assumptions and constraints;
- Detailed Program Specifications – provides technical detail at the program/module level such as the program/module type, table/file definitions, messages, events, alerts, detail processing description. and run frequency, associated JCL, PROCs, PARMLIB, and checkpoint/restart batch/interface for batch reports;
- Revised Requirements Traceability Matrix – updates the matrix with a cross reference of programs /screens /windows /reports to the SACWIS requirements defined and revised in task 2.1;

- Job Control Language (JCL) Index – provides an indexed inventory of JCL and/or scripts required for support of the application;
- Cross-reference for online and batch programs/components to tables/views;
- Cross-reference for online and batch programs/components to stored procedures;
- Cross reference for online and batch programs to windows/screens;
- Cross reference of reports and forms to programs/screens/windows;
- Revised Requirements Traceability Matrix – updates the matrix to illustrate how each requirement is met in the designed application.

TASK 4: CODE AND UNIT TEST

Based on the detailed system design developed in the previous task, the project programmers will customize or develop specific modules. These modules will be unit-tested by the developer to ensure completeness. The State or its designee reserves the right to review Vendor unit test processes and results at any time in the duration of this task. The completed modules will be bundled into the ASSIST subsystems as detailed in Appendix E and passed on for integration testing.

TASK 4.1: PREPARE DEVELOPMENT ENVIRONMENT

Creating an appropriate development environment is an important step in the system development process. Activities to be completed include:

- Establish development partition or server;
- Allocate disk space for development;
- Install development tools;
- Install transaction monitor;
- Install and configure configuration management tools;
- Identify, install, and configure other required utilities;
- Install the base system and provide all associated artifacts.

This environment will facilitate the development of the new data system. It is essential that a high level of control and organization exist.

Vendor-Produced Task 4.1 Deliverables:

- Development Environment Operations Plan – details procedures for setting up the development environment including hardware, system monitoring, change control, configuration management, service and support, backup procedures, installing and configuring hardware and software;
- Operational Development Environment;

- Delivery of Baseline System (to reside on State owned server/mainframe) and all associated base systems artifacts.

TASK 4.2: IMPLEMENT DEVELOPMENT STANDARDS AND PROCESS

In addition to creating an appropriate development environment, it is necessary to implement associated standards and processes. The State will review the Vendor's development standards and processes. Accomplishing this will require completion of the following subtasks, all of which should be a part of the Vendor's Development Standards and Processes Manual:

- Develop graphical user interface standards;
- Create code and technical standards;
- Establish naming standards and conventions;
- Establish configuration-management and version-control processes.

Vendor-Produced Task 4.2 Deliverables:

- Development Standards and Processes Manual – details the processes and standards for development coding, testing, configuration management, version control, and naming conventions to be followed during the project.

TASK 4.3: DEVELOP, AND UNIT TEST SUBSYSTEM

This task will focus on creating the core subsystems. This effort will encompass the following activities:

- Identify common functions;
- Create/modify common routines and stored procedures;
- Develop and test:
 - Menu and security framework;
 - All system components.
- Create/modify reports;
- Update the Requirements Traceability Matrix to document where each requirement is met in the developed application, and validated within the test plan.

Vendor-Produced Task 4.3 Deliverables:

- Unit Test Plan – provides the scope, approach, and schedule of testing activities including a description of the item(s) to be tested, the features to be tested, testing tasks to be performed, the staff responsible for each task, the risk associated with the plan;
- Unit test results;
- Unit Tested applications components/modules/programs;
- Revised Requirements Traceability Matrix.

TASK 4.4: PREPARE SYSTEM DOCUMENTATION

The Vendor will be responsible for documenting the components of the system, including the core database and coded application subsystems. This task, at a minimum, should address the following activities:

- Finalize database models;
- Finalize functional model;
- Finalize the Requirements Traceability Matrix to document how each requirement is satisfied in the new system;
- Create operational procedures;
- Define administrative tasks;
- Create support and operations plan.

The system documentation deliverables required and outlined below will allow DHR CIS staff and end users to fully understand the underlying logic of the new system. Clearly organized documentation will facilitate future modifications and enhancements.

Vendor-Produced Task 4.4 Deliverables:

- Revised Conceptual Data Models – sets out the high level relationships among entities including attributes and entity-relationship diagrams illustrating views of the data architecture;
- Revised Logical Data Model – describes the data in detail, including all entities and relationships, attributes, primary keys, and foreign keys;
- Revised Physical Data Model – illustrates how the logical data model will be realized in the database schema; the model must include specification of all tables and columns, foreign key relationships between tables, and physical constraints;
- Revised Requirements Traceability Matrix;
- Operational Procedures – details procedures for day-to-day management of the system, system monitoring, change control, configuration management, service and support, job scheduling, and backup procedures;
- Administrative Tasks Summary;
- Support and Operations Plan – identifies operational facilities and equipment, production and operating procedures, quality control procedures, and help desk procedures.

TASK 4.5: UPDATE DISASTER RECOVERY PLAN

The Vendor will be responsible for determining the changes to the State's existing disaster recovery plan for the current ASSIST application that are necessary to maximize uninterrupted access to the new ASSIST application and data. The State's Disaster Recovery Plan for the current ASSIST application is located in Appendix K. This task at a minimum should include the following:

- Program recovery capability descriptions and instructions;

- Information describing retention and storage of backup of files and software;
- Application system backup and recovery that is composed of information on all processes, files/database, restart procedures, and backup and recovery procedures;
- Operations Manual which supports the Production Control needs of the new SACWIS Solution and describes at least the following topics for online and batch jobs:
 - Description of job;
 - Special requirements or considerations;
 - Job dependencies;
 - Restart procedures;
 - Backup and recovery procedures.

Vendor-Produced Task 4.5 Deliverables:

- In conjunction with State, update and test the State Disaster Recovery Plan.

TASK 5: DATA CONVERSION AND INTERFACES

The purpose of this task is to provide a means for accessing information that currently exists in other DHR systems. This includes developing a strategy for migrating information from legacy systems and previous ASSIST version into the new ASSIST system, and providing a means for sharing information with other key State systems. The sub tasks to be addressed in this area are outlined below. Converted data must be available for the integration test, acceptance test, performance test, interface test, pre-acceptance test, and pilot test. There are fourteen systems that will be converted.

Because of the lack of State resources and time, the State is asking the Vendor to convert six of the larger systems while the State will convert the smaller eight systems. Refer to the chart in Section 3.15 Current Automation Support for a list of these systems that will be converted.

TASK 5.1: ANALYZE DATA CONVERSION REQUIREMENTS

This task will be a State and Vendor led process. The State has assessed the existing DHR systems to identify that all data will be converted. The State will convert eight of the fourteen systems and the Vendor will convert the remaining six systems. The documentation of the systems that the Vendor will convert is included in Appendix J and will include the following documentation.

- Systems Description – system functionality, platform, interfaces;
- Data Model;
- Data Dictionary including definition of tables and columns and size estimates of tables;
- Reference data and descriptions;
- Estimated volume of data – number of cases, clients, and workers.

State-Conducted Task 5.1 Activities (to be completed prior to Vendor arrival):

- Developing a State Data Cleanup and Reconciliation Plan for all fourteen systems;
- Developing a Conversion Requirements Document for the eight systems the State is going to convert.

Vendor-Conducted Task 5.1 Activities:

- In conjunction with the State, review and modify the State's Data Cleanup and Reconciliation Plan;
- In conjunction with the State, review and modify the State's Conversion Requirements Document for the systems the State is responsible for converting;
- Estimating level of effort for a data conversion;
- Developing a Conversion Requirements Document for the six systems the Vendor is responsible for converting.

State-Produced Task 5.1 Deliverables (to be produced prior to Vendor arrival):

- State Data Cleanup and Reconciliation Plan;
- State Conversion Requirements Document.

Vendor-Produced Task 5.1 Deliverables:

- Vendor Conversion Requirements Document – sets out the conversion requirements for the systems that the Vendor will convert, including a requirements overview, assumptions and constraints, and scope, as well as implications for policy, training, security, and implementation;
- Revised State Conversion Requirements Document;
- Data Conversion Estimate;
- Revised State Data Cleanup and Reconciliation Plan – describes a detailed approach for handling conversion data anomalies such as missing data, duplicate data, and other data exceptions and defines rules regarding default values;

TASK 5.2: DEVELOP CONVERSION STRATEGY

This task will be a State and Vendor led process.

State-Conducted Task 5.2 Activities:

- Developing a Preliminary Design Document for data conversion for the eight systems the State will be converting. This will be completed prior to the Vendor's arrival.

Vendor-Conducted Task 5.2 Activities:

- In conjunction with the State review and modify the State's Conversion Preliminary Design Document;

- Developing a Preliminary Design Document for data conversion for the six systems the Vendor will be converting;
- Maintain a mapping and traceability of conversion requirements as they are allocated to design units;
- Recommending a data conversion strategy, including a strategy for capturing/converting historical information and a strategy for conducting tests/trial runs for conversion.

State-Produced Task 5.2 Deliverables:

- State's Conversion Preliminary Design Document (to be completed prior to the Vendor's arrival).

Vendor-Produced Task 5.2 Deliverables:

- Vendor Conversion Preliminary Design Document – provides a high level overview of the Vendor's approach to addressing conversion requirements; the design should include descriptions of the applications, assumptions and constraints, an overview of the approach, functional specifications/requirements for the system and the sub-systems, approaches to meet the requirements, design variants and selection of design, block diagrams for system and sub-systems, descriptions of the systems and sub-systems, and interfaces for all software modules;
- Revised State Conversion Preliminary Design Document;
- Conversion Data Gap Analysis – identifies any missing data needed by SACWIS ASSIST but unavailable following conversion;
- Conversion Requirements Traceability Matrix – updates matrix with the association of conversion requirements to the work products that satisfy them.

TASK 5.3: DESIGN AND CONDUCT DATA EXTRACTION

Once the data conversion approaches/strategies are accepted by the State, the Vendor will develop the Data Conversion Detail Design and Program Specifications for the six systems the Vendor will convert. The Vendor will create the programs to extract the data from the six legacy systems for conversion into the new ASSIST system. The State will be developing Data Conversion Detail Design Documents and Program Specifications for the eight legacy systems the State will convert for conversion into the new ASSIST system.

State-Conducted Task 5.3 Activities:

To complete this task, the State will:

- Approve procedures for handling data anomalies such as missing data, null values, data exceptions, and default data values;
- Approve conditions that may appear during conversion activities, such as the situation when two or more duplicates (clients, case) are to be treated as one;
- Approve the proposed method to combine multiple duplicate (clients, cases) records into one record;

- Aid the Vendor in efficiently resolving data conversion errors;
- Verify correctness of Vendor data conversion software;
- Develop Detail Design Documents for the eight legacy systems the State is converting;
- Develop Program Specifications for the eight legacy systems the State is converting;
- Develop Detail Design Document for Data Cleanup and Reconciliation;
- Develop Program Specifications for the Data Cleanup and Reconciliation;
- Performing data cleanup.

Vendor-Conducted Task 5.3 Activities:

To complete this task the Vendor will:

- Develop the Data Conversion Detail Design documents for the six legacy systems the Vendor is converting;
- Develop Data Conversion Program Specifications for the six legacy systems the Vendor is converting;
- Create the programs to extract the data;
- Create matrix mapping legacy data elements from existing State applications to conversion file mask;
- Create matrix mapping data structures from conversion file mask to the new ASSIST system;
- Develop and test the data conversion software (Vendor portion of conversion activities) and input the State-provided data into the new ASSIST system;
- Analyze and report to the State all data conversion errors above the severity level as specified by the State;
- Identify any “missing” data (data needed by SACWIS but unavailable from existing systems) and null values;
- Recommend procedures for handling data anomalies such as missing data and data exceptions;
- Recommend procedures for handling default data values;
- Produce reports of likely duplicates (cases, clients, etc.) in the conversion data;
- Run data conversion software for unit test, integration test, performance test, pilot test, and phased rollout;
- Identify instances of data for which the handling was not defined by State staff and request resolution rules. The State intends to define the handling of all possible codes, combinations of codes, and instances of missing or conflicting legacy data with input from the Vendor during the analysis stage of conversion. However, if a situation occurs which has not been defined, the Vendor is responsible for discovering it and requesting the rule on handling it, rather than letting it default in some unintended way.

Note: This task will take place in conjunction with the larger ASSIST Pilot Test and Implementation (Task 9). It is included here for logical consistency.

State-Produced Task 5.3 Deliverables:

- Data Clean Up and Reconciliation Program Specifications;
- Data Clean Up and Reconciliation Programs;
- Detail Design Documents Conversion;
- Program Specifications for Conversion;
- Clean Legacy Data.

Vendor-Produced Task 5.3 Deliverables:

- Data Conversion Detail Design Documents – provides a detailed system overview and scope including flowcharts, logical screen/window flow, modules/programs (description, requirement met, impact, report layouts, screen layouts, tables), assumptions and constraints;
- Data Conversion Program Specifications – provides technical detail at the program/module level such as the program/module type, table/file definitions, messages, events, alerts, detail processing description, etc. and run frequency, associated JCL, PROCs, PARMLIB, and checkpoint/restart batch/interface for batch reports;
- Job Control Language (JCL) Index – provides an indexed inventory of JCL and/or scripts required for support of the application;
- Cross-reference for components/modules/programs to tables/views;
- Cross-reference for components/modules/programs to stored procedures;
- Data Conversion Programs;
- Populated ASSIST System;
- Conversion Data Element Matrix – cross referencing data elements from legacy systems to conversion data elements to new application data element;
- Unit Test Plan – provides the scope, approach, and schedule of testing activities including a description of the item(s) to be tested, the features to be tested, testing tasks to be performed, the staff responsible for each task, and the risk associated with the plan;
- Unit Test Results;
- Unit Tested conversion components/modules/programs;
- Data Conversion Schedules;
- Data Integrity Rules – describes the rules and procedures for enforcing data integrity to insure that the data values in the database are correct and consistent; the rules must include entity and referential integrity, integrity rules, relationships between tables, parent rows, parent tables, dependent tables, and dependent rows;

- Data Conversion Error/Exception Report;
- Data Conversion Verifications Results.

TASK 5.4: DESIGN INTERFACES AND COORDINATE WITH PARTNER SYSTEMS

The SACWIS must automatically interface with the systems listed below. Each interface must be bi-directional and be completely automated based on business rules to be defined during detailed requirements sessions.

System Name	Type System	Owning Agency	Federally Required?
FACETS	Title IV-A (TANF)	Alabama Department of Human Resources	Yes
ALECS	Title IV-D (Child Support)	Alabama Department of Human Resources	Yes
AMAES	Title XIX (Medicaid)	Alabama Medicaid Agency	Yes
Juvenile Court System	Legal	Alabama Administrative Office of Courts	No

The following provides additional details about these partner systems. For additional detail on Federal interface requirements, please reference requirements 200 through 204 in Appendix E which sets out the federally expected results from ACF-OSS-005.

FACETS

The Vendor must design, develop and implement an automated interface with FACETS, Alabama’s IV-A system. FACETS is a mainframe DB2 system that supports the administration of the State’s Temporary Assistance to Needy Families (TANF) program. TANF provides a cash benefit to roughly 23,000 needy families throughout Alabama.

The FACETS interface will be used to obtain household composition, asset, employment, and financial information used in the automated IV-E eligibility determination/redetermination process and in the assessment of the family. An interface transaction must be triggered from ASSIST when a case is created in ASSIST and when new case participants are added. ASSIST will send the following data to FACETS: Case Name, DHR File number, Parents’ Names, Children’s Names , Parents’ SSN, Children’s SSN, Children’s DOB’s, Removal Data, County, and Custody End Date. FACETS will, in return, provide the following data elements to ASSIST: Case Name, DHR File Number, Parents’ Names, Children’s Names, Parents’ SSN, Children’s SSN, Children’s DOB’s, County, Household Composition, TANF Benefit data, Assets/Employment/Financial Benefits data. The interface frequency will be both nightly and weekly, depending on the type of data to be exchanged.

ALECS

ALECS is the State’s IV-D system, supporting the administration of the Child Support Enforcement program. ALECS is a large mainframe DB2 system, with an estimated 250,000 cases. The Child Support Enforcement Division of the Department of Human Resources uses

ALECS for a broad range of activities from location, paternity establishment, and obligation establishment, to enforcement, and collection services.

The Vendor must implement an interface that will automatically initiate an ALECS interface transaction when ASSIST is updated to indicate that the court has changed the payee on a support order to DHR, when DHR is granted custody of a child, or when an agreement for foster care has been signed for a child who is already in DHR custody. The ALECS interface will provide ASSIST with paternity information as well as information regarding child support payments. The child support payments will be used as one factor in determining IV-E and Medicaid eligibility. Due to the time sensitive nature of the information being exchanged between these two systems, the interface frequency must be nightly. Specific data passed from ASSIST to ALECS includes: Child name, Child SSN, Child DOB, Mother's and Father's name, Mother's and Father's SSN, Court Order Number, Paternity Established, Child Support Obligation Amount, Child Support Payment Frequency, Court Order Effective Date, Assets and Employment information. ALECS will provide ASSIST with the following information: Child Support Referral, Non-Referral Reason, Child name, Mother's and Father's name, Child SSN, Mother's and Father's SSN, Child DOB, Court Order Number, Removal Date, County, Custody Type, Custody Begin date, Custody End Date, Removal Date, Foster Care Board Payments, Child Support Obligation Amount, Child Support Payment Frequency, Court Order Effective Date, & DHR File Number, Board Payment amount, Child Health Insurance/Third Party Liability information, Assets and Employment information.

AMAES

AMAES is the State's Medicaid system and is operated by the Alabama Medicaid Agency. The AMAES interface will be used to exchange information with Medicaid and/or its fiscal agent for child Medicaid eligibility, adult Medicaid eligibility and Medicaid Rehabilitative services and Targeted Care Management (TCM) claiming and reimbursement.

The Vendor must implement an automated interface to exchange key information between ASSIST and AMAES. An interface transaction must be triggered when a case is opened or a person is added. ASSIST will submit identifying information to AMAES to determine if the individual is a recipient of Medicaid's services. If a Medicaid eligible individual is opened for services in foster care, the system must initiate a transaction to identify any existing Medicaid number and to use the existing Medicaid number to request a prior authorization (PA) number to allow for TCM billing. Upon receipt of the PA number, this number must be posted to the monthly DHR billing file. On a monthly basis, ASSIST will create and submit a billing file requesting reimbursement for Medicaid services provided by DHR staff, and for payments made to providers on behalf of Medicaid eligible individuals. ASSIST will receive return data reflecting the payment status of each claim, submitted by DHR and contract providers, post this information to the client record and produce needed reports. The data exchanged between these two systems is too voluminous to be listed here.

Services for individuals who are not identified as Medicaid eligible or if there is a liable third party identified based on the automated interface with AMAES must be identified and claims data prepared and exchanged with other entities.

ASSIST will interface nightly with AMAES and send transactions of Add, Change, and/or Terminate/Delete. AMAES will send nightly rejections on cases that are unable to be updated due to current certification under the SSI Program, etc. AMAES will provide the Medicaid number for foster care Medicaid cases certified by DHR.

Juvenile Court System

The Juvenile Court System is a SQL system maintained and operated by the Alabama Administrative Office of Courts (AOC). AOC is responsible for the administration and management of all courts within the Alabama judicial system.

The Vendor must develop and implement an automated interface with the Juvenile Court System to exchange information in a timely and efficient manner. Through this interface, DHR expects to access court-related events requiring DHR action, such as outcomes of petitions, trials, hearings, detention processing, periodic reviews, and adoptions. Dates of scheduled hearings and other key information must also be accessible. This information is crucial in the management of ASSIST cases and must be exchanged in an efficient and timely manner.

Specific data to be sent from ASSIST to the Juvenile Court System includes: Child name, Child SSN, Child DOB, Child Race, Child Gender, Child Address, Relationship (Mother, Father, Legal Guardian, Custodian), Mother’s Name, Mother’s SSN, Mother’s Race, Mother’s Address, Father’s Name, Father’s SSN, Father’s Race, Father’s Address, Legal Guardian Name, Legal Guardian Address, Legal Guardian SSN, Name of Petitioner, Name of Attorney, Incident Date, Statute, Allegation, Social Worker Name, and DHR File Number. Data that must be submitted from the Juvenile Court System to ASSIST includes: Child name, Child SSN, Child DOB, Child Gender, Child Address, Relationship (Mother, Father, Legal Guardian, Custodian), Mother’s Name, Mother’s SSN, Mother’s Race, Mother’s Address, Father’s Name, Father’s SSN, Father’s Race, Father’s Address, Legal Guardian Name, Legal Guardian Address, Legal Guardian SSN, Name of Petitioner, Petition Filed Date, Hearing Date, Order Number, Order Date, Name of Judge, Date Ratified if Referee entered Order, Probation Office’s Name, Case Type, and Court Ruling.

Partner System	Owned By	Database	Frequency
FACETS (TANF)	DHR Family Assistance Division	DB2	Nightly; Weekly
ALECS (Child Support Enforcement)	DHR Child Support Enforcement Division	DB2	Nightly
AMAES (Medicaid)	Alabama Medicaid Agency	VSAM	Nightly
Juvenile Court System	Alabama Administrative Office of Courts (AOC)	SQL on a .Net platform	Nightly

The Vendor will work closely with DHR staff to develop an interface strategy. This will include

implementation of any required interfaces as well as working to define the additional requirements changes required to the partner system. The Vendor will not be responsible for modifying partner systems. Instead, the Vendor in conjunction with State staff will work with partner system technical staff to identify the changes that are required and to resolve problems that might arise.

State-Conducted Task 5.4 Activities:

- Develop an interface strategy;
- Create interface agreement documents with Partner Systems.

Vendor-Conducted Task 5.4 Activities:

- Review and evaluate State's interface strategy and Partner System interface agreement;
- Identify required software or hardware components;
- Create an Interface Controlling Document (ICD) setting out the overall interface architecture and design;
- Conduct interface walkthroughs.

At the completion of this task, the Vendor, State, and the Partner System team will have a thorough understanding of the interface requirements, and the specification for communicating between the systems.

State-Produced Task 5.4 Deliverables:

- Interface strategy;
- Partner System interface agreements.

Vendor-Produced Task 5.4 Deliverables:

- Partner Systems Interface Recommendations;
- Interface Architecture Diagrams – describes the flow of content between the databases/files and the application, communications protocols;
- Requirements Document for Interfaces – details the interface requirements including an overview of the scope, policy, training, security, implementation, requirements, assumptions and constraints;
- Preliminary Design Document for Interfaces - provides a high level overview of the Vendor's approach to addressing conversion requirements; the design should include descriptions of the applications, assumptions and constraints, an overview of the approach, functional specifications/requirements for the system and the sub-systems, approaches to meet the requirements, design variants and selection of design, block diagrams for system and sub-systems, descriptions of the systems and sub-systems, and interfaces for all software modules;
- Interface Data Gap Analysis – identifies any missing data needed by SACWIS ASSIST;

- Interface Requirements Traceability Matrix – updates matrix with the association of interface requirements with the work products that satisfy them.

TASK 5.5: DEVELOP AND TEST INTERFACES

Based on the approved interface design, the Vendor will create the required interfaces. This will involve the following activities:

- Develop, test, and deploy required hardware and software;
- Certify interfaces are ready for implementation;
- Develop test data exchanges;
- Test data exchanges with Partner Systems;
- Develop and test full interface transaction set;
- Develop and test the automatic scheduling for the interfaces.

At the completion of this task, all required system interfaces will have been developed and tested. The partner system development staff will be responsible for developing all components on the partner system. In the event that a partner system is not ready for testing at the time that the Vendor has completed all interface development activities, the interface will be certified when the testing through the partner systems has been completed. It is expected that the Vendor will work with the partner system staff to ensure that interfaces are operational prior to implementation.

Vendor-Produced Task 5.5 Deliverables:

- Detail Design Documents for Interfaces - provides a detailed system overview and scope including flowcharts, logical screen/window flow, modules/programs (description, requirement met, impact, report layouts, screen layouts, tables), assumptions and constraints;
- Interfaces Program Specifications – provides technical detail at the program/module level such as the program/module type, table/file definitions, messages, events, alerts, detail processing description, etc. and run frequency, associated JCL, PROCs, PARMLIB, checkpoint/restart batch/interface for batch reports;
- Indexed inventory of all JCL and/or scripts required for support of interfaces;
- Cross-reference for components/modules/programs to tables/views;
- Cross-reference for components/modules/programs to stored procedures;
- Data Interface Programs/Components/Modules;
- Unit Test Plan – provides the scope, approach, and schedule of testing activities including a description of the item(s) to be tested, the features to be tested, testing tasks to be performed, the staff responsible for each task, and the risk associated with the plan;
- Unit Test Results;
- Unit Tested interface components/modules/programs;

- Interface Schedules;
- Data Integrity Rules – describes the rules and procedures for enforcing data integrity to insure that the data values in the database are correct and consistent; the rules must include entity and referential integrity, integrity rules, relationships between tables, parent rows, parent tables, dependent tables, and dependent rows;
- Interface Error/Exception Report;
- Interface Verifications Results;
- Interface Documents for users and support staff.

TASK 6: INTEGRATION, LOAD, AND ACCEPTANCE TESTING

TASK 6.1: PREPARE FOR TESTING

In order to test the ASSIST modules, various preparations will be required.

- In conjunction with the State, develop integration, load/performance, and acceptance test plans including activities such as test scenarios, mapping of test coverage to the Requirements Traceability Matrix, and resulting regression test plan;
- Develop integration, load/performance, and acceptance test scripts based on test plans and detailed design specification;
- Create a test environment that mirrors the anticipated production system and contains all needed automated testing tools;
- Define test data;
- Establish error-reporting and resolution process.

Vendor-Produced Task 6.1 Deliverables:

- Master Test Plan – describes the overall testing process for the project, including the testing of conversion and interfaces, and defines the major testing phases and linkages between the test activities, resources, and schedules;
- Integration Test Plans – describes the scope, approach, and schedule of the testing activities for the modules/programs being tested, including the features to be tested, tasks to be performed, the personnel responsible for each task, and the risk associated with the plan;
- Load/Performance Test Plans – describes the scope, approach, and schedule of the testing activities for testing the ability of the system to process large volumes of data, including the features to be tested, tasks to be performed, the personnel responsible for each task, and the risk associated with the plan;
- Pre-Acceptance Test Plans – describes the scope, approach, and schedule of the testing activities for system-wide testing to be done by the Vendor as a precursor to State-run User Acceptance Testing; test plan includes the features to be tested, testing tasks to be performed, the personnel responsible for each task, and the risk associated with the plan;

- Integration Test Scripts – details the steps for executing a test or set of tests and includes input specifications, output specifications, environmental needs, special procedural requirements, and dependencies;
- Load/Performance Test Scripts – details the steps for executing a test or set of tests and includes input specifications, output specifications, environmental needs, special procedural requirements, and dependencies;
- Pre-Acceptance Test Scripts – details the steps for executing a test or set of tests and includes input specifications, output specifications, environmental needs, special procedural requirements, and dependencies;
- Integration Test Matrix – provides detailed information on test scenarios and requirements and the test steps that validate those scenarios and requirements;
- Load/Performance Test Matrix – provides detailed information on test scenarios and requirements and the test steps that validate those scenarios and requirements;
- Pre-Acceptance Test Matrix – provides detailed information on test scenarios and requirements and the test steps that validate those scenarios and requirements;
- Error-Reporting and Resolution Process;
- Test Environment including automated test tools.

TASK 6.2: CONDUCT SYSTEM INTEGRATION TEST

During this task, the Vendor will conduct the system integration testing for the new ASSIST. The testing team will use the procedures, test scripts, and testing tools previously developed to test, and, if necessary, retest the applications and document the results.

The following activities are involved in this subtask:

- Develop detailed System-Integration Test Plan with clear exit-criteria, in accordance with the General Plan as detailed in Task 6.1;
- Identify and schedule testing team;
- Conduct tests and record results;
- Resolve errors with development team;
- Prepare new or modified ASSIST components for inclusion;
- Conduct regression test;
- Make changes to ASSIST as-needed to resolve identified errors.

Integration testing involves progressively combining and testing software and hardware components until the entire system has been completely united and tested. Integration testing will allow the project team to determine when the system is ready to be acceptance-tested.

Vendor-Produced Task 6.2 Deliverables:

- Revised Integration Test Plan (with exit-criteria) – describes the scope, approach, and schedule of the testing activities for the modules/programs being tested, including the features to be tested, tasks to be performed, the personnel responsible for each task, and the risk associated with the plan;
- Revised Integration Test Scripts – details the steps for executing a test or set of tests and includes input specifications, output specifications, environmental needs, special procedural requirements, and dependencies;
- Revised Integration Test Matrix – provides detailed information on test scenarios and requirements and the test steps that validate those scenarios and requirements;
- Necessary changes made to ASSIST.

TASK 6.3: CONDUCT LOAD/PERFORMANCE TEST

During this task, the Vendor will conduct tests to ensure that the new ASSIST SACWIS can adequately meet the performance requirements (as detailed in Appendix E of this RFP) under estimated normal transaction volume loads when the system is implemented statewide. The testing team will use the procedures, test scripts, and testing tools previously developed to test, and, if necessary, retest the applications and document the results. The following activities are involved in this subtask:

- Develop Load/Performance Test Plan with clear exit-criteria in accordance with the General Plan as detailed in Task 6.1;
- Identify and schedule testing team;
- Conduct tests and record performance problems;
- Review performance issues with architecture team;
- Tune the ASSIST system to address identified performance problems;
- Conduct regression test.

This testing step will ensure that the State's performance requirements are adequately addressed.

Vendor-Produced Task 6.3 Deliverables:

- Revised Load/Performance Test Plan – describes the scope, approach, and schedule of the testing activities for testing the ability of the system to process large volumes of data, including the features to be tested, tasks to be performed, the personnel responsible for each task, and the risk associated with the plan;
- Revised Load/Performance Test Matrix – provides detailed information on test scenarios and requirements and the test steps that validate those scenarios and requirements;
- Revised Load/Performance Test Scripts – details the steps for executing a test or set of tests and includes input specifications, output specifications, environmental needs, special procedural requirements, and dependencies;
- Necessary changes made to ASSIST for performance tuning.

TASK 6.4: CONDUCT PRE-ACCEPTANCE TEST

During this task, the Vendor will conduct tests to ensure that the new ASSIST system is ready for State-led acceptance testing. The testing team will use the procedures, test scripts, and testing tools previously developed to test, and, if necessary, retest the applications and document the results. The following activities are involved in this subtask:

- Develop Pre-Acceptance Test Plan with clear exit-criteria in accordance with the General Plan as detailed in Task 6.1;
- Identify and schedule testing team;
- Conduct tests and record results;
- Coordinate errors with development team;
- Prepare new components for inclusion;
- Conduct regression test.

This testing step will ensure that the State-led and conducted acceptance testing is efficient.

Vendor-Produced Task 6.4 Deliverables:

- Revised Pre-Acceptance Test Plan – describes the scope, approach, and schedule of the testing activities for system-wide testing to be done by the Vendor as a precursor to State-run User Acceptance Testing; test plan includes the features to be tested, testing tasks to be performed, the personnel responsible for each task, and the risk associated with the plan;
- Revised Pre-Acceptance Test Matrix – provides detailed information on test scenarios and requirements and the test steps that validate those scenarios and requirements;
- Revised Pre-Acceptance Test Scripts – details the steps for executing a test or set of tests and includes input specifications, output specifications, environmental needs, special procedural requirements, and dependencies;
- Necessary changes made to ASSIST.

The State and the ASSIST Quality Assurance Vendor will review the Implementation Vendor's Task 6.4 deliverables. Once the Pre-Acceptance tests are approved by the State and the QA Vendor, the State-led Acceptance Testing will begin.

TASK 6.5: CONDUCT ACCEPTANCE TEST (STATE-LED)

During this task, State subject matter experts from DHR State and county offices will test the ASSIST components to ensure the application is robust enough for field processes. This will be a State-led activity with support from the ASSIST Implementation and Quality Assurance Vendors. The testing team, composed of SMEs from DHR State and county offices, will enhance and modify the procedures, test scripts, and testing tools previously developed to test, and, if necessary, retest the applications and document the results. It is the State's preference to perform user acceptance testing in a modular fashion rather than attempt to test all functional components of the system at the same time.

State-Conducted Task 6.5 Activities:

- Develop Acceptance Test Plan with clear exit-criteria in accordance with the General Plan as detailed in Task 6.1;
- Identify and schedule testing team;
- Conduct tests and record results;
- Conduct regression test.

State-Produced Task 6.5 Deliverables:

- Acceptance Test Plan;
- Acceptance Test Results.

Vendor-Conducted Task 6.5 Activities:

- Coordinate correction of identified errors with development team;
- Prepare new/modified components for inclusion into the ASSIST application;
- Update the Requirements Traceability matrix to document how the ASSIST requirements were and were not met by the system as tested and any existing gaps that still exist.

Vendor-Produced Task 6.5 Deliverables:

- ASSIST System Modification Plan;
- Necessary changes made to ASSIST system;
- Updated Requirements Traceability Matrix.

Acceptance testing involves providing the users an opportunity to evaluate the system and determine if their requirements have been fully addressed. The acceptance test team will be comprised of SMEs from DHR State and county offices who are proficient in the various functional areas being tested.

TASK 6.6: CERTIFY THE SYSTEM AS READY FOR PILOT

When integration and acceptance testing is complete, it will be possible to assess the testing results and make appropriate changes. Once the system has been tuned, it will be possible to certify the system as being ready for pilot testing. To successfully certify the system, the following activities will be required:

- Assess testing results;
- Determine overall usability of the system as set out in the ASSIST Acceptance Test Plan;
- Resolve all system problems that are deemed critical as set out in the ASSIST Acceptance Test Plan;
- Establish, with State approval, workarounds for known problems;
- Make go/no go recommendations to State.

Once the decision has been made to go forward with pilot, the user community will be prepared for the pilot test. Training will be provided by the Vendor and will be supported with appropriate training materials and exercises. Trainees will be provided with appropriate process and application reference materials for future use. The State will entertain proposed pilot solutions from vendors, but anticipates a two to three county pilot for a period of not less than two months followed by a phased rollout of the system over the following three to six months. Should the vendor's solution propose to deliver the system in functional components, pilot operations would necessarily be repeated for each functionality being deployed. The State is receptive to vendor suggestions as to the most efficient way to accomplish multiple pilot iterations for this type approach.

Vendor-Produced Task 6.6 Deliverables:

- Testing Certification, Summary, and Recommendation;
- Necessary changes made to ASSIST system.

TASK 7: DOCUMENTATION, TRAINING, AND CULTURAL CHANGE MANAGEMENT

Based on the ASSIST system design, the Vendor, DHR CIS and program staff will develop system documentation and training materials, including user documentation and technical specification documents. The training will address primarily user education but will also provide tutorials for technical staff.

TASK 7.1: DEVELOP TRAINING

The Vendor will work with DHR to develop detailed plans, documentation, procedures, and presentation materials for conducting training of the new ASSIST SACWIS. Specifically, the following activities will be completed:

- Define training goals and requirements;
- Create classroom-based training curriculum;
- Create classroom-based training materials;
- Create self-directed, computer-based training modules;
- Create self-directed, computer-based training curriculum.

The self-directed, computer-based training curriculum must be comprehensive and policy-based, and will be used both to train new DHR employees and as refresher training for veteran staff. The self-directed, computer-based training must be structured in a component-based manner, allowing users to select training modules for the specific areas where training is needed. The self-directed, computer-based training must also provide progress metrics for workers to determine their success with meeting training objectives. All self-directed, computer-based training modules must be made available to users via the DHR Intranet or Internet.

Training materials must be developed with the end user in mind and must be easily understood by both trainers and trainees.

Vendor-Produced Task 7.1 Deliverables:

- Approach to training;
- Training Curriculum;
- Training Material;
- Self-directed training, computer-based modules and User Guide;
- Proposed schedule for implementation of pilot and statewide training.

TASK 7.2: CREATE/MODIFY USER DOCUMENTATION AND ONLINE HELP

This subtask focuses on developing extensive system documentation that will be utilized by end users. The Vendor will be responsible for creating desktop versions and developing online help features.

The following steps should be taken to develop comprehensive user documentation:

- Create/modify user manual; designed to guide end users step-by-step through ASSIST functional areas such as Intake, Assessment, Foster Care, and Adoptions. The manual must also include navigation instructions, menu selections, error messages, assignments, searches, narrative, forms and correspondence, and detailed instructions on how to perform system tasks;
- Create/modify quick reference desktop guide; a high level guide focused towards new end users designed to take them through the most common procedures for the various functionalities (Intake, Assessment, Foster Care, Adoptions) such as How to complete an Intake, How to enter a CA/N, etc.;
- Create/modify online help (see details in Appendix E, requirement 64).

As with training materials and curriculum, user manuals and desktop help features must be comprehensive and simple to understand.

Vendor-Produced Task 7.2 Deliverables:

- User Manual;
- Desktop Guide;
- Online help system in place.

TASK 7.3: DELIVER END-USER TRAINING

It is anticipated that training will be conducted in a team manner. The Vendor will be responsible for training delivery along with training State staff to assume ongoing training and end user support functions. This process will involve the following subtasks:

- Develop training strategy, including plans for training State trainers;

- Schedule training;
- Conduct training.

Coordinating training sessions will be a high priority and should be done well in advance of the planned classes to allow for the resolution of scheduling conflicts. In an effort to ensure that training is timely and relevant, the Vendor must provide training to users within three (3) weeks of implementation in user's respective sites/counties. The State has six computer training sites available, which the Vendor may include in their training strategy. The computer training sites are located in Mobile, Rainbow City, Birmingham, Decatur, and two sites in Montgomery. Each site is equipped with 15 DHR standard PCs and at least one printer, the details and minimum specifications of which are described in Section 3.16.2. The sites can accommodate 14 trainees and one trainer. The State fully expects that the Vendor will locate and establish additional training sites in order to meet the training timeliness requirements. The six DHR training sites mentioned above will not be sufficient to train all users within the prescribed three weeks of implementation to the users' sites. Any additional training facilities required in the Vendor's training strategy are the responsibility of the Vendor. The State plans to have program area policy staff participate in each training session to serve as resources for non-system policy or practice type questions that arise.

Vendor-Produced Task 7.3 Deliverables:

- Finalized Training Schedule/Plan;
- Training Materials/Curriculum delivered to trained ASSIST users;
- Training Completion Summary.

TASK 7.4: TECHNICAL DOCUMENTATION AND TRAINING

This task will focus on developing further system documentation, developing operating procedures, and planning and scheduling DHR CIS staff training. To provide adequate technical documentation and training, the following activities will be required:

- Create complete system documentation, including all ASSIST hardware, software, database, and infrastructural components and impacts;
- Develop operating procedures;
- In conjunction with the State, plan technical training of DHR CIS staff to ensure that post-warranty coding, enhancements, and maintenance of the ASSIST system can be conducted by DHR CIS staff;
- Provide system-specific training to staff.

Technical training will be required for staff that will be responsible for post-warranty coding, enhancements, and maintenance of the ASSIST system. Coordinating training sessions will be a high priority and should be done well in advance of the planned classes to allow for the resolution of scheduling conflicts.

Vendor-Produced Task 7.4 Deliverables:

- ASSIST hardware, software, database and infrastructure systems documentation;
- Revised Operational Procedures – details procedures for day-to-day management of the system, system monitoring, change control, configuration management, service and support, job scheduling, and backup procedures;
- Revised Knowledge Transfer Strategy and Plan;
- DHR CIS staff trained to a sufficient degree to allow the State to assume responsibility for maintenance, operation, and future enhancement of the system.

TASK 7.5: STATE-LED CULTURAL CHANGE MANAGEMENT

The implementation of ASSIST will change the manner in which many social services employees perform their jobs. Most of these changes will be positive, particularly as workers gain more time to spend with their clients. However, even in the best-planned and executed projects, people resist change. To meet this challenge, Alabama has developed and will utilize a Cultural Change Management Plan to garner user support and promote the success of ASSIST. Utilizing cultural change management helps ensure users are informed about ASSIST and how it affects them before implementation. Alabama's plan is designed to increase the acceptance of change, create an environment conducive to accepting change, measure the level of organizational support for or resistance to change, decrease the barriers to change and engage staff in the change process. The objective of our change management plan is to prepare ASSIST users to fully benefit from the implementation of the system and to minimize the disruption to the delivery of services to the clients. To accomplish this goal cultural change management must communicate clearly the nature of the changes in business processes associated with ASSIST and prepare the users to take full advantage of the functionality of the system. The State has developed a Cultural Change Management Plan and will make it available to the Vendor upon request.

TASK 8: PILOT TEST AND IMPLEMENTATION

This section outlines the expected ASSIST Pilot Test and Implementation subtasks and deliverables to be produced. The State expects the structure and timeline of this task to be highly dependent on and customized to the Vendor's chosen systems development approach. Thus, the Vendor may propose a modified Pilot Test and Implementation approach so long as the following key State principles are followed. The proposed Pilot Test and Implementation approach must:

- Deliver critical ASSIST functionality to DHR staff in a timely manner;
- Minimize the disruption of service delivery to DHR field staff;
- Detect and correct major ASSIST defects early, limiting the impact from system failure or error;
- Control the costs of conversion and bridging between old and new systems.

The State has judged that the most critical ASSIST functionality is Case Management. Several common functions (alerts, forms & correspondence, general, technical, etc.) apply to all sections of the requirements, but for the purposes of this task, Case Management includes the

requirements and functionality described in the following sections of Appendix E – Functional Requirements:

- Intake
- Assessment/Investigation
- Case Plan
- Foster Care
- Medicaid Rehab
- Legal
- Adoption
- ICPC
- ICWA
- Provider

Should the Vendor propose to implement the SACWIS in functional subsystems, the State mandates that the requirements and functionality described in the sections of Appendix E set out above be included in the initial subsystem developed and deployed. Beyond the requirement that Case Management functionality be provided first, vendors are encouraged to propose whatever implementation strategy maximizes the benefits to the State of their particular solution.

In the event that the Vendor has proposed additional deliverables as necessary to meet State requirements within their proposed methodology, such deliverables must be documented in Section 5.1.4.3.4 Implementation Methodology and Approach and their associated fixed price included in Price Sheet Part I (Appendix C).

TASK 8.1: PLAN PILOT TEST

To coordinate and plan pilot testing, several important activities must occur. This process will involve the following subtasks which collectively will result in a Pilot Operations Plan:

- In collaboration with the State, identify pilot site(s);
- Prepare for pilot training;
- Prepare and establish Pilot interfaces with legacy systems;
- Identify pilot users;
- Implement pilot security profiles as set out in Task 3.4;
- In collaboration with the State, define performance and problem resolution guidelines (based on problem severity) to be used during pilot testing.

Identification of potential pilot site(s) should begin early in this task. Managing issues identified during the pilot will be important and a process should be established during this subtask. Once this subtask is complete, the pilot test can be conducted using the Vendor’s proposed Pilot Test approach as approved by the State.

Vendor-Produced Task 8.1 Deliverables:

- Pilot Implementation Plan – details the approach for pilot operations including conversion and interfaces; the plan also contains an overview, scope, system flow, systems components and description (jobs, PROCS, batch modules/programs, online modules/programs, parameters, backups, navigation, messages, online help, copybooks, events, ticklers, tables/files, layouts, templates), job specifics (description, run

frequency, dependencies, parameters, special instructions, restart instructions, listing of job steps), assumptions and constraints;

- Pilot Support and Operations Plan – identifies operational facilities and equipment, production and operating procedures, quality control procedures, and help desk procedures.

TASK 8.2: TRANSITION PREPARATION

To coordinate and prepare for role transitions from Vendor to State staff, several important activities must occur. This process will involve the following subtasks:

- Knowledge transfer from Vendor to DHR staff;
- Prepare a transition plan detailing the roles and responsibilities for both State and Vendor staff.

Sequentially, this task begins during the Pilot Test and Implementation (Task 9) and will be complete during Support and Maintain New System (Task 10).

Vendor-Produced Task 8.2 Deliverables:

- Transition Plan – details the process for transitioning the application from the development/testing environment into the operations/production environment; addresses plan scope, points of contact, methodology, tools, techniques, strategy, schedules, installations, operations, support, conversion, interfaces, maintenance, risks, resource requirements, acceptance criteria, management controls, transition reports, transition team, impact, review process, configuration control;
- Transition Completion Summary.

TASK 8.3: ESTABLISH HELP DESK

The Vendor will be responsible for providing a help desk and end user support service beginning with the initiation of the Pilot Test through the end of the production rollout to all counties. At the completion of statewide implementation, the Vendor will transition the operation of the help desk to DHR staff over the time period encompassing the initiation of the Pilot Test through the end of the production rollout as part of the transition and knowledge transfer activities. As part of this transition, the Vendor must convert help desk tracking information into the State's help desk tracking application. The help desk will be available to aid ASSIST users with application, procedural, usability, and technical problems. The responsibility for the operation of the help desk remains with the Vendor until formal handover at the conclusion of statewide implementation.

In establishing the help desk, the Vendor will, at a minimum, complete the following activities:

- Define and outfit a help desk office space;
- Acquire and install required hardware and software for the Vendor-staffed help desk;
- Define and document help desk processes and procedures;
- Staff the help desk to meet the support needs of DHR during pilot and rollout;

- Operate and manage help desk operations during pilot and rollout;
- Transition help desk responsibility to DHR staff by the completion of the production rollout;
- Converting help desk historical data to the State's help desk tracking application.

The help desk will be responsible for documenting user problems, providing assistance where possible, and referring outstanding problems to the infrastructure support team, the application development team, or other resources required to resolve the user's problem. The help desk will be responsible for monitoring the resolution of problems and escalating problems that are not being addressed in a timely manner, as set out in the problem resolution processes agreed to in Task 8.1. The help desk will contact the reporting user before closing any problem report.

Vendor-Produced Task 8.3 Deliverables:

- Operational Help Desk;
- Help Desk Facilities;
- Help Desk/Problem Management Software or System;
- Help Desk Process and Procedure Manuals;
- Converted Help Desk Tracking Data.

TASK 8.4: CONDUCT PILOT TEST

With support from DHR program and CIS technical staff, the Vendor will conduct the application pilot test(s) using the Vendor's proposed Pilot Test approach as approved by the State. Using the testing and training plans developed earlier, the Vendor will provide pilot-user training and support.

At a minimum, pilot testing should include the following activities:

- Conduct pilot-user training;
- Provide pilot support;
- Convert pilot data (as needed);
- Monitor performance and identify problems;
- Evaluate system reliability and performance;
- Modify the ASSIST system to address problems discovered during the pilot.

Problems encountered during the pilot test must be identified and resolved within predefined guidelines. This task should enable the project team to thoroughly evaluate the system. At completion of the pilot test, it will be possible to begin preparations for system implementation.

Vendor-Produced Task 8.4 Deliverable:

- Operational ASSIST system in Pilot counties (modified to resolve pilot test issues);

- Pilot Operations Assessment Report;
- Pilot Certification of successful completion of pilot;
- Ongoing pilot support.

TASK 8.5: PREPARE FOR GENERAL ROLLOUT

After analyzing the results of the pilot test, the State with support from the Implementation Vendor and QA Vendor will determine the effectiveness of the pilot system. Revisions to the system and training procedures will be required in order to tune the system for optimal performance. As implementation of the system proceeds, the performance and condition of the application will be assessed on an ongoing basis and go/no-go decisions will be made following each implementation.

This effort will encompass the following subtasks:

- Evaluate effectiveness of pilot;
- Implement changes to training and associated materials;
- Implement documentation changes;
- Implement operational changes;
- Implement final pilot-specified ASSIST system changes;
- Tune system performance;
- Establish and implement problem-reporting and tracking processes to be used for the statewide system rollout.

Once these activities have been completed, it will be possible to implement the system using the Vendor's proposed Implementation approach as approved by the State.

Vendor-Produced Task 8.5 Deliverables:

- Revised Training Plan;
- Revised User, Training, and System Documentation;
- General Rollout Support and Operations Plan – plan should include operational facilities and equipment, production and operating procedures, quality control procedures, and help desk procedures;
- Necessary changes made to ASSIST;
- General Rollout Implementation Plan – details the plan for implementing the system in the remaining counties following pilot; the plan includes an overview of conversion, interfaces, scope, system flow, systems components and description (jobs, PROCS, batch modules/programs, online modules/programs, parameters, backups, navigation, messages, online help, copybooks, events, ticklers, tables/files, layouts, templates, etc.), job specifics (description, run frequency, dependencies, parameters, special instructions, restart instructions, listing of job steps, etc.), assumptions and constraints.

TASK 8.6: IMPLEMENTATION

In this task, the Vendor will deploy the new ASSIST SACWIS that has been tested and accepted by the State in previous tasks.

To implement the new system components successfully, the following activities will be required:

- Identify system users;
- Implement security profiles as set out in Task 3.4;
- Prepare State operations staff for implementation;
- Monitor performance and identify problems;
- Evaluate system reliability and performance;
- Modify the ASSIST system to address problems discovered during the implementation.

The Vendor will implement and configure the new system throughout the State using the Vendor's proposed Implementation approach as approved by the State. The Vendor will work with DHR CIS and DHR program staff to accomplish this deployment and verify that it has been completed successfully.

Vendor-Produced Task 8.6 Deliverable:

- Statewide operational ASSIST system, modified to address problems discovered during the implementation;
- Implementation Report;
- Ongoing statewide implementation support.

TASK 9: SUPPORT AND MAINTAIN NEW SYSTEM

TASK 9.1: WARRANTY

During the support and maintenance phase, the Vendor will warrant that system functionality and operation is compliant with the requirements set out in this document, Appendix E, and any other requirements mutually agreed to by the parties during the term of this contract. In the event that any such defects or omissions are discovered, the Vendor will fix them at no additional cost to the State for a period of twelve (12) months from the date of full system implementation. The date that the fully functional system is implemented in all DHR county offices will be the date that the deliverable entitled "Statewide Operational ASSIST System" is accepted by the State. System defects, as defined in this context, are defects that are identified either prior to or during the warranty period, that result in the system not meeting one or more requirements as set out in Appendix E.

Further, as provided for in the Knowledge Transfer requirements, the Vendor will prepare DHR CIS staff to support the new system, evaluate the implementation, and make recommendations for further improvements. In order to sufficiently prepare the State to assume responsibility for the maintenance and operation of the system upon the Vendor's completion of the one-year warranty period, the Vendor must involve and integrate State technical staff in the day-to-day

maintenance and problem resolution activities during this period. The Knowledge Transfer Plan must address all of these issues and have in place a strategy for the transfer of this knowledge and skills well before the one-year warranty period.

Vendor-Produced Task 9.1 Deliverables:

- 12 Month System Warranty;
- Data from defect tracking system;
- Documentation of database changes;
- Documentation of all system components;
- Formal handover of system maintenance and operations duties to State.

TASK 9.2 SYSTEM MAINTENANCE

During the twelve-month warranty period, the Vendor will also be responsible for the day-to-day operation of the system. This is to insure continuity in the operation of the system and to provide an adequate period of time for State staff to be trained to take over full responsibility for the operation and maintenance of the system. The cost of system maintenance during the warranty period is to be shown as part of the Vendor's cost proposal.

Vendor-Produced Task 9.2 Deliverables:

- Updated Knowledge Transfer Plan.

TASK 9.3 SYSTEM MODIFICATIONS

During the twelve-month period during which the Vendor has responsibility for warranting the performance of the system as well as for system maintenance, the State may request certain modifications be made which are outside the scope of this agreement. In these instances, the Vendor will assess the requested modification and provide the State with the cost and time needed to perform the modification. Cost will be based on the Change Order rates provided as part of the Vendor's proposal. The cost of potential modifications will not be part of the cost evaluation of the Vendor's proposal.

The Vendor's Implementation Methodology and Approach (Section 5.1.4.3.4) must outline the number and type of resources that will be available to support ASSIST during the warranty and maintenance period. Only the cost of the required warranty period needs to be shown under Task 9 on Appendix C, Vendor Price Sheet.

TASK 9.4: SACWIS REVIEW PREPARATION

Once the system has been operational for approximately twelve months, the State plans to request a Federal review in order to determine if the system is SACWIS compliant. As part of this process, the State may request ACF to perform an interim visit at some appropriate point in the development process. The purpose of this visit would be to insure that there are no major gaps in the system that would be grounds for a finding on non-compliance once the system is fully operational. It is not expected that an interim visit will significantly impact the project schedule. During both the interim visit (if conducted) as well as the formal Federal review, the assistance of the Vendor will be required. If an interim visit is conducted, the Vendor will be

required to assist the State in presenting the pertinent information regarding the functionality of the system as well as providing information regarding the development process. In addition, Federal findings must be addressed following any review.

The following details the Vendor activities necessary to assist the State in preparing for and conducting the SACWIS reviews:

- Preparation for the Federally-required SACWIS Assessment Review Guide (SARG) visit at the conclusion of the one-year warranty period;
- Review of ACF findings resulting from both the interim and final ACF reviews;
- Correction of deficiencies noted by ACF in the interim and formal SACWIS reviews.

Vendor-Produced Task 9.4 Deliverables :

- Modified ASSIST System - incorporating changes addressing those deficiencies identified in the ACF interim review;
- Written Response to ACF Interim SACWIS Review Findings;
- Final SACWIS Assessment Review Guide;
- Modified ASSIST system incorporating changes addressing those deficiencies identified in the ACF final review;
- Written Response to ACF Final SACWIS Review Findings.

SECTION 5: VENDOR PROPOSAL REQUIREMENTS

5.0 STATE'S RIGHT TO INVESTIGATE AND REJECT

The State may make such investigations as deemed necessary to determine the ability of the Vendor to perform the services specified in this RFP. The State reserves the right to reject any proposal if the evidence submitted by, or investigation of, the Vendor fails to satisfy the State that the Vendor is properly qualified to carry out the obligations of the contract.

5.1 VENDOR INFORMATIONAL REQUIREMENTS

In determining the capabilities of a Vendor to perform the services specified herein, the following informational requirements must be met by the Vendor. Vendors must follow all formats and address all portions of the RFP set forth herein providing all information requested. Vendors may retype or duplicate any portion of this RFP for use in responding to the RFP, provided that the proposal clearly addresses all of the State's information requirements.

As set out in Section 1.6.1 of this RFP, vendors must label each response to RFP requirements with the section and subsection numbers associated with the subject requirement in this RFP (e.g., the response to the Client References requirement would be labeled 5.1.2.1). Failure to follow the specified format, to label the responses correctly, or to address all of the subsections may, at the State's sole discretion, result in the rejection of the Proposal.

5.1.1 MANDATORY VENDOR REQUIREMENTS

The proposing Vendor shall provide a brief statement attesting that it meets all mandatory requirements, including:

- CMMI Level 3 assessment or equivalent as set out in Section 1.5.4 of this RFP;
- All vendor experience requirements as set out in Section 2.4.1 of this RFP.

The Mandatory Vendor Requirements statement may refer the reader to other sections of the Vendor Proposal for further detail and documentation as appropriate to minimize redundancy. It is the Vendor's responsibility to fully and accurately communicate compliance with these mandatory requirements.

Based on the content of the Vendor's proposal, the State will independently determine whether the intent of these mandatory requirements has been met.

Vendors that do not meet the minimum prior experience requirements will be deemed non-responsive (and thereby rejected).

5.1.2 REFERENCES

The proposing Vendor shall provide a minimum of three (3) client references. In addition, the Vendor must provide a list, if any, of all current contractual relationships with the State of Alabama and all those completed within the previous three-year period.

5.1.2.1 Client References Vendor shall provide a minimum of three (3) references for projects of similar size and scope for which the Vendor served as the prime contractor or system developer and implementer, preferably within the last five (5) years. These references may be contacted to verify Vendor's ability to perform the contract. The State reserves the right to use any information or additional references deemed necessary to establish the ability of the Vendor to perform the conditions of the contract. Negative references may be grounds for proposal disqualification.

For each reference, the Vendor shall provide (referencing the subsections in sequence):

- a) The company name of the reference;
- b) The location where the services were provided (city, state);
- c) Primary and secondary contact name, title, telephone number, and e-mail address of the client reference;
- d) A complete description of the project;
- e) Description of the Vendor's role in the project;
- f) Beginning and end dates of the project;
- g) Maximum number of Vendor staff assigned to project at one time;
- h) List of any Vendor-supplied contract staff also expected to be assigned to the proposed AL SACWIS project, their roles in the referenced client contract, and start and end dates of their individual involvement.

5.1.2.2. State of Alabama Contracts In addition to the three required references as set out in Section 5.1.2.1 above, the Vendor shall provide a list, if any, of all current contractual relationships with the State of Alabama and all those completed within the previous three-year period. The listing shall include (referencing the subsections in sequence):

- a) Contract number;
- b) Time period of the project and/or contract;
- c) Procuring State agency;
- d) Description of project;
- e) Description of Vendor's role in project;
- f) Total contract dollars awarded to Vendor;
- g) Maximum number of Vendor staff assigned to project at one time;
- h) List of any Vendor-supplied contract staff also expected to be assigned to the proposed AL SACWIS project, their roles in the previous State contract, start and end dates of their individual involvement;

- i) State contact name and telephone number for each reference.

5.1.3 VENDOR PROFILE AND EXPERIENCE

5.1.3.1 Prime Vendor Vendor shall specify how long the company submitting the proposal has been in the business of providing services similar to those requested in this RFP and under what company name. The Vendor shall provide an organizational profile including: number of employees, longevity of employees, client base, any mergers, acquisitions, or sales of the Vendor company within the last ten years, and form of business (e.g. individual, sole proprietor, corporation, non-profit corporation, limited liability company.).

5.1.3.2 Subcontractor(s) For each proposed subcontracting firm, the Vendor shall provide the following information (referencing the subsections in sequence):

- a) Subcontracting firm name;
- b) Complete address of the subcontractor;
- c) Project tasks (1-9 as detailed in Section 4) to be conducted by the subcontractor;
- d) Percentage of total project and task-specific work the subcontractor will be providing;
- e) A written statement, signed by each proposed subcontractor, that clearly verifies that the subcontractor is committed to render the services required by the contract;
- f) Three references for the subcontractor as outlined for the Prime Vendor in RFP Section 5.1.2.1 above. At a minimum, one of the references should be for projects of similar size and scope where the subcontractor has provided products or services similar to those proposed;
- g) A list, if any, of all current Subcontractor contractual relationships with the State of Alabama and all those completed within the previous three-year period, as outlined for the Prime Vendor in RFP Section 5.1.2.2 above;
- h) Resumes of key subcontractor staff to be assigned to the State of Alabama SACWIS project;
- i) Method of monitoring subcontractor's progress on deliverables.

5.1.4 METHOD OF PROVIDING SERVICE

5.1.4.1 System Delivery Approach The Vendor shall provide a detailed description of the proposed approach for delivery of the AL ASSIST system (i.e., transfer system, case management system, custom developed system, or some other approach). This description shall include at a minimum (referencing the subsections in sequence):

- a) The Vendor's rationale for choosing the proposed approach;
- b) A discussion of how the State's SACWIS functional requirements will be met by the Vendor's proposed approach;
- c) A Requirements Traceability Matrix (RTM) setting out how each of the State's functional requirements are met in the vendor's solution. A sample of the RTM layout is shown below.

Req. No.	Requirement Description	How Met?	Full/Partial	Page No.	Section No.	Notes

The headings for the various columns in the matrix are described below:

- **Req. No.** – the State’s requirement number as shown in Appendix E: Functional Requirements.
- **Requirement Description** – the text of the State’s requirement as shown in Appendix E - Functional Requirements.
- **How Met?** – the manner in which the Vendor’s proposal meets the requirement; acceptable responses are:
 - *Base* – the requirement is already met within an existing Vendor system (base, transfer, COTS) that is proposed to be the core or foundation of the State of Alabama SACWIS system.
 - *New* – the requirement is *not* met within an existing Vendor system and will be developed from “scratch” by the Vendor.
- **Full/Partial** – the degree to which the requirement is met in the Vendor’s base system; acceptable responses are:
 - *Full* – the requirement is met in the base system and, in the Vendor’s judgement, will require little to no modification to meet the Alabama requirement (e.g. agency name change, state name change).
 - *Partial* – the requirement is partially met in the base system.

A response of *Partial* must be accompanied by a brief explanation in the **Notes** column of the Vendor’s approach to fully meeting the requirement.

- **Page No.** - the page number(s) in the Vendor’s proposal which provide(s) more detail regarding how the requirement is met.
- **Section No.** - the section number(s) in the Vendor’s proposal which provide(s) more detail regarding how the requirement is met.
- **Notes** – the Vendor may enter comments in this cell to explain an answer in any of the other cells.

Vendors not proposing an existing system (transfer, base, COTS.) as a starting point for this project should not make an entry in the **How Met** and **Full/Partial** columns.

The layout provided in the RTM above is the State’s preferred format. Vendors may modify the layout to suit their needs so long as the requested information is presented, and is done so in a straightforward and easy-to-read manner. Vendors may also provide additional columns or details that they deem helpful in describing how a requirement is met in their proposal. At a minimum, however, the State requires the information contained in the RTM above, namely

Req. No., Requirement Description, How Met?, Full/Partial, Page No., Section No., and Notes be provided for each of the functional requirements set out in Appendix E.

5.1.4.2. Project Organization and Staffing The Vendor shall provide a project organization chart which identifies the proposed project team and personnel that would be assigned to this contract. For each management and staff position shown in the project organizational chart, the following must be provided (referencing the subsections in sequence):

- a) Title;
- b) Description of Project Role and Responsibilities;
- c) Percentage of time assigned to State of Alabama SACWIS project;
- d) Percentage of time spent in Montgomery, AL;

For the key positions of Engagement Manager, Project Manager, Technical Manager, Functional Manager, and Conversion Manager, the following must be included:

- e) Resume detailing the individual's relevant project experience as it relates to this RFP;
- f) Designation of the individual as a contract employee (compensation paid by an organization other than the Vendor submitting this proposal) or staff (compensation paid by the Vendor submitting this proposal);
- g) Two references, listing project description, individual role, dates of assignment, and primary and secondary contact email and phone.

Note: If the proposed Project Organization and Staffing includes the duties of Engagement Manager, Project Manager, Technical Manager, Functional Manager, or Conversion Manager as part of the responsibility of a position not named, that position must be considered as key and the information set out in 5.1.4.2 (e – g) submitted.

5.1.4.3 Systems Delivery Methodology

5.1.4.3.1 Overall methodology: This section shall include a narrative outlining the Vendor's methodology to meet the requirements of this project, staff availability, and specific information concerning the normal time required to start work after a contract has been awarded. The Vendor must provide comprehensive narrative statements that set out the methodology they intend to employ and illustrate how the methodology will serve to accomplish the work and meet the State's objectives.

5.1.4.3.2 Project Management Methodology The Vendor must provide comprehensive narrative statements that set out the methodology and approach to be employed in managing the project. At a minimum this subsection should include the following (referencing the subsections in sequence):

- a) Project management procedures and controls to be used by the Vendor for this project;
- b) Automated support tool(s) that will be used to plan, track, and report project status;
- c) Tools and approach used for accumulating, storing, and accessing project knowledge;

- d) Tools and approach used to protect the privacy of Department, State, and individual data throughout the life of the project;
- e) Escalation procedures to be followed by the Vendor to resolve project problems, issues, and/or changes during the project;
- f) Methods used by the Vendor to track and report financial expenditures associated with the contract;
- g) Methods and procedures to allocate, track, and report resource time to project milestones, deliverables, and tasks;
- h) Procedures to be used to provide project update and status information in a written and/or oral format, and to interface with Project, Division, and State management;
- i) Sign-off procedures for the major decision-making points of the project's work plan;
- j) Approach to obtaining approval of deliverables;
- k) Approach to configuration management.

5.1.4.3.3 Development and Internal Quality Assurance Methodology: The Vendor shall provide comprehensive narrative statements that set out the methodology and approach to be employed in developing the system. At a minimum this subsection should include the following (referencing the subsections in sequence):

- a) A detailed description of the tasks to be completed in developing and testing the ASSIST system;
- b) Description of how the Vendor proposes to create the deliverables outlined in the scope of work;
- c) Vendor's approach to internal quality assurance to produce deliverables and how the deliverables will be reviewed prior to being presented to the State for approval;
- d) Description of the Vendor's proposed hardware and software, including development tools, to support the project team during the Design and Development Phases. The Vendor must describe how it sized the proposed development environment;
- e) Description of the Vendor's proposed technical architecture to support the testing and operation;
- f) Indication of where the development team will reside and how the development resources will be assigned to project tasks.

5.1.4.3.4 Implementation Methodology and Approach The Vendor shall provide comprehensive narrative statements that set out the methodology and approach they intend to employ in implementing the system. At a minimum this subsection should include the following:

- a) The approach and methodology for conducting a system pilot;
- b) The approach and methodology for completing user training and training State trainers;
- c) The approach and methodology for developing user and system operations documentation;

- d) The approach and methodology for providing the knowledge transfer necessary for DHR staff to support the system;
- e) The approach and methodology for managing and coordinating the rollout of the system statewide;
- f) The approach and methodology for fine-tuning the system and post implementation system maintenance and support;
- g) The approach and methodology for maintaining the system and managing change during the 12-month warranty period;
- h) A discussion of the Vendor's proposed Implementation Methodology and Approach.

5.1.4.4 Work plan In this section, the Vendor shall include a detailed project schedule that is comprised of the following:

- A detailed work breakdown structure for the entire project (excluding the 12 months of mandatory post implementation maintenance and support);
- Resources (or type of resource) assigned to each task;
- Dependencies between tasks;
- Estimated duration for each task;
- Support needed from State staff in terms of people, hours and skill sets for each task, including deliverable review needs.

This section should also include any proposed additions to the tasks and deliverables outlined in the scope of work.

5.1.4.5 Vendor Financial Stability Vendors shall provide documentation of financial responsibility and stability by: (1) providing financial statements, preferably audited, for the three (3) consecutive years immediately preceding the issuance of this RFP, and (2) providing copies of any quarterly financial statements that have been prepared since the end of the period reported by the most recent annual report.

SECTION 6: COST PROPOSAL

6.0 HOLDBACKS AND PRICING INFORMATION

The State of Alabama will only accept firm and fixed cost bids for this project. Ten percent (10%) will be held back from each deliverable payment. One-half of the holdback (a total of 5% of each deliverable payment) will be paid upon completion of the statewide implementation. The remaining one-half (a total of 5% of each deliverable payment) will be paid upon completion of the one-year warranty agreement.

Vendors must use the Price Sheet Template (Parts I – IV) to submit proposed costs. A statement must be included on each page of the cost proposal (that is, on each page of the completed Price Sheet Template, Parts I - IV) that verifies that the prices quoted shall be effective through the end of 2009. The State shall not be responsible for any expenses of the Vendor. As such, the Vendor must include all expenses, including travel and lodging, when preparing their Cost Proposal.

Note: All proposals must be on a fixed cost basis for specific deliverables. No time-and-materials contracts will be considered.

6.1 PRICE SHEET TEMPLATE PART I: FIRM AND FIXED PROJECT COST

6.1.1 FIRM AND FIXED PROJECT COSTS

The Price Sheet Template Part I must be completed in full and must include both the Total Fixed Project Cost and the project costs allocated to each project subtask. The State shall not be responsible for any expenses of the Vendor. As such, the Vendor must include all expenses, including travel and lodging, when preparing their Cost Proposal.

6.1.2 PROJECT TASK VARIATION

The Price Sheet Template Part I is structured according to the State of Alabama SACWIS project tasks included in Section 4 (Scope of Work). The Price Sheet Template Part I must be modified to adhere to the Project Work Plan proposed by the Vendor. Tasks not included in the Vendor Project Work Plan must remain in the Price Sheet, annotated with the message “Not to be Performed.” New tasks and subtasks not listed in the State’s Price Sheet Template Part I should be inserted into the cost proposal in the sequence of expected task start time, and annotated with the message “Added Vendor Task.”

Those Subtasks to be conducted and submitted to the State at the general and subsystem level (as identified in Section 4 of this RFP) are marked in the Price Sheet Template with an “*.” For marked Subtasks, costing must be provided at the General System and Subsystem level, with these elements rolling up to the Total Fixed Cost for the Subtask. For those Subtasks not marked, a single Total Fixed Cost must be provided leaving the General and Subsystem columns blank.

6.1.3 EFFECTIVE PERIOD

A statement must be included on each page of the Price Sheet Template Part I that verifies that the prices quoted shall be effective through the end of 2009.

6.2 PRICE SHEET TEMPLATE PART II: HARDWARE AND SOFTWARE

Section 3.16 provides a description of the State of Alabama DHR technical environment. Any additional hardware and software required to implement the Vendor solution must be listed in this template. This list must include a complete description of the hardware or software, its expected initial cost, and annual maintenance cost where applicable.

Note: Per State of Alabama law, the State must purchase any required hardware and software independently of this SACWIS fixed cost proposal process. Thus, the State will independently verify and adjust Vendor-supplied hardware and software costs to reflect the actual purchasing and maintenance costs the State will incur, which may be different than estimated by the Vendor.

6.3 PRICE SHEET TEMPLATE PART III: HOURLY RATES

The project director during the course of the contract may identify additional work that was not included in the original scope of work but of importance to the progression of the project. Vendors must provide hourly rates for workers to apply for the calendar years 2006-2009. These rates should be classified by position; i.e., manager, developer, architect, etc.

A statement must be included on each page of the Price Sheet Template Part III that verifies that the prices quoted shall be effective through the end of 2009.

The State shall not be responsible for any expenses of the Vendor. As such, the Vendor must include all expenses, including travel and lodging, when submitting hourly rates for additional work.

6.4 PRICE SHEET TEMPLATE PART IV: SUMMARY

The Price Sheet Template Summary sums the three cost components to be used in Cost Proposal Evaluation: Total Fixed Project Cost (A), Total Initial Hardware and Software Cost (B), and Estimated Annual Hardware and Software Maintenance Cost (C).

The State will independently verify and adjust Vendor-supplied hardware and software costs to reflect the actual purchasing and maintenance costs the State will incur, which may be different than estimated by the Vendor. After associated adjustments of Vendor Cost Proposal components B and C, the sum of these three components will be used by the Procurement Officer to calculate the Total Cost to be used in the Cost Proposal Evaluation as set out in Section 7.1.3 of this RFP.

SECTION 7: EVALUATION CRITERIA

7.0 EVALUATION CRITERIA

The evaluation committee will review and evaluate the offers according to the following criteria based on a **maximum possible value of 100 points**. The **References, Vendor Profile and Experience, Method of Providing Services, and Financial Stability** portions of the offer will be evaluated based on the following Scoring Guide, while the **Cost Proposal** will be evaluated based on the formula set forth below:

Category	RFP Section	Point Value
References		Pass/Fail
A. References Included with Vendor’s Response	5.1.2	
Mandatory Vendor Requirements		Pass/Fail
A. Vendor Experience Minimums Met & Documented	5.1.1	
Vendor Profile and Experience		20% of points for a possible 20 points
A. Years and Applicability of Experience	5.1.3	20
Method of Providing Services		55% of points for a possible 55 points
A. Systems Delivery Approach	5.1.4.1	20
B. Project Organization and Staffing	5.1.4.2	15
C. Methodology and Work Plan	5.1.4.3 & 5.1.4.4	20
Financial Stability		Pass Fail
A. Financial Stability	5.1.4.5	Pass/Fail
Cost Proposal		25% of points for a possible 25 points
A. Cost Proposal	6.0	25

Lowest overall cost receives the maximum allotted points. All other proposals receive a percentage of the points available based on their cost relationship to the lowest. Example: Total possible points for cost is 25. Vendor A’s cost is \$20,000. Vendor B’s cost is \$25,000. Vendor A would receive 25 points, Vendor B would receive 20 points ($\$20,000/\$25,000 = 80\% \times 25 \text{ points} = 20$).

$$\frac{\text{Lowest Responsive Offer Total Cost}}{\text{This Vendor's Total Cost}} \times \text{Number of Available Points} = \text{Award Points}$$

7.1 EVALUATION AND SELECTION PROCESS

The evaluation process is designed to award the contract to the Vendor with the best combination of attributes based upon the evaluation criteria including, but not limited to, cost.

The Procurement Officer shall manage the proposal evaluation process and maintain proposal evaluation records. The evaluation committee comprised of State employees shall be responsible for evaluating proposals. The sequence of events in the scoring process will be as follows:

- Removal of non-responsive proposals;
- Committee evaluation and scoring of responsive Vendor proposals;
- Procurement Officer scoring of responsive Cost Proposals;
- Merging of Vendor Technical Proposal scores and Cost Proposal scores;
- Evaluation Committee determination of Proposals Reasonably Likely for Award;
- Evaluation Committee site visits to view prior work of Vendors submitting Proposals Reasonably Likely for Award;
- Oral Presentations and Product Demonstrations by Vendors submitting Proposals Reasonably Likely for Award in Montgomery;
- Re-evaluation of Proposals Reasonably Likely for Award based on original proposals and any new or clarified information generated through the site visit/demo process. This evaluation will be based on the same criteria used in the initial evaluation.

7.1.1 REMOVAL OF NON-RESPONSIVE PROPOSALS

All proposals shall be reviewed by the Procurement Officer to determine compliance with proposal requirements as specified in this RFP (Appendix B, Proposal Compliance Checklist). If the Procurement Officer determines that a proposal is not in compliance with one or more such requirements, those proposals will be deemed non-responsive and will be removed from the pool and not forwarded on to the following evaluation step.

Proposals that fail to document that the Vendor meets the following minimum prior experience requirements will be deemed as non-responsive and rejected:

- CMMI Level 3 assessment or equivalent as set out in Section 1.5.4 of this RFP;
- All vendor experience requirements as set out in Section 2.4.1 of this RFP.

7.1.2 VENDOR QUALIFICATIONS

Each member of the Evaluation committee shall evaluate all responsive Vendor Informational Requirements (Section 5.1) and allocate points independent of other committee member input. Each evaluator shall use only whole numbers for scoring proposals.

The State reserves the right, at its sole discretion, to request clarifications of Vendor Informational Requirements or to conduct discussions for the purpose of clarification with any or all Vendors. The purpose of any such discussions shall be to ensure full understanding of the proposal. Discussions shall be limited to specific sections of the proposal identified by the evaluation committee. If held, the discussion shall be after initial evaluation of Vendor Qualifications. If clarifications are made as a result of such discussion, the Vendor shall put such clarifications in writing.

7.1.3 EVALUATION: COST PROPOSAL SCORING

Independent of the Vendor Technical Proposal Evaluation, the Procurement Officer shall calculate scores for each Cost Proposal according to the following.

Lowest overall cost receives the maximum allotted points (25). All other proposals receive a percentage of the points available based on their cost relationship to the lowest.

7.1.4 IDENTIFY PROPOSALS REASONABLY LIKELY FOR AWARD

Vendor Technical Proposal Scores and Cost Proposal Scores will be summed to determine each proposal's Total Score. Based on these Total Scores, the evaluation committee will identify those Vendors who have submitted a proposal deemed "reasonably likely for award". These Vendors will be moved forward to the next evaluation step.

7.1.5 SITE VISITS

For those proposals identified as "reasonably likely for award" the evaluation committee may make client site visits to see live demonstrations of similar Vendor applications. Evaluations conducted as a result of these site visits will be based on the same criteria used in the initial scoring of proposals. Evaluations resulting from these visits will be included in the final scoring of proposals.

7.1.6 VENDOR PRESENTATION

In this phase, presentations will be made by those Vendors who have submitted a proposal deemed "reasonably likely for award" by the Procurement Officer. These presentations will demonstrate the Vendor's past success in projects of similar scope, size, and complexity, and enable the Vendor to discuss its proposed plan for the State of Alabama SACWIS project. Committee members will again be given the opportunity to discuss the proposals and demonstrations as a group, and individually be permitted to amend their evaluations based on new information presented during the demonstrations.

At the end of this phase it is anticipated that the Evaluation committee will recommend to the DHR Commissioner a Vendor for intent to award the contract upon approval by ACF. However, the State reserves the right to not express an intent to award should it be in the State's best interest. The State also reserves the right to renew earlier steps in this process should it also be deemed in the State's best interest.