



ALABAMA DEPARTMENT OF HUMAN RESOURCES
REQUEST FOR PROPOSALS

PROCUREMENT INFORMATION	
RFP Number: 2022-500-05	RFP Title: SNAP/TANF Information System Quality Assurance
Proposal Due Date and Time: July 20, 2022 12:00 p.m., Central Time	Number of Pages: 85
Procurement Officer: Vicki Cooper-Robinson, Procurement Manager Phone: (334) 353-2471 E-mail Address: vicki.robinson@dhr.alabama.gov Website: http://www.dhr.alabama.gov	Issue Date: May 18, 2022
	Issuing Division: Food Assistance Division
INSTRUCTIONS TO CONTRACTORS	
Submit Proposal to: Vicki Cooper-Robinson, Procurement Manager Resource Management Division/Office of Procurement Alabama Department of Human Resources Gordon Persons Building, Second Floor-Room Q3-012 50 Ripley Street Montgomery, AL 36130-4000	Label Envelope/Package: RFP Title/Number: 2022-500-05 SNAP/TANF Information System Quality Assurance Proposal Due Date: July 20, 2022
	Special Instructions:
CONTRACTOR INFORMATION	
(Fill in the information fields below and return this form with RFP response)	
Contractor Name/Address: (no P.O. Boxes)	Authorized Contractor Signatory:
DUNS NUMBER: _____	(Please print name and sign in ink)
Contractor Phone Number: ()	Contractor FAX Number: ()
Contractor Federal I.D. Number:	Contractor E-mail Address:
Indicate whether this proposal is an original or a copy. <input type="checkbox"/> Original <input type="checkbox"/> Copy	
Total number of proposal pages: _____	
Trade Secret Declarations: (<u>reference section/page(s) of trade secret declarations</u>)	

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CONTRACTOR'S RFP CHECKLIST

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; contractual 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.
3. _____ **Attend the pre-proposal conference** if one is offered. These conferences provide an opportunity to ask clarifying questions, obtain a better understanding of the project, or to notify the Department of any ambiguities, inconsistencies, or errors in the RFP.
4. _____ **Take advantage of the “question and answer” period.** Submit your questions to the procurement officer by the due date 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 Department’s website at www.dhr.alabama.gov and will include all questions asked and responses 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 Department or evaluation committee will know what your company’s capabilities are or what items/services you can provide, even if you have previously contracted with the Department. The proposals are evaluated based solely on the information and materials provided in your response.
7. _____ **Use the forms provided**, i.e., cover page, budget forms, certification forms, etc.
8. _____ **Check the Department’s website for RFP addenda.** It is the Contractor’s responsibility to check the Department’s website at www.dhr.alabama.gov for any addenda issued for this RFP, no further notification will be provided.
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 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 Contractor’s response.

SCHEDULE OF EVENTS (TENTATIVE)

*The following RFP Schedule of Events represents the Department's best estimate of the schedule that will be followed. Unless otherwise specified, the time of day for the following events shall be between 9:00 a.m. and 12:00 p.m., Central Time. The Department 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 Department's website at www.dhr.alabama.gov as detailed in Section 1.5.3 of this RFP. **Contractors should refer to the website periodically for changes to the RFP.***

EVENT	DATE
RFP Issue Date.....	May 18, 2022
RFP Added to STAARS	May 18, 2022
Deadline for Receipt of Written Questions (Round 1)	June 2, 2022
Mandatory Pre-Proposal Conference	June 16, 2022
DHR Post Responses to Questions (Round 1).....	June 24, 2022
Deadline for Receipt of Written Questions (Round 2)	July 1, 2022
DHR Post Responses to Questions (Round 2).....	July 7, 2022
Proposal Due Date	July 20, 2022
DHR Completes Evaluation of Proposals and Announces "Proposals Likely to Award"	August 3, 2022
Contractors Complete Oral Presentations	August 15, 2022
DHR Completes Final Evaluation	August 17, 2022
DHR Issues Notice of Intent to Award a Contract	August 22, 2022
DHR and Contractor Sign Contract	August 29, 2022
DHR Receives FNS Approval of Contract	September 14, 2022
Approval of State Legislative Oversight Committee.....	October 13, 2022
Contractor Begins Work	November 1, 2022

SECTION 1: PROJECT OVERVIEW AND INSTRUCTIONS

1.0 PROJECT OVERVIEW

The Alabama Department of Human Resources (ALDHR or State) is the state agency responsible for the administration of the SNAP and TANF programs in Alabama, providing a vital resource to support family stability, safety, and independence for the state of Alabama. ALDHR is a county-based, State administered human services agency with offices in each of Alabama's 67 counties. The agency has approximately 1,300 SNAP and TANF system users, located in both the State office and in the county offices. The mission of the ALDHR 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 purpose of this RFP is to select a contractor to provide quality assurance services for the SNAP/TANF Information System (STIS or Project) for an objective assessment of the quality, completeness, and progress of work and work products. The Quality Assurance (QA) Contractor will be responsible for defining project work tasks and related quality standards that will add value, reduce risk, as well as satisfy the requirements of the Project and agency policies. The QA Contractor will verify that the various project plans, standards, processes, organizational structure, and work tasks fit the Project's needs by performing quality control reviews. The QA Contractor will also review performance reports, deliverables and mitigate risk throughout the life cycle of the Project.

The QA Contractor shall also be responsible for the planning and execution of the Quality Assurance (QA) Test as well as the User Acceptance Test (UAT) for the System. The QA Contractor shall train State project SMEs and other State resources on their proposed testing methodologies for both of these critical tests. The State plans to utilize State Project SMEs to perform the QA Testing tasks led by the QA Contractor. For the UAT test, the State plans to bring in county workers and supervisors to supplement the testing of the Project SMEs.

The objective of the QA procurement is to secure a qualified contractor to provide independent and objective project oversight and to improve the outcome of this critical information technology project by providing regular and periodic assessments of the Project as it progresses through the system development lifecycle. Since the cost and complexity of correcting information systems problems increases dramatically as the timetable progresses, it is important to identify and eliminate or minimize risks before they become unmanageable and expensive. The State seeks a contractor that is both qualified and has a demonstrated history of working constructively with other agencies and contractors in a large project setting similar to ALDHR.

The overall general goals of the QA Contractor aspects of the project are to ensure that:

- The project is properly organized, planned, and documented
- Project team members and all Contractor staff have clearly defined tasks and responsibilities
- Contract requirements and performance measures are met and deliverables adhere to project standards
- Appropriate change readiness plans are developed, implemented and documented
- Appropriate change control processes are developed, implemented and documented
- Acceptance tests are specific, rigorously administered and documented
- Problems/issues/risks/defects/change requests are recorded, tracked and documented

- Appropriate documentation is maintained on all activities
- State Technical staff and end users receive appropriate training to perform their jobs
- Delivered solutions meet the intended time frames within budget
- All project costs are accurately documented (particularly related to federal funding streams) as required
- Project risks are minimized

The State will provide overall guidance and direction to the Project. The State will maintain ultimate responsibility for the management of the Project and takes ownership and responsibility for its success. The State understands that successful completion of the Project is dependent on the establishment of close and cooperative working relationships among the State, DDI (Design, Development and Implementation) Contractor, and QA Contractor. The QA Contractor will be required to provide the day-to-day management and administrative support for its staff and activities.

1.1 ELIGIBLE ENTITIES

Only eligible entities may submit a proposal in response to this RFP. Eligible entities may include governmental agencies, faith-based organizations, non-governmental public or private organizations and individuals who: 1) are legally authorized to conduct business within the State of Alabama; 2) possess a high degree of professional skill in the area of service described in this document; 3) possess the skills and resources needed to perform the services described in this RFP; and, 4) meet the terms and conditions of the RFP. In addition, applicants must demonstrate the ability to manage Department funds in accordance with Federal and State regulations and guidelines.

The State requires a contractor that has the necessary qualifications, skills, and resources to provide QA services that meet the needs of ALDHR as described in this RFP. The State prefers contractors to have provided QA services, similar in scope, size, and complexity for another large government human services system in at least one other state. The STIS project must continue unabated with minimal impact to the State's existing client and provider constituency during the transition to a new system. In order to be considered as a viable QA provider, contractors must demonstrate in their proposal that they can deliver the requested QA services. The QA Contractor will be required to coordinate and work closely with the State and the DDI Contractor to ensure a successful design, development and implementation of the new System.

The QA Contractor and their sub-contractors must be a different/independent contractor from the selected STIS contractor and any of their sub-contractors.

1.2 REQUIRED LICENSURE/CERTIFICATION/CREDENTIALS

There are no licensure, certification or credential requirements for this procurement.

1.3 CONTRACT TERM

The initial contract term is for a period of three (3) years from the date of contract execution, the maximum contract term allowed by state law. Renewals of the contract, as agreed upon by both parties, may be made at one (1) year intervals, or any interval that is advantageous to the Department, not to exceed a total of two (2) years, at the option of the Department. The total possible term of this contract is five (5) years composed of the initial three-year term and up to two additional option years.

1.4 POINT OF CONTACT

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

Vicki Cooper-Robinson, Procurement Manager
Office of Procurement, Resource Management Division
Alabama Department of Human Resources
Gordon Persons Building, Second Floor-Room Q3-012
50 Ripley Street
Montgomery, AL 36130-4000
Telephone Number: (334) 353-2471
E-mail Address: vicki.robinson@dhr.alabama.gov

1.5 REQUIRED REVIEW

1.5.1 REVIEW RFP

Contractors should carefully review the instructions, mandatory and general requirements, project specifications, and the standard terms and conditions in this RFP. After a thorough review of the RFP, if the Contractor identifies any ambiguity, inconsistency, unduly restrictive specifications, or error, promptly notify the procurement officer identified above in writing, via e-mail or courier by the deadline for receipt of questions as stated in the Schedule of Events.

1.5.2 CONTRACTOR'S QUESTIONS

Contractors with questions or requiring clarification regarding any section of this RFP must reference the RFP by title and number and submit written questions via e-mail or courier to the procurement officer referenced above by 3:00 p.m. (CST) June 2, 2022. Each question must reference the section, page, and item in question. Contractors must submit all questions posed in a single email message to the procurement officer. A second round of questions will be accepted following the Pre-Proposal Conference. See the Schedule of Events for the relevant dates. Questions received after the deadline will not be considered.

1.5.3 DEPARTMENT'S RESPONSES

This procurement will have two opportunities for contractors to ask questions to the State. The deadline for contractors to submit questions in the first round of Q&A is June 2, 2022. Questions received by the deadline will be addressed at the Pre-Proposal Conference and formal written answers will be posted to the Department's website on June 24, 2022. The Pre-Proposal Conference will be held virtually via Zoom webinar on Thursday, June 16, 2022, at 10:00AM Central Time. Contractors should use the following link to register for Pre-Proposal Conference: <https://dhr-alabama-gov.zoom.us/meeting/register/tZ0qd-CsqTspE9B0tBOE71ZOzBdzTCCt9D91>

The second deadline for contractor questions is July 1, 2022. The State will provide an official written answer by July 7, 2022, to all questions received by the deadline. In both rounds of questions, the Department's response will either provide clarification of the applicable issue or be in the form of a correction to this RFP. Contractor questions and the Department's responses, as well as any formal written addendum will be posted on the Department's website at www.dhr.alabama.gov by the close of business on the date listed.

1.6 MANDATORY REQUIREMENTS

Contractors are expected to respond to all of the requirements described in this document. The Department will determine whether a Contractor's proposal meets the terms of the requirements. Proposals 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. Proposals that do not meet the requirements 1.6.1 through 1.6.8 will be deemed non-responsive and no other consideration will be given. **DO NOT ALTER ANY OF THE FORMS LISTED BELOW OR OTHERWISE INCLUDED/REQUIRED IN THIS DOCUMENT.**

1.6.1 DEADLINE FOR RECEIPT OF PROPOSALS

Proposals must adhere to the format requirements and must be received by the deadline for receipt of proposals as specified in the Schedule of Events and Section 1.8.1 *Required Copies and Deadline for Receipt of Proposals*.

1.6.2 W-9 LEGAL STATUS LETTER OR TAXPAYER IDENTIFICATION NUMBER FORM

Contractors must include a legible copy of their legal status letter from the Internal Revenue Service. If the legal status letter is not available, a completed and signed copy of the **"Request for Taxpayer Identification Number"** form (*Appendix B*) must be included.

1.6.3 DISCLOSURE STATEMENT

Act 2001-955 requires the disclosure statement to be completed and filed with all proposals, bids, contracts, or grant proposals to the State of Alabama in excess of \$5,000. Disclosure Statements are available for completion on the Attorney General's web site at www.ago.alabama.gov under *Publications and Forms*. Contractors may also click on the following links for a copy of the Disclosure Statement: (online fill-in) <http://www.ago.alabama.gov/File-AL-Vendor-Disclosure-Statement> when connected to the internet. Contractors must include a completed copy of the Disclosure Statement in their proposals.

1.6.4 CERTIFICATE OF COMPLIANCE

Contractors must submit a completed, signed copy of the certificate of compliance (*Appendix D*) with their proposals.

1.6.5 E-VERIFY MOU

Contractors must submit e-verify memorandum of understanding/registration documentation with their proposals.

1.6.6 IMMIGRATION STATUS FORM

Contractors must submit immigration status form documentation with their proposals. Please refer to Appendix E for the Immigration Status Form.

1.6.7 AUTHORIZED CONTRACTOR SIGNATORY

Contractors must provide an original proposal using the format described, with an original signature of person(s) legally authorized to bind the applicant to the proposal.

1.6.8 DUNS NUMBER

Contractors must include their Dun & Bradstreet, or D-U-N-S, Number, a unique nine-digit identification number for each physical location of your business.

1.7 GENERAL REQUIREMENTS

1.7.1 ACCEPTANCE OF STANDARD TERMS AND CONDITIONS

By submitting a response to this RFP, Contractors agree to acceptance of the standard terms and conditions of this RFP. Requests for additions or exceptions to the standard terms and conditions including any necessary licenses, or any added provisions must be submitted to the procurement officer by the due date for receipt of written questions and must be accompanied by an explanation of why the exception is being sought and what specific effect it will have on the Contractor's ability to respond to the RFP or perform the contract.

Note: The Department reserves the right to not enter into a new contract with a current Contractor who is under a corrective action plan until all corrective requirements have been met.

1.7.2 UNDERSTANDING OF SPECIFICATIONS AND REQUIREMENTS

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

1.7.3 PRIMARY CONTRACTOR/SUBCONTRACTORS

The primary Contractor, if a contract is awarded, shall be responsible, in total, for all work of any subcontractors. All subcontractors, if any, must be listed in the proposal. The Contractor shall not assign, transfer or subcontract any portion of the contract without the written consent of the Department. The Contractor shall be responsible to the Department 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 Contractor. Any awards made as a result of this document will create a contractual relationship between the Contractor and the Department, not the subcontractor.

1.7.4 CONTRACTOR'S SIGNATURE

An individual authorized to legally bind the organization submitting the proposal must sign the original proposal in ink. The Contractor's signature on a proposal in response to this RFP guarantees that the offer has been established without collusion that would preclude the Department from obtaining the best possible service for the best possible price.

1.8 SUBMITTING A PROPOSAL

1.8.1 REQUIRED COPIES AND DEADLINE FOR RECEIPT OF PROPOSALS

Contractors must submit **one (1)** original proposal, **seven (7)** copies and **one (1)** electronic (PDF preferred) copy on USB Drive to:

**Vicki Cooper-Robinson, Procurement Manager
Office of Procurement, Resource Management Division
Alabama Department of Human Resources**

**Gordon Persons Building, Second Floor-Room Q3-012
50 Ripley Street
Montgomery, AL 36130-4000
Telephone Number: (334) 353-2471
E-mail Address: vicki.robinson@dhr.alabama.gov**

Proposals must subscribe to the section/subsection headings and numbering format (i.e., **4.2.5.1 Contractor Qualifying Information**) as specified in *Section 4 Proposal Format and Instructions*. Proposals must be sealed and labeled on the outside of the package to clearly indicate that they are in response to the **RFP# 2022-500-05 (SNAP/TANF Information System Quality Assurance)**. **Proposals must be received at the receptionist's desk of the Resource Development-Office of Procurement by 12:00 p.m., local time, July 20, 2022.** Two (2) business (Monday-Friday) days prior to the due date, proposals may be hand delivered between the hours of 9:00 a.m. -12:00 p.m. (with the exception of state and federal holidays). Faxed and electronically submitted responses to requests for proposals are NOT accepted.

1.8.2 FAILURE TO COMPLY WITH INSTRUCTIONS

Contractors failing to comply with these instructions may be deemed non-responsive or subject to point deductions. The Department may also choose to not evaluate and disqualify from further consideration any proposals that do not follow the format described in Section 4: *Proposal Format and Instructions*, are difficult to understand or read, or are missing any requested information.

1.8.3 COST PROPOSAL FORMS

Contractors **must** respond to this RFP by utilizing the cost proposal forms found in Appendix F. These forms will be used as the primary representation of each Contractor's cost and will be used extensively during proposal evaluations. Additional information should be included as necessary to explain in detail the Contractor's cost.

1.8.4 TIMELY SUBMITTED PROPOSALS

All timely submitted proposals and materials received in response to this RFP become the property of the Department and will be incorporated into any formal documentation and/or contract resulting from this RFP between the Department and the Contractor.

1.8.5 LATE PROPOSALS

Regardless of the cause, late proposals will not be accepted and will automatically be disqualified from further consideration. It shall be the Contractor'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 Contractor at the expense of the Contractor or destroyed if requested.

SECTION 2: 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.). Any awards resulting from this RFP will be made based on stated evaluation criteria. The weight assigned to each criterion denotes the relative importance of that criterion. No criteria, other than that identified in this RFP, will be used.

2.1 CONTRACTOR COMPETITION

In accordance with 45 CFR 74.43, the Department encourages free and open competition among Contractors. Whenever possible, the Department will design specifications, proposal requests, and conditions to accomplish this objective, consistent with the necessity to satisfy the Department'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 Department's contracted programs or activities on the grounds of handicap and/or disability, age, race, color, religion, sex, national origin, political beliefs 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 Department or in the employment practices of the Department's contractors. Accordingly, all Contractors entering into contracts with the Department 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 CERTIFICATE OF COMPLIANCE AND E-VERIFY

Only U.S. citizens or foreign citizens who have the necessary authorization to legally work in the United States may be employed to work under any contract with the Department. Contractors must agree to not knowingly employ, hire for employment, or continue to employ an unauthorized alien, and must provide to the Department a certificate of compliance with the Beason-Hammon Alabama Taxpayer and Citizen Protection Act (*Appendix D*).

The United States Citizenship and Immigration Services (www.uscis.gov) provides E-Verify, an internet-based system that allows companies to determine their employees' eligibility to work in the United States. Contractors must participate in the E-Verify program and verify every employee that is required to be verified according to the applicable federal rules and regulations. Contractors must provide documentation to the Department establishing that they are enrolled in the E-Verify program.

Contractors must agree to not knowingly employ, hire for employment, or continue to employ a subcontractor to perform work under a contract that knowingly employs, hires for employment, or continues to employ an unauthorized alien. Any subcontractor hired to perform work under a contract must attest to such by sworn affidavit signed before a notary. Subcontractors must also enroll in the E-Verify program prior to performing any work on a project and must attach to the sworn affidavit documentation establishing that the subcontractor is enrolled in the E-Verify program.

2.4 NO BOYCOTT CLAUSE

In compliance with Act 2016-312, Contractors must attest that it is not currently engaged in, and will not engage in, the boycott of a person or an entity based in or doing business with a jurisdiction with which this state can enjoy open trade.

2.5 ALTERNATIVE RESOLUTION

For any and all disputes arising under the terms of any contract resulting from this procurement, Contractors hereto agree that senior officials of both parties shall meet and engage in a good faith attempt to resolve the dispute. Should that effort fail and the dispute involves the payment of money, a party's sole remedy is the filing of a claim with the Board of Adjustment of the State of Alabama. For any and all other disputes arising under the terms of this Agreement that are not resolved by negotiation, the parties agree to utilize appropriate forms of non-binding alternative dispute resolution including, but not limited to, mediation. Such dispute resolution shall occur in Montgomery, Alabama, utilizing where appropriate, mediators selected from the roster of mediators maintained by the Center for Dispute Resolution of the Alabama State Bar.

2.6 MERIT SYSTEM EXCLUSION

The Contractor is not to be considered a merit system employee and is not entitled to any benefits of the State Merit System.

2.7 IMMIGRATION CLAUSE

By responding to this procurement, the Contractor affirms, for the duration of any contract resulting from this procurement, that they will not violate federal immigration law or knowingly employ, hire for employment, or continue to employ an unauthorized alien within the State of Alabama and any other location. Furthermore, a contracting party found to be in violation of this provision shall be deemed in breach of the contract and shall be responsible for all damages resulting therefrom. (Appendix E)

2.8 DUNS NUMBER

Contractors must obtain a Dun & Bradstreet, or D-U-N-S, Number, a unique nine-digit identification number for each physical location of your business. D-U-N-S Number assignment is free for all businesses required to register with the federal and state government for contracts or grants.

2.9 PROPOSAL EFFECTIVE PERIOD

All proposals submitted in response to this RFP shall be effective for a 180-day period following the deadline for receipt of proposals as specified in the Schedule of Events and may not be modified, withdrawn or canceled by the Contractor during this period.

2.10 TRADE SECRETS

As part of the initial evaluation, the procurement officer in charge of this solicitation will review proposals received in response to this RFP, for any information deemed a "trade secret" by the Contractor and separate identified parts of proposal from public viewing providing the following conditions have been met: (1) confidential information is clearly marked and separated from the rest of the proposal; (2) the proposal does not contain confidential material in the cost or price section; and (3) an affidavit from a Contractor's legal counsel attesting to and explaining the validity of the trade secret claim is attached to each proposal containing trade

secrets. If applicable, the Contractor's Legal Counsel must use the Department of Human Resources "Affidavit for Trade Secret Confidentiality" form when requesting the trade secret claim. The affidavit form (*Appendix C*) is included in this document.

Information separated out under this process will be available for review only by the procurement officer, the evaluation committee members, and limited other designees. Contractors 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.

2.11 PRE-SCREENING AND EVALUATION OF PROPOSALS

2.11.1 PRE-SCREENING

During the pre-screening, proposals will be reviewed to ensure compliance with all general and mandatory requirements. Upon completion of this initial review they will be classified "responsive" or "non-responsive". However, proposals may be found non-responsive at any time during the evaluation process if the proposal does not meet the formatting requirements specified in the RFP, if any of the required information is not provided, or the submitted price is found to be excessive or inadequate as measured by criteria stated in the RFP. Proposals declared non-responsive, will not receive further consideration.

2.11.2 EVALUATION OF PROPOSALS

All responsive proposals will be evaluated against the stated criteria. However, this does not preclude the Department from any discussions/negotiations or requests for a best and final offer that it may deem necessary to assist in determining the Contractor. In scoring against stated criteria, the Department 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 to determine the most advantageous offering to the Department.

2.12 DISCUSSION/NEGOTIATION AND/OR ORAL PRESENTATION

After receipt of all proposals and prior to the determination of the award, the Department may initiate discussions with one or more Contractors should clarification or negotiation be necessary. Contractors may also be required to make an oral presentation and/or product demonstration to clarify their RFP response or to further define their offer. ALDHR requires the oral presentations to be in person at a DHR facility in Montgomery, Alabama. ALDHR will ensure that there is adequate space for Contractor staff and State staff to socially distance in keeping with accepted COVID-19 protocols. Review dates in the schedule of events for Contractor demonstrations. Oral presentations and product demonstrations, if requested, shall be at the Contractor's expense.

The State's intent regarding the oral presentation and product demonstration is to gauge the suitability of the Contractor's proposed project staff and to evaluate the merit of the Contractor's product and approach. To that end, the State requires that the key project staff identified by the Contractor 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.

2.13 BEST AND FINAL OFFER

The Department reserves the right to request a “best and final offer” for this RFP based on price/cost alone, from one or more Contractors if additional information is required to make a final decision. Contractors may be contacted asking that they submit their “best and final offer,” which must include any and all discussed and/or negotiated changes.

2.14 PUBLIC REQUESTS FOR INFORMATION

All information received in response to this RFP, including copyrighted material, is deemed public information and will be made available to the public upon request shortly after the signing of a contract(s) with the exception of: (1) trade secrets meeting the requirements of the Alabama Trade Secrets Act, that have been properly marked, separated, and documented; and (2) any financial information requested by the Department, unless prior written consent has been given by the Contractor.

2.15 COST OF PREPARING A PROPOSAL

The Department is not liable for any expense incurred by the Contractor in the preparation and presentation of their proposal or any other costs incurred by the Contractor prior to execution of a contract. All costs are the responsibility of the Contractor.

2.16 DEPARTMENT’S RIGHTS RESERVED

While the Department 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 Department to award and execute a contract. Upon determination such actions would be in its best interest, the Department, in its sole discretion, reserves the right to the following:

2.16.1 PRE-SELECTION DISCRETION

The Department reserves the right at its sole discretion, at any time and for any reason, to reject any or all of the proposals submitted in response to this RFP, or to cancel this RFP, if it is deemed by the Department to be in its best interest to do so.

2.16.2 POST-SELECTION DISCRETION

Upon selection of a proposal, the Department reserves the right, at its sole discretion, at any time and for any reason, to change its decision with respect to the selection and to select another proposal, or to cancel the RFP, if it is deemed by the Department to be in its best interest to do so.

2.16.3 WAIVERS

Notwithstanding the amendment provisions otherwise set forth herein, the Department reserves the right at its sole discretion, to 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 Department determines that such award is in the best interest of the Department. Minor irregularities are those which will not have a significant adverse effect on the overall program cost or performance.

2.16.4 NEGOTIATIONS

The Department reserves the right to negotiate with any Contractor whose proposal is within the competitive range, as specified in the RFP with respect to technical plan and cost, as well as to select a Contractor other than the Contractor offering the lowest price.

2.16.5 ADOPTION OF IDEAS

The Department reserves the right to adopt to its use all or any part, of a Contractor's proposal and to use any idea or all ideas presented in a proposal.

2.16.6 ORAL PRESENTATIONS

The Department reserves the right to require some or all of the Contractors to provide oral presentations of their proposals.

2.16.7 AMENDMENTS

The Department reserves the right to amend the RFP. Except as provided above with respect to "WAIVERS" made by the Department, all amendments to the RFP will be made by written addendum issued by the Department and posted to the web at www.dhr.alabama.gov under this RFP link.

2.16.8 NO GUARANTEE OF CONTRACT

Selection of a proposal shall not be binding upon the Department and may or may not, at the Department's sole discretion, result in the Department entering into a contract with the Contractor if it is in the best interest of Department not to proceed with contract execution.

2.16.9 RIGHT TO INVESTIGATE AND REJECT

The Department may make investigations as deemed necessary to determine the ability of the Contractor to perform the services specified. The Department reserves the right to reject any proposal if the evidence submitted by, or investigation of, the Contractor fails to satisfy the Department that the Contractor is properly qualified to carry out the obligations of the contract. This includes the Department's ability to reject the proposal based on negative references.

2.16.10 DISCLAIMER

Issuance of this RFP does not constitute a commitment by the Department to select any proposal submitted in response to the RFP, or to award a contract to any Contractor who responds to this RFP.

2.17 USDA/FNS FEDERAL PROCUREMENT CLAUSES

2.17.1 EQUAL EMPLOYMENT OPPORTUNITY

Except as otherwise provided under 41 CFR Part 60, all contracts that meet the definition of federally assisted construction contract in 41 CFR Part 60-1.3 must include the equal opportunity clause provided under 41 CFR 60-1.4(b), in accordance with Executive Order 11246, "Equal Employment Opportunity" (30 FR 12319, 12935, 3 CFR Part, 1964-1965 Comp., p. 339), as amended by Executive Order 11375, "Amending Executive Order 11246 Relating to Equal Employment Opportunity," and implementing regulations at 41 CFR part 60, "Office of Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor." (2 CFR 200, Subpart F, Appendix II)

2.17.2 CLEAN AIR AND FEDERAL WATER POLLUTION CONTROL ACT

Clean Air Act (42 U.S.C. 7401-7671q.) and the Federal Water Pollution Control Act (33 U.S.C. 1251-1387), as amended. Contracts and subgrants of amounts in excess of \$150,000 must contain a provision that requires the non-Federal award to agree to comply with all applicable standards, orders or regulations issued pursuant to the

Clean Air Act (42 U.S.C. 7401-7671q) and the Federal Water Pollution Control Act as amended (33 U.S.C. 1251-1387). Violations must be reported to the Federal awarding agency and the Regional Office of the Environmental Protection Agency (EPA). (2 CFR 200, Subpart F, Appendix II)

2.17.3 ANTI-LOBBYING ACT

This Act prohibits the recipients of Federal contracts, grants, and loans from using appropriated funds for lobbying the Executive or Legislative branches of the Federal government in connection with a specific contract, grant, or loan. As required by Section 1352, Title 31 of the U.S. Code and implemented at 2 CFR 200, Subpart F, Appendix II, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 31 U.S.C. 1352, the applicant certifies that:

- a. No federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with the making of any federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal grant or cooperative agreement;
- b. If any funds other than federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with this federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form – LLL, “Disclosure Form to Report Lobbying,” in accordance with its instructions;
- c. The undersigned shall require that the language of this certification be include in the award documents for all sub-awards at all tiers (including sub-grants, contracts under grants and cooperative agreements, and subcontracts) and that all sub-recipients shall certify and disclose accordingly.

2.17.4 AMERICANS WITH DISABILITIES ACT

This Act (28 CFR Part 35, Title II, Subtitle A) prohibits discrimination on the basis of disability in all services, programs, and activities provided to the public and State and local governments, except public transportation services.

2.17.5 DRUG-FREE WORKPLACE STATEMENT

The Federal government implemented 41 U.S. Code § 8103, Drug-free workplace requirements for Federal grant recipients in an attempt to address the problems of drug abuse on the job. It is a fact that employees who use drugs have less productivity, a lower quality of work, and a higher absenteeism, and are more likely to misappropriate funds or services. From this perspective, the drug abuser may endanger other employees, the public at large, or themselves. Damage to property, whether owned by this entity or not, could result from drug abuse on the job. All these actions might undermine public confidence in the services this entity provides. Therefore, in order to remain a responsible source for government contracts, the following guidelines have been adopted:

- a. The unlawful manufacture, distribution, dispensation, possession or use of a controlled substance is prohibited in the workplace.
- b. Violators may be terminated or requested to seek counseling from an approved rehabilitation service.
- c. Employees must notify their employer of any conviction of a criminal drug statute no later than five days after such conviction.
- d. Contractors of federal agencies are required to certify that they will provide drug-free workplaces for their employees.

Transactions subject to the suspension/debarment rules (covered transactions) include grants, subgrants, cooperative agreements, and prime contracts under such awards. Subcontracts are not included. Also, the dollar threshold for covered procurement contracts is \$25,000. Contracts for Federally required audit services are covered regardless of dollar amount.

2.17.5.1 DEBARMENT AND SUSPENSION

Debarment and Suspension (Executive Orders 12549 and 12689)—A contract award (see 2 CFR 180.220) must not be made to parties listed on the government wide exclusions in the System for Award Management (SAM), in accordance with the OMB guidelines at 2 CFR 180 that implement Executive Orders 12549 (3 CFR part 1986 Comp., p. 189) and 12689 (3 CFR part 1989 Comp., p. 235), “Debarment and Suspension.” SAM Exclusions contains the names of parties debarred, suspended, or otherwise excluded by agencies, as well as parties declared ineligible under statutory or regulatory authority other than Executive Order 12549. (2 CFR 200, Subpart F, Appendix II)

2.17.6 ROYALTY-FREE RIGHTS TO USE SOFTWARE

2 CFR 200.315 Intangible property.

- a. Title to intangible property (see §200.59 Intangible Property) acquired under a Federal award vests upon acquisition in the non-Federal entity. The non-Federal entity must use that property for the originally-authorized purpose, and must not encumber the property without approval of the Federal awarding agency. When no longer needed for the originally authorized purpose, disposition of the intangible property must occur in accordance with the provisions in §200.313 Equipment paragraph (e).
- b. The non-Federal entity may copyright any work that is subject to copyright and was developed, or for which ownership was acquired, under a Federal award. The Federal awarding agency reserves a royalty-free, nonexclusive and irrevocable right to reproduce, publish, or otherwise use the work for Federal purposes, and to authorize others to do so.
- c. The non-Federal entity is subject to applicable regulations governing patents and inventions, including government wide regulations issued by the Department of Commerce at 37 CFR Part 401, “Rights to Inventions Made by Nonprofit Organizations and Small Business Firms Under Government Awards, Contracts and Cooperative Agreements.”
- d. The Federal Government has the right to:
 1. Obtain, reproduce, publish, or otherwise use the data produced under a Federal award; and
 2. Authorize others to receive, reproduce, publish, or otherwise use such data for Federal purposes.

2.18 SPECIAL TERMS AND CONDITIONS

2.18.1 CONFLICTING TERMS AND CONDITIONS.

In the event of a contradiction between the provisions of the documents comprising the Contract, the contradiction shall be resolved by giving precedence in the following order:

- a. Provisions of the actual Contract document
- b. RFP Number 2022-500-05, including any amendments
- c. RFP Questions and Responses
- d. Contractor's original response to the RFP, including the Cost Proposal.

2.18.2 CONFIDENTIALITY OF RECORDS

Strict standards of confidentiality of records and information shall be maintained in accordance with applicable state and federal law. All material and information, regardless of form, medium or method of communication, provided to the Contractor by the State or acquired by the Contractor on behalf of the State that is regarded as confidential under state or federal law shall be regarded as “Confidential Information.” Nothing in this Section shall permit Contractor to disclose any Confidential Information, regardless of whether it has been disclosed or made available to the Contractor due to intentional or negligent actions or inactions of agents of the State or third parties. Confidential Information shall not be disclosed except as required or permitted under state or federal law. Contractor shall take all necessary steps to safeguard the confidentiality of such material or information in conformance with applicable state and federal law. The obligations set forth in this Section shall survive the termination of this Contract.

2.18.3 STATE OWNERSHIP OF GOODS

The State shall have ownership, right, title, and interest in all goods provided by Contractor under this Contract including full rights to use the goods and transfer title in the goods to any third parties.

2.18.4 SOFTWARE LICENSE WARRANTY

Contractor grants a license to the State to use all software provided under this Contract in the course of the State’s business and purposes.

2.18.5 SOFTWARE SUPPORT AND MAINTENANCE WARRANTY

Contractor shall provide to the State all software upgrades, modifications, bug fixes, or other improvements in its software that it makes generally available to its customers.

2.18.6 EXTRANEIOUS TERMS AND CONDITIONS

Contractor shall fill all orders submitted by the State under this Contract. No purchase order, invoice, or other documents associated with any sales, orders, or supply of any good or service under this Contract shall contain any terms or conditions other than as set forth in the Contract. Any such extraneous terms and conditions shall be void, invalid and unenforceable against the State. Any refusal by Contractor to supply any goods or services under this Contract conditioned upon the State submitting to any extraneous terms and conditions shall be a material breach of the Contract and constitute an act of bad faith by Contractor.

2.18.7 STATE FURNISHED PROPERTY

The Contractor shall be responsible for the correct use, maintenance, and protection of all articles of nonexpendable, tangible personal property furnished by the State for the Contractor’s use under this Contract. Upon termination of this Contract, all property furnished by the State shall be returned to the State in the same condition as when received, less ordinary wear and tear. Should the property be destroyed, lost, or stolen, the Contractor shall be responsible to the State for the fair market value of the property at the time of loss.

2.18.8 PROHIBITED ADVERTISING OR MARKETING

The Contractor shall not suggest or imply in advertising or marketing materials that Contractor's goods or services are endorsed by the State. The restrictions on Contractor advertising or marketing materials under this Section shall survive the termination of this Contract.

2.18.9 UNENCUMBERED PERSONNEL

The Contractor shall not restrict its employees, agents, subcontractors or principals who perform services for the State under this Contract from performing the same or similar services for the State after the termination of this Contract, either as a State employee, an independent Contractor, or an employee, agent, subcontractor or principal of another Contractor with the State.

2.18.10 PERSONALLY IDENTIFIABLE INFORMATION.

While performing its obligations under this Contract, Contractor may have access to Personally Identifiable Information (PII) held by the State. For the purposes of this Contract, PII includes “Nonpublic Personal Information” as that term is defined in Title V of the Gramm-Leach-Bliley Act of 1999 or any successor federal statute, and the rules and regulations thereunder, all as may be amended or supplemented from time to time (“GLBA”) and personally identifiable information and other data protected under any other applicable laws, rule or regulation of any jurisdiction relating to disclosure or use of personal information (“Privacy Laws”). Contractor agrees it shall not do or omit to do anything which would cause the State to be in breach of any Privacy Laws. Contractor shall, and shall cause its employees, agents and representatives to: (i) keep PII confidential and may use and disclose PII only as necessary to carry out those specific aspects of the purpose for which the PII was disclosed to Contractor and in accordance with this Contract, GLBA and Privacy Laws; and (ii) implement and maintain appropriate technical and organizational measures regarding information security to: (A) ensure the security and confidentiality of PII; (B) protect against any threats or hazards to the security or integrity of PII; and (C) prevent unauthorized access to or use of PII. Contractor shall immediately notify State: (1) of any disclosure or use of any PII by Contractor or any of its employees, agents and representatives in breach of this Contract; and (2) of any disclosure of any PII to Contractor or its employees, agents and representatives where the purpose of such disclosure is not known to Contractor or its employees, agents and representatives. The State reserves the right to review Contractor's policies and procedures used to maintain the security and confidentiality of PII and Contractor shall, and cause its employees, agents and representatives to, comply with all reasonable requests or directions from the State to enable the State to verify or ensure that Contractor is in full compliance with its obligations under this Contract in relation to PII. Upon termination or expiration of the Contract or at the State’s direction at any time in its sole discretion, whichever is earlier, Contractor shall immediately return to the State any and all PII which it has received under this Contract and shall destroy all records of such PII.

The Contractor shall report to the State any instances of unauthorized access to or potential disclosure of PII in the custody or control of Contractor (“Unauthorized Disclosure”) that come to the Contractor’s attention. Any such report shall be made by the Contractor within twenty-four (24) hours after the Unauthorized Disclosure has come to the attention of the Contractor.

Contractor shall take all necessary measures to halt any further Unauthorized Disclosures. The Contractor, at the sole discretion of the State, shall provide no cost credit monitoring services for individuals whose PII was affected by the Unauthorized Disclosure. The Contractor shall bear the cost of notification to all individuals affected by the Unauthorized Disclosure, including individual letters and public notice. The remedies set forth in this Section are not exclusive and are in addition to any claims or remedies available to this State under this Contract or otherwise available at law.

2.18.11 FEDERAL FUNDING ACCOUNTABILITY AND TRANSPARENCY ACT (FFATA)

This Contract requires the Contractor to provide supplies or services that are funded in whole or in part by federal funds that are subject to FFATA. The Contractor is responsible for ensuring that all applicable requirements, including but not limited to those set forth herein, of FFATA are met and that the Contractor provides information to the State as required.

The Contractor shall comply with the following:

- a. Reporting of Total Compensation of the Contractor's Executives.
 1. The Contractor shall report the names and total compensation of each of its five most highly compensated executives for the Contractor's preceding completed fiscal year, if in the Contractor's preceding fiscal year it received:
 - 1.1. 80 percent or more of the Contractor's annual gross revenues from federal procurement contracts and federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and
 - 1.2. \$25,000,000 or more in annual gross revenues from federal procurement contracts (and subcontracts), and federal financial assistance subject to the Transparency Act (and subawards); and
 - 1.3. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/excomp.htm>.)

As defined in 2 C.F.R. § 170.315, "Executive" means officers, managing partners, or any other employees in management positions.
 2. Total compensation means the cash and noncash dollar value earned by the executive during the Contractor's preceding fiscal year and includes the following (for more information see 17 C.F.R. § 229.402(c)(2)):
 - 2.1. Salary and bonus.
 - 2.2. Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.
 - 2.3. Earnings for services under non-equity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives and are available generally to all salaried employees.
 - 2.4. Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.
 - 2.5. Above-market earnings on deferred compensation which is not tax qualified.
 - 2.6. Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the executive exceeds \$10,000.
- b. The Contractor must report executive total compensation described above to the State by the end of the month during which this Contract is awarded.
- c. If this Contract is amended to extend the Term, the Contractor must submit an executive total compensation report to the State by the end of the month in which the term extension becomes effective.
- d. The Contractor will obtain a Data Universal Numbering System (DUNS) number and maintain its DUNS number for the term of this Contract. More information about obtaining a DUNS Number can be found at: <http://fedgov.dnb.com/webform/>

The Contractor's failure to comply with the above requirements is a material breach of this Contract for which the State may terminate this Contract for cause. The State will not be obligated to pay any outstanding invoice received from the Contractor unless and until the Contractor is in full compliance with the above requirements.

2.18.12 SURVIVAL

The terms, provisions, representations, and warranties contained in this Contract which by their sense and context are intended to survive the performance and termination of this Contract, shall so survive the completion of performance and termination of this Contract.

2.19 CONSTITUTIONAL CLAUSE

Under the terms of any contract resulting from this procurement, Contractors hereto agree that the terms and commitments contained in the proposed contract shall not be constituted as a debt of the State of Alabama in violation of Article XI, Section 213 of the Constitution of Alabama, 1901, as amended by Amendment Number 26. It is further agreed that if any provision of the proposed contract shall contravene any statute or Constitutional provision or amendment, either now in effect or which may, during the course of the proposed contract, be enacted, then that conflicting provision in the proposed contract shall be deemed null and void. It is further agreed that as a Department of the State of Alabama, the Department is immune from being made a defendant in any court of law or equity by operation of Art. I, §14, Ala. Const. 1901 (Recomp.), which immunity is not waivable and is not waived by any provision of this Agreement. Contractor's sole remedy for the settlement of any and all disputes arising under the terms of the proposed contract shall be limited to the filing of a claim with the Board of Adjustment for the State of Alabama.

2.20 RESULTANT CONTRACT

The contract resulting from this RFP shall be a multi-year, indefinite quantity, and fixed price contract. All Contract Terms and Conditions included in Appendix A apply to the contract with the Contractor.

Contractors shall accept all provisions in the contract terms in Appendix A unless specific departures are taken from particular terms or conditions. All such departures must be noted in the proposal. Failure to note departures shall constitute acceptance of all such terms and conditions. A proposal that takes blanket exception to all or substantially all boilerplate contract provisions shall be considered a non-compliant proposal and rejected from further consideration for contract award. The Contractor must identify concerns with the contract terms during the question period described in 1.5.2.

SECTION 3: SCOPE OF PROJECT

3.0 PURPOSE OF THE RFP

The Alabama Department of Human Resources (ALDHR) is the state agency responsible for the administration of the SNAP and TANF programs in Alabama, providing a vital resource to support family stability, safety, and independence for its citizens. The purpose of this RFP is to select a Contractor to provide comprehensive quality assurance services and oversight of the selected DDI Contractor and State staff who are assigned to the Project. The QA Contractor will also be responsible for planning, training State staff, and executing a full Quality Assurance Test and User Acceptance Test (UAT) to ensure that all RFP, contract, and functional requirements are tested successfully.

The DDI RFP requires the selected DDI Contractor to transfer a proven integrated information system that supports the application processing, eligibility determination, case management, and benefit issuance requirements for both its SNAP and TANF programs. The STIS will be designed to meet the requirements of the USDA Food and Nutrition Service Program (FNS), the federal agency who administers the SNAP program, as well as the US Department of Health and Human Services (HHS), with responsibility for the TANF program, in addition to the detailed ALDHR requirements described in Appendix F of the DDI RFP.

ALDHR has an interest in promoting stability, safety, and independence in needy families in Alabama through its Supplemental Nutrition Assistance Program (SNAP) and Temporary Assistance for Needy Families (TANF) programs. The SNAP program is designed to end hunger and improve nutrition by providing low-income households with monthly benefits to buy food needed for nutritional sustenance. The TANF program provides financial assistance to families in need to support parents/caregivers in caring for their children in their home. The program also promotes independence by facilitating job preparation, training, and work.

3.1 STATEMENT OF WORK

The QA Contractor shall review the DDI RFP and other relevant documentation as provided by ALDHR related to the new STIS and propose an approach and work plan that facilitates a successful project delivered on schedule, on budget, and meeting requirements in a high quality manner. A copy of the DDI RFP can be downloaded at <https://dhr.alabama.gov/requests-for-proposal-2022/>.

Quality Assurance as described in this RFP is the periodic executive review and evaluation of the STIS design, development, and implementation. Quality Assurance includes evaluating, identifying, documenting, and recommending adjustments to the proposed activities and associated resources to create confidence that the delivered solution will meet relevant quality standards. As merited, recommendations of changes to plans, processes, products, Contractor methodologies, or organizational structure to improve the Project performance and outcomes should be continuous.

For purposes of this RFP, the QA Contractor will be responsible for monitoring, reviewing, critiquing, documenting, and reporting on the DDI Contractors' design, development, and implementation of both common and program specific components that provide the functionality described in the DDI Contractor RFP. The QA Contractor shall engage staff with expert knowledge of the System Development Life Cycle (SDLC) and capable, repeatable processes needed to support the SDLC, including knowledge of software tools to support planning, scheduling, sequencing, versioning, and reporting on deliverables.

The QA Contractor must develop and maintain a methodology to trace systems functionality (e.g. via a requirements traceability matrix) throughout the SDLC process to ensure that the developed system meets or

exceeds federal and state requirements. A detailed analysis of any shortcomings including a plan for achieving compliance is required. A requirements traceability matrix should also clearly identify requirements that are added later in the SDLC that increase the scope of the development effort.

The QA Contractor shall employ staff with sufficient SNAP/TANF program and technical background knowledge to adequately monitor the information system developed through the Project, including data use, confidentiality issues, and the requirement to synchronize operations and data exchange between the new system and the legacy systems during statewide rollout.

The QA Contractor shall develop a Quality Assurance Work Plan for use as the basis for managing the quality assurance of project activities centered on the above tasks. Each deliverable for the individual Project shall be reviewed by the QA Contractor against the quality control procedures to ensure that no requirements are overlooked.

Examples of items to be monitored and reported on by the QA Contractor include:

- a. Definition and scope of the Project
- b. Development schedule and delivery commitment
- c. Budgeting and cost controls
- d. Resource availability and commitment
- e. Project management approach and authority
- f. Political influences (federal and state)
- g. Organizational stability of Project, Contractors and State Program Offices
- h. Leadership and executive involvement
- i. Team continuity, productivity, and morale
- j. Stakeholder involvement, readiness, and acceptance
- k. Appropriate, useful, and maintainable set of requirements
- l. Appropriate, useful, and maintainable set of technical and design specifications
- m. Appropriate, useful, and maintainable code, utilities, objects, configuration, and environments
- n. Appropriate, useful, and maintainable test planning, execution, and corrective actions
- o. Appropriate conversion planning, data purification, data transformation, and execution
- p. Appropriate, useful, and maintainable interface/integration planning and execution
- q. Appropriate, useful, and maintainable training venues, materials, and delivery
- r. Each deliverable and work product is appropriate in completeness, correctness, clarity, and consistency
- s. Changes are appropriately documented, vetted, and prioritized through the established change control process
- t. The delivered system release is stable, available, responsive (meets performance standards identified in the DDI RFP) and is fit for its intended use
- u. Assurance that the system is fully documented, both technically and functionally, to facilitate transition to either the State or another contractor for ongoing maintenance and operations activities

The QA Contractor will examine the processes and products of the DDI Contractor as the Contractor designs, builds, customizes, tests, rolls out, and supports the new STIS. The delivered solution, which must meet all program, state, and federal requirements, must provide for the efficient, economical and effective administration of the SNAP and TANF programs as presented in the State's federally approved plans, and satisfy the QA Contractor's standards for correctness, completeness, clarity, consistency, and accuracy.

The QA Contractor shall attend scheduled status meetings for the Project, meet with the State Project Director, and provide progress reports for the Project. The QA Contractor shall work in concert with the project team members on a daily basis to ensure that the proper controls, metrics, monitoring, and analyses are conducted for the project. The identification, documentation and analysis of requirements, deliverables and standards of the Project shall be referenced to the individual Project Plans and QA Work Plan to ensure evaluation and reporting of the variance of the plan, work, work products, and project performance. If the variance is unacceptable, written recommendations are recorded to the Risk Management Plan regarding necessary corrective actions. The project team shall routinely analyze the risk issues and, as necessary, incorporate needed tasks into the Project Plan through the appropriate channels by utilizing the approved integrated change control process or change order process as directed in the Contract.

3.2 GENERAL SYSTEM DESIGN GUIDELINES

The DDI Contractor is required to meet the general system design guidelines below. The QA Contractor shall monitor all DDI Contractor design and construction processes to ensure that these guidelines are adhered to.

The DDI Contractor's system design must adhere to these general guidelines:

- Modernize the information system by migrating away from mainframe technology
- Provide intuitive self-service options to Alabama citizens seeking SNAP/TANF assistance
- Transition from a program-centric to a client-centric approach to serving families
- Enable efficient collection and integration of data
- Create a standard electronic record system across programs
- Ensure the user interface is intuitive and modern
- Implement an information system for long-term use that can be easily modified as programs (SNAP, TANF) change
- Ensure efficient and accurate collection, processing, and reporting of information as required by the federal government and as needed by ALDHR
- Design a system using industry standards that is easily scalable and maintainable
- Meet all applicable Internal Revenue Service (IRS) and Social Security Administration (SSA) security and privacy regulations regarding Personally Identifiable Information (PII) and Federal Tax Information (FTI)
- Technical architecture must be compatible with DHR's technical environment (see Section 3.2.1 for more details)
- Interface with existing DHR systems (ALECS, FACTS, etc.) as well as external state and federal agencies
- Include a comprehensive and integrated document management system for storing client and case documentation needed for application processing, case management, quality control, etc.

- Include a Comprehensive Claims System /Program Integrity Module to allow ALDHR to identify, track, and collect overpayments of SNAP and TANF benefits through recoupment of future benefits or via direct repayment

The project scope includes the design, development, testing, training, implementation, and ongoing maintenance and operation of the STIS.

3.3 PROJECT GOVERNANCE

The overall project governance will be provided by three (3) entities:

- a. **Executive Steering Committee (ESC):** A leadership group comprised of key stakeholders from ALDHR and facilitated by an appointed chairperson who is a member of the ESC. The ESC convenes at least monthly to provide strategic direction to the project and to support the Project Director. This committee is responsible for strategic oversight and guidance for the project and performs the following functions:
 - Reviews and resolves project issues not resolved at lower levels and provides advice and insight into project management issues
 - Reviews and resolves change management issues not resolved by the project or program management teams. This primarily includes change management issues relating to scope, cost and schedule that exceed certain pre-determined thresholds
 - Reviews and supports the resolution of contract management issues
- b. **Program Area Stakeholders:** Program area subject matter experts responsible for providing input and feedback related to the program needs and business processes.
- c. **Quality Assurance Contractor:** An external entity not affiliated with the State nor the DDI Contractor, that will determine whether the plans, methods and products delivered fulfill the requirements placed on them by previous iterations/phases/steps and are internally complete, consistent, and sufficiently correct to adequately support the next iteration/phase/step. The QA Contractor will also be responsible for planning and executing both the comprehensive Quality Assurance (QA) test and User Acceptance Testing (UAT).

3.4 STATE PROJECT POSITIONS

In addition to the governance teams, the State team shall consist of at least the following positions:

- a. ALDHR Project Director
- b. ALDHR Project Coordinator
- c. SNAP Program Manager
- d. TANF Program Manager
- e. IT Conversion Manager
- f. OCM Lead
- g. SNAP Subject Matter Experts (SMEs)
- h. TANF Subject Matter Experts (SMEs)
- i. ALDHR Conversion SMEs

3.5 STATE ROLES AND RESPONSIBILITIES

The State shall:

- a. Provide ongoing program management and monitoring of DDI Contractor performance on contractual performance standards
- b. Provide a team that includes program area subject matter experts on the functional requirements, design, testing, training, and OCM
- c. Review and approve any necessary Change Order activities when needed
- d. Share artifacts and other key data sources with the DDI and QA Contractor team
- e. Participate in requirements validation to assist the DDI Contractor in validating requirements
- f. Participate in design sessions to assist the DDI Contractor in developing needed design materials
- g. Ensure State UAT resources are available when needed and work with the QA Contractor to complete UAT
- h. Attend deliverable walkthroughs to enhance understanding and facilitate the approval process
- j. Review, provide feedback, and timely approve or reject DDI and QA Contractor deliverables according to the process outlined in Section 3.10
- k. Request changes to any DDI or QA Contractor staff member who is not performing to the State's expectations
- l. Update any necessary policies and procedures to coincide with new STIS functionality

3.6 QUALITY ASSURANCE CONTRACTOR RESPONSIBILITIES

The QA Contractor will work in partnership with the Project Director and perform the following functions:

- a. Review project planning deliverables to ensure they are sufficient and meet applicable project standards
- b. Review ongoing project processes, methods and activities
- c. Provide technical review and verification of key project milestones and deliverables
- d. Provide independent review of project deliverables against requirements
- e. Anticipate and identify project risks and monitor the project risk management process
- f. Offer suggestions for problem and issue resolution
- g. Develop independent Project Oversight Reports and deliver them to the Executive Steering Committee, the ALDHR Project Director, and to FNS
- h. Provide periodic review and recommendations to the Project Director and the Executive Steering Committee regarding project status and risk anticipation, prevention and mitigation
- i. Serve as Test Director for QA Testing and UAT
- j. Make formal Go/No-Go recommendations to ALDHR at each Gate Review

3.7 QA CONTRACTOR STAFFING

The QA Contractor must propose adequate personnel on-site at the ALDHR Project location to assure an on-time, on-budget performance that meets all State requirements. Contractors must provide staffing levels sufficient to ensure effective quality assurance processes and monitoring activities. The proposed individuals should possess the requisite skills and certifications for the roles they are filling. ALDHR reserves the right to approve all individuals assigned to this project. At a minimum, all individuals proposed must:

- Be eligible to work in the United States
- Be proficient in written and spoken English

- Possess advanced writing, verbal, and presentation skills
- Be able to work independently, leverage previous experience, and lead specific tasks
- Be knowledgeable in system requirements definition and analysis, system design, project management, test plan definition and execution, and performance measurement
- Provide staffing resources with experience in large-scale government system implementation, preferably SNAP and TANF programs
- Include staff resumes as described below; proposals submitted without the required resumes will be eliminated from consideration

Contractors must provide a project organization chart showing all personnel by name and classification who will be assigned to this work and their related responsibilities. If part-time staff is proposed, this chart should also show their percentage of work availability to the contract effort and the timing for when the resource would begin and end work on the Project.

Contractors must propose a QA Project Manager who will be available full time for the duration of the Project. This individual will be the primary QA Contractor contact for the State.

3.7.1 SUBCONTRACTORS

Contractors must describe the extent to which subcontractors will be used to comply with contract requirements. If subcontractors are to be used, please submit qualifications of personnel who will be directly involved with the implementation and on-going support of the Contract. Resumes are required for all subcontractor personnel. This requirement is discussed in greater detail in the following section.

3.7.2 WORK LOCATION

The DDI Contractor will provide office space in Montgomery, Alabama, for its staff, State staff, and QA Contractor staff to serve as the official Project site. Within thirty (30) calendar days of the execution of a contract between the State and the QA Contractor, the QA Contractor is required to have all appropriate staff on-site and equipped at the Project site. The QA Contractor may be housed temporarily at a DHR State Office facility in Montgomery, Alabama, until the DDI Contractor has procured acceptable office space to serve as the Project site. The State will provide office space free of charge for up to three (3) QA Contractor staff for the period of time between QA Contractor award and the DDI Contractor securing suitable office space. The QA Contractor will be responsible for all equipment and supplies for its staff but will be allowed to utilize the State network, printers, and copiers.

The QA Contractor staff are expected to work on-site at the project location in Montgomery, Alabama, and shall be available after hours on an as-needed basis. The Contractor will assure that on-site staff are available for meetings, discussions, etc. as required. The State reserves the right to approve the location of all work done under this procurement. No approval will be given for any work to be done outside the United States. Requests to conduct work off-site must receive prior approval from the State.

3.7.3 PROJECT STAFF RESUMES

Contractors must provide resumes for all individuals proposed for this Project. The resumes must include relevant experience in providing consulting services for large system projects. Resumes shall include at a minimum:

- An overview of the candidate's experience with the QA Contractor

- An overview of the candidate’s experience relating to large system and government projects including lengths of experience and types of programs
- Names, positions, and current telephone numbers of three (3) individuals who can provide information on the proposed staff member’s experience and competence; references cannot be from individuals who are currently employed by the State of Alabama or former Contractor employees for projects similar to the goals and services detailed in this RFP
- A summary of the candidate’s relevant project experience with customer names, contact information, time periods and a brief description of project scope
- An overview of the candidate’s educational background including any certifications received (Note: Education may not be substituted for experience)
- Names and descriptions of current or anticipated contractual agreements the candidate is obligated to during the contract period set forth in this RFP; additionally, names and descriptions of any contracts the candidate has completed with the State of Alabama

3.7.4 QA CONTRACTOR KEY STAFF

The QA Contractor must provide the following key staff positions on a full-time basis for the duration of the Project. Contractors must identify the personnel who will be assigned to this project and state their duties and responsibilities.

Contractors must propose at a minimum the following personnel:

Table 1 – QA Contractor Key Staff

Position	Duties and Responsibilities	Experience
QA Project Manager	The QA Project Manager provides the overall project management and coordination of the QA functions. Primary responsibilities are the evaluation of quality in the various stages of the Project. In addition, this position is also responsible for the development and maintenance of project work plans, identification and assignment of resources, coordination of project activities with State staff and staff from other Contractors, and communications and presentations to stakeholders. The Project Manager must be in the QA Contractor’s organizational chain of command sufficient to acquire resources as needed to ensure project success. This position is responsible for ensuring proper internal controls and standards are adhered to in the conduct of work and the delivery of work products. The QA Project Manager has the overall responsibility for planning, developing	The QA Project Manager must have these minimum experience requirements: a. Five years of QA project management experience in systems development and implementation projects of similar scope and complexity b. Three years of experience in quality assurance of web development or framework implementation projects c. Three years of experience in quality assurance of human/social services projects or enterprise related projects d. Experience in the management of projects in accordance with the proposed development methodology e. Experience in the use of project management tools and techniques f. Experience in developing performance metrics to track project completion against milestones set by the State g. Experience in consulting with a diverse set of stakeholders and assessing their involvement and buy-in regarding system

Position	Duties and Responsibilities	Experience
	<p>and managing the quality assurance strategy to ensure timely, accurate and comprehensive deliverables are thoroughly reviewed for consistency, content, format, grammar and spelling.</p>	<p>functionality and the system’s ability to meet stakeholder expectations</p> <p>h. Excellent communication and writing skills</p> <p>The following additional experience requirements are preferred:</p> <p>a. Experience in quality assurance or managing projects in the area of TANF and/or SNAP</p> <p>b. Formal training in quality assurance methodology</p>
<p>Application Software Development QA Specialist</p>	<p>The Application Software Development QA Specialist has primary oversight responsibility for the quality of the overall software application development through the life of the project. This includes quality assurance of software development plans, configuration management plans, system security management plans, and all activities and resources involved in the production of requisite deliverables.</p>	<p>The Application Software Development QA Specialist must have the following experience:</p> <p>a. Five years of experience working with a social services agency’s application systems</p> <p>b. Previous experience implementing a similar system</p> <p>c. Five years of experience conducting QA work similar to the tasks described here</p> <p>d. Three years of experience using project management tools and techniques</p> <p>e. Three years of experience with the proposed QA methodology</p> <p>f. Experience and proficiency in mentoring staff</p> <p>g. Excellent communications and writing skills</p>
<p>Technical Infrastructure QA Specialist</p>	<p>The Technical Infrastructure QA Specialist has primary oversight responsibility for the quality of the design, configuration, and management of the application development environment, the software testing environment, the project facility network infrastructure, and other technologies necessary to support the system. A great deal of mutual planning and coordination must occur concerning equipment sizing, capacity planning, system performance optimization, network and system security, infrastructure procurement and installation, deployment of application software, and monitoring of the implementation. This position provides quality assurance oversight and technical</p>	<p>The Technical Infrastructure QA Specialist must have the following minimum skills:</p> <p>a. Three years of experience in the implementation/support of large web-based applications</p> <p>b. Three years of experience in the implementation/support of applications customized for a mobile workforce performing work on laptops/ notebooks/ mobile devices</p> <p>c. Three years of experience working with Document Imaging and Content Management systems</p> <p>d. Strong understanding of application systems and technical infrastructures</p> <p>e. Excellent communication and writing skills</p>

Position	Duties and Responsibilities	Experience
	<p>assistance for the design, acquisition, configuration and management of all enterprise equipment, telecommunications platform, software and support (network, desktop, peripheral, mobile), technology environment, and monitoring/diagnostic repair utilities and services.</p>	<p>f. Experience and proficiency in mentoring staff</p>
<p>Business Analyst Subject Matter QA Specialist</p>	<p>The Business Analyst Subject Matter Expert QA Specialist has primary oversight responsibility for the quality of requirements gathering and ensuring that the designs developed during the Project meet programmatic needs. This requires in-depth knowledge of the business aspects of ALDHR programs and skills to work with both program staff and technical staff to document and interpret the program requirements for the application.</p>	<p>The Business Analyst Subject Matter Expert QA Specialist must have the following experience:</p> <ul style="list-style-type: none"> a. Three years of experience working with a social services agency’s application systems b. Previous experience in implementing social service or similar systems c. Previous experience in implementing Document Imaging and Content Management systems d. Previous experience in implementing Customer Service Center operations e. Three years of experience in managing or conducting quality assurance of joint application requirement and design sessions f. Three years of experience in the design or development of web systems g. Experience in participating or conducting quality assurance of User Acceptance Testing activities h. Experience in creating documentation necessary for formal federal reviews i. Experience using project management tools and techniques j. Experience with the proposed QA methodology k. Experience and proficiency in mentoring staff l. Excellent communication and writing skills <p>Previous experience in implementing SNAP and/or TANF systems is preferred.</p>
<p>Change Readiness/ Communications/</p>	<p>The Change Readiness/ Communications/ Training QA Specialist is responsible for providing technical assistance and quality assurance-related support to the Project</p>	<p>The Change Readiness/ Communications/ Training QA Specialist must have the following experience:</p>

Position	Duties and Responsibilities	Experience
<p>Training QA Specialist</p>	<p>Director for the planning, development and management of the Project’s overall culture change management strategy, which includes training and communications. This position is responsible for assisting the State, the Project Director, and the Implementation Contractors with developing training programs, communication protocols, and the overall change readiness strategy.</p>	<ul style="list-style-type: none"> a. Previous experience developing training, communications, and change readiness programs for social services-oriented implementation projects b. Five years of experience managing training, communications or change readiness on projects of similar scope and complexity c. Formal training in communications, change readiness methodologies and training techniques d. Experience in the development of business process change methodologies e. Excellent written and communication skills f. Demonstrated ability to manage team members and work with customers g. Experience and proficiency in mentoring staff <p>The following additional experience is preferred:</p> <ul style="list-style-type: none"> a. Previous experience developing change readiness/management programs for SNAP and/or TANF systems implementation projects b. Experience developing change readiness campaigns for bringing together multiple independent program staff into an integrated enterprise collaborative workforce c. Experience in dealing with a diverse set of people and ideas and demonstrating a spirit of openness, adaptability, and willingness to work toward compromise when needed
<p>Conversion, Integration and Interface QA Specialist</p>	<p>The Conversion, Integration and Interface QA Specialist has primary responsibility for the quality of the processes for conversion, integration, and interfaces used by the DDI Contractor. This position will be responsible for providing quality assurance related support for data purification, transformation, and other processes that should precede conversion. Primary oversight responsibility must also be provided for the quality of</p>	<p>The Conversion / Integration / Interface QA Specialist must have the following experience:</p> <ul style="list-style-type: none"> a. Three years of experience with successful conversion of large, complex systems b. Three years of successful management of integration/interfaces for large, complex systems

Position	Duties and Responsibilities	Experience
	<p>converted data and validation of conversion of required data elements including images. This position must also ensure that integration and interface processes function in accordance with requirements and are thoroughly tested.</p>	<ul style="list-style-type: none"> c. Experience using the proposed development methodology and proposed transfer solution d. Experience in DB2, Java, SQL, and scripting tools e. Experience in MQ Series, Neon Shadow Direct, and mainstream commercial middleware f. Three years of experience using project management tools and techniques g. Three years of experience with the proposed QA methodology h. Experience and proficiency in mentoring staff i. Excellent communications and writing skills
<p>Testing QA Specialist</p>	<p>The Testing QA Specialist has primary responsibility for reviewing the strategy and approach of testing activities planned by DDI Contractors. This position will be responsible for providing quality assurance related support for unit, system, security, capacity, performance, integration, regression, intrusion detection, and vulnerability testing. The Testing QA Specialist will be responsible for planning and directing all QA and User Acceptance Testing (UAT) activities, including training and directing DHR staff during UAT. Primary oversight responsibility must also be provided for the quality of test scripts, plans, and automated test tools. This position will also be expected to evaluate and monitor data load testing and data storage/archival procedures and results and ensure that the DDI Contractors have procedures for tracking and correcting deficiencies discovered during testing.</p>	<p>The Testing QA Specialist must have the following experience:</p> <ul style="list-style-type: none"> a. Three years of experience with successful quality assurance monitoring and management of testing for large, complex systems b. Experience using the proposed development methodology and proposed COTS, custom build, or transfer solution c. Three years of experience using automated test tools and techniques d. Three years of experience with the proposed QA methodology e. Experience and proficiency in mentoring staff f. Excellent communications and writing skills

3.8 QA WORK PLAN

The QA Contractor must develop and maintain an up-to-date QA Work Plan of all Project tasks, activities and resources including a project schedule detailing the estimated start and completion dates, actual start and completion dates, estimated and actual task hours, the resource(s) allocated for each task, any predecessors or dependencies associated with the task, and completion percentages for all in-process tasks. The State expects that the QA Work Plan will be documented and updated on an on-going basis to reflect the current status of the

Project. Both the State and the DDI Contractor will provide the QA Contractor with the information and assistance necessary to timely and thoroughly verify and validate project status and quality/ accuracy of deliverable work products. A baseline QA Work Plan must be submitted as part of the QA Contractor’s proposal in response to this RFP. For planning purposes, the QA Work Plan should assume a 22-month DDI period beginning November 1, 2022, a three-month pilot involving three counties, and then a phased rollout to the remaining counties. Please refer to the DDI RFP for more details. It is understood that this Plan will be modified and synchronized with the DDI Contractor’s Project Management Plan when the DDI Contractor is selected.

The QA Work Plan will serve as the basis for the plan to be used throughout the Project. The QA Work Plan must be updated and submitted to the State for approval within thirty (30) business days of the QA Contractor’s start date. The QA Work Plan must meet the following general requirements:

- Must detail the QA Contractor’s plans and approaches to completing all tasks described herein, including resource requirements
- Must be synchronized with the winning DDI Contractor proposal
- Must include a section for project problem/issue management that will be used to track issues noted by the QA Contractor as requiring resolution; this process shall track all open items and indicate who is responsible for the resolution, action needed, and due date
- Must be updated in conjunction with the weekly, monthly and quarterly reporting requirements throughout the Project
- Must include a staff development plan, staff retention plan, and staff backup plan to ensure that the Project is continuously staffed with highly skilled, highly motivated QA personnel; this plan should not be limited to key staff
- Must allow the State a minimum of ten (10) business days to review the QA Contractor’s deliverables (the weekly, monthly and quarterly status reports do not require a ten-day deliverable review).

The QA Contractor must prepare and obtain State approval of the procedures to be used in the QA review of Project plans, schedules, activities, and deliverables of the selected DDI Contractor. The QA Contractor shall also obtain Department approval of the formats for all status reports. The QA Contractor shall utilize document tracking tool(s) approved or specified by the State and develop the document control procedures to be used for all Project reviews and reports. These procedures are to ensure that critical Project documentation is maintained in a structured and secure manner.

The QA Contractor is responsible for the QA related activities described in this RFP from the project’s initiation, through the DDI phase, and through the Stabilization M&O period. The State estimates the following schedule for the various phases of the Project:

Table 2 – Estimated Project Timetable by Phase

Phase	Expected Duration	Estimated Start	Estimated End
Design, Development, and Implementation (DDI)	22 months	Nov 1, 2022	Aug 31, 2024
Stabilization Maintenance and Operations (M&O)	14 months	Sept 1, 2024	Oct 30, 2025

These timeframes may be adjusted depending on the DDI Contractor’s project management plan, FNS approvals, or other external factors.

The QA Contractor must develop high-level specifications for decreasing QA Contractor staff responsibilities and increasing DDI Contractor staff responsibilities for QA functions so that the DDI Contractor's staff are trained and able to seamlessly assume these duties. The transition strategy must be maintained and refined as the QA Contractor acquires more information throughout the project.

3.9 PROJECT INITIATION

The first few weeks of work are critical for establishing a sound working relationship within the QA Project Team. Within the first thirty (30) business days, the QA primary project staff must familiarize themselves with the structure and business practices of DHR's SNAP and TANF divisions through State-facilitated county office visits, reviewing documentation, and other methods as approved by the State. DHR staff may provide an orientation session for the QA Contractor staff to familiarize them with the ALDHR organization and its programs.

The State Project Director will schedule a project kick-off meeting to formally Project initiation. During the meeting, the DDI Contractor and the QA Contractor will be asked to deliver a presentation explaining their approach to fulfilling the obligations set out in their respective RFPs and contracts.

3.10 QA CONTRACTOR DELIVERABLE REVIEW PROCESS

Completed deliverables and all supporting documentation shall be submitted for review and approval by the State on or before the dates specified in the QA Work Plan. The State shall review each deliverable submitted and shall determine within ten (10) business days of receipt whether or not the deliverable is acceptable. The State reserves the right to add additional review time, not to exceed a total of twenty (20) business days, to any deliverable submitted by the QA Contractor that exceeds two-hundred (200) pages, including supporting documentation.

The Project Director will notify the QA Contractor 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 QA Contractor 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 QA Contractor shall have five (5) business 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 QA Contractor in writing. 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.

The State reserves the right to reject deliverables that are late, don't address the deliverable topic sufficiently, or are deficient in some other technical capacity. However, the independence of the QA Contractor in this project is of paramount importance. Thus, the State will not reject a QA Contractor deliverable based on conclusions reached or content alone. So long as the deliverable is completed timely and in a format and manner agreed upon at the outset of the Project, the State will not reject it based on the findings or recommendations of the QA Contractor.

The deliverables set out in Section 3 of the DDI RFP must be reviewed by the QA Contractor and included in the QA Work Plan. For each DDI Contractor deliverable reviewed, the QA Contractor must provide a recommendation to the State to either accept or reject the deliverable. If the recommendation is to reject the DDI Contractor deliverable, the QA Contractor must provide specific reasons and justification for its recommendation.

3.11 QA CONTRACTOR DELIVERABLES

In addition to reviewing the DDI Contractor's deliverables and submitting a written recommendation as to their sufficiency, the QA Contractor must complete the following specific QA Contractor produced deliverables as well. For the deliverables that do not require a written submission, the QA Contractor must describe in detail the methodology that will be utilized to complete requirement. The description provided for each deliverable in the 3.11 subsections that follow are intended to be a summary of the deliverable. More details are provided on each deliverable in later sections of the RFP.

3.11.1 QA WORK PLAN

The QA Contractor must develop and maintain an up-to-date QA Work Plan of all Project tasks, activities and resources including a project schedule detailing the estimated start and completion dates, actual start and completion dates, estimated and actual task hours, the resource(s) allocated for each task, any predecessors or dependencies associated with the task, and completion percentages for all in-process tasks. The QA Work Plan must be documented and updated on an on-going basis to reflect the current status of the Project. The QA Work Plan must be synchronized with the Project Management Plan of the DDI Contractor and is due within thirty (30) days of the QA Contractor's start date.

3.11.2 STATE'S STRUCTURE AND BUSINESS PRACTICES

The QA Contractor must familiarize its staff with the structure and business practices of the DHR Food Assistance (SNAP) and Family Assistance (TANF) divisions through State-facilitated county office visits, reviewing policy manuals and other documentation, and other methods as approved by the State. This deliverable must be completed within thirty (30) days of the QA Contractor's start date and does not require a written deliverable.

3.11.3 REVIEW AND EVALUATION OF PROJECT STRUCTURE

The QA Contractor must review and evaluate the overall project structure and assess the State's and DDI Contractor's ability to perform and meet the goals and objectives as set out in the DDI RFP. The deliverable must include a detailed gap analysis with an assessment of the adequacy of the resource staffing levels and experience of both the State's staff and the DDI Contractor's staff to meet the requirements of the DDI RFP. This deliverable is due within forty-five (45) days of the QA Contractor's start date.

3.11.4 ASSESSMENT OF DDI CONTRACTOR'S PROPOSAL

The QA Contractor must review the proposal of the DDI Contractor selected by the State and provide the State with an assessment of the adequacy and feasibility of the Project Management Plan and schedule proposed by the IC. This assessment should provide specific areas of concern, if any, the rationale for the concern and recommendations for specific mitigation strategies, if appropriate. The deliverable must also include an assessment of the SDLC proposed by the DDI Contractor. This written deliverable is due within forty-five (45) days of the QA Contractor's start date.

3.11.5 REVIEW OF FNS MATERIALS

The QA Contractor must review all appropriate federally provided materials, including but not limited to the FNS Handbook 901 and the FNS System Integrity Review Tool (SIRT). This deliverable must be completed within sixty (60) days of the QA Contractor's start date and does not require a written deliverable.

3.11.6 APPROVAL OF DELIVERABLE FORMAT

The QA Contractor must prepare and obtain State approval of the procedures to be used in the QA review of project plans, schedules, activities, and deliverables of the DDI Contractor. The QA Contractor shall also obtain Department approval of the formats for all QA Contractor weekly, monthly, and quarterly status reports. The QA Contractor shall utilize document tracking tool(s) approved or specified by the State and develop the document control procedures to be used for all Project reviews and reports. These procedures are to ensure that critical Project documentation is maintained in a structured and secure manner. This deliverable must be completed within sixty (60) days of the QA Contractor's start date.

3.11.7 APD PREPARATION

The QA Contractor must assist the State in preparation of annual Advanced Planning Document Updates (APDU) and any needed As-Needed APDs for the duration of the contract period. The "APD Process" is the process in which documents are submitted to FNS for review and approval, beginning a period of communication and cooperative oversight that will last until the project is completed. The anniversary month for submitting the annual APDU is expected to be July. As-Needed APDs are more ad-hoc in nature and are necessary when there are significant changes to the project's scope, schedule, or FNS approved budget.

3.11.8 WEEKLY STATUS REPORTS

The QA Contractor must submit weekly status reports including, at a minimum, the following items: an overview of key project events during the prior week, discussion of any departures from the project schedule, preview of project events in the near future, an overview of any staffing changes or concerns (for State, DDI Contractor, or QA Contractor), discussion of any open action items, discussion of any identified risks. Weekly status reports must be prepared and submitted by 5:00 pm each Friday.

3.11.9 MONTHLY QA CONTRACTOR REPORT

The monthly QA Contractor Report shall cover the major QA activities accomplished for the current reporting period and QA activities planned for the next review period. The report should include an assessment of the effectiveness of the DDI Contractor and the State and provide definitive answers to the questions in the following areas:

- Have constraints and their potential impact on the organizational structure been identified?
- Is information channeled effectively? Is feedback processed appropriately?
- Is there an adequate level of stakeholder participation?
- Has there been a quantitative assessment of staffing levels to ascertain the appropriate level of involvement? Are individuals participating at the expected level?
- Is a formalized critical path in place? Is it inclusive? Are directional changes incorporated at point of occurrence?
- What is the proactive methodology for ensuring that timeframes are met and potential delays are identified?
- Are key determinations made at the appropriate juncture, at the appropriate level, and do they produce the appropriate solution?
- Are the milestones valid? Will they be achieved based on the existing detailed work plans?
- Are the appropriate techniques and procedures being utilized for problem resolution?
- Do deadlines reflect current Project status, are they being met, and are they reasonable?

The monthly QA Contractor Report is due within three (3) business days following the end of the prior month.

3.11.10 QA TESTING PLAN

The QA Contractor shall be responsible for the planning and execution of the Quality Assurance testing phase of the project. The QA testing phase shall be a comprehensive system-wide test of all of the software developed and tested by the DDI Contractor. The QA Contractor will utilize the test scripts and other artifacts prepared by the DDI Contractor and work closely with ALDHR SMEs and other project personnel to add detail and additional scenarios to ensure that every contingency is tested. QA Testing will be conducted primarily by QA Contractor staff and ALDHR project SMEs. The QA Testing Plan deliverable is due sixty (60) days prior to the date scheduled for QA Testing to begin in the Project Management Plan.

3.11.11 UAT TESTING PLAN

The QA Contractor shall be responsible for the planning and execution of the UAT testing phase of the project. UAT will be coordinated and directed by the QA Contractor with the testing executed by ALDHR SMEs, county and state office workers as selected by ALDHR. The UAT Testing Plan deliverable is due sixty (60) days prior to the date scheduled for UAT Testing to begin in the Project Management Plan.

3.11.12 CHANGE ORDERS AND PROJECT SCOPE

The QA Contractor shall review and assess all change orders initiated by the State and the response from the DDI Contractor. The QA Contractor should provide a written assessment of the change order request and the DDI Contractor's response in terms of the necessity of the change request, timing of the change request, DDI Contractor's estimates for length of time to complete the change request, its estimated cost of the request, and an assessment of how the change request will affect other components of the system and how it affects the approved project schedule.

3.11.13 GATE REVIEWS AND GO/NO-GO POINTS

The QA Contractor shall provide a written assessment and recommendation for all Gate Reviews and Go/No-Go points. These are discussed in more detail later in this RFP. The written assessment must include a recommendation for either a "Go" or "No-Go" vote along with a detailed justification for the recommendation.

3.12 STATUS REPORTS AND MEETINGS

The QA Contractor must assist the State in preparing briefings, presentations, and other materials, attend and participate in meetings and workgroup sessions as requested, perform risk assessments, and develop risk mitigation strategies. To keep abreast of progress and to identify and address issues as they arise, the State requires weekly status reports and meetings. Reports by the QA Contractor should be primarily in list form and will serve as agendas for meetings.

Topics to be covered include:

- a. A Gantt chart generated from Microsoft Project[®] comparing the project status with the baseline
- b. A listing of significant departures from the project work plan with explanations of causes and strategies to achieve realignment
- c. A listing of tasks or subtasks that were completed since the last report with descriptions of findings where appropriate
- d. Plans for activities scheduled for the next period

- e. Problems encountered, proposed resolutions, and actual resolutions
- f. A listing of any perceived new or significantly heightened risks to the project with recommendations for elimination or mitigation
- g. A listing of any other topics that require attention from the State Project Director or from higher levels of ALDHR with action recommendations

The QA Contractor shall provide the State access to an electronic version of the QA Work Plan with full resource loading for at least three months into the future so that it can assess and schedule risk independently. The QA Contractor will ensure that the schedules of the proposed project consulting staff have been designed to guarantee timely completion of deliverables and adequate coverage that is acceptable to the State.

The QA Contractor shall maintain an up-to-date QA Project Work Plan of all project tasks, activities and resources including estimated start and completion dates, actual start and completion dates, estimated and actual task hours, and completion percentage for all in-process tasks. It is envisioned that the QA Project Work Plan will be revised from time to time as provided in this contract and that it will be incorporated into the State project plan and will reflect all QA tasks, activities and resources. It is expected that the QA Project Work Plan will be routinely reviewed as part of the project weekly status meetings with the recognition that time is of the essence in the performance of obligations. This will ensure that the critical event milestone dates are firm and able to be met.

An Action Item Report will be maintained to track outstanding tasks, action items, issues, and risks. This log will contain a description of the issue, the owner of the resolution, a priority code, a resolution needed by date, and a status code to report the resolution status.

3.12.1 WEEKLY MEETINGS AND REPORTS

The QA Contractor must attend and participate in weekly Project status meetings with the State and DDI Contractor and shall monitor and assess the quality of weekly Status Reports submitted by the DDI Contractor to ensure that the reports accurately reflect the major activities for the reporting period. The QA Contractor shall also identify any threats to the Project schedule and/or to the Project plan and recommend mitigation strategies. The QA Project Director, managers, and team leaders will use the status reports as a mechanism to monitor QA Project activity and as a means for early detection of potential problems or delays in the QA process. Weekly QA Contractor reports shall include the following items, at minimum:

- An overview of key project events occurring in the prior week
- A discussion of any departures from the project schedule along with the reasons for the departures and recommendations for getting back on schedule
- A preview of critical project events coming up in the near future
- An overview of staffing changes or concerns
- A listing of all open action items
- An overview of any identified risk factors
- An overview of resolutions to any action items or issues since the last report
- A general overview of the project status

3.12.2 MONTHLY MEETINGS AND REPORTS

The QA Contractor shall provide monthly presentations to the Executive Steering Committee. A narrative QA Project status report and PowerPoint presentation shall be provided that details the progress of the Project, reports actual expenditures against budget, identifies the monthly activities of the project, documents upcoming key activities, and identifies the issues and items needing Executive Steering Committee attention. The monthly QA Contractor Report shall cover the major QA activities accomplished for the current reporting period and QA activities planned for the next review period. The report should include an assessment of the effectiveness of the DDI Contractor and the State and provide definitive answers to the questions in the following areas:

- Have constraints and their potential impact on the organizational structure been identified?
- Is information channeled effectively? Is feedback processed appropriately?
- Is there an adequate level of stakeholder participation?
- Has there been a quantitative assessment of staffing levels to ascertain the appropriate level of involvement? Are individuals participating at the expected level?
- Is a formalized critical path in place? Is it inclusive? Are directional changes incorporated at point of occurrence?
- What is the proactive methodology for ensuring that timeframes are met and potential delays are identified?
- Are key determinations made at the appropriate juncture, at the appropriate level, and do they produce the appropriate solution?
- Are the milestones valid? Will they be achieved based on the existing detailed work plans?
- Are the appropriate techniques and procedures being utilized for problem resolution?
- Do deadlines reflect current Project status, are they being met, and are they reasonable?

3.12.3 QUARTERLY MEETINGS AND REPORTS

The QA Contractor shall provide quarterly presentations to the various committees, as identified by the State. The QA Contractor shall assist in the creation and review of a written status report and PowerPoint presentation, which will be due to the State Project Director within ten days following the end of each quarter during the project. This document, in a format to be approved by the State, will also be a basic tool for reporting to Federal officials and other State officials on funding issues and program matters. Quarterly reports will include, at a minimum, all items required in the status reports, as described above, a complete set of updated and current output, also a revised Gantt chart, along with the corresponding project work plan files.

3.12.4 OTHER MEETINGS AND REPORTS

The QA Contractor shall deliver risk assessment and Project status presentations to the Executive Steering Committee and other stakeholders on an as-requested basis. The purpose of this task will be to provide the committee members and stakeholders with a verbal and written assessment of the Project status and make recommendations on any risk mitigation or corrective action necessary to keep the Project on schedule.

At major milestones throughout the project, the QA Contractor should plan to attend meetings with all Project team members to prepare staff for upcoming tasks. At project conclusion, a final End of Project report shall be provided.

The QA Contractor must prepare and submit certain required documents to the federal government, as required and requested.

The QA Contractor must provide the State with a written summary report within two business days upon the occurrence of any of the following circumstances:

- Any and all significant or serious deficiencies, risks, or concerns with the STIS' quality, design, development or implementation
- Any other circumstances which have caused or may cause a negative impact on the Project, the STIS, its design, development, implementation, cost, or time for completion

At the State Project Director's request, the QA Contractor may be required to appear before various committees, groups and/or individuals to discuss the overall strategic direction and progress of the Project. The QA Contractor shall accompany ALDHR staff at such appearances to make presentations, help answer questions, and provide its assessment and advice.

3.12.5 REPORTING TIME AND EFFORT

The QA Contractor shall retain time sheets detailing effort expended and work performed by each member of its or its subcontractors' staff who are participating in the Contract. Time sheets shall, at a minimum, identify the name of the individual performing the work, and the number of hours worked during the period by project work plan task. The status reports shall include tasks completed during the time period by the project team, tasks delayed, reasons for delay, and tasks in-progress. Time sheets must be available for review by Department staff.

The QA Contractor shall also track and report hours expended in a manner that will allow the State and Federal authorities to calculate the level of effort expended by federal funding stream. DHR will provide the QA Contractor with a list of broad activity codes to be used in time reporting. If hours are spent related to an activity that is specific to one federal funding program, the coding of those hours should be assigned to that specific funding stream. Time dedicated to functionality that is shared by multiple federal program areas requires coding of those hours assigned to the degree possible to the benefiting federal programs in an equitable manner.

3.13 PROJECT DOCUMENTATION REPOSITORY

The QA Contractor shall save all relevant project documentation, including deliverables, status reports, etc., to the official project repository created by the DDI Contractor. The DDI Contractor and ALDHR staff will also save all appropriate project documentation to the repository. The QA Contractor shall monitor the repository to ensure that documentation is being shared timely, that all appropriate project staff have access, and perform an ongoing and regular assessment of the effectiveness of the Project website.

3.14 QA CONTRACTOR REVIEW OF DDI CONTRACTOR DELIVERABLES

The QA Contractor must monitor and assess the overall performance of the DDI Contractor and the State to determine if each is performing in accordance with the terms of the Contract. The sections below provide specific examples of how this is to be done. Each responding contractor should specify in its proposal any additional tasks that are needed in order to accomplish this goal.

The QA Contractor must review and evaluate all DDI Contractor and State deliverables as set out in Section 3: Scope of Work of the STIS RFP, and any additional deliverables proposed by the DDI Contractor and agreed to by the State. The QA Contractor shall attend and participate as appropriate in design sessions, meetings, walkthroughs, etc. The QA Contractor will issue a written report as to the degree to which each DDI Contractor deliverable meets State requirements and the terms of the Contract, including a recommendation that the State

either accept or reject the deliverable and the justification for the recommendation. The QA Contractor shall recommend corrective action when activities or deliverables fail to achieve the standards established in the DDI RFP, the DDI Contractor's proposal, or the Contract.

The deliverables iterated in the DDI RFP will be presented to the QA Contractor for review and recommendations and to the State for review and approval within 10 business days. The written evaluation of each of those deliverables in turn represents a deliverable for the QA Contractor.

The weekly status and DDI Contractor reports will require a two-business-day deliverable review cycle. All status reports from the DDI Contractor shall be provided to the Project Director and the QA Contractors for review and corrections, and to ensure incorporation of their activities, comments and concerns, as well as presenting a complete picture of the status and health of the Project from an integrated team perspective.

The QA Contractor shall determine how the quality standards will be monitored and measured. The QA Contractor will review all deliverables for the Project to verify that each completely, correctly, consistently, accurately satisfies the requirements, and validate that it satisfies the intent of the deliverable.

The QA Contractor must create a Requirements Traceability Matrix (RTM) to map to the functional requirements to ensure that all requirements are addressed throughout the SDLC, from requirements validation through all testing phases to implementation.

The State endorses the use of QA work products that can be represented in a checklist or matrix, which combines the selected quality standards with the expected monitoring activities to be used during the quality review process. The QA Contractor shall address, at a minimum, the following elements:

- a. Indicate the review schedule, denoting staff member responsible to perform the task and responsible for review and once completed indicate the actual dates and reviewers
- b. Indicate if there is an expectation for a specific review procedure to follow (i.e. a procedure for schedule analysis, code walk-through, peer review, interviews, lessons learned, etc.) and once completed indicate the procedure used
- c. Indicate the estimated amount of time required to conduct the review and, once completed, the amount of time actually expended
- d. Verify and document that a set of scheduled inspections has been performed
- e. Indicate that the minimum quality standard has been met or not
- f. Record the measurements, observations, findings, and any necessary recommendations or corrective actions
- g. Identify the estimated risk level
- h. Indicate the risk acceptability or tolerance
- i. Indicate the impact of the quality standards where risk was found unacceptable
- j. Indicate the changes and the history in risk levels
- k. Indicate the number of re-reviews occurring
- l. Record what was reviewed and whether supplemental information was obtained to clarify content (i.e. who participated in review and supplied information to reviewer - or what other documents were referenced) and the information or reasoning to support the findings

During any federal virtual or in-person site visit, the QA Contractor must document any deficiencies identified by FNS and ensure they are addressed prior to implementation.

3.15 GENERAL PROJECT REQUIREMENTS

The DDI Contractor is required to meet the following general project requirements. The QA Contractor shall monitor the work and deliverables produced by the DDI Contractor to ensure that these requirements are met.

- Provide services in collaboration with ALDHR staff and advise ALDHR Project Director of status, issues and potential risks in accordance with an approved PMP during the Contract Term
- Provide, employ, maintain, and execute a project management methodology that aligns with industry standard SDLC methodology
- Comply with requests for meetings, information, or documents from ALDHR or ALDHR-request, unless otherwise approved by ALDHR

3.15.1 GATE REVIEWS

The DDI Contractor will be subject to the following three (3) Gate Reviews, during which the State will determine whether to move forward with the implementation of the System. For each Gate Review, the State's decision to move forward will be based on a "Go" vote by the State team.

- a. Proposed System viability demonstrated
- b. UAT completed, ready for Pilot
- c. Pilot Implementation completed, ready for statewide rollout

The QA Contractor will be given access to all necessary project documentation and both DDI Contractor and State staff, and will make its own, independent Go/No-Go vote on each of the gate reviews.

The QA Contractor shall support ALDHR in developing a Go/No-Go Decision Document requesting FNS approval to proceed with either Pilot or Statewide implementation following the gate review. For both Go/No-Go processes, the QA Contractor shall participate on calls/meetings with federal entities if requested.

The QA Contractor shall monitor the work and deliverables of the DDI Contractor to ensure that the Go/No-Go Decision Documents produced shall contain the following components as described in Section A.16 of the FNS Handbook 901:

- a. **Testing Goals Achieved-** required for UAT and Pilot
The number of test scenarios completed and the number of Test Issues by severity level resolved and successfully regression tested. An explanation of how each severity level is defined should be included.
- b. **Software Defect Status-** required for UAT and Pilot
A table of outstanding system defects by severity level, including the program(s) impacted, indicating the workarounds that will be used after go-live until a fix is in place. Any Test Issue that is outstanding at go-live that materially impacts the System functionality must have a successfully tested and approved workaround in place.
- c. **Deferred Defects and Deferred Functionality** – required for UAT and Pilot
Provide a list of deferred defects and any deferred functionality. Include a list of interim business processes, or workarounds for FNS review that will be used after "go-live" until a fix is in place. Any outstanding defect at "go-live" that materially impacts the SNAP eligibility process must have a successful tested interim business process in place.

- d. **Training Readiness Assessment** – required for UAT and Pilot
- An assessment of the effectiveness of training based on UAT/Pilot Implementation, and expectations for length of the learning curve. Include average case processing time per worker and office or per day/week/month (same, fewer, more) in legacy, during UAT with the STIS, and during Pilot Implementation. Method of comparison must also account for any changes in workflow.
 - A training plan that ensures users complete training “just in time” before the system is rolled out in each location.
 - A comprehensive description of interim business processes, or workarounds, in place for Pilot Implementation or “go-live” and assurance that these were incorporated into training.
- e. **Site Readiness Assessment**- required for UAT and Pilot
Provide Site Readiness criteria and completion checklist or statement of validation assuring readiness. This will include everything from the network to the workstations and peripherals. Provide the status of any needed redesign of physical space layout.
- f. **Current Program Performance** (timeliness and payment accuracy & volume of any document processing backlogs) - required for Pilot only
Include data indicating that the State is meeting Federal timeliness standards – 95% of cases processed by 7 or 30 days. If there are program performance deficiencies, explain how the current level of performance will be maintained or improved. Include a plan to mitigate timeliness and accuracy issues for period of training, UAT, Pilot Implementation and rollout activities as these are the periods when staffing will be reduced and the learning curve will take place. The plan must demonstrate that the same number of cases can be processed with the same resources, in the same time. Staffing must be adequate to handle not just same caseload, but also any conversion/cleanup workload.
- g. **Client notices** – required for Pilot only
Provide a plan identifying the process for producing notices; how notices are generated, batched, displayed, printed, validated, and maintained. Include data indicating the percent of client notices in the Pilot Implementation area that are accurate, including content, printing and mailing.
- h. **Reports** – required for Pilot only
Produce specific reports in order to receive FNS’ and ALDHR approval. The following reports must be produced on demand accurately 95% of the time. These reports are subject to FNS and ALDHR review and verification to ensure accuracy and compliance with SNAP and TANF/JOBS policies and regulations.
- SNAP Financial Status Report (SF-425/FNS-778)
 - State Issuance and Participation Estimates (FNS-388)
 - Project Area Data Format Report (FNS 388A)
 - Timeliness Report – application processing timeliness report calculating the application processing timeliness rate in accordance with SNAP policy and regulations.
 - Backlog Report –A backlog report that includes a breakdown of unworked and overdue initial applications, recertification applications, and interim reports (or change reports, as applicable) by 1-30 days, 31-60 days, 61-90 days, and 90+ days overdue.
 - Notice Report –A notice report for all notices sent by the State that must include total number of notices generated and sent (including paper notices and electronic notices when applicable) each day and be able to distinguish by type such as notice of expiration, notice of approval, periodic report notice, etc.
 - Daily Report – A daily report reflecting State activity for that day, with capacity to break tasks down by staff member and office or by day/week/month. Include, at a minimum, total number of applications and

recertifications received, number of initial applications and recertifications worked that day by status (pending, approved, denied, closed), total number of interviews conducted broken out by initial applications and recertifications, total number of periodic reports (or change reports, as applicable) received, number of periodic reports (or change reports as applicable) worked that day, number of case documents received, and number of case documents worked that day. All information pertaining to initial applications must be separated into expedited and regular.

In addition to these specific reports, the System must contain the data elements necessary to produce the following reports, must demonstrate that these reports have been developed, and if not functioning at 95% accuracy, must have a specific timeline for issue/defect resolution and testing.

- Status of Claims Against Households Reports (FNS 209/209-A)
 - Budget Summary Detailed Reports (FNS 366/366-B)
 - SNAP Employment and Training Report (FNS 583)
 - Issuance Reconciliation Report (FNS 46)
 - Participation in Food Programs – By Race (FNS 101)
 - Disaster Food Stamp Benefit Issuance Report (FNS 292-B)
- i. **Valid Quality Check Sampling Process** – required for Pilot only
Description of the quality checking process and whether it can be validated in the Pilot Implementation. The quality checking process must adhere to latest FNS SNAP Eligibility System Go Live Requirements.
- j. **Read only access to the System** – required for UAT and Pilot
Per SNAP-Fiscal Year (FY) 2017 Quality Control Procedural Clarifications and Federal Access to State Systems QC Policy Memo 17-01, FNS regional offices and headquarters staff have read-only user roles with access limited to SNAP information only.
- k. **Duplicate Issuances** required for Pilot only
Describe the process to prove that there are not any duplicate issuances occurring and edits in the system to prevent duplicate issuances.
- l. **Black-out Period** – required for Pilot only
Explain any times when all systems will be offline and if so, for how long and what is the plan for continuity of operations to ensure processing standards are met.
- m. **Live Pilot Implementation** – required for Pilot only
Comply with requirement to conduct a “live” production Pilot Implementation in accordance with 7 CFR 277.18.
- n. **Statewide Implementation** – Provide the plan for Statewide Implementation.
- o. **Data Conversion** – required for UAT and Pilot
Describe the conversion process and include testing conversion rate and minimum necessary threshold for success:
- p. **Post-Conversion Clean-up:** Itemize the additional workload resources available to help during data conversion cleanup and while productivity is reduced due to the learning curve and timeframes needed. Describe the post conversion clean-up activities and the impact on workload/resources (i.e. percent of cases affected times the average amount of time to clean-up the data per case)
- q. **Total Cases Proposed and Total Cases Processed During Pilot Implementation**” – required for Pilot only
Describe pilot caseload as percentage of total cases. Pilot Implementation caseload should replicate statewide diversity of cases. Provide statistics identifying diversity of case types across programs. Describe

the process which ensures the Pilot Implementation reaches a state of routine operation with the full caseload in the Pilot Implementation area.

- r. **Interface Testing and Acceptance** – required for Pilot only
A confirmation that all interfaces have been validated by partners as working correctly. The DDI Contractor shall obtain a written confirmation from its issuance partners that successful testing of issuance interface has been complete with no known issues to ensure accurate benefit issuance to ALDHR benefit recipients.
- s. **Contingency Plan** – required for UAT and Pilot
A plan that does the following:
- Explains the strategy if it is necessary to roll back to the legacy system.
 - Projects how long the decision to roll back to the legacy system can be delayed if things go badly.
 - Explains the impact to stakeholders of a rollback.
 - Includes failure/response plan for all key operational areas. Checkpoints are identified, and measurement method is known for each checkpoint during conversion and the “fall back” window. Decision makers are identified
- t. **Escalation Plan** – required for Pilot only
Explains the process to escalate issues happening on the ground (Pilot Implementation areas, service centers, etc.) to get technical support and inform impacted stakeholders including FNS and advocate community. Plan explains the complete feedback loop from point of initiation through the process, decision making, and back to the end users. Plan identifies who has the final decision on the issue.
- u. **Communication Plan** – required for UAT and Pilot
Explains how and when the stakeholders and the public (community groups, clients, etc.) will be informed about the roll-out of the STIS and its impact in the short and long term.
- v. **Results of System’s Performance and Capacity Testing** – required for Pilot only
Identify the strategy for addressing any degradation to performance as the System moves from UAT through Statewide Implementation. Provide system performance and user response time validation process and results.
- w. **System Security Fully Tested** – required for Pilot only
System security fully tested according to State Security Plan and any Federal regulations that apply.
- x. **QA or Other System Status Ratings** – required for UAT and Pilot
Include the QA Contractors’ report/ratings.
- y. **FNS’ System Integrity Review Tool (“SIRT”)**
Update any outstanding issues for required program functionality identified by the most current version of the tool.

3.16 TESTING TASKS AND DELIVERABLES

The QA Contractor must assist the State in verifying and validating that all development, testing, and installation of software is done in such a manner that it meets all the functional and technical requirements of the system and is compliant with any relevant Federal requirements.

To ensure robust testing and problem resolution, the QA Contractor must do the following, at minimum:

- Ensure that appropriate configuration management and tracking is established and that software defects are addressed in a timely fashion

- Assist the State in determining if DDI Contractor independent capacity simulation (load/performance) models are adequate
- Recommend priority for fixes and enhancements for software defects and other issues that arise during the life of the project
- Make recommendations regarding training adjustments as necessary
- Review and report on the sufficiency of the DDI Contractor's written response to discrepancies identified during the life of the Project with particular emphasis on testing
- Monitor all communications between the State and DDI Contractor related to technical issues that arise during the Project
- Plan and execute Quality Assurance and User Acceptance Testing (UAT)
- Assess the impact of changes being proposed to the DDI Contractor scope of work and determine how the change will impact the schedule of the Project, whether the change is necessary, and how the change affects work already completed

3.17 IMPLEMENTATION TASKS AND DELIVERABLES

The QA Contractor must make recommendations at identified Gate Reviews and Go/No-Go milestones. The QA Contractor must make a recommendation in writing, supported by its reasoned justification, to support its recommendation.

The QA Contractor must develop a process to gauge user satisfaction with the system during pilot testing and implementation. The QA Contractor must describe in detail the processes and the functions they will initiate as an independent analyst of user issues and concerns that need to be brought to the attention of the State.

3.18 CLOSEOUT TASKS AND DELIVERABLES

The QA Contractor must prepare a post implementation report that provides information regarding the benefits and success of the system, identifies future risks to the system, verifies that all Project artifacts are in place and under appropriate configuration management, and provides lessons learned which can be used for subsequent system development projects.

3.19 QUALITY ASSURANCE PROJECT EXECUTION

This section details the tasks necessary for executing the Quality Assurance mission and the responsibilities of each of the entities involved.

3.19.1 STATE RESPONSIBILITIES

The State Project Director, with the help of the Project team, will be responsible for the following:

- a. Coordinating the reporting, review, and quality assurance process
- b. Facilitating formal deliverable review
- c. Facilitating the effective participation of State staff and external stakeholders
- d. Monitoring the progress of all principal Project participants
- e. Facilitating the timely resolution of issues raised by the QA Contractor's Project Manager

- f. Developing, with the QA Contractor's Project Manager, the agenda and topics for the monthly steering committee meetings and various quarterly/semi-annual advisory committee meetings
- g. Scheduling the Project kick-off meeting to present the State project organization, staffing, role, and responsibility definition, to all Project staff and ALDHR stakeholders
- h. Reviewing the overall project work plan and schedule with the QA Contractor
- i. Facilitating the processing of deliverables in accordance with the provisions of the Contract
- j. Assessing the appropriateness of ALDHR program staff as required to participate in project activities
- k. Assisting the QA Contractor to develop and implement strategies for assessing, managing, and mitigating the impact of changes in the user environment based upon the approved workflow and procedural specifications and change management plan deliverables

3.19.2 QA CONTRACTOR RESPONSIBILITIES

The QA Contractor will assist the State with project planning, coordination, validation, and quality assurance services. The DDI Contractors shall cooperate fully with the selected QA Contractor, who will assist the State by developing and implementing the following project monitoring controls and quality assurance procedures:

- a. Collaboratively, in concert with State staff, review, critique, and propose the deliverable content, review, and submission process
- b. Monitor a sampling of Joint Application Design (JAD) sessions to validate that the sessions conform to best practices and promote input from a wide variety of participants
- c. Review the efficiency and quality of DDI Contractor plans for disaster recovery and business continuity, security, and intrusion detection
- d. Review the efficiency and quality of implementing system functionality for maintaining necessary accreditations throughout service delivery programs and systems
- e. Review the efficiency and quality of reports production based on the business reason for their creation
- f. Review the efficiency and quality of performance and the assessment of measurable outcomes
- g. Review the efficiency and quality of surveys conducted to determine effectiveness, efficiency of service, and timeliness among the various stakeholders, providers, customers, and staff
- h. Review the efficiency and quality of the State's UAT test efforts and system integration
- i. Review the State and Contractor's proposed project schedule, milestones, scope and expenditure controls
- j. Review the State and Contractor's proposed risk mitigation and issue resolution/escalation procedures
- k. Evaluate Change Control Board activities and effectiveness
- l. Execute quality assurance tasks
- m. Evaluate Design Deliverables
- n. Evaluate and monitor Code, Objects, Deployment, and Models creation and maintenance procedures
- o. Evaluate and monitor System Tests and procedures
- p. Execute QA and UAT system testing
- q. Evaluate and monitor UAT procedures and results
- r. Evaluate and monitor the quality of training materials and their effectiveness
- s. Evaluate and monitor conversion results and effectiveness

- t. Evaluate and monitor load/performance and capacity testing procedures and results
- u. Evaluate and monitor the quality and efficiency of system administrative structures and processes such as security, audit logs, interfaces/integration, backups, etc.
- v. Evaluate and monitor Pilot Test effectiveness
- w. Evaluate and monitor Implementation success
- x. Evaluate and monitor Post-Implementation activities
- y. Assist in activities to secure Federal acceptance and approval
- z. Evaluate and monitor data load testing and data storage/archival procedures and results
- aa. Evaluate and monitor that the State and DDI Contractors have identified and formulated required conversion algorithms to automate data conversion and migration as much as possible
- bb. Evaluate and monitor integration/interface procedures and results

The QA Contractor will develop a quality assurance monitoring plan that will be used as the basis for managing the quality of project deliverables. The QA Contractor will assist the State in ensuring that all RFP requirements are not only met, but traceable among all documents, models, deliverables, and similar artifacts and accomplished in an efficient and effective manner. Each major deliverable will be reviewed by the QA Contractor against the quality control procedures to ensure that no requirements are overlooked. If it is determined that a deliverable does not meet applicable standards or if an activity is not conducted according to plans, standards, or procedures, the QA Contractor shall also identify the factors or reasons that contributed to the deviation or deficiency, along with recommendations for specific actions that should be completed within a prescribed timeframe to correct the deficiency.

In summary, the QA Contractor will provide independent monitoring and oversight of the Project for the life cycle of the Project. The QA Contractor is to ensure that all the Project partners are fulfilling their individual responsibilities. For the DDI Contractor, this includes review of project management, infrastructure setup, software upgrades, code and data migration, requirements gathering and validation, design, development, communications, forms and reports, testing, change readiness/management, training development, training delivery, conversion, interfaces and integration, system security testing, data load and capacity performance testing, development of software documentation, pilot, helpdesk, implementation and turnover, post-implementation support, and federal review support. It is the QA Contractor's responsibility to identify Project risks that are created when a Project Partner, whether State or Contractor, is not meeting its responsibilities by failing to provide stipulated resources or failing to meet deliverable deadlines.

3.19.3 CHANGE CONTROL PROCESS

Change Control procedures provide a framework to document and track changes that occur during the Project. The QA Contractor must assess the impact of changes being proposed to determine how the change will impact the budget and schedule of the individual project and the Project as a whole, whether the change is necessary, how the change affects work completed but not implemented, and how the change affects work already implemented.

Any proposed Change Request shall be presented to a Project Change Control Committee (consisting of senior or key staff from the DDI Contractor, State, and QA Contractor) with documentation to include a summary, issues related to the change request, associated (new or impacted) deliverables, level of effort, cost to implement the change, impact analysis, related change requests, related requirements, related issues, alternative design/development/deployment solutions if appropriate or necessary, references and attachments. The QA

Contractor must propose sufficient resources to participate in the Change Control Committee, evaluate proposed changes, offer their findings and recommendations regarding proposed changes, and monitor the approved changes.

The QA Contractor must propose sufficient resources to evaluate and monitor the design, development, testing, training, and deployment of approved changes.

3.19.4 SYSTEM REQUIREMENTS ANALYSIS AND DESIGN

In the system requirements analysis and design phase, the DDI Contractor must perform detailed analysis and produce the detailed specifications required to install, configure, extend or construct and implement an integrated information system. The QA Contractor's responsibility is to determine that the deliverables submitted by the DDI Contractors accurately reflect the RFP requirements and support the business needs of ALDHR.

3.19.5 VALIDATION DESIGNS

The QA Contractor shall review and validate the work product produced from the requirements validation and JAD sessions.

3.19.6 QA REVIEW OF DDI CONTRACTOR DESIGN RESPONSIBILITIES

The QA Contractor's work plan will provide for monitoring, reviewing, critiquing, and reporting on the DDI Contractors' proposed methodology and approach to system design. In addition, the QA plan will provide for the review of the efficiency and quality of system design and implementation to accomplish the objectives and requirements of the Project.

3.19.7 QA RESPONSIBILITIES REGARDING DDI CONTRACTOR DESIGN

The QA Contractor shall review system analysis and design task deliverables for completeness and accuracy as required by its proposed project methodology. Deliverable format and content shall reflect the format required in this RFP, as specified, and the effective use of development tools, if any are proposed.

3.19.8 QA RESPONSIBILITIES REGARDING SYSTEM DEVELOPMENT SOFTWARE

The QA Contractor is to evaluate through sampling and attending DDI Contractor code-walkthroughs, that the software for the Project has been coded, unit-tested, and system-tested by the DDI Contractors, and that system documentation has been produced according to ALDHR documentation standards or industry best practice when ALDHR standards are not available.

3.19.9 OVERVIEW OF PROJECT TESTS

Required system tests and demonstrations, are detailed in this section, along with who is responsible for each test or demonstration. The QA Contractor is responsible for planning and executing the QA Testing phase as well as the User Acceptance Testing (UAT) phase. The additional tests are described here to give a complete overview of the testing requirements for the Project. The QA Contractor is responsible for closely monitoring all testing activities of the DDI Contractor to ensure that they meet industry standards and that all of the requirements identified in the RFP and Contract are met.

- **Functional Demonstration (DDI Contractor Led)** - provide State and Federal representatives the opportunity to review and observe planned STIS operations. The DDI Contractor shall prepare a report of the demonstration results including any system modifications that were identified. The Functional

Demonstration should occur as early as possible but no later than four (4) weeks prior to the System Acceptance Test to ensure the design is proceeding according to the expectations of the State and DDI Contractor.

- **Unit Testing (DDI Contractor Led)** - a way of testing a unit - the smallest piece of code that can be logically isolated in a system; unit testing is conducted by the DDI Contractor's development team and occurs continuously during the development phase
- **Interface Testing (DDI Contractor Led)** – a test shall be conducted for each interface, either internal or external, that must interface with the STIS to ensure that all files sent between the systems are properly received, accepted, and processed; DDI Contractor must test with real production data as part of Interface testing
- **System (Integration) Test (DDI Contractor Led)** – provides the opportunity to test the STIS functionality and ensure compliance with the system design requirements. This test shall consist minimally of functional requirements, security, recovery, system controls, and "what if" testing.
- **Quality Assurance Testing (QA Contractor Led)** – the QA Contractor will be responsible for this comprehensive system-wide test; the QA Contractor will utilize the test scripts and other artifacts prepared by the DDI Contractor and work closely with ALDHR SMEs and other project personnel to add detail and additional scenarios to ensure that every contingency is tested. QA testing will be conducted primarily by QA Contractor staff and ALDHR project SMEs.
- **Performance/Stress Testing (DDI Contractor Led)** – the purpose of this test is to ensure that there is sufficient capacity within the STIS to handle the expected database sizing and transaction volume. Test results from the Performance/Stress test shall be used to formulate a system capacity model to determine the appropriate hardware and software requirements and configuration so that the ALDHR systems can accommodate the anticipated transaction volumes. The DDI Contractor may, as an option, choose to use current production data in order to develop a system capacity model for modeling the anticipated transaction volumes. If the DDI Contractor is anticipating utilizing this option, the DDI Contractor should provide a description on how the modeling will be performed, and how the results of the modeling exercise will be reported to the State. The DDI Contractor must also detail how it plans to either simulate or procure the volume of data necessary to perform this test.
- **Conversion Testing (DDI Contractor Led)** – the DDI Contractor shall be required to demonstrate to the State the conversion and migration of SNAP/TANF data from the legacy systems to the STIS. Part of the test is a validation of conversion results, and the ability to perform tests against the converted database. The DDI Contractor must utilize actual converted data during this phase of testing. ALDHR requires a series of successful trial/mock runs prior to the actual conversion. These trial/mock runs will help the DDI Contractor and State to better understand the timing and success rate of the upcoming conversion.
- **User Acceptance Testing (QA Contractor Led)** – the QA Contractor will be responsible for leading and coordinating this comprehensive system-wide user acceptance test. The QA Contractor will work closely with ALDHR SMEs and other project personnel to add detail and additional scenarios to ensure that every contingency is tested. UAT will be coordinated and directed by the QA Contractor with the testing executed by ALDHR SMEs, county and state office workers as selected by ALDHR. In addition, as part of the user acceptance testing, the DDI Contractor must demonstrate and test the methods and processes it has put in place for performing daily reconciliation between the State legacy systems and the STIS that will run in parallel during Pilot. Keeping the legacy DHR systems and the STIS in sync during the Pilot and phased rollout is critical to a successful implementation. During the formal test script portion of the user acceptance test, testing representatives will follow detailed test scripts developed by the QA Contractor. The test scripts should cover all facets of the system's operations and test all of the system processing options and environmental conditions for all user interfaces. The ad hoc or "what if" portion of the acceptance test

provides the State and Federal representatives the opportunity to include various transaction sets and sequences that have not been included in the test scripts and to challenge the system's operations and design.

3.19.10 QA RESPONSIBILITIES REGARDING QA TESTING

The QA Contractor shall be responsible for the planning and execution of the Quality Assurance testing phase of the project. The QA testing phase shall be a comprehensive system-wide test of all of the software developed and tested by the DDI Contractor. The QA Contractor will utilize the test scripts and other artifacts prepared by the DDI Contractor and work closely with ALDHR SMEs and other project personnel to add detail and additional scenarios to ensure that every contingency is tested. QA Testing will be conducted primarily by QA Contractor staff and ALDHR project SMEs.

3.19.11 USER ACCEPTANCE TESTING OF SOFTWARE COMPONENTS

For each release, all system components shall be subjected to structured system testing performed by an integrated test team. Additionally, all system documentation and training materials must pass through User Acceptance Testing for determination of conformance, usability, and accuracy. The State's User Acceptance test team will be composed of ALDHR project team staff, state office staff, and various field staff, and will be supported full-time by the DDI Contractor. It is the responsibility of the QA Contractor to coordinate and execute the UAT to ensure robust and thorough testing, and to verify that the testing partners are appropriately discharging their UAT testing responsibilities.

3.19.12 QA RESPONSIBILITIES REGARDING UAT

The QA Contractor shall be responsible for the planning and execution of the comprehensive system-wide User Acceptance Test. The QA Contractor will work closely with ALDHR SMEs and other project personnel to add detail and additional scenarios to ensure that every contingency is tested. UAT will be planned, coordinated and directed by the QA Contractor with the testing executed by ALDHR SMEs, county and state office workers as selected by ALDHR.

3.19.13 ORGANIZATIONAL CHANGE READINESS MANAGEMENT

The QA Contractor must work closely with the State Organizational Change Management Lead and take an active role to address the State's perceived need for a proactive publicity campaign to build interest, understanding, and enthusiasm about the Project among ALDHR staff and stakeholders. All organizational change readiness plans and communications will be coordinated with the State Organizational Change Management Lead and Project Director. During the life of the Project the QA Contractor must ensure that updated change readiness and communication plans are maintained to provide information about the System to all ALDHR staff, focusing on how the system will help workers serve customers more efficiently and more effectively.

3.19.14 TRAINING

The DDI Contractor must plan for the training of approximately 1,300 state, region, and county personnel, as well as another 500 external users of the system. External users may be service providers or other governmental related staff that have will be granted access to the STIS. The client portal portion of the system will also be available to Alabama citizens who will use the portal to apply for benefits, get status updates on an application or active case, or report changes. The DDI RFP provides details on the requirements and approach for training these various groups of users. Variations in training must cover differences in staff composed of users, technical staff and train-the-trainer staff. The DDI Contractor is also responsible for providing training for the system test team, user acceptance test team, conversion test team and the pilot test team.

The State will provide virtual training or physical training facilities and equipment at the state, regional, and county sites as needed, or at alternate sites if these facilities are not available. Prior to the onset of training, the DDI Contractor is responsible for the setup of the training environment. All technical training must begin early in the development phase of the project to ensure that the state, county, and any additional Contractor staff (if used) are properly trained on the new technologies proposed. Training to prepare for the system testing, conversion and pilot testing must also be included in the training.

By monitoring the training deliverables for the Project, observing a sampling of the training, and reviewing training surveys, the QA Contractor is expected to assess the accuracy and comprehensiveness of the training as well as determine if it meets the needs of participants, and to verify that the training providers are appropriately discharging their UAT training responsibilities. That includes such things as:

- a. Provision of adequate training sites and materials
- b. Appropriate trainer/trainee ratios
- c. Timeliness of the training to user needs
- d. Focus on core system functionality
- e. Responsiveness to training feedback

3.19.15 DATA CONVERSION AND MIGRATION

The DDI Contractor is responsible for ensuring that all data in the current systems that is needed to meet system requirements for client and provider registries is converted, and to the degree practicable, unduplicated. The State recognizes that data from multiple systems with different formats, values, and integrities exist. The State will perform the extraction of the data from the ALDHR legacy systems and provide it to the DDI Contractor with the format specified by the DDI Contractor. The DDI Contractor must plan for and deal with the identification, standardization, purification, and de-duplication of data as it is converted and migrated from multiple systems.

The QA Contractor shall also verify that the DDI Contractor has identified which data elements need to be converted in order to run the system and which data elements, including images, need to be converted. The DDI Contractor will work closely with the State conversion team to ensure that the conversion and migration process runs as smoothly as possible. The QA Contractor shall closely monitor these processes to ensure that the RFP requirements are being met, the conversion follows industry standards and best practices, and that manual conversion activities are minimized to the extent possible.

3.19.16 INTEGRATION AND INTERFACE

The DDI Contractor is responsible for the creation of all interface/integration plans, identification of all systems requiring interface/integration, design, development and testing of interface/integration programs, and management of resources required to create integration/interface systems. The QA Contractor will determine that the DDI Contractor has effectively planned for integration and interfaces and created or supplied the software for integration/interface between the STIS and legacy systems. The QA Contractor will validate that response time and overall system performance is optimal during integration. The QA Contractor will also validate that processes used to address integration during legacy system downtime meet State requirements.

3.19.17 PILOT TESTING

Pilot testing will occur as detailed in Section 3.11.7 of the DDI RFP. It should be noted that defects discovered during Pilot shall be required to be corrected and retested through the UAT process, thus Pilot Testing and UAT will necessarily overlap.

The purpose of the Pilot Testing phase is to verify the functional and technical usability in a targeted production environment. Pilot testing will be the first production field user test outside of the controlled development and system testing environments. The purpose is to focus not only on software functionality, but also on the adequacy of, and the effectiveness and efficiency of the procedures, workflows and operational components required for implementing and supporting the System. The Pilot must be structured to reveal issues that may be related to handling converted clients/cases and dealing with cross-county cases.

The QA Contractor will closely monitor the activities of the DDI Contractor during Pilot Testing and verify that the systems are continually operational during Pilot Testing, and that the DDI Contractor corrects any system errors encountered in accordance with the correction procedures detailed under the system testing task. The QA Contractor will use sampling to verify that the benchmark tests (to include network tests and pre-quantified and approved response times) performed by the DDI Contractor at the end of the Pilot Testing phase meet performance standards, and that the DDI Contractor performs any system tuning necessary.

At the conclusion of the Pilot Testing phase, the QA Contractor must concur with the Pilot operations reports prepared by the DDI Contractor that certify that the software is ready for statewide implementation. The State will review the DDI Contractor's reports and the QA Contractor's assessments of those reports, and other available information and determine whether to proceed with the statewide implementation task according to the project schedule. The Pilot acceptance test and report must cover all activities that would take place during the actual statewide implementation.

3.19.18 STATEWIDE IMPLEMENTATION

During this period, the QA Contractor will monitor the DDI Contractor to verify that they maintain all software, perform any remaining conversion and training activities, and warrant the functionality and performance of the system. The QA Contractor will verify that the DDI Contractor coordinates with all the appropriate parties to ensure that any problems that may arise with the operation of the system are quickly and effectively resolved. In summary, the QA Contractor will ensure that the DDI Contractor's implementation plans meet RFP specifications and that the plans are appropriately executed.

3.19.19 MAINTENANCE AND OPERATIONS

The DDI Contractor must provide adequate on-site support staff as detailed in the DDI RFP to maintain the system after completion of the statewide implementation rollout. During the Stabilization M&O phase, the DDI Contractor must provide full technical support and achieve consistent operational stability. The Stabilization M&O Phase will last approximately fourteen (14) months. Activities addressing defect correction or problem resolution during the Stabilization M&O phase will adhere to the details provided in Section 3.11.9 of the DDI RFP.

Following the Stabilization M&O period, the two (2) year Steady State M&O period shall begin. The DDI Contractor shall be responsible for all M&O responsibilities during this stage and will staff its development and testing team appropriately to address the day-to-day M&O duties as well as any enhancement requests by the State. There are no QA Contractor responsibilities during the Steady State M&O period. The QA Contractor responsibilities terminate with the end of the Stabilization M&O period. The State has two one-year option years for the QA Contractor that it may exercise to address schedule changes as it deems necessary.

3.19.20 QA CONTRACTOR M&O RESPONSIBILITIES

The QA Contractor will monitor all aspects of the Stabilization M&O phase and ensure that reported problems are classified correctly and are addressed according to specified standards. The QA Contractor will verify that support is provided by the DDI Contractor for the following:

- a. Adequate Help Desk procedures and sufficient staffing to meet the specified performance standards for the Help Desk
- b. System performance monitoring and tuning
- c. Database administration
- d. Application system maintenance
- e. Delivery and roll out of scheduled releases/versions

SECTION 4: PROPOSAL FORMAT AND INSTRUCTIONS

4.0 PROPOSAL REQUIREMENTS

Proposals must meet all requirements as specified in this RFP. Proposals must incorporate the specified structure and format; must be clear, detailed, and complete as to fully demonstrate that the prospective Contractor has a thorough understanding of the requirements for providing the services for this procurement. Statements that the Contractor understands, acknowledges, or can comply with the requirements/specifications and statements paraphrasing the specifications are considered inadequate as are phrases such as “industry standards will be adhered to” and/or “standard procedures will be implemented”, or “research-based models will be used”. Proposals must clearly and adequately describe the concepts and methodologies to be implemented by the Contractor. Information must be clear, succinct, and easily understandable.

4.1 COMPLETENESS OF PROPOSALS

Selection(s) and award(s) will be based on the Contractor’s proposal and other items described in this RFP. Proposals should not include references to information located elsewhere, such as Internet websites. Information or materials presented by Contractors outside the formal response or subsequent discussion/negotiation or “best and final offer,” if requested, will not be considered, will have no bearing on any award, and may result in the Contractor being disqualified from further consideration.

4.2 PROPOSAL FORMAT

Proposals must not exceed **two hundred (200) pages**, including attachments and must be single-spaced, incorporating 1-inch margins, typed using Times New Roman (font), size 12, black print. Proposals must be printed/copied onto one side of standard (8½ x 11) white typing/copier paper. *Paragraphs must be double-spaced.* All proposals (the original and copies) must include labeled tabs that correspond with the bolded sections and subsections (titles and numbers) to which the information pertains as specified in Section 4 of this document. ***Do not use adhesive tabs (on pages of the proposal), tabs with paper inserts, sheet protectors, rings or prong fasteners.*** Contractors should avoid the use of elaborate presentations and binding materials beyond that which is sufficient to present complete and effective proposals. **Proposals that do not adhere to the specified format may be deemed non-responsive.**

4.2.1 COVER SHEET

The first page of each proposal must be the completed **Cover Sheet** (RFP cover sheet) with an original ink signature of the person(s) legally authorized to bind the Contractor to the proposal. **Proposals without signatures of persons legally authorized to bind the Contractor to the proposal will be rejected.** The cover sheet must also include the name of the contact person and contact information of the person authorized to act on behalf of the Contractor (do not number this page). Contractors must also provide their federal employer identification number and DUNS number. Also, denote the original proposal and copies by placing a check in the appropriate box on the cover sheet.

4.2.2 TABLE OF CONTENTS

The Cover Sheet should be followed by the “**Table of Contents**”, which should list all sections, subsections and page numbers. Numbering of the proposal pages should begin with page 1 of the Table of Contents. Page numbers should be placed in the right corner of the bottom margin.

4.2.3 W-9 AND THE LEGAL STATUS LETTER/CP575 OR TAXPAYER IDENTIFICATION NUMBER

The Table of Contents must be followed by a copy of W-9 and the **Legal Status Letter** or a **CP575**. *These forms are issued by the IRS and denote an organization's legal status (i.e., non-profit, for-profit, corporation, etc.) and include the Federal Employee Identification Number (FEIN).* If neither the Legal Status Form nor the CP575 are available, a completed and signed copy of the **“Request for Taxpayer Identification Number”** form (*Appendix B*) must be included. All items on this form must be completed.

4.2.4 LICENSES / CERTIFICATES / CREDENTIALS

The W-9 and Legal Status Form or Request for Taxpayer Identification Number Form should be followed by a copy of all required **Licenses, Certificates, and Credentials** or a copy of a completed license application form submitted by the deadline specified in this RFP.

4.2.5 TECHNICAL PROPOSAL

Copies of Licenses/Certificates/Credentials, if applicable should be followed by the **Technical Proposal**. The Technical Proposal must prescribe to sections **4.2.5.1** through **4.2.5.4.6** below.

4.2.5.1 CONTRACTOR QUALIFYING INFORMATION

4.2.5.1.1 Contractor Profile and Experience

Contractor must specify how long it has been in the business of providing services similar to those requested in this RFP and under what company name. Also list all names it has used when conducting business. Contractors must explain their expertise or history in the provision of such services or identify a nationally recognized model that has proven to be successful that will be used in the provision of services under this RFP. Contractors must provide an organizational profile including number of employees, and form of business (e.g. individual, sole proprietor, corporation, non-profit corporation, limited liability company.).

The State is only interested in a Contractor that has substantial experience providing QA services relevant to a SNAP/ TANF joint information systems project. In totality, the Contractor's experience, combined with that of any subcontractor(s), must demonstrate the capability to successfully meet the requirements of this RFP. Therefore, the Contractor's proposal must highlight its corporate capabilities, organizational structure, financial stability, and previous experience related to the requirements of this RFP. The Contractor must meet the following minimum requirements:

- Five (5) years' experience providing Quality Assurance services for government information systems project(s)
- Five (5) years' experience working on Quality Assurance for case management software
- Five (5) years' experience providing Quality Assurance for web-enabled applications using relational database management systems
- Five (5) years' experience providing Quality Assurance for the design, development, and implementation of systems of similar size, scope, and complexity
- Three (3) years' experience providing Quality Assurance for the information system development/ implementation for health and human services organizations
- One (1) successfully completed project providing QA services for a SNAP/ TANF information system implementation, which is similarly designed, implemented and operational in another state (preferred)

The Contractor's responses must include the following:

- Date the firm was established and ownership model
- List of all names the company has used when conducting business, currently and in the past
- List of any mergers, acquisitions, or sales of the company in the last ten (10) years
- Description of the company's client base
- Organizational and decision-making chart, relative to the STIS QA project
- Prior and current litigation and/or formal administrative protests or actions for the most recent ten (10) years; include instances such as notices of default, unsatisfactory performance, etc., involving State or Federal government and private companies related to the quality or performance of any information systems or related systems for any local, county, State or Federal government agency, public or private association, or private organization.
- A list of governmental or commercial clients for whom the Contractor has provided similar services. The governmental agencies should include the name of the agency, the state, a state contact with email address and phone number, and the system that was implemented.
- The Contractor will provide references from a minimum of three current or recent state government clients who can speak to the Contractor's capabilities and qualifications. At least two (2) of the references must have worked with the Contractor on a state-level information system project similar in size and scope to the STIS project. For each reference, the Contractor must provide: company/agency name of the reference; location where the services were performed (city, state); primary and secondary contact name, title, telephone number, and e-mail address; a brief description of the project; description of the Contractor's role in the project; and the start and end date of each project.

4.2.5.1.2 *Past and Present Contractual Relationships with the Department*

Contractors must describe any past or present contractual relationship it may have or have had with the Department or any other state agency including colleges/universities during the past three (3) years. If the Contractor, its predecessor, or any party named in their responses to this section has contracted with any department within State Government during the past three (3) years, identify the contract number and other information available to identify such contract(s). If no such contracts exist, so declare. If any party named in the Contractor's response to this RFP was an employee of the State in the past two (2) years, identify the individual(s) by name, agency by which employed, job title of position held, and separation date during the two-year period. If no such relationship exists, so declare.

4.2.5.1.3 *Contract Performance*

If the Contractor, or any proposed Subcontractor, has had a contract terminated for default during the past five (5) years, all such instances must be described as discussed below. Termination for default is defined as notice to stop performance delivery due to the Contractor's nonperformance or poor performance and the issue was either (a) not litigated due to inaction on the part of the Contractor; or (b) litigated and such litigation determined the Contractor to be in default. Submit full details of all terminations for default experienced by the Contractor during the past five (5) years, including the other party's name, address, and telephone number. Present the Contractor's position on the matter. The Department will evaluate the facts and may, at its sole discretion, reject the Contractor's Proposal if the facts discovered indicate that completion of a contract resulting from this RFP may be jeopardized by selection of the Contractor. If the Contractor has experienced no such terminations for default in the past five (5) years, so declare. If at any time during the past five (5) years, the Contractor has had a contract terminated for convenience, non-allocation of funds, or any other reason, which termination occurred before completion of all obligations under the initial contract provisions, describe

fully all such terminations including the name and address of the other contracting party and the circumstances surrounding the termination. If no such early terminations have occurred, so declare.

Failure to report on the foregoing or if the information furnished is determined to be inaccurate, whether by omission or commission, shall result in rejection of the Contractor's Proposal.

No points will be assigned to proposals submitted by new or current Contractors who have performed their contractual obligations satisfactorily. **However, current Contractors who have performed unsatisfactorily may experience point deductions up to a maximum of 10 points.**

Note: The Department reserves the right to not enter into a new contract with a current Contractor who is under a corrective action plan until all corrective requirements have been met.

4.2.5.1.4 Project Staff/Resumes/Job Descriptions

Contractors must submit a resume or job description detailing the level of education, experience, training, skills, etc. which emphasizes previous experience in the service area as described in this RFP for all key personnel who will be involved with the proposed project. Contractors must indicate that they have sufficient staff to perform the services required in this RFP. If sufficient staff is not currently available, describe how staff will be obtained to provide the services and the timeline for obtaining the needed staff. Indicate the number of anticipated staff for each position title. List all professional licenses held by the key staff.

4.2.5.1.5 Staff Performance Evaluations and Training

Contractors must describe their staff development program regarding orientation, on-going staff evaluation and training that will be implemented throughout the contract period to ensure delivery of effective services that adhere to the Department's required performance standards.

4.2.5.1.6 Background Checks

Describe in detail the steps the Contractor will take to ensure that no employee, regardless of their position, has been the subject of any incident or investigation which would call into question the propriety of that employee's working with the population indicated in this document and for this project. Describe your organization's general procedure for addressing occurrences when an incident or allegation is reported, founded or unfounded.

4.2.5.2 CONTRACTOR FINANCIAL STABILITY

Contractors must submit an audited financial statement for year 2020 and letters from the auditor(s) who performed the 2019 and 2018 financial audits. Contractors of newly formed organizations, who have been in business less than one (1) year must submit copies of any official quarterly financial statements (from a financial institution) that have been prepared since the end of the period reported by your most recent annual report.

4.2.5.3 METHOD OF PROVIDING SERVICES

4.2.5.3.1 Service Delivery Approach

Contractors must provide a detailed description of the work plan and the methods to be used that will convincingly demonstrate to the Department what the Contractor intends to do, the timeframes necessary to accomplish the work, and how the work will be accomplished. Contractors must identify the counties/regions to be served by the proposed project. *All services as specified in Section 3: Scope of Project must be addressed in the Service Delivery Approach.*

4.2.5.3.2 Start-up Plan

Contractors must include a detailed project schedule that is comprised of the detailed work plan for the entire project. This section should also include any proposed additions to the tasks outlined in the *Section 3: Scope of Work*. ***The selected Contractor must be fully operational on November 1, 2022.***

4.2.5.3.3 *Assessment of Benefits and Impact*

Describe the process that will be used to assess the proposed services to determine if the expected benefits and their impact have occurred. Include on-going plans to continuously assess and modify services to better meet the needs of the target population. The assessment methodology should provide the Department with meaningful indicators that funded projects are making satisfactory progress toward desired goals.

4.2.5.3.4 *Office Location*

Contractors must provide the physical address where records will be maintained and services will be performed under a contract with the Department in the event the Contractor is selected.

4.2.5.4 CONTRACTOR CERTIFICATIONS

Contractors must submit a statement attesting that they warrant and represent to the Department that the Contractor accepts and agrees with all certifications and terms and conditions of this RFP. Further, by submitting a response to this RFP, the Contractor certifies to the Department that they are legally authorized to conduct business within the State of Alabama and to carry out the services described in this document.

4.2.5.4.1 *Revolving Door Policy*

Contractors must attest that neither the Contractor nor any of the Contractor's trustees, officers, directors, agents, servants or employees is a current employee of the Department, and none of the said individuals have been employees of the Department in violation of the revolving door prohibitions contained in the state of Alabama ethics laws.

4.2.5.4.2 *Debarment*

Contractors must attest that neither the Contractor nor any of the Contractor's trustees, officers, directors, agents, servants or employees (whether paid or voluntary) is debarred or suspended or otherwise excluded from or ineligible for participation in federal assistance programs under Executive Order 12549, "Debarment and Suspension."

4.2.5.4.3 *Open Trade*

The Contractor must attest that it is not currently engaged in and will not engage in, the boycott of a person or an entity based in or doing business with a jurisdiction with which this state can enjoy open trade.

4.2.5.4.4 *Standard Contract*

The Contractor must agree to the use of the Department's standard contract document. The Contractor will further comply with all the terms and conditions of that document, including, but not limited to, compliance with the Title VI of the Civil Rights Act of 1964, the Rehabilitation Act of 1973, as amended, the Americans with Disabilities Act, Alabama Act No. 2000-775 (governing individuals in direct service positions who have unsupervised access to children), the Health Insurance Portability and Accountability Act of 1996 (HIPAA) as applicable, and all other federal and state laws, rules and regulations applicable to receiving funds from the Department to carry out the services described in this RFP. Further, any contract executed pursuant to the RFP must be subject to review by the Department's legal counsel as to its legality of form and compliance with State contract laws, terms and conditions, and may further be subject to review by the Examiners of Public Accounts, the State Finance Director and the Office of the Governor.

4.2.5.4.5 *Charitable Choice (applies to faith-based organizations only)*

The Contractor must attest that funds received as a result of this procurement will not be used for sectarian instruction, worship, proselytizing or for any other purely religious activities that are not directed toward the secular social goals related to the services described in this RFP. The Contractor must agree to serve all eligible members of the public without regard to their religious beliefs and, further, must not require clients' active participation in any religious practice. (In carrying out the said services, the Contractor will remain independent from federal, state and local governments; will retain control over the expression of its religious beliefs, and is NOT required to remove its religious writings or symbols or to alter its internal governance as a condition of doing business with the Department.)

4.2.5.4.6 Financial Accounting

Contractors must agree that the Contractor's accounting system will be consistent with General Accepted Governmental Accounting Principles (GAAP). The Contractor must maintain sufficient financial accounting records documenting all funding sources and applicable expenditure of all funds from all sources.

4.2.5.4.7 Contractor Work Product

The Contractor must attest that the proposal submitted in response to this document is the work product of said Contractor. If the proposal is determined not to be the work product of the Contractor, the proposal may, at the Department's sole discretion, be rejected.

4.2.5.5 ATTACHMENTS

Contractors must include all applicable forms identified below as attachments (i.e., Attachment A, B, C, etc.), applicable forms must follow the Technical Proposal. **DO NOT ALTER ANY OF THE FORMS LISTED BELOW OR OTHERWISE INCLUDED/REQUIRED IN THIS DOCUMENT.**

4.2.5.5.1 Disclosure Statement

The Technical Proposal must be followed by a completed copy of the **Disclosure Statement**.

4.2.5.5.2 Trade Secret Affidavit

The Disclosure Statement must be followed by a completed copy of the **Trade Secret Affidavit** (*Appendix C*), if applicable.

4.2.5.5.3 Certificate of Compliance

The Trade Secret Affidavit must be followed by a completed copy of the **Certificate of Compliance** (*Appendix D*). **All proposals must include the Certificate of Compliance.**

4.2.5.5.4 E-verify Memorandum of Understanding (MOU)

The Certificate of Compliance must be followed by a copy of the **E-verify MOU**. **All proposals must include the E-verify MOU.**

4.2.5.5.5 Immigration Status Form

The E-verify MOU must be followed by a copy of the **Immigration Status Form**. **All proposals must include the Immigration Status Form.** (*Appendix E*)

SECTION 5: COST PROPOSAL

5.0 COST PROPOSAL

The State will only accept firm and fixed cost bids for this Project. The Contractor should provide a firm fixed price for the projected three (3) year term of the contract as well as two (2) option years. Contractors must submit a budget detailing all expenditures for the proposed services. The budget information must be compiled in the manner specified in Appendix F: Contractor Cost Proposal. A narrative description of each budget line item and the responsibilities of all personnel must be submitted as a part of the Appendix F submission. Contractors must submit five (5) annual budgets for the following periods: 1) Year 1 for *October 01, 2022* through *September 30, 2023*; and 2) Year 2 for *October 01, 2023* through *September 30, 2024*, 3.) Year 3 for *October 01, 2024* through *September 30, 2025*. 4.) Year 4 for *October 01, 2025* through *September 30, 2026*. 5.) Year 5 for *October 01, 2026* through *September 30, 2027*.

Unless identified otherwise by the State in this RFP, prices quoted shall apply for the duration of the Contract executed as a result of this RFP.

5.1 METHOD OF PAYMENT

Payment for services provided pursuant to this procurement will be made on a firm fixed price basis. The Department does not provide cash advances to Contractors. The selected Contractor must submit invoices for completed Payment Milestones after all associated deliverables have been approved by the State.

5.2 HOLDBACKS AND PRICING INFORMATION

As a guarantee for the delivery of services required by this RFP, and the acceptance by the Department of those services in accordance with the specifications set forth in the RFP, in the event the Contractor fails to deliver or perform the said services to the Department's satisfaction, the Department reserves the right to withhold part or all of any funds committed by the Department under any contract that may result from a proposal submitted in response to this RFP and to cancel the said contract without any resulting liability, present and future, to the Department or to the State of Alabama.

5.3 PROFESSIONAL SERVICES PRICING

Part II of the Contractor pricing sheet found in Appendix F: Contractor Cost Proposal contains the hourly rate pricing that would be charged to the State for professional services not specifically addressed as being a part of the scope of this RFP. A per hour price should be provided for each labor category/position contained in the pricing table, and any other labor category not included within the table but utilized by the Contractor.

5.4 PAYMENT TERMS AND CONDITIONS

5.4.1 MAXIMUM LIABILITY

In no event shall the maximum liability of the State under this Contract exceed the total firm fixed price amount provided by Contractor in its Cost Proposal. This Contract does not grant the Contractor any exclusive rights. The State does not guarantee that it will buy any minimum quantity of goods or services under this Contract. Subject to the terms and conditions of this Contract, the Contractor will only be paid for goods or services provided under this Contract after a purchase order is issued to Contractor by the State or as otherwise specified by this Contract.

5.4.2 COMPENSATION FIRM

The payment terms and conditions of this Contract shall constitute the entire compensation due the Contractor for all goods or services provided under this Contract regardless of the difficulty, materials or equipment required. The payment methodology includes all applicable taxes, fees, overhead, and all other direct and indirect costs incurred or to be incurred by the Contractor.

SECTION 6: EVALUATION CRITERIA

6.0 EVALUATION SCORING

The purpose of this section is to provide a description of the evaluation process and the criteria that will be used in the selection of a Contractor. All Proposals received by the closing deadline will be evaluated according to the criteria herein. The evaluation committee will review and evaluate the proposals according to the following criteria based on a **maximum possible value of 1,000 points**. Proposals failing to meet the requirements of this RFP may be deemed non-responsive or subject to point deductions. The evaluation process is structured to ensure selection of the most effective proposal for the QA services described in this RFP.

The evaluation team will be composed of representatives from the Food Assistance Division, Family Assistance Division, and Information Services Division within ALDHR.

In the overall scoring scheme that will be used by the State, the Contractor’s technical response will account for 80% (800 possible points) of the total score and cost will account for 20% (200 possible points) of the overall total score.

Table 3 – Proposal Evaluation Criteria

Category		RFP Section	Point Value
Contractor Qualifying Information		40% of points for a possible 400 points	
A.	Contractor Profile and Experience	4.2.5.1.1	275
B.	Past and Present Contractual Relationships with the Department	4.2.5.1.2	0
C.	Contract Performance	4.2.5.1.3	<i>To be Determined</i>
D.	Project Staff/Resumes/Job Descriptions	4.2.5.1.4	50
E.	Staff Performance Evaluations and Training	4.2.5.1.5	50
F.	Background Checks	4.2.5.1.6	0
G.	Contractor Financial Stability	4.2.5.2	25
Method of Providing Services		40% of points for a possible 400 points	
A.	Service Delivery Approach	4.2.5.3.1	300
B.	Start-up Plan	4.2.5.3.2	50
C.	Assessment of Benefits and Impact	4.2.5.3.3	50
D.	Office Location	4.2.5.3.4	0
E.	Contractor Certifications	4.2.5.4	0
Cost Proposal		20% of points for a possible 200 points	
A.	Cost Proposal	5.0	200

6.1 OPPORTUNITY FOR ADDITIONAL INFORMATION

The State reserves the right to contact any Contractor submitting a proposal for the purpose of clarifying issues in that Contractor’s proposal. Contractors should clearly designate in their proposal a point-of-contact for questions or issues that arise in the State’s review of a Contractor’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.”

Contractors whose proposals are determined “reasonably likely to award” may also be required to make an oral presentation at DHR headquarters in Montgomery, AL, to clarify their RFP response or to further define their offer. Oral presentations, if requested, shall be at the Contractor’s expense. The State’s intent regarding the oral presentation is to gauge the suitability of proposed project staff and to evaluate the merit of the Contractor’s product and approach. To that end, the State requires that the key project staff identified by the Contractor in its proposal facilitate and direct the oral presentation. For the purposes of this oral presentation, the key staff positions include the QA Project Manager, Business Analyst Subject Matter QA Specialist, and the Testing QA Specialist.

SECTION 7: DEFINITIONS

TERM / ACRONYM	DEFINITION
A-RESET (Alabama Resources for Enrichment, Self-Sufficiency and Employability Training)	Alabama’s Food Assistance (SNAP) Employment and Training Program
ACFC (Aid to Children in Foster Care)	Aid to Children in Foster Care
ABAWD (Able-Bodied Adult Without Dependents)	Able-bodied adults from ages of 18 through 49 without dependents
ACRR (Alabama Case Record Review)	DHR’s system for selecting and tracking quality control cases for SNAP review
ADDI (Alabama DHR Document Imaging)	Food Assistance Virtual filing system, where files are scanned and/or uploaded from OACIS
AE (Agency Error)	An case error caused by the agency
ALDHR (Alabama Department of Human Resources)	Alabama’s Agency which administers Health & Human Services Programs
AESAP (Alabama Elderly Simplified Application Project)	Project administered for households containing all members 60 and over, with no earned income.
AFDC, ADC (Obsolete Acronyms for Family Assistance)	Formerly Aid to Families with Dependent Children – Currently TANF (Temporary Assistance to Needy Families)
A-FILE (Alien File)	The history file containing all data and documentation pertaining to an individual alien.
AGR (Alternate Grantee Relative)	An individual designated to receive payments on behalf of a person who is ineligible to receive benefits directly due to past disqualification or incapacity.
A-Number (Alien Registration Number)	Number assigned to aliens admitted into the United States issued by Immigration and Naturalization Services
APM (Assistance Payment Manual)	Family Assistance’s Policy Manual
APTD (Aid to the Permanently and Totally Disabled)	The category (‘D’) of Supplementation assistance for needy persons who are under age 65 and permanently totally disabled.
AU (Assistance Unit)	Family Unit for TANF purposes
BENDEX (Beneficiary Data Exchange)	Electronic information exchange between Social Security records and the Department’s client records,
CCS (Comprehensive Claims System)	Mainframe system in which claims are registered and managed
CEMP (Community Employment Program)	As part of the JOBS program participants, receive on valuable work experience working temporarily with community partners, in hopes of becoming employed permanently by the partner or other employer.
CFR (Code of Federal Regulations)	The official legal print publication containing the codification of the general and permanent rules published in the Federal Register by the departments and agencies of the Federal Government. Electronic Code of Federal Regulations (eCFR)
COLA (Cost of Living Adjustment)	A change in compensation or benefits based on the rate of inflation as demonstrated by the U. S. Consumer Price Index
CS (Child Support)	Income paid under a court order by or on behalf of non-custodial parents to meet their legal responsibility to provide for their children’s needs.
CSR (Customer Service Representative)	Customer service representatives interact with clients on behalf of an organization, by responding to questions / complaints and providing information.

TERM / ACRONYM	DEFINITION
DHHS (Department of Health and Human Services)	The federal cabinet-level organization which administers public assistance and public health programs; It's purpose is to protect the health of all Americans and provide essential human services.
DHR (Department of Human Resources)	Alabama's state cabinet-level organization which administers public assistance and public health programs.
DMU (Data Management Unit)	The administrative staff responsible for application registration.
DOB (Date of Birth)	The date on which a person was born MM/DD/YYYY
DQ (Disqualification)	The penalty of ineligibility for assistance for noncompliance with JOBS, child support cooperation requirements and SNAP work registration requirements for intentional program violation.
DSNAP (Disaster Supplemental Nutrition Assistance Program)	Disaster Supplemental Nutrition Assistance Program operated due to a disaster. Formerly Food Stamps
E&T (Employment and Training)	The provision of services and payments for certain work-related expenses aimed at preparing SNAP recipients to gain and retain employment.
EA (Emergency Allotment (Pandemic Supplemental Benefits))	Supplemental benefits awarded during a disaster such as during a Pandemic.
EBT (Electronic Benefit Transfer)	A benefit delivery system whereby Family Assistance and Food Assistance benefits are electronically issued to recipients through Point-of-Sale equipment at authorized retailers and at Automated Teller Machines (FA only) using plastic cards and Personal Identification Numbers (PIN)
EBTANS (Electronic Benefit Transfer and Numbering System) (TANF & SNAP)	State system used to assign new EBT account numbers and maintain a list of EBT account numbers of all EBT clients. Assigning accounts at the State level helps to ensure that clients have only one EBT account regardless of the number of benefits received.
eDRS (Electronic Disqualification Recipient System)	Federal data base which records and maintains IPV disqualifications
ERD (Electronic Reports Distribution)	An online viewing and storage system for Department Reports.
EIC (Earned Income Credit)	Obsolete term currently known as EITC
EITC (Earned Income Tax Credit)	Earned Income Tax Credit, a refundable tax credit for low income working parents that can be used to reduce their tax debt or increase their tax refund and is disregarded
EW (Eligibility Worker)	The employee of the County Department of Human Resources who is responsible for determining whether an individual or family meets specific requirements to receive assistance.
Enumeration	The procedure by which the Social Security Administration (SSA) verifies social security numbers (SSNs) of public assistance applicants/recipients in cooperation with the Department.
FA (Family Assistance, Public Assistance TANF)	Currently known as TANF
FA (Food Assistance)	Currently known as SNAP
FACETS (Family Assistance and Comprehensive Employment & Training System)	Family Assistance and Comprehensive Employment and Training System which supports public assistance and JOBS and Food Stamps previously in Clark, Limestone and Madison Counties
FBR (Federal Benefit Rate)	SSI benefit levels
FCMP (Foster Care Maintenance Payments)	Foster Care Maintenance Payments

TERM / ACRONYM	DEFINITION
FCO (File Control Office)	An INS field office where Alien Files are maintained
FCUM (FACETS Certification User Manual)	FACETS Certification User Manual
FNS (Food and Nutrition Services)	This agency increases food security and reduces hunger in partnership with cooperating organizations by providing children and low-income people access to food, a healthy diet, and nutrition education in a manner that supports American agriculture
FS (Formerly Food Stamps, also known as FA - Food Assistance)	Food Stamps benefits are currently called SNAP – Supplemental Nutrition Assistance Program
FTI (Federal Tax Information)	Individual tax information received by IRS which must be secured, cannot be copied, scanned, etc. without special authorization and security.
FY (Fiscal Year (Oct 1 – Sept 30))	Alabama operates under the same fiscal year as the federal government rather than the calendar year
GR (Grantee Relative)	A parent or other capable relative in the home of an eligible child who is responsible for providing parental guidance and control.
HH (Household)	Describes a unit who are included in the Food Assistance budget
HSD (Homeless Shelter Deduction)	A standard shelter deduction for a homeless household
IA (Illegal Alien)	A non-citizen not legal admitted into the US; therefore isn't eligible for Food Assistance benefits
ICE (Immigration and Customs Enforcement (US))	Protect America from the cross-border crime and illegal immigration that threaten national security and public safety
ID (Identification)	Proof or evidence of identity
IEVS (Income Eligibility Verification System)	A federally mandated process of sharing program information between certain State and Federal agencies.
IHE (Intentional Household Error)	Any claim for an overpayment resulting from a misunderstanding or unintended error on the part of the household
INS (Immigration and Naturalization Service)	That branch of the federal government which maintains information and records to indicate citizenship and alienage
IRCA (Immigration Reform and Control Act of 1986)	Legislation passed to deter illegal immigration to the U.S. using employer sanctions and status verification, and to allow legalization of specific groups of aliens.
IR (Interim Report)	A redetermination of eligibility which does not require a face-to-face interview and may be used for AESAP cases for two consecutive years between interviews every third year. This term can also be used to substitute for a Semi-Annual Report for Six Month Reporting households
IR (Interim Review)	A redetermination of eligibility which does not require a face-to-face interview and may be used for child-only cases for two consecutive years between face-to-face reviews completed every third year
IPV (Intentional Program Violation)	Any claim for an overpayment or trafficking resulting from the household and/or its representative making false or misleading statements, or misrepresenting, concealing or withholding facts or committing any act that constitutes a violation of the Food Stamp Act, the Food Stamp Program Regulations, or any State statute for the purpose of using, presenting, transferring, acquiring, receiving, possessing or trafficking of SNAP benefits or EBT cards.
IRS (Internal Revenue Service)	A bureau of the Department of the Treasury which administers federal tax laws. The IRS role is to help the large majority of

TERM / ACRONYM	DEFINITION
	compliant taxpayers with the tax law, while ensuring that the minority who are unwilling to comply pay their fair share.
ISV (Immigration Status Verifier)	An INS employee who performs secondary verification duties at local File Control Offices.
IWO (Income Withholding Order)	An order directing an employer or other payor of funds to withhold money from the income due to an individual, such as for child support
JOBS (Job Opportunities and Basic Skills)	The provision of services and payments for certain work-related expenses aimed at preparing FA recipients to gain and retain unsubsidized employment administered by the JOBS Program Operations Office in the Family Assistance Division.
JTPA (Job Training Partnership Act (currently WIOA))	The Job Training Partnership Act of 1982 was a United States federal law passed October 13, 1982, by Congress with regulations promulgated by the United States Department of Labor during the Ronald Reagan administration. The law was the successor to the previous federal job training legislation, the Comprehensive Employment and Training Act. It was repealed by the Workforce Investment Act of 1998.
LIHEAP (Low Income Home Energy Assistance Program)	The Low Income Home Energy Assistance Program is a United States federal social services program first established in 1981 and funded annually through Congressional appropriations. The mission of LIHEAP is to assist low income households, particularly those with the lowest incomes that pay a high proportion of household income for home energy, primarily in meeting their immediate home energy needs. The program, part of the United States Department of Health and Human Services, is funded by grants appropriated from the federal government.
M.E. (Management Evaluation)	Review conducted by States at the project area level to determine if State agencies are administering and operating SNAP in accordance with program requirements.
NAC (National Accuracy Clearinghouse)	Data base used to identify SNAP and applications/participants who may be receiving benefits from multiple states and alert state when a duplicate is discovered in order to eliminate duplicate participation, errors and claims. NAC is only available in Alabama, Florida, Georgia, Louisiana, Mississippi and Missouri
NC (Non-Compliant with JOBS/Non-Cooperative with Child Support)	Failure of a TANF recipient/applicant to comply with JOBS or Child Support activities
NCP (Non-Custodial Parent (Child Support))	Parent who does not have custody child(ren)
NDNH (National Directory of New Hire)	A national repository of employment, unemployment insurance, and quarterly wage information.
NDS (Non-Discrimination Statement)	In accordance with Federal Civil Rights law and U.S. Department of Agriculture (USDA) Civil Rights regulations and policies, the USDA, its agencies, offices, and employees, and institutions participating in or administering USDA programs are prohibited from discriminating based on race, color, national origin, religion, sex, gender identity (including gender expression), sexual orientation, disability, age, marital status, family/parental status, income derived from a public assistance program, political beliefs, or reprisal or retaliation for prior credible activity, in any program or activity conducted or funded by USDA
NOA (Notice of Action)	Notice to a house explaining an action taken or to be taken

TERM / ACRONYM	DEFINITION
NOAA (Notice of Adverse Action)	10 day notice to a household explain a change in
NOMI/NOMA (Notice of Missed Interview/Appointment)	SNAP notice sent when applicant misses appointment for interview.
NVRA (National Voter Rights Act)	NVRA sets forth certain voter registration requirements with respect to elections for federal office. Section 5 of the NVRA requires that States offer voter registration opportunities at State motor vehicle agencies.
OACIS (Online Application and Case Information System)	Tool used to interview and process an applications and changes and record case documentation for Food Assistance.
OCSE (Office of Child Support Enforcement)	Office assures that support (both financial and medical) is available to children through locating parents, establishing paternity, identifying support ...
OSI (Out of State Inquiry)	Request for information regarding a case or resident of a state received from a non-local agency.
OTI (Out of Town Inquiry)	Request for information regarding a case or resident of a county received from a non-local agency.
P&P (Purchase & Prepare)	Documentation used to state that household members purchase and prepare food and meals separately from others living in the same house
PA (Public Assistance)	Obsolete name for Family Assistance
PE (Prospective Eligibility)	Term used to document that a house is anticipated to be eligible for benefits
PIN # (Personal Identification Number)	Four-digit number used with the EBT card to purchase food with SNAP benefits and other items with TANF benefits.
PIT (Putting It Together for Those who Need Us Pamphlet)	Pamphlet produced by
POE (Points of Eligibility)	Food Assistance Policy Manual
PII (Personally Identifiable Information)	Any representation of information that permits the identity of an individual to whom the information applies to be reasonably inferred by either direct or indirect means.
PRWORA (Personal Responsibility and Work Opportunity Reconciliation Act)	United States federal law passed by the 104th United States Congress and signed into law by President Bill Clinton. The bill implemented major changes to U.S. social welfare policy, replacing the Aid to Families with Dependent Children program with the Temporary Assistance for Needy Families program.
PPP (Prudent Person Principle)	A guideline for making financial decisions using the principles of common sense and reasonable risk.
PRUCOL (Permanently Residing in US under color of law)	An immigration-related status used under some US federal and state laws for determining eligibility for some public benefits, an example being unemployment benefits
PS (SNAP) (Processing Standard)	Time period by which an application is due to be processed (Timely non-timely recertification, 30-day expedited)
PS (TANF) (Payment Standard)	The state department has developed a payment standard which varies by family size. This standard must be used in determining financial need in all cases. The standard is based on the amount of funds available and is used uniformly throughout the state. The countable income, if any, of the assistance unit is deducted from the standard to determine the entitlement amount of assistance.
QC (Quality Control)	The QC System measures the accuracy of state eligibility and benefit determinations. Data collected by quality control are also used for program improvement and analysis.

TERM / ACRONYM	DEFINITION
QMB (Qualified Medicare Beneficiary)	A catastrophic medical program for individuals eligible for the Medicare program
RR (Railroad Retirement)	Retirement benefit received from the SSA for Railroad retirees
RSDI (Retirement, Survivors, and Disability Insurance)	Retirement, Survivors and Disability Insurance, the federal program authorized under Title II of the Social Security Act and administered by the Social Security Administration (SSA) which provides protection in the form of monthly financial benefits to workers and their families to offset loss or stoppage of earnings resulting from retirement at age 62 or older, death or disability.
SAIL (Special Assessment, Intervention and Liaison Project)	The Special Assessment, Intervention and Liaison Project created to help victims of domestic violence for which the EW does screening
SAVE (Systematic Alien Verification for Entitlement)	System used to determine alien's entitlement to public benefits
SCI-II (State/County Integrated Systems for Certification and Issuance)	Mainframe system used to certify and issue Food Assistance benefits
SR / SAR (Six Month Report or Semi-Annual Report)	Interim report received during the fifth month of a 12- month certification reporting sixth month information and processed to determine and issue benefits for the 7 – 12 th month of a certification.
SDX (Electronic SSA/State Data Exchange)	Screen which displays SSI benefits
SNAP (Supplemental Nutrition Assistance Program (National Brand Name))	A federal program that provides food-purchasing assistance for low- and no-income people. It is a federal aid program, administered by the United States Department of Agriculture under the Food and Nutrition Service, though benefits are distributed by specific departments of U.S. states.
SOP (Standard of Promptness)	Number of days which a county department is allowed for completing a determination of eligibility and or other case actions
SOR (State Office Review)	A case review by State Family Assistance Division requested by a TANF applicant or recipient.
SSN or SS# (Social Security Number)	Social Security Number
SUA (Standard Utility Allowance)	A standard amount to be budgeted monthly for usual utility expenses which includes a heating or cooling component.
SUP (State Supplementation Payments)	State supplementation payments made to needy aged, blind and disabled persons to supplement SSI benefits and/or other income, if they would have received greater amounts of public assistance under former federal/state programs replaced by SSI
TAA (Trade Adjustment Assistance Act (formerly TRA))	Governs trade agreements between the United States and foreign countries. One of principal features of the Act is that it limits the U.S. Government procurement to US-made products or products made in designated countries.
TANF (Temporary Assistance for Needy Families)	Temporary Assistance for Needy Families
TNUM or T# (Temporary Number or T Number (Temporary SSN for SNAP & TANF))	A nine-character number assigned as a temporary Social Security number for a household member
UCB (Unemployment Compensation Benefit)	UC) program provides temporary income support if you lose your job or are working less than your full-time hours. Learn more about available benefits
USDA (United States Department of Agriculture)	Provided leadership on food, agriculture, natural resources, rural development, nutrition, and related issues based on public policy, the best available science, and effective management. (FNS is part of USDA)

TERM / ACRONYM	DEFINITION
VA (Veteran Administration)	That branch of the federal government dealing with affairs of ex-military persons. The VA operates hospitals, domiciliary homes, pays pensions and furnishes other related opportunities for training or college for certain veterans
WIOA (Workforce Innovations and Opportunities Act)	Act designed to help job seekers secure the employment, education, training and support services necessary to succeed in the labor market and to match employers with the skilled workers they need to compete in the global economy.
WR (Work Registration / Requirement)	Each household member who is not qualified for exemption must register and comply with the Employment & Training Programs as a condition of eligibility for Food Assistance
SIRT – System Integrity Review Tool	The tool reinforced by the 2008 farm Bill section 4121 that requires that projects for new IS system or projects involving significant enhancements to legacy systems be adequately tested by the state agency before implementation as a condition of continued FNS funding. The regulatory citations associated with review elements are to assist the reviewer in determining the proper functionality of the system design.

APPENDIX A: STANDARD TERMS AND CONDITIONS

By submitting a response to request for proposal or acceptance of a contract, the Contractor agrees to acceptance of the following Standard Terms and Conditions and any other provisions that are specific to this solicitation or contract.

ACCEPTANCE/REJECTION OF PROPOSALS: The Department reserves the right to accept or reject any or all proposals, wholly or in part, and to make awards in any manner deemed in the best interest of the Department. Proposals will be firm for 180 days, unless stated otherwise in the text of the request for proposal.

ACCESS AND RETENTION OF RECORDS: The Contractor agrees to provide the Department, Legislative Auditor, or authorized agents, access to any records necessary to determine contract compliance. The Contractor agrees to create and retain records supporting the services rendered or supplies delivered for a period of three (3) years after either the completion date of the contract or the conclusion of any claim, litigation, or exception relating to the contract taken by the Department or third party.

ALTERATION OF SOLICITATION DOCUMENT: In the event of inconsistencies or contradictions between language contained in the Department's solicitation document and a Contractor's response, the language contained in the Department's original solicitation document will prevail. Intentional manipulation and/or alteration of solicitation document language will result in the Contractor's disqualification and possible debarment.

ASSIGNMENT, TRANSFER AND SUBCONTRACTING: The Contractor shall not assign, transfer or subcontract any portion of the contract without the express written consent of the Department.

AUTHORITY: The following request for proposal, limited solicitation, or contract is issued under authority of Section 41-16-72 of the Alabama Code (Act 2001-956, 2001 3rd Sp. Sess., p 817, §1.)

CHARGE BACKS: The Alabama Department of Human Resources and Medicaid will deduct federal charge backs from future payments.

COMPLIANCE WITH LAWS: The Contractor must, in performance of work under the contract, fully comply with all applicable federal, department, or local laws, rules and regulations, including the Civil Rights Act of 1964, the Age Discrimination Act of 1975, the Americans with Disabilities Act of 1990, and Section 504 of the Rehabilitation Act of 1973. Any subletting or subcontracting by the Contractor subjects subcontractors to the same provision. The Contractor agrees that the hiring of persons to perform the contract will be made on the basis of merit and qualifications and there will be no discrimination based upon race, color, religion, creed, political ideas, sex, age, marital status, physical or mental disability, or national origin by the persons performing the contract.

DEBARMENT: The Contractor certifies, by submitting this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction (contract) by any governmental department or agency. If the Contractor cannot certify this statement, attach a written explanation for review by the Department.

DISABILITY ACCOMMODATIONS: The Department does not discriminate on the basis of disability in admission to, access to, or operations of its programs, services, or activities. Individuals, who need aids, alternative document formats, or services for effective communications or other disability-related

accommodations in the programs and services offered, are invited to make their needs and preferences known to this office. Interested parties should provide as much advance notice as possible.

FACSIMILE RESPONSES: Facsimile responses will not be accepted for proposals or limited solicitations.

FAILURE TO HONOR PROPOSAL: If a Contractor to whom a contract is awarded refuses to accept the award (contract) or, fails to deliver in accordance with the contract terms and conditions, the Department may, in its discretion, suspend the Contractor for a period of time from entering into any contracts with the Department.

FORCE MAJEURE: Neither party shall be responsible for failure to fulfill its obligations due to causes beyond its reasonable control, including without limitation, acts or omissions of government or military authority, acts of God, materials shortages, transportation delays, fires, floods, labor disturbances, riots, wars, terrorist acts, or any other causes, directly or indirectly beyond the reasonable control of the non-performing party, so long as such party is using its best efforts to remedy such failure or delays.

FOREIGN CORPORATIONS (OUT-OF-STATE FIRMS): Alabama law provides that a foreign corporation (out-of-state company/firm) may not transact business in the state until it obtains a certificate of authority from the Secretary of State, Section 10-2B-15.01, Code of Alabama 1975 <http://alisondb.legislature.state.al.us/alison/CodeOfAlabama/1975/Coatoc.htm> . To obtain form for a certificate of authority, contact the Secretary of State, Corporation Division, (334) 242-5324. Not having this certificate does not keep the Contractor from registering.

HOLD HARMLESS/INDEMNIFICATION: To the extent allowed by applicable Alabama law, the contractor will at all times indemnify and save harmless the Department against any and all liabilities, losses, damages, costs or expenses which the Department may hereafter sustain, incur, or be required or ordered to pay: (1) by reason of any persons to be served under this Agreement suffering a loss or damage either while participating in or receiving from the contractor the services to be provided hereunder or while on premises owned, leased, or operated by the contractor; or (2) by reason of any person suffering personal injury, death, or property loss or damage caused by any officer, agent, employee or volunteer of the contractor; or (3) by reason of any officer, agent, employee or volunteer of the contractor suffering personal injury, death, or property loss or damage; provided, however, that the provisions of this paragraph shall not apply to liabilities, losses, charges, costs, or expenses caused by or resulting from the acts or omissions of the Department or any of its officers, employees, agents or representatives.

Upon notice of any claim against the State for which Contractor has agreed to defend the State pursuant to Indemnification, the State will provide prompt notice of said claim to Contractor. The State will provide reasonable assistance in defense of claims. Any proposed settlement will be subject to review and approval by the State and the Attorney General of Alabama. The State will act promptly in reviewing and reaching a decision regarding approval/disapproval of any proposed settlement. All parties acknowledge that the Attorney General and Governor of the State of Alabama must approve any settlement of litigation involving the State.

IMMIGRATION CLAUSE: By signing this contract, the contracting parties affirm, for the duration of the agreement, that they will not violate federal immigration law or knowingly employ, hire for employment, or continue to employ an unauthorized alien within the State of Alabama and any location. Furthermore, a contracting party found to be in violation of this provision shall be deemed in breach of the agreement and shall be responsible for all damages resulting therefrom. Contractor shall participate in the E-Verify program and verify every employee that is required to be verified according to the applicable federal rules and regulations. Contractor shall provide documentation to the Department establishing that Contractor is enrolled in the E-Verify program. Said documentation must be received by the Department prior to the beginning date of this Agreement. Contractor

shall also complete and sign the Certificate of Compliance with the Beason-Hammon Alabama Taxpayer and Citizen Protection Act (ACT 2011-535, as amended by Act 2012-491).

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

MERIT SYSTEM EXCLUSION: Any Agreement does not create an employer-employee relationship with the Department or the State of Alabama and the Contractor's employees are not entitled to receive any employment benefits, including but not limited to benefits under the State of Alabama Merit System, from the Department or the State of Alabama.

NO-BOYCOTT: Contractor represents and warrants that it is not currently engaged in, and will not engage in, the boycott of a person or an entity based in or doing business with a jurisdiction with which this state can enjoy open trade.

REGISTRATION WITH THE PURCHASING DIVISION: Any business intending to transact business in Alabama must register with the Alabama Purchasing Division by completing the Contractor Disclosure Statement.

A copy of the Contractor Disclosure Statement can be downloaded from the Purchasing website at www.purchasing.alabama.gov.

SEVERABILITY CLAUSE: A declaration by any court, or any other binding legal source, that any provision of the contract is illegal and void shall not affect the legality and enforceability of any other provision of the contract, unless the provisions are mutually dependent.

SOLICITATION DOCUMENT EXAMINATION: Contractors must promptly notify the Department of any ambiguity, inconsistency, or error, which they may discover upon examination of a solicitation document.

TERMINATION OF CONTRACT: Unless otherwise stated, the Department may, by written notice to the Contractor, terminate the contract in whole or in part at any time the Contractor fails to perform the contract. Either party may terminate the Agreement for any reason by providing written notification by certified or registered mail, return receipt requested, thirty (30) days prior to the effective date of the said termination if the said party is unable or unwilling to fulfill its obligations, fiscal or otherwise. Said notification shall clearly state the reason(s) for the said termination.

The Agreement is subject to immediate termination with written notice made by first class mail concurrent with the said termination, which clearly states the reason(s) for the said termination, as follows:

- a) Either party may terminate the Agreement for noncompliance with any of its terms and conditions if such non-compliance is not cured within 30 days after receipt of written notice.
- b) The Department may terminate the Agreement in the event that funds should not be appropriated for the continued payment of the Agreement.
- c) The Department may terminate the Agreement in the event of the proration of the funds from which payment under the Agreement is to be made.

ALTERNATIVE DISPUTE RESOLUTION

For any and all disputes arising under the terms of any contract resulting from this procurement, Contractors hereto agree, in compliance with the recommendations of the Governor and Attorney General, when considering

settlement of such disputes, to utilize appropriate forms of non-binding alternative dispute resolution including but not limited to, mediation by and through the Attorney General's Office of Administrative hearings or where appropriate, private mediators. In the event of any dispute between the parties, senior officials of both parties shall meet and engage in a good faith attempt to resolve the dispute. Should that effort fail and the dispute involves the payment of money, a party's sole remedy is the filing of a claim with the Board of Adjustment of the State of Alabama. For any and all other disputes arising under the terms of this Agreement which are not resolved by negotiation, the parties agree to utilize appropriate forms of non-binding alternative dispute resolution including, but not limited to, mediation. Such dispute resolution shall occur in Montgomery, Alabama, utilizing where appropriate, mediators selected from the roster of mediators maintained by the Center for Dispute Resolution of the Alabama State Bar.

UNAVAILABILITY OF FUNDING: The Department, at its sole discretion, may terminate or reduce the scope of the contract if available funding is reduced for any reason.

U.S. FUNDS: All prices and payments must be in U.S. dollars.

APPENDIX B: TAXPAYER IDENTIFICATION NUMBER FORM

**STATE OF ALABAMA
REQUEST FOR TAXPAYER IDENTIFICATION NUMBER
STATE COMPTROLLER'S OFFICE**

INSTRUCTIONS. In order to receive payment by the State of Alabama, a correct tax identification number, name and address must be on our files. To insure that accurate tax information is reported on Form 1099 for federal income tax purposes, please:

1. In PART 1 below provide your Tax Identification Number and check FEIN or SSN. Also provide the name and address to which payments should be sent. In addition, provide the name of the legal signatory authority for your organization (the individual authorized in your Constitution and/or By-laws to legally obligate the organization, for example, sign a contract on behalf of the organization).
2. Circle the business designation that identifies your type of trade or business in PART 2.
3. Sign and return this form as part of the response to the RFP:

PART 1 – TAXPAYER IDENTIFICATION NUMBER, NAME AND ADDRESS.

IDENTIFICATION NUMBER _____

Check one _____ Federal Employer Identification Number (FEIN)
 _____ Social Security Number (SSN)

NAME OF ORGANIZATION: _____ **PHONE:** _____

LEGAL BUSINESS ADDRESS:

FAX: _____

EMAIL:

NAME & TITLE OF LEGAL SIGNATORY AUTHORITY:

PART 2 – BUSINESS DESIGNATION. Circle the designation that identifies your type of trade or business.

- 1 - CORPORATION, PROFESSIONAL ASSOCIATION OR PROFESSIONAL CORPORATION (A corporation formed under the laws of any state within the United States)
- 2 - NOT FOR PROFIT CORPORATION (Section 501 (c) (3))
- 3 - PARTNERSHIP, JOINT VENTURE, ESTATE OR TRUST
- 4 - SOLE PROPRIETORSHIP OR SELF-EMPLOYED (Identification number must be Social Security Number)
- 5 - NONCORPORATE RENTAL AGENT
- 6 - GOVERNMENTAL ENTITY (City, County, State or U.S. Government)
- 7 - FOREIGN CORPORATION OR FOREIGN NATIONAL OR OTHER FOREIGN ENTITY
(A corporation or other foreign entity formed under the laws of a country other than the United States or an individual temporarily in the United States who pays taxes as a citizen of a country other than the United States.)

NOTE: Failure to complete and return this form may subject you to backup withholding in the amount of 20% of future payments pursuant to Section 3406, Internal Revenue Code.

UNDER PENALTIES OF PERJURY, I DECLARE THAT I HAVE EXAMINED THIS REQUEST AND TO THE BEST OF MY KNOWLEDGE AND BELIEF, IT IS TRUE, CORRECT AND COMPLETE.

SIGNATURE

DATE

TELEPHONE NUMBER
(If different from above)

TITLE

PLEASE INCLUDE FEDERAL IDENTIFICATION NUMBER ON ALL INVOICES

APPENDIX C: TRADE SECRET AFFIDAVIT

Alabama Department of Human Resources

AFFIDAVIT FOR TRADE SECRET CONFIDENTIALITY

DEPARTMENT OF _____)

)ss.

County of _____)

_____ (Affiant), being first duly sworn under oath, and representing
_____ (hereafter "Vendor"), hereby deposes and says that:

1. I am an attorney licensed to practice in the State of _____, representing the Vendor referenced in this matter, and have full authority from the Vendor to submit this affidavit and accept the responsibilities stated herein.

2. I am aware that the Vendor is submitting a proposal to the Alabama Department of Human Resources for RFP # _____. Public agencies in Alabama are required by Alabama law to permit the public to examine documents that are kept or maintained by the public agencies, other than those legitimately meeting the provisions of the Alabama Trade Secrets Act, Alabama Code Section 8-27-1, and that the Department is required to review claims of trade secret confidentiality.

3. I have read and am familiar with the provisions of the Alabama Trade Secrets Act, am familiar with the case law interpreting it, and understand that all information received in response to this RFP will be available for public examination except for:

- (a) trade secrets meeting the requirements of the Act; and
- (b) information requested by the Department to establish vendor responsibility unless prior written consent has been given by the vendor.

4. I am aware that in order for the Vendor to claim confidential material, this affidavit must be fully completed and submitted to the Department, and the following conditions must be met by the Vendor:

- (a) information to be withheld under a claim of confidentiality must be clearly marked and separated from the rest of the proposal;
- (b) the proposal may not contain trade secret matter in the cost or price; and
- (c) the Vendor's explanation of the validity of this trade secret claim is attached to this affidavit.

5. I and the Vendor accept that, should the Department determine that the explanation is incomplete, inadequate or invalid, the submitted materials will be treated as any other document in the department's possession, insofar as its examination as a public record is concerned. I and the Vendor are solely responsible for the adequacy and sufficiency of the explanation. Once a proposal is opened, its contents cannot be returned to the Vendor if the Vendor disagrees with the Department's determination of the issue of trade secret confidentiality.

6. I, on behalf of the Vendor, warrant that the Vendor will be solely responsible for all legal costs and fees associated with any defense by the Department of the Vendor's claim for trade secret protection in the event of an open records request from another party which the Vendor chooses to oppose. The Vendor will either totally assume all responsibility for the opposition of the request, and all liability and costs of any such defense, thereby defending, protecting, indemnifying and saving harmless the Department, or the Vendor will immediately withdraw its opposition to the open records request and permit the Department to release the documents for examination. The Department will inform the Vendor in writing of any open records request that is made, and the Vendor will have five working days from receipt of the notice to notify the Department in writing whether the Vendor opposes the request or not. Failure to provide that notice in writing will waive the claim of trade secret confidentiality, and allow the Department to treat the documents as a public record.

Documents that, in the opinion of the Department, do not meet all the requirements of the above will be available for public inspection, including any copyrighted materials.

Affiant's Signature

Signed and sworn to before me on _____ (date) by _____
_____ (Affiant's name).

Name of Notary Public: _____ for the

Department of: _____

My Commission Expires: _____



APPENDIX D: CERTIFICATE OF COMPLIANCE

State of _____)

County of _____)

CERTIFICATE OF COMPLIANCE WITH THE BEASON-HAMMON ALABAMA TAXPAYER AND CITIZEN PROTECTION ACT (ACT 2011-535, as amended by Act 2012-491)

DATE: _____

RE Contract/Grant/Incentive (describe by number or subject):

_____ **by and between**
_____ **(Vendor/Grantee) and**
_____ **(State Agency, Department or Public Entity)**

The undersigned hereby certifies to the State of Alabama as follows:

1. The undersigned holds the position of _____ with the Vendor/Grantee named above, and is authorized to provide representations set out in this Certificate as the official and binding act of that entity, and has knowledge of the provisions of THE BEASON-HAMMON ALABAMA TAXPAYER AND CITIZEN PROTECTION ACT (ACT 2011-535 of the Alabama Legislature, as amended by Act 2012-491) which is described herein as "the Act".

2. Using the following definitions from Section 3 of the Act, select and initial either (a) or (b), below, to describe the Vendor/Grantee's business structure.

BUSINESS ENTITY. Any person or group of persons employing one or more persons performing or engaging in any activity, enterprise, profession, or occupation for gain, benefit, advantage, or livelihood, whether for profit or not for profit. "Business entity" shall include, but not be limited to the following:

a. Self-employed individuals, business entities filing articles of incorporation, partnerships, limited partnerships, limited liability companies, foreign corporations, foreign limited partnerships, foreign limited liability companies authorized to transact business in this state, business trusts, and any business entity that registers with the Secretary of State.

b. Any business entity that possesses a business license, permit, certificate, approval, registration, charter, or similar form of authorization issued by the state, any business entity that is exempt by law from obtaining such a business license, and any business entity that is operating unlawfully without a business license.

EMPLOYER. Any person, firm, corporation, partnership, joint stock association, agent, manager, representative, foreman, or other person having control or custody of any employment, place of employment, or of any employee, including any person or entity employing any person for hire within the State of Alabama, including a public employer. This term shall not include the occupant of a household contracting with another person to perform casual domestic labor within the household.

____(a)The Vendor/Grantee is a business entity or employer as those terms are defined in Section 3 of the Act.

____(b)The Vendor/Grantee is not a business entity or employer as those terms are defined in Section 3 of the Act.

3. As of the date of this Certificate, Vendor/Grantee does not knowingly employ an unauthorized alien within the State of Alabama and hereafter it will not knowingly employ, hire for employment, or continue to employ an unauthorized alien within the State of Alabama;

4. Vendor/Grantee is enrolled in E-Verify unless it is not eligible to enroll because of the rules of that program or other factors beyond its control.

Certified this _____ day of _____ 20____.

Name of Vendor/Grantee/Recipient

By: _____

Its _____

The above Certification was signed in my presence by the person whose name appears above, on

this _____ day of _____ 20_____.

WITNESS: _____

Printed Name of Witness

APPENDIX E: IMMIGRATION STATUS FORM

IMMIGRATION STATUS

I hereby attest that all workers on this project are either citizens of the United States or are in a proper and legal immigration status that authorizes them to be employed for pay within the United States.

Signature of Vendor

Witness

APPENDIX F: CONTRACTOR COST PROPOSAL

Price Sheet Template

The Contractor must complete both Part I and Part II of this template detailing its cost breakdown.

PART I: Project Fixed Costs

The QA Contractor must complete Part I detailing its fixed costs for the DDI phase and the Stabilization M&O phase of the Project. This format allows the Contractor to calculate costs for the two (2) phases and the option years separately in the event QA Contractor staffing models change with each phase.

The State will make payments for QA Contractor services on a monthly basis. The QA Contractor shall submit monthly invoices, due no later than the tenth (10th) day of the following month, for services performed during the prior month. The monthly invoice amount shall be for 1/22 of the Fixed Costs during the DDI phase of the project, 1/14 of the Fixed Costs during the Stabilization M&O phase, and 1/12 of the Fixed Costs during each option year.

Fixed costs during project DDI phase of the Project: <i>* November 1, 2022 – July 31, 2024 (22 months)</i>	\$
Fixed costs during Stabilization M&O phase of the Project: <i>* August 1, 2024 – September 30, 2025 (14 months)</i>	\$
Fixed costs during Option Years 1 and 2: <i>* October 1, 2025 – September 30, 2027 (24 months)</i>	\$
Total Project Fixed Costs	\$
Company Name:	
Authorized Officer:	
Authorized Officer Signature:	

** DDI phase and M&O Stabilization dates are estimates and may be adjusted depending on the DDI Contractor's proposed project management plan or other factors*

PART II: Project Fixed Hourly Rates

The QA Contractor hourly rates provided below will be used to calculate the cost of any change orders or enhancements during the contract term.

Job Title	Fixed Hourly Rate
QA Project Manager	\$
Application Software Development QA Specialist	\$
Technical Infrastructure QA Specialist	\$
Business Analyst Subject Matter QA Specialist	\$
Change Readiness / Communications/ Training QA Specialist	\$
Conversion, Integration and Interface QA Specialist	\$
Testing QA Specialist	\$
Other	\$
	\$
	\$
	\$