

APPENDIX M

**APPENDIX M
PERFORMANCE STANDARDS/SERVICE LEVEL AGREEMENTS/SERVICE LEVEL OBJECTIVES
ALL TASKS**

Task	Task Description	Methodology to Measure Performance	Control	Performance Standards	Penalty
III-1.A.	Disaster Recovery	1. The Vendor is required to provide to DHS an updated Disaster Recovery Plan	Update the Disaster Recovery Plan yearly - (SLA)	Annual updates are required on the yearly anniversary of the contract start date.	\$500/day late for the annual Disaster Recovery Plan updates
III-1.A.	Disaster Recovery	1. The Vendor is required to provide to DHS the results of the yearly Disaster Recovery Test	Yearly Disaster Recovery Test Results - (SLA)	The vendor is required to perform a yearly disaster recovery test and provide the results to DHS.	\$500/day late for the annual Disaster Recovery Test Results
III-1.C.	Emergency Preparedness	1. The Vendor is required to provide to DHS an updated Emergency Preparedness Plan	Update the Emergency Preparedness Plan yearly - (SLA)	Annual updates are required on the yearly anniversary of the contract start date.	\$500/day late for the annual Emergency Preparedness Plan updates
III-1.C.	Emergency Preparedness	1. The Vendor is required to provide to DHS the results of the yearly Emergency Preparedness Test	Yearly Emergency Preparedness Test Results - (SLA)	The vendor is required to perform a yearly Emergency Preparedness test and provide the results to DHS.	\$500/day late for the annual Emergency Preparedness test results
III-8.A.	Transition	1. Deliverable documentation 2. Weekly status meetings	Testing, Implementation and Start-Up Transition Plan Deliverable - (SLA)	Submit a Testing, Implementation and Start-up Plan that provides for a transition that is transparent to all support customers, including but not limited to DHS, BIS, county DRS staff, judiciary staff and judges, individual support payors and payees, employers responsible for remitting support through wage withholding orders, and other states and agencies who pay support, and DHS business partners, that acquires no adverse attention.	\$500/day
III-8.A.	Transition	1. End of transition period 2. Deliverable 3. Weekly status meetings	On-time Transition completion - (SLA)	The Offeror is financially responsible for contract costs incurred by DHS in the event that the current contract must be extended due to the failure of the Offeror to assume complete responsibility for all SCDU functions by no later than six (6) months after a fully executed contract.	\$1,000/day
III-8.A.	Transition	1. SCDU procedures manual	Procedures manual - (SLA)	The SCDU procedures manual is due within 60 calendar days of contract and updates resulting from procedures changes are due within 5 business days of the date the procedural change is implemented.	\$5,000/day for each day late for the procedures manual; \$100/day for each day late for updates
III-8.B.	Collection Processing	1. Daily management reports 2. Weekly log of pick-up times	Daily mail pick-up at USPS - (SLA)	All mail delivered to the USPS boxes daily must be picked up by the vendor per agreed upon schedule	\$1,000/day for each day all mail is not picked up
III-8.B.	Collection Processing	1. Daily management reports 2. On-site monitoring by DHS	Processing of receipts (collections) - (SLA)	100% of receipts (collections) must be processed and transmitted to PACSES for posting by 6PM on the same day they are received at SCDU.	\$5,000/day
III-8.B.	Collection Processing	1. Daily management reports 2. Bank on-line reporting 3. Monthly bank statements 4. On-site monitoring by DHS	SCDU bank account - (SLA)	100% of all collections must be deposited in and credited to the SCDU bank account on the same day the collections are received at SCDU.	Average collection amount per receipt for the previous month times (x) the interest rate for the current month times (x) the number of collections plus (+) \$5,000/day
III-8.B.	Collection Processing	1. Daily management reports 2. Financial exceptions reports 3. On-site monitoring by DHS	Posting of case specific collections (including OTC) - (SLA)	100% of collections designated by the court(s) for case specific posting must be posted accurately to PACSES the same day the collections are submitted to SCDU by the court(s).	\$200/case specific payment
III-8.B.	Collection Processing	1. Daily management reports	Directing correspondence received by the SCDU but intended for the DRS to the correct DRS - (SLO)	Correctly re-direct correspondence received by the SCDU but intended for the DRS, DHS, or Commonwealth within 24 hours of receipt of the correspondence.	Corrective Action Plan
III-8.B.	Collection Processing	1. Payment processing error rate 2. Financial exceptions reports	Accurate identification of PACSES member ID to which a payment must be posted - (SLA)	Payments must be accurately identified and posted to the PACSES member ID for which the payment is intended.	Amount of the misapplied payment
III-8.B.	Collection Processing	1. Daily management reports and monthly book to balance bank reconciliation reports	Daily collections reconciled to daily bank deposits, and monthly comprehensive book to balance bank account reconciliation of the SCDU bank account(s) - (SLA)	The vendor must reconcile all collections to deposits daily and must provide a monthly book to balance bank reconciliation report of the SCDU bank account(s) within 10 business days following the end of the calendar month.	\$5,000/day
III-8.B.	Collection Processing	1. Daily management reports 2. Financial exceptions reports	No receipting errors that result in an overpayment or misapplied payment - (SLA)	The vendor may not make any receipting errors that result in an overpayment or misapplied payment.	100% of the amount of the misapplied payment or receipting error
III-8.B.	Collection Processing	1. Daily management reports 2. Financial exceptions reports 3. Monthly reports	Data entry/update accuracy - (SLA)	The vendor's data entry/update error rate must be less than 0.3% per month.	\$2,500/month
III-8.B.	Collection Processing	1. Financial exceptions reports	Entry of receipt posting errors in the FXR database - (SLO)	The vendor is required to enter all receipt posting errors in the FXR database the same day the receipting error is identified.	Corrective Action Plan
III-8.B.	Collection Processing	1. Daily management reports	Return check tracking - (SLO)	The vendor is required to track 100% of all returned checks and must record the returned checks in PACSES within one business day of the return to SCDU.	Corrective Action Plan
III-8.B.	Collection Processing	1. Financial exceptions reports	Exception processing - (SLA)	The vendor is required to resolve 95% of all collection exceptions within 3 business days of the date the exception is identified.	Corrective Action Plan, or \$100/day
III-8.B.	Collection Processing	1. Daily management reports	Return of unacceptable collections - (SLO)	The vendor is required to return unacceptable collections to the USPS the same day they are received at the SCDU.	Corrective Action Plan
III-8.B.	Collection Processing	1. Daily management reports	Entry of change of employment status - (SLA)	The vendor is required to accurately update payor's employment status changes in PACSES the same day the information is received by SCDU.	Corrective Action Plan or \$100 per day per occurrence
III-8.C.	Disbursement Processing	1. Daily management reports 2. PACSES daily reports	All disbursement records must be received from PACSES daily and must be printed and mailed or electronically disbursed each business day - (SLA)	100% of the disbursements received from PACSES each day must be printed and mailed or electronically disbursed from the SCDU the same day.	\$5,000/day
III-8.C.	Disbursement Processing	1. Daily management reports 2. PACSES daily reports	All electronic disbursements must be applied within one (1) banking day to the payees' account - (SLA)	100% of the electronic disbursements received from PACSES each day must be applied to the payees' account.	\$5,000/day
III-8.C.	Disbursement Processing	1. Daily management reports 2. Comparison of disbursement file with detailed disbursement report	Notification of DHS of disbursement processing issues - (SLO)	The vendor is required to notify DHS of any disbursement processing problems within 1 hour.	Corrective Action Plan
III-8.C.	Disbursement Processing	1. Daily management reports and monthly book to balance bank reconciliation reports	All disbursements must be reconciled to the SCDU bank accounts daily, and the SCDU account(s) must be reconciled monthly - (SLA)	The vendor is required to reconcile 100% of all disbursements to the SCDU bank account(s) daily and in the monthly book to balance bank reconciliation produced by the vendor for the SCDU bank account(s).	\$5,000/day
III-8.C.	Disbursement Processing	1. Daily management reports and monthly book to balance bank reconciliation reports 2. Review of monthly outstanding check report	All stale dated checks must be recorded in PACSES - (SLO)	The vendor is required to provide a file of 100% of staled checks to PACSES before the next month's book to balance bank reconciliation is due.	Corrective Action Plan
III-8.C.	Disbursement Processing	1. Daily management reports	All returned disbursements must be recorded in PACSES - (SLO)	The vendor is required to record 100% of all returned disbursements in PACSES within one business day of the receipt of the returned disbursement.	Corrective Action Plan
III-8.C.	Disbursement Processing	1. Daily management reports	All new stored value card requests must be processed the same day the request is received from PACSES - (SLA)	The vendor is required to accept and process new stored value card requests from PACSES daily, and is required to initiate the stored value card issuance and start-up process the same day the new card request is received from PACSES.	\$100 per card per day
III-8.C.	Disbursement Processing	1. Daily management reports	A change of payee address must be entered into PACSES the same day it is received - (SLA)	The vendor is required to accurately enter in PACSES 100% of all payee address changes received by SCDU the same day the address change is received by SCDU.	Corrective Action Plan or \$100/day

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ALL TASKS**

Task	Task Description	Methodology to Measure Performance	Control	Performance Standards	Penalty
III-8.C.	Disbursement Processing	1. Weekly status meetings	All stored value card accounts must be escheated annually in accordance with the Pennsylvania law and reported to DHS within ten (10) days of the escheatment date - (SLO)	100% of the stored value card accounts qualifying for escheatment were escheated in accordance with the Pennsylvania law.	Corrective Action Plan
III-8.D.	Employer/Non-Wage Withholding Billing Statement Processing	1. Daily management reports 2. Weekly management reports 3. Monthly management reports	All employer/non-wage withholding billing files received from PACSES must be printed and mailed or distributed in the agreed upon schedule - (SLA)	The vendor is required to accept employer/non wage withholding billing files from PACSES and to print and mail or distribute 100% of all employer/non-wage withholding billing notices/coupons received from PACSES on the agreed upon schedule.	\$1,000/day
III-8.D.	Employer/Non-Wage Withholding Billing Statement Processing	1. Daily management reports	Reissuances of employer/non-wage withholding billing notices/coupons must be completed within 24 hours - (SLO)	The vendor is required to reissue employer/non-wage withholding billing notices/coupons within 24 hours of receiving notice that a reissuance is needed.	Corrective Action Plan
III-8.D.	Employer/Non-Wage Withholding Billing Statement Processing	1. Management verification and review	Notify DHS of any employer/non-wage billing statement processing problems	The vendor must notify DHS within one (1) hour of any employer/non-wage billing statement processing problems that will cause a delay in processing the employer/non-wage withholding transmittal file in accordance with the timeframes defined in #1 above; delays include but are not limited to problems due to system errors, system failures of printing and packaging equipment and human error.	N/A
III-8.F.	Defendant Billing Statement/Payment Coupon, Reprints, State Tax Refund Offset Notice Processing, Special Notice Processing	1. Daily management reports 2. Weekly management reports 3. Monthly management reports	All defendant billing statement/payment coupons received from PACSES must be printed and mailed or distribute them on the agreed upon schedule - (SLA)	The vendor is required to accept and process defendant billing statement/coupon files from PACSES and 100% of all defendant billing statements/payment coupons received from PACSES must be printed and mailed or distributed by the vendor on the agreed upon schedule	\$1,000/day
III-8.F.	Defendant Billing Statement/Payment Coupon, Reprints, State Tax Refund Offset Notice Processing, Special Notice Processing	1. Daily management reports	Defendant billing statement and payment coupon reissues must be processed within 24 hours of identification of the need to reissue - (SLO)	The vendor is required to reissue defendant billing statement/payment coupons within 24 hours of identification of the need for the reissuance.	Corrective Action Plan
III-8.F.	Defendant Billing Statement/Payment Coupon, Reprints, State Tax Refund Offset Notice Processing, Special Notice Processing	1. Daily management reports	DHS must be notified within one hour of the identification of a problem that could delay issuance of the defendant billing statements/payment coupons - (SLO)	The vendor is required to notify DHS within one hour of the identification of a problem that could delay issuance of the defendant billing statements/payment coupons.	Corrective Action Plan
III-8.F.	Defendant Billing Statement/Payment Coupon, Reprints, State Tax Refund Offset Notice Processing, Special Notice Processing	1. Daily management reports 2. Weekly management reports 3. Monthly management reports	The State Tax Refund Offset Notice Processing (STROP) file must be processed and notices must be mailed monthly - (SLA)	The vendor is required to accept a State Tax Refund Offset Notice Processing (STROP) file from PACSES monthly, and to print and mail 100% of the State Tax Refund Offset Notices received in the monthly file from PACSES on the agreed upon schedule.	Corrective Action Plan or \$500 per day late
III-8.H.	Customer Service	1. Customer service procedures 2. Customer service reports 3. Direct observation 4. Call monitoring 5. Customer feedback reports	An IVR which provides support customers with 24/7 toll free access to SCDU disbursement information - (SLA)	The vendor is required to provide a toll free number(s) and IVR available 24/7 to support customers; IVR is to securely provide customers with access to information regarding support payments, disbursement information, and payment option information; DHS approved messages will be provided to the caller when the system is down or busy.	\$1,000/day the IVR is unavailable
III-8.H.	Customer Service	1. Customer services procedures 2. Direct observation 3. Call monitoring 4. Customer feedback reports 5. Daily monitoring of toll free telephone lines 6. Weekly management reports	Toll free telephone access M-F from 8am-5pm to customer service representatives who provide timely, accurate and courteous information to all customers of the SCDU - (SLO)	The vendor is to provide toll free access M-F from 8am-5pm to customer service representatives who are required to provide accurate, timely (calls answered by 4th ring) and courteous customer service to all SCDU customers; no caller will be kept on hold more than 1 minute; vendor must perform appropriate research when required and initiate follow-up phone contact within 48 hours.	Corrective Action Plan
III-8.H.	Customer Service	1. Daily and weekly management reports and feedback from DRS users	Employer table maintenance - (SLA)	The vendor is required to design, develop, maintain, operate, and support an Employer Maintenance Unit (EMU) and a web-base Employer Maintenance application and process county update requests; requests for employer table adds/updates must be processed within 24 hours of receipt and must be accurate 99.9% of the time.	Corrective Action Plan or \$100 per request per day late
III-8.H.	Customer Service	1. Financial exceptions reports and DRS user feedback	Financial exception processing - (SLA)	The vendor is required to design, develop, maintain, operate, and support a Financial Exceptions Unit (FXU) and a web-based Financial Exceptions application; vendor is required to process accurately 100% of the financial exceptions requests within 48 hours of receipt of the request.	Corrective Action Plan plus 100% of the cost of financial loss to payee/payor resulting from financial exception processing error by vendor staff
III-8.I.	Outreach Support	1. Monthly management reports, including number and type of employer and customer outreach activities for the month	Employer and other customer outreach - (SLO)	The vendor is required to conduct outreach activities to assist customers in understanding PA SCDU operational policy and procedure, and to assist customers with the use of electronic remittance options.	Corrective Action Plan
III-8.J.	Finance/Banking Services	1. Auditable financial transactions 2. Maintain and ensure sufficient SCDU bank account balances 3. Daily & monthly reconciliation reports with variance resolution	SCDU bank account - (SLA) Daily/weekly/monthly management reports - (SLA)	The vendor is to provide accountable and auditable financial transactions using procedures and practices that conform to the Generally Accepted Accounting Practices (GAAP) standards. All financial transactions processed by the vendor are documented to provide the appropriate support for audit and/or review. The SCDU bank accounts maintained by the vendor contain sufficient funds at all times in order to liquidate liability. The daily/monthly reconciliation reports for the SCDU bank accounts are accurate, completed on schedule and accepted by DHS. Reconciliation variances are reported to DHS via incident reporting and researched and resolved within one (1) month of occurrence.	\$5,000/day
III-8.K.	Data/Records Security	1. IRS Audit Findings	IRS Publication 1075 - (SLO)	The vendor must remain in compliance with all regulations contained in the IRS Publication 1075.	Corrective Action Plan
III-8.L.	End of Contract/Turnover	1. The Vendor is required to provide to DHS an updated Contract Turnover Plan	Update the End of Contract Turnover Plan - (SLA)	The Offeror will provide a revised End of Contract Turnover Plan one year after the fully executed that will be reviewed and approved by DHS. A new turnover plan must be provided to DHS at their discretion within two (2) months of the request.	\$500/day
III-9.A.	Management Reporting	1. Daily management reports 2. Weekly management reports 3. Monthly management reports	Daily/weekly/monthly management reports - (SLA)	The vendor is required to provide daily, weekly, and monthly management reports to DHS. Daily reports are due the next business day; weekly reports are due by the second day of the next week; monthly reports are due the first week of the new month; vendor is required to provide a DHS a comprehensive procedures manual for the SCDU operation, including subcontractor activities.	Corrective Action Plan and \$50 per day late for each report

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 PERFORMANCE STANDARDS/SERVICE LEVEL AGREEMENTS/SERVICE LEVEL OBJECTIVES
 Disaster Recovery-Task III-1.A.**

Task	Task Description	Methodology to Measure Performance	Control	Performance Standards	Penalty
III-1.A.	Disaster Recovery	1. The Vendor is required to provide to DHS an updated Disaster Recovery Plan	Update the Disaster Recovery Plan yearly - (SLA)	Annual updates are required on the yearly anniversary of the contract start date.	\$500/day late for the annual Disaster Recovery Plan updates
III-1.A.	Disaster Recovery	1. The Vendor is required to provide to DHS the results of the yearly Disaster Recovery Test	Yearly Disaster Recovery Test Results - (SLA)	The vendor is required to perform a yearly disaster recovery test and provide the results to DHS.	\$500/day late for the annual Disaster Recovery Test Results

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 PERFORMANCE STANDARDS/SERVICE LEVEL AGREEMENTS/SERVICE LEVEL OBJECTIVES
 EMERGENCY PREPAREDNESS-TASK III-1.C.**

Task	Task Description	Methodology to Measure Performance	Control	Performance Standards	Penalty
III-1.C.	Emergency Preparedness	1. The Vendor is required to provide to DHS an updated Emergency Preparedness Plan	Update the Emergency Preparedness Plan yearly - (SLA)	Annual updates are required on the yearly anniversary of the contract start date.	\$500/day late for the annual Emergency Preparedness Plan updates
III-1.C.	Emergency Preparedness	1. The Vendor is required to provide to DHS the results of the yearly Emergency Preparedness Test	Yearly Emergency Preparedness Test Results - (SLA)	The vendor is required to perform a yearly Emergency Preparedness test and provide the results to DHS.	\$500/day late for the annual Emergency Preparedness test results

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 PERFORMANCE STANDARDS/SERVICE LEVEL AGREEMENTS/SERVICE LEVEL OBJECTIVES
 TRANSITION-TASK III-8.A.**

Task	Task Description	Methodology to Measure Performance	Control	Performance Standards	Penalty
III-8.A.	Transition	1. Deliverable documentation 2. Weekly status meetings	Testing, Implementation and Start-Up Transition Plan Deliverable - (SLA)	Submit a Testing, Implementation and Start-up Plan that provides for a transition that is transparent to all support customers, including but not limited to DHS, BIS, county DRS staff, judiciary staff and judges, individual support payors and payees, employers responsible for remitting support through wage withholding orders, and other states and agencies who pay support, and DHS business partners, that acquires no adverse attention.	\$500/day
III-8.A.	Transition	1. End of transition period 2. Deliverable 3. Weekly status meetings	On-time Transition completion - (SLA)	The Offeror is financially responsible for contract costs incurred by DHS in the event that the current contract must be extended due to the failure of the Offeror to assume complete responsibility for all SCDU functions by no later than six (6) months after a fully executed contract.	\$1,000/day
III-8.A.	Transition	1. SCDU procedures manual	Procedures manual - (SLA)	The SCDU procedures manual is due within 60 calendar days of contract and updates resulting from procedures changes are due within 5 business days of the date the procedural change is implemented.	\$5,000/day for each day late for the procedures manual; \$100/day for each day late for updates

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COLLECTION PROCESSING-TASK III-8.B.**

Task	Task Description	Methodology to Measure Performance	Control	Performance Standards	Penalty
III-8.B.	Collection Processing	1. Daily management reports 2. Weekly log of pick-up times	Daily mail pick-up at USPS - (SLA)	All mail delivered to the USPS boxes daily must be picked up by the vendor per agreed upon schedule	\$1,000/day for each day all mail is not picked up
III-8.B.	Collection Processing	1. Daily management reports 2. On-site monitoring by DHS	Processing of receipts (collections) - (SLA)	100% of receipts (collections) must be processed and transmitted to PACSES for posting by 6PM on the same day they are received at SCDU.	\$5,000/day
III-8.B.	Collection Processing	1. Daily management reports 2. Bank on-line reporting 3. Monthly bank statements 4. On-site monitoring by DHS	SCDU bank account - (SLA)	100% of all collections must be deposited in and credited to the SCDU bank account on the same day the collections are received at SCDU.	Average collection amount per receipt for the previous month times (x) the interest rate for the current month times (x) the number of collections plus (+) \$5,000/day
III-8.B.	Collection Processing	1. Daily management reports 2. Financial exceptions reports 3. On-site monitoring by DHS	Posting of case specific collections (including OTC) - (SLA)	100% of collections designated by the court(s) for case specific posting must be posted accurately to PACSES the same day the collections are submitted to SCDU by the court(s).	\$200/case specific payment
III-8.B.	Collection Processing	1. Daily management reports	Directing correspondence received by the SCDU but intended for the DRS to the correct DRS - (SLO)	Correctly re-direct correspondence received by the SCDU but intended for the DRS, DHS, or Commonwealth within 24 hours of receipt of the correspondence.	Corrective Action Plan
III-8.B.	Collection Processing	1. Payment processing error rate 2. Financial exceptions reports	Accurate identification of PACSES member ID to which a payment must be posted - (SLA)	Payments must be accurately identified and posted to the PACSES member ID for which the payment is intended.	Amount of the misapplied payment
III-8.B.	Collection Processing	1. Daily management reports and monthly book to balance bank reconciliation reports	Daily collections reconciled to daily bank deposits, and monthly comprehensive book to balance bank account reconciliation of the SCDU bank account(s) - (SLA)	The vendor must reconcile all collections to deposits daily and must provide a monthly book to balance bank reconciliation report of the SCDU bank account(s) within 10 business days following the end of the calendar month.	\$5,000/day
III-8.B.	Collection Processing	1. Daily management reports 2. Financial exceptions reports	No receipting errors that result in an overpayment or misapplied payment - SLA)	The vendor may not make any receipting errors that result in an overpayment or misapplied payment.	100% of the amount of the misapplied payment or receipting error
III-8.B.	Collection Processing	1. Daily management reports 2. Financial exceptions reports 3. Monthly reports	Data entry/update accuracy - (SLA)	The vendor's data entry/update error rate must be less than 0.3% per month.	\$2,500/month
III-8.B.	Collection Processing	1. Financial exceptions reports	Entry of receipt posting errors in the FXR database - (SLO)	The vendor is required to enter all receipt posting errors in the FXR database the same day the receipting error is identified.	Corrective Action Plan
III-8.B.	Collection Processing	1. Daily management reports	Return check tracking - (SLO)	The vendor is required to track 100% of all returned checks and must record the returned checks in PACSES within one business day of the return to SCDU.	Corrective Action Plan
III-8.B.	Collection Processing	1. Financial exceptions reports	Exception processing - (SLA)	The vendor is required to resolve 95% of all collection exceptions within 3 business days of the date the exception is identified.	Corrective Action Plan, or \$100/day
III-8.B.	Collection Processing	1. Daily management reports	Return of unacceptable collections - (SLO)	The vendor is required to return unacceptable collections to the USPS the same day they are received at the SCDU.	Corrective Action Plan
III-8.B.	Collection Processing	1. Daily management reports	Entry of change of employment status - (SLA)	The vendor is required to accurately update payor's employment status changes in PACSES the same day the information is received by SCDU.	Corrective Action Plan or \$100 per day per occurrence

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DISBURSEMENT PROCESSING-TASK III-8.C.**

Task	Task Description	Methodology to Measure Performance	Control	Performance Standards	Penalty
III-8.C.	Disbursement Processing	1. Daily management reports 2. PACSES daily reports	All disbursement records must be received from PACSES daily and must be printed and mailed or electronically disbursed each business day - (SLA)	100% of the disbursements received from PACSES each day must be printed and mailed or electronically disbursed from the SCDU the same day.	\$5,000/day
III-8.C.	Disbursement Processing	1. Daily management reports 2. PACSES daily reports	All electronic disbursements must be applied within one (1) banking day to the payees' account - (SLA)	100% of the electronic disbursements received from PACSES each day must be applied to the payees' account.	\$5,000/day
III-8.C.	Disbursement Processing	1. Daily management reports 2. Comparison of disbursement file with detailed disbursement report	Notification of DHS of disbursement processing issues - (SLO)	The vendor is required to notify DHS of any disbursement processing problems within 1 hour.	Corrective Action Plan
III-8.C.	Disbursement Processing	1. Daily management reports and monthly book to balance bank reconciliation reports	All disbursements must be reconciled to the SCDU bank accounts daily, and the SCDU account(s) must be reconciled monthly - (SLA)	The vendor is required to reconcile 100% of all disbursements to the SCDU bank account(s) daily and in the monthly book to balance bank reconciliation produced by the vendor for the SCDU bank account(s).	\$5,000/day
III-8.C.	Disbursement Processing	1. Daily management reports and monthly book to balance bank reconciliation reports 2. Review of monthly outstanding check report	All stale dated checks must be recorded in PACSES - (SLO)	The vendor is required to provide a file of 100% of staled checks to PACSES before the next month's book to balance bank reconciliation is due.	Corrective Action Plan
III-8.C.	Disbursement Processing	1. Daily management reports	All returned disbursements must be recorded in PACSES - (SLO)	The vendor is required to record 100% of all returned disbursements in PACSES within one business day of the receipt of the returned disbursement.	Corrective Action Plan
III-8.C.	Disbursement Processing	1. Daily management reports	All new stored value card requests must be processed the same day the request is received from PACSES - (SLA)	The vendor is required to accept and process new stored value card requests from PACSES daily, and is required to initiate the stored value card issuance and start-up process the same day the new card request is received from PACSES.	\$100 per card per day
III-8.C.	Disbursement Processing	1. Daily management reports	A change of payee address must be entered into PACSES the same day it is received - (SLA)	The vendor is required to accurately enter in PACSES 100% of all payee address changes received by SCDU the same day the address change is received by SCDU.	Corrective Action Plan or \$100/day
III-8.C.	Disbursement Processing	1. Weekly status meetings	All stored value card accounts must be escheated annually in accordance with the Pennsylvania law and reported to DHS within ten (10) days of the escheatment date - (SLO)	100% of the stored value card accounts qualifying for escheatment were escheated in accordance with the Pennsylvania law.	Corrective Action Plan

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 EMPLOYER/NON-WAGE WITHHOLDING BILLING STATEMENT PROCESSING-TASK III-8.D.**

Task	Task Description	Methodology to Measure Performance	Control	Performance Standards	Penalty
III-8.D.	Employer/Non-Wage Withholding Billing Statement Processing	1. Daily management reports 2. Weekly management reports 3. Monthly management reports	All employer/non-wage withholding billing files received from PACSES must be printed and mailed or distributed in the agreed upon schedule - (SLA)	The vendor is required to accept employer/non wage withholding billing files from PACSES and to print and mail or distribute 100% of all employer/non-wage withholding billing notices/coupons received from PACSES on the agreed upon schedule.	\$1,000/day
III-8.D.	Employer/Non-Wage Withholding Billing Statement Processing	1. Daily management reports	Reissuances of employer/non-wage withholding billing notices/coupons must be completed within 24 hours - (SLO)	The vendor is required to reissue employer/non-wage withholding billing notices/coupons within 24 hours of receiving notice that a reissuance is needed.	Corrective Action Plan
III-8.D.	Employer/Non-Wage Withholding Billing Statement Processing	1. Management verification and review	Notify DHS of any employer/non-wage billing statement processing problems	The vendor must notify DHS within one (1) hour of any employer/non-wage billing statement processing problems that will cause a delay in processing the employer/non-wage withholding transmittal file in accordance with the timeframes defined in #1 above; delays include but are not limited to problems due to system errors, system failures of printing and packaging equipment and human error.	N/A

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 DEFENDANT BILLING STATEMENT/PAYMENT COUPON, REPRINTS, STATE TAX REFUND OFFSET NOTICE PROCESSING, SPECIAL NOTICE PROCESSING-TASK III-8.F.**

Task	Task Description	Methodology to Measure Performance	Control	Performance Standards	Penalty
III-8.F.	Defendant Billing Statement/Payment Coupon, Reprints, State Tax Refund Offset Notice Processing, Special Notice Processing	1. Daily management reports 2. Weekly management reports 3. Monthly management reports	All defendant billing statement/payment coupons received from PACSES must be printed and mailed or distribute them on the agreed upon schedule - (SLA)	The vendor is required to accept and process defendant billing statement/coupon files from PACSES and 100% of all defendant billing statements/payment coupons received from PACSES must be printed and mailed or distributed by the vendor on the agreed upon schedule	\$1,000/day
III-8.F.	Defendant Billing Statement/Payment Coupon, Reprints, State Tax Refund Offset Notice Processing, Special Notice Processing	1. Daily management reports	Defendant billing statement and payment coupon reissues must be processed within 24 hours of identification of the need to reissue - (SLO)	The vendor is required to reissue defendant billing statement/payment coupons within 24 hours of identification of the need for the reissuance.	Corrective Action Plan
III-8.F.	Defendant Billing Statement/Payment Coupon, Reprints, State Tax Refund Offset Notice Processing, Special Notice Processing	1. Daily management reports	DHS must be notified within one hour of the identification of a problem that could delay issuance of the defendant billing statements/payment coupons - (SLO)	The vendor is required to notify DHS within one hour of the identification of a problem that could delay issuance of the defendant billing statements/payment coupons.	Corrective Action Plan
III-8.F.	Defendant Billing Statement/Payment Coupon, Reprints, State Tax Refund Offset Notice Processing, Special Notice Processing	1. Daily management reports 2. Weekly management reports 3. Monthly management reports	The State Tax Refund Offset Notice Processing (STROP) file must be processed and notices must be mailed monthly - (SLA)	The vendor is required to accept a State Tax Refund Offset Notice Processing (STROP) file from PACSES monthly, and to print and mail 100% of the State Tax Refund Offset Notices received in the monthly file from PACSES on the agreed upon schedule.	Corrective Action Plan or \$500 per day late

**APPENDIX M
PERFORMANCE STANDARDS/SERVICE LEVEL AGREEMENTS/SERVICE LEVEL OBJECTIVES
CUSTOMER SERVICE-TASK III-8.H.**

Task	Task Description	Methodology to Measure Performance	Control	Performance Standards	Penalty
III-8.H.	Customer Service	<ol style="list-style-type: none"> 1. Customer service procedures 2. Customer service reports 3. Direct observation 4. Call monitoring 5. Customer feedback reports 	An IVR which provides support customers with 24/7 toll free access to SCDU disbursement information - (SLA)	The vendor is required to provide a toll free number(s) and IVR available 24/7 to support customers; IVR is to securely provide customers with access to information regarding support payments, disbursement information, and payment option information; DHS approved messages will be provided to the caller when the system is down or busy.	\$1,000/day the IVR is unavailable
III-8.H.	Customer Service	<ol style="list-style-type: none"> 1. Customer services procedures 2. Direct observation 3. Call monitoring 4. Customer feedback reports 5. Daily monitoring of toll free telephone lines 6. Weekly management reports 	Toll free telephone access M-F from 8am-5pm to customer service representatives who provide timely, accurate and courteous information to all customers of the SCDU - (SLO)	The vendor is to provide toll free access M-F from 8am-5pm to customer service representatives who are required to provide accurate, timely (calls answered by 4th ring) and courteous customer service to all SCDU customers; no caller will be kept on hold more than 1 minute; vendor must perform appropriate research when required and initiate follow-up phone contact within 48 hours.	Corrective Action Plan
III-8.H.	Customer Service	<ol style="list-style-type: none"> 1. Daily and weekly management reports and feedback from DRS users 	Employer table maintenance - (SLA)	The vendor is required to design, develop, maintain, operate, and support an Employer Maintenance Unit (EMU) and a web-base Employer Maintenance application and process county update requests; requests for employer table adds/updates must be processed within 24 hours of receipt and must be accurate 99.9% of the time.	Corrective Action Plan or \$100 per request per day late
III-8.H.	Customer Service	<ol style="list-style-type: none"> 1. Financial exceptions reports and DRS user feedback 	Financial exception processing - (SLA)	The vendor is required to design, develop, maintain, operate, and support a Financial Exceptions Unit (FXU) and a web-based Financial Exceptions application; vendor is required to process accurately 100% of the financial exceptions requests within 48 hours of receipt of the request.	Corrective Action Plan plus 100% of the cost of financial loss to payee/payor resulting from financial exception processing error by vendor staff

**APPENDIX M
 PERFORMANCE STANDARDS/SERVICE LEVEL AGREEMENTS/SERVICE LEVEL OBJECTIVES
 OUTREACH SUPPORT-TASK III-8.I.**

Task	Task Description	Methodology to Measure Performance	Control	Performance Standards	Penalty
III-8.I.	Outreach Support	1. Monthly management reports, including number and type of employer and customer outreach activities for the month	Employer and other customer outreach - (SLO)	The vendor is required to conduct outreach activities to assist customers in understanding PA SCDU operational policy and procedure, and to assist customers with the use of electronic remittance options.	Corrective Action Plan

**APPENDIX M
PERFORMANCE STANDARDS/SERVICE LEVEL AGREEMENTS/SERVICE LEVEL OBJECTIVES
FINANCE/BANKING SERVICES-TASK III-8.J.**

Task	Task Description	Methodology to Measure Performance	Control	Performance Standards	Penalty
III-8.J.	Finance/Banking Services	1. Auditable financial transactions 2. Maintain and ensure sufficient SCDU bank account balances 3. Daily & monthly reconciliation reports with variance resolution	SCDU bank account - (SLA) Daily/weekly/monthly management reports - (SLA)	The vendor is to provide accountable and auditable financial transactions using procedures and practices that conform to the Generally Accepted Accounting Practices (GAAP) standards. All financial transactions processed by the vendor are documented to provide the appropriate support for audit and/or review. The SCDU bank accounts maintained by the vendor contain sufficient funds at all times in order to liquidate liability. The daily/monthly reconciliation reports for the SCDU bank accounts are accurate, completed on schedule and accepted by DHS. Reconciliation variances are reported to DHS via incident reporting and researched and resolved within one (1) month of occurrence.	\$5,000/day

**APPENDIX M
 PERFORMANCE STANDARDS/SERVICE LEVEL AGREEMENTS/SERVICE LEVEL OBJECTIVES
 DATA/RECORDS SECURITY-TASK III-8.K.**

Task	Task Description	Methodology to Measure Performance	Control	Performance Standards	Penalty
III-8.K.	Data/Records Security	1. IRS Audit Findings	IRS Publication 1075 - (SLO)	The vendor must remain in compliance with all regulations contained in the IRS Publication 1075.	Corrective Action Plan

**APPENDIX M
 PERFORMANCE STANDARDS/SERVICE LEVEL AGREEMENTS/SERVICE LEVEL OBJECTIVES
 END OF CONTRACT TURNOVER-TASK III-8.L.**

Task	Task Description	Methodology to Measure Performance	Control	Performance Standards	Penalty
III-8.L.	End of Contract/Turnover	1. The Vendor is required to provide to DHS an updated Contract Turnover Plan	Update the End of Contract Turnover Plan - (SLA)	The Offeror will provide a revised End of Contract Turnover Plan one year after the fully executed that will be reviewed and approved by DHS. A new turnover plan must be provided to DHS at their discretion within two (2) months of the request.	\$500/day

**APPENDIX M
 PERFORMANCE STANDARDS/SERVICE LEVEL AGREEMENTS/SERVICE LEVEL OBJECTIVES
 MANAGEMENT REPORTING-TASK III-9.A.**

Task	Task Description	Methodology to Measure Performance	Control	Performance Standards	Penalty
III-9.A.	Management Reporting	1. Daily management reports 2. Weekly management reports 3. Monthly management reports	Daily/weekly/monthly management reports - (SLA)	The vendor is required to provide daily, weekly, and monthly management reports to DHS. Daily reports are due the next business day; weekly reports are due by the second day of the next week; monthly reports are due the first week of the new month; vendor is required to provide a DHS a comprehensive procedures manual for the SCDO operation, including subcontractor activities.	Corrective Action Plan and \$50 per day late for each report