

BJJS Management Information and Incident Reporting System

Sole Source Work Statement (Rev18_081914)

SOW Appendices:

Appendix A: AIIRS Intake As-is and To-be Process

Appendix B: AIIRS Incident Reporting As-is and To-be Process

Appendix C: AIIRS Reporting As-is and To-be Process

Appendix D: Intake, Incident and Reporting BRIM

Appendix E: Intake, Incident and Reporting BRIM Supplement

Appendix F: Requirements for Non-Commonwealth Hosted Applications and Services

Appendix G: Service Level Agreement

Appendix H: Pricing Matrix

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I. Objectives

A. General

The Contractor will provide a hosted Management Information and Incident Reporting System solution utilizing its Pennsylvania Counties Criminal Justice Unified Case Management System (CJ-UCM) for the Department of Public Welfare (DPW). The Contractor will configure the CJ-UCM system according to the Department's business requirements, provide training and host the Management Information and Incident Reporting System solution in a production environment for the Department's use, and provide contractor software maintenance and support services.

Business requirements for the new system solution functionality needed to replace the Department's Automated Intake and Incident Reporting System (AIIRS) are provided in **Appendix A through E**. Business requirements for functionality beyond AIIRS will not be available prior to the anticipated contract start date.

B. Specific

The Contractor must:

1. Provide system capability for the six (6) Youth Development Centers (YDC) and Youth Forestry Camps (YFC) to record detailed information on incidents involving youth, employees, visitors, and physical plant operations.
2. Provide system capability to record referral information from county probation departments, residential placement details, and treatment services data for youth who are referred and committed to the YDCs/YFCs.
3. Replace DPW's legacy Automated Intake and Incident Reporting System (AIIRS).
4. Enable DPW Bureau of Juvenile Justice Services (BJJS) to maintain records from the incident reporting and youth record information functionalities and provide required reports, including ad-hoc reporting capability.
5. Provide a system utilizing a centralized database to enable timely and comprehensive data capture, analysis and assessment for BJJS to fully comply with requirements of Pennsylvania's Juvenile Justice System Enhancement Strategy (JJSES).
6. Include the Pennsylvania Academic and Career/Technical Training (PACTT) database in the hosted solution to enable BJJS to effectively fulfill its statewide oversight responsibilities by giving the current affiliates (i.e. qualified providers operating community-based, residential, or day treatment programs for juvenile offenders, anticipated to number seventy-five (75) affiliates by year-end 2014) the ability to enter information into a common, centralized repository where the information can be retrieved, analyzed and used by BJJS.
7. Enhance BJJS data collection methodologies.
8. Streamline the current BJJS business processes for intake, incident management, and reporting through development of a comprehensive information system and to allow for future support and expansion.
9. Improve information sharing across the business domain.
10. Improve access to and increase the availability of reports across the enterprise to include real time dashboard reports.
11. Replace current manual reporting processes with system generated reports for outside data reporting requirements.

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12. Replace manual calculations that require information extracted from different sources with system generated data submission for the DPW Management Report, DPW Dashboard, Governor's Budget Office, Performance Measures, etc.

II. Nature and Scope of the Project

A. PA Counties Criminal Justice Unified Case Management System (CJ-UCM) Configuration

A.1 Configure the CJ-UCM to Replace AIIRS

The Contractor will configure the functionality of CJ-UCM to replace DPW's Automated Intake and Incident Reporting System (AIIRS).

Contractor will configure three (3) core business processes to replace AIIRS in accordance with the business requirements set forth in **Appendix A through G**.

The three (3) core business processes are: 1) Intake, 2) Incident Reporting, and 3) Reporting.

1. Intake: The Contractor will configure the CJ-UCM to meet the intake process business requirements set forth in **Appendix A: AIIRS Intake As-is and To-be Process, Appendix D: Intake, Incident and Reporting BRIM and Appendix E: Intake, Incident and Reporting BRIM Supplement**. The Contractor will configure the intake function to allow:

- Accessing pre-placement records for youth
- Conducting the Matrix resident risk assessment within the system
- Producing the resident face sheet upon resident arrival
- Capturing resident screening information
- Recording assessment and diagnostic reports
- Producing a viable Resident Report
- Assisting staff in developing the resident treatment plan

2. Incident Reporting: The Contractor will configure the CJ-UCM to meet the business requirements set forth in **Appendix B: AIIRS Incident Reporting As-is and To-be Process, Appendix D: Intake, Incident and Reporting BRIM and Appendix E: Intake, Incident and Reporting BRIM Supplement**. The Contractor will configure the incident reporting module to result in:

- Reducing duplication of effort and redundant data entry
- Increasing availability of data for analysis and reporting
- Streamlining data entry and data retrieval capabilities
- Improving system reliability and update capabilities
- Providing analytic capabilities for ad-hoc reporting
- Providing for automated notification capabilities
- Improving tracking of changes within the system (audit trail)
- Improving system security and confidentiality

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3. Reporting: The Contractor will configure the CJ-UCM system to meet the business requirements set forth in **Appendix C: AIIRS Reporting As-is and To-be Process** **Appendix D: Intake, Incident and Reporting BRIM** and **Appendix E: Intake, Incident and Reporting BRIM**. The Contractor will configure the reporting module to allow:

- Improving the accuracy of the system produced reports
- Eliminating the need for offline reports
- Eliminating external analysis and manual entry
- Providing for automated data transfer
- Responding to internal and external data requests
- Providing for graphic report interfaces
- Providing for user-friendly data entry and access
- Producing real time and static reports in a variety of report formats
- Providing the ability to save user queries for re-use purposes

A.2 Additional Business Processes Beyond AIIRS Replacement

DPW will provide business requirements for business processes beyond AIIRS replacement. The work order process will be utilized to define the scope of work to be performed by the contractor. Business processes beyond AIIRS may include:

- a. Placement Treatment Services
- b. Standardized Program Evaluation Protocol (SPEP)
- c. Evidence Based Programming
- d. Federal Prison Rape Elimination Act (PREA) Compliance Reporting and Audit Documentation
- e. Performance-based Standards

A.3 Project Timeline

The Contractor will meet the following project timeline for the initial AIIRS replacement functionality:

1. Contract start: Orientation and Knowledge Acquisition, and System configuration begins
2. 120 days to complete configuration and begin user acceptance testing (UAT).
3. 30 days to complete UAT and deploy system at a designated BJJS pilot site, begin user training.
4. 30-60 days to complete BJJS pilot site evaluation and user training.
5. 30 days to complete Full system rollout/deployment.

The process to develop the project timeline(s) for configuration of functionality beyond the initial functionality to replace AIIRS will begin 30 days after full system deployment.

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III. Requirements

A. Hosting Requirement

The Contractor will comply with the Hosting requirements set forth in **Appendix F: Requirements for Non-Commonwealth Hosted Applications and Services**.

B. Performance Standards and Service Level Agreement

The Contractor will meet or exceed the performance targets set forth in **Appendix G: Service Level Agreement (SLA)**. DPW and the Contractor will reevaluate the SLAs on an annual basis. Upon agreement of DPW and the Contractor, any resulting revised performance standards will become part of the contract by the Change Order process.

If requested by the DPW contract administrator, the Contractor must develop and submit a formal Corrective Action Plan (CAP) for any deficiencies in Contractor's performance as identified by DPW.

C. Security, Confidentiality, Audit Trails and Controls

All Commonwealth data will be stored in the Contractor's private cloud.

The Contractor's activities to provide the services defined in this statement of work shall comply with all Commonwealth and DPW security policies, and applicable federal regulations and guidelines (if any) related to security and confidentiality. The Contractor must meet all privacy and security requirements defined in the Health Insurance Portability and Accountability Act (HIPAA) regulations, including:

- Automatic Data Processing Physical Security and Risk Management (FIPS PUB 31)
- Computer Security Guidelines for Implementing the Privacy Act of 1974 (FIPS PUB 41)
- Guidelines for Security of Computer Applications (FIPS PUB 73)
- Federal Regulations at 45 CFR 95.621
- HIPAA laws and regulations
- IRS Publication 1075

The Contractor must take specific steps to ensure that Protected Health Information (PHI) is protected and that all of the applicable provisions related to HIPAA are complied with. Sensitive, confidential and PHI electronic data that is transmitted or emailed must be appropriately encrypted and secured.

C.1 DPW Responsibilities

DPW responsibilities include:

- Monitor the Contractor's security administration and perform periodic audits
- Review and approve deliverables
- Conduct audits as required

C.2 Contractor Responsibilities

The Contractor additional responsibilities include:

- Implement the system safeguards and controls and the manual procedures required to ensure that all of the data and files are protected from unauthorized access or disclosure
- Dispose of documents and other media containing sensitive, confidential, Personally Identifiable Information (PII) and PHI in an appropriate manner

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- Implement the physical safeguards required to protect the Contractor's facility from unauthorized access and minimize the risk of damage from fire, water, and other hazards or disaster
- Support Security audits as required
- Provide Security Incident Reports if a security incident happens within the Contractor's purview

D. Interaction and Coordination with Other Commonwealth Contractors and Commonwealth/DPW Staff

The Contractor will develop a strong working relationship and work in a spirit of collaboration and cooperation with Commonwealth and DPW Staff, and possibly with Commonwealth/DPW contractors. The Contractor must interact and coordinate successfully with DPW staff and contractors to pick-up the required responsibilities and to turnover responsibilities at the contract's conclusion. The Contractor shall not commit or permit any intentional act that may interfere with the performance of work by any other contractor of the Commonwealth/DPW or its staff.

E. Commonwealth Information Technology Policies and DPW Business and Technical Standards

E.1 Information Technology Policies. The Contractor must provide services to comply with Information Technology Policies (ITP's) issued by the Office of Administration, Office for Information Technology (OA-OIT). ITPs may be found at:

<http://www.portal.state.pa.us/portal/server.pt?open=512&objID=416&PageID=210791&mode=2>

E.2 DPW Business and Technical Standards. Contractor's Services must comply with DPW Business and Technical Standard found at:

<http://www.dpw.state.pa.us/provider/doingbusinesswithdpw/busandtechstandards/index.htm>

F. Personnel

The Contractor must provide sufficient personnel in number and with qualifications needed to provide the required services and meet the agreed upon performance standards and service level agreements. The Contractor will assign Wayne Bear, Exec Director JDCAP to serve as the Project Manager.

The DPW Contract Administrator may request that the Contractor remove one or more of its staff from this project at any time. In the event that a staff person is removed from the project, the Contractor will have ten (10) days to fill the vacancy with staff acceptable in terms of experience and skills, subject to the Contract Administrator's approval.

The Contractor must provide notice of proposed diversion or replacement of the project manager to the DPW Contract Administrator at least thirty (30) calendar days in advance and provide the name, qualifications and background check of the person who will replace the diverted or removed staff. The DPW Contract Administrator will notify the Contractor within ten (10) calendar days of the diversion notice whether the proposed diversion is acceptable and if the replacement is approved.

The Contractor must provide a minimum of a fourteen (14) calendar day period in which both the diverted and new project manager provide services under this contract at no additional charge to the Commonwealth.

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Advance notification and the fourteen day period of overlap is not required when the project manager replacement is due to resignation, death or disability, dismissal for cause or dismissal as a result of termination of a subcontract or any other cause that is beyond the control of the Contractor or its subcontractor. DPW must approve the replacement project manager and receive the same documentation. Replacement of the project manager whose availability changes for reasons beyond the control of the Contractor must occur 1) on a temporary basis within one week of the availability change and 2) on a permanent basis no longer than 30 calendar days from the availability change.

G. Manufacturer Maintenance and Support Requirements

G.1 DPW Responsibilities

DPW responsibilities include:

- Approve any software updates prior to implementing in production.

G.2 Contractor Responsibilities

The Contractor will:

- Provide product support which includes technical support via telephone and e-mail.
- Monitor problem resolution objectives, which will be complemented by incident escalation and management intervention procedures to ensure that the SLA performance targets are met or exceeded.
- Provide ongoing software updates for the proposed solution, as they become available and are thoroughly tested; such updates may include bug fixes, patches and other improvements.
- Provide Commonwealth with advance notification of any pending software updates and obtain Commonwealth approval prior to implementing in production.
- Provide updated user documentation, training materials and necessary training to Commonwealth train the trainers if required.

Note; For purposes of this statement of work, the Contractor as the owner and creator of the CJ-UCM is considered to be the manufacturer.

H. Communications Management

The Contractor shall be responsible for communications management to include but not be limited to change request tracking, approvals process, and communication plan.

I. Quality Assurance

The Contractor shall be responsible for quality assurance of the hosted system services.

J. Price Quote

Payments under the contract resulting from this statement of work will only be made for deliverables upon successful completion and acceptance of the deliverable.

The Contractor shall provide their price quote for the deliverables and blended hourly rate in accordance with **Appendix H: Pricing Matrix**.

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IV. Tasks

The Contractor will engage in project planning and preparation activities and perform analysis as necessary to properly configure and size the management information and incident reporting system solution. The Contractor will then configure the proposed solution to meet BJJS requirements, perform electronic conversion of data from the existing AIIRS system to the solution where requested, and thoroughly test the new solution. The Contractor will be responsible for any additional tasks and milestones identified in the project work plan. All plans and/or reports must be provided in a file type and format agreed to by DPW.

This effort will include, but may not be limited to, the following tasks:

A. **Task 1: Orientation and Knowledge Acquisition (OKA)**

The Contractor will participate in Orientation and Knowledge Acquisition (OKA), which refers to those activities, conducted immediately following the contract Effective Date in order to complete preparations in order to provide the required project services. Activities may include meeting with project stakeholders, gathering information, and for the Contractor to prepare their personnel assigned to this project. The OKA phase must **be completed within three (3) weeks of final contract approval**.

In order for the OKA task to reach a successful conclusion, the Contractor must become capable of performing the work activities of the remaining tasks (excluding Turnover) by the end of the OKA phase.

DELIVERABLE 1: Comprehensive Contract Management plan including activities required to provide the contracted services throughout the life of the contract.

A.2 DPW Responsibilities

DPW responsibilities include:

- Provide access to Commonwealth facilities, personnel, systems, documentation, and other items under its control, and coordinate with and access to third parties as required for the Contractor to perform the OKA activities
- Identify Commonwealth key contacts, project team members and other project stakeholders
- Coordinate kickoff related activities
- Provide agreed-upon levels of active participation (of the business staff, technical staff, and management, as applicable) in OKA discussions and work sessions
- Facilitate Stakeholder engagement in the OKA execution process
- Ensure OKA takes place in a spirit of partnership and in a cooperative manner
- Review, and approve, disapprove or request modification and resubmission of the Contract Management Plan

A.3 Contractor Responsibilities

The Contractor will:

- Provide sufficient resources and time to successfully complete all OKA phase activities
- Participate in OKA in a spirit of partnership and in a cooperative manner
- Provide weekly status updates

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B. Task 2: System Hosting, Manufacturer Software Maintenance and Support and User Account Tools

DELIVERABLE 2: Provisions for hosted system access, manufacturer software maintenance and support

B.1 System Hosting

DPW anticipates it will have up to 460 users of the BJJS Management Information and Incident Reporting System.

The monthly user support fees will be based on the total number of active user accounts at the beginning of each month.

B.2 Manufacturer Software Maintenance and Support

The Contractor shall perform all manufacturer software maintenance and provide system support needed so that the management information and incident reporting system solution remains accessible, operational and meets the requirements of this SOW. The Contractor shall submit a Monthly SLA report as described in section V Reports and Project Control.

Note; For purposes of this statement of work, the contractor as the owner and creator of the CJ-UCM is considered to be the manufacturer.

B.3 User account Tools

DPW will have overall and primary responsibility for user account management. DPW will setup an internal process and assign individuals to perform user account adds, changes and deletes. The Contractor will provide the administration access and CJ-UCM system specific tools needed by DPW's user account managers to perform these functions. The Contractor will possess overarching administration access rights and serve as backup for DPW's user account managers only if needed under urgent circumstances.

C. Task 3: Project Work Plan and Requirements Management

The Contractor will prepare and submit a project work plan, and after receiving approval from DPW's contract administrator, will commence to execute the project work plan.

The Contractor shall accommodate potential changes in the actual activities, subtasks and deliverable requirements that may be attributed to project needs or other circumstances that may occur throughout the life of this contract.

DELIVERABLE 3: Initial Project Work Plan (updated periodically)

DELIVERABLE 4: Requirements management plan

DELIVERABLE 5: As-is and To-be assessment

DELIVERABLE 6: Finalized requirements document and Traceability Matrix

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C.1 Project Work Plan

The Contractor will submit an initial project work plan which describes the activities and timeframes for completion of the project, the activities and sub-tasks, milestones, deliverables and required resources (Commonwealth, Commonwealth contractor and the Contractor). The Contractor shall periodically update and resubmit the project work plan throughout the project, as needed by the DPW.

C.2 Requirements Management

The Contractor must track and manage all requirements, including the verification of those identified by BJJS as well as the discovery of additional ones to ensure completeness. The Contractor must propose a process to track the individual requirements, number them, prioritize, and maintain the status of each.

This task must include joint sessions with Commonwealth staff. The overall goal of this task is to document the to-be state, prioritize requirements and create a set of finalized requirements. The Contractor shall develop a requirements traceability matrix which links requirements throughout the validation process. The purpose of the requirement traceability matrix is to ensure that all requirements defined for the system are reflected in the design and tested. As the design specifications and test plans and scenarios are developed, the Contractor will update the traceability matrix.

C.3 DPW Responsibilities

DPW responsibilities include:

- Assign appropriate DPW staff or contractor resources to this project and be available to participate in the activities defined by the approved project work plan
- Assign a DPW Project Manager/Lead
- Ensure participants are empowered to represent the program office

C.4 Contractor Responsibilities

The Contractor responsibilities include:

- Create and submit an overall project work plan to the DPW contract administrator for review and approval. Update the project work plan as required.
- Project management of activities for which the Contractor is responsible and coordination of project activities with the DPW project manager and the overall project plan

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D. **Task 4: CJ-UCM System Configuration, Testing and Implementation for three (3) core AIIRS Business Processes (Intake, Incident Reporting and Reporting), Business Processes beyond core AIIRS replacement, and Warranty period**

This task includes activities to configure, test and deploy the management information and incident reporting system solution including the (3) initial AIIRS business processes – Intake, Incident Reporting and Reporting, and additional business processes beyond the core AIIRS replacement and warranty periods.

DELIVERABLE 7: The Contractor's recommended solution configuration in the form of a detailed design document

DELIVERABLE 8: Configuration of the CJ-UCM system to incorporate the finalized requirements and preparation for user acceptance testing

DELIVERABLE 9: Test plans and scenarios, covering all aspects of system testing

DELIVERABLE 10: Successful migration and conversion of required data.

DELIVERABLE 11: Test documentation showing the successful results of all testing procedures, including all errors retested, and mitigation procedures.

DELIVERABLE 12: End user documentation

DELIVERABLE 13: Final configuration of the management information and incident reporting system solution and deployment into production, certified by DPW as having successfully met all of the agreed to requirements.

D.1 **Warranty Period**

The warranty period for deployed systems (including developed modules, modifications, maintenance and enhancements) resulting from the services described in this statement of work shall be ninety (90) calendar days following deployment into the live production environments.

During the warranty period, the Contractor shall be responsible for correcting any system defect(s) and non-conformity identified prior to or following deployment. DPW may extend the warranty period if additional time is needed to ensure acceptable correction and full resolution of all defects/non-conformities. No payment(s) will be made to the Contractor for task activities or deliverables under the warranty period resulting from defect(s)/non-conformity(ies) identification, correction and reporting.

Each defect and non-conformity will be assigned (either by the Contractor with DPW approval, or by DPW alone) a level of severity. The severity level is used to determine how quickly the defect and non-conformity must be resolved by the Contractor, as well as other required actions. DPW defines four (4) severity levels as follows:

- **Level 1 – Fatal:** These are defects and non-conformities causing failure of the complete software system, of a subsystem, or of a software unit so that no work or testing can be carried out as a result of the defect/non-conformity. One or more functions are severely broken, cannot be used, and there is no workaround.

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- **Level 2 – Major:** These are defects and non-conformities causing failure of the software system in whole or in part, but there is a processing alternative which would allow further operation of the system. One or more functions are badly broken, but there is a temporary workaround.
- **Level 3 – Minor:** These are defects and non-conformities causing the system to produce incorrect, incomplete, or inconsistent results, or the defect or non-conformity slightly impairs the system usability, but does not result in system failure.
- **Level 4 – Cosmetic:** These are defects/non-conformities causing no negative consequences for the system or business operations and do not prevent or hinder functionality.

The Contractor's required response to a defect/non-conformity is determined by the severity level as follows:

- **Level 1 (Fatal) and Level 2 (Major) Response:** DPW shall notify the Contractor upon identification of a Level 1 or 2 defect or non-conformity. If first identified by the Contractor, the Contractor shall notify the DPW contract administrator (or designee if the DPW contract administrator is unavailable) within 30 minutes of contractor identification of the defect or non-conformity. In addition to providing notification, the Contractor shall propose a corrective action plan and anticipated timeframe for resolution for the DPW approval. The Contractor must resolve Level 1 and Level 2 severity defects in the shortest timeframe possible, but no more than twenty-four (24) hours following identification unless otherwise agreed to by the DPW contract administrator.
- **Level 3 (Minor) Response:** Following identification or notification of the defect or non-conformity, the Contractor shall submit within three (3) business days a written corrective action plan including the anticipated timeframe for resolution to the DPW contract administrator. Upon approval, the Contractor must correct the defect or non-conformity within the approved timeframe.
- **Level 4 (Cosmetic) Response:** Following identification or notification of the defect/non-conformity, the Contractor shall submit within five (5) business days a written corrective action plan including the anticipated timeframe for resolution to the DPW contract administrator. Upon approval, the Contractor must correct the defect or non-conformity within the approved timeframe.

D.2 DPW Responsibilities

DPW responsibilities include:

- Manually perform data entry of current data into the new AIIRS modules for data conversion purposes where electronic conversion is not practical
- Prepare User Acceptance Test (UAT) plans
- Perform User Acceptance Testing (UAT) and provide operational certification of the system prior to deployment of the system or deployment of any new system modules or updates. DPW may utilize DPW contracted service providers to perform/support UAT activities.
- Review and approve all deliverables
- Attend walkthroughs, provide feedback
- Provide Go or No-Go deployment decision

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- Provide notification of system defects and non-conformities
- Confirm severity level of defects and non-conformities
- Discuss, review and approve proposed corrective action plan for defects and non-conformities

D.3 Contractor Responsibilities

The Contractor responsibilities include:

- Configure the CJ-UCM system according to the finalized requirements
- Provide data conversion by electronic methods where practical
- Perform systems testing (planning, execution, identify test/scenario errors, track, report and resolve) including unit, integration, system, and regression
- Support UAT testing by aligning test plans, strategies, systems environments, and resources to effectively test the system as well as record, track, and resolve defects/non-conformities
- Provide timely accurate test summary reports
- Walk through system test results with Commonwealth/DPW staff and consultants
- Conduct Systems Security Vulnerability Assessments and Load and Performance Testing
- Capacity Planning (i.e., Projections and Baselines) and validation based on testing outcomes and systems evaluations in applicable lower and live production environments
- Submit required deliverables in accordance with the project work plan, and guidelines for DPW contract administrator review and obtain approval
- Prepare end user documentation
- System Production Implementation/Deployment
- Defect and non-conformity management, resolution and reporting

E. Task 5: Training

DPW will provide trainers who will conduct end user training. The Contractor will develop training curriculum, training materials as needed, and conduct training sessions to train the trainers. The dates and time, number and location of train-the-trainer sessions will be determined by mutual agreement between the Contractor and the DPW Contract Administrator.

DELIVERABLE 14: Development of training curriculum and training materials such as workbooks, exercises and examples as well as handouts and aides.

DELIVERABLE 15: Train the Trainer sessions for DPW end user trainers

E.1 DPW Responsibilities

DPW responsibilities include:

- Identify and provide individuals who will be end-user trainers
- Review, approve, disapprove or request modifications to training curriculum and training materials

E.2 Contractor Responsibilities

The Contractor responsibilities include:

- Develop training session curriculum
- Develop training materials and end user documentation
- Conduct train-the-trainer sessions
- Provide assessment of the training effectiveness and lessons learned

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F. Task 6: Turnover

Prior to expiration or termination of the Contract, the Contractor shall cooperate with the Commonwealth and any subsequent contractor in any activities related to the turnover of data, information, records and documentation, and responsibilities to a new Contractor. All items must be provided in a format acceptable to the Department.

1. This shall include, but is not limited to, content migration and knowledge transfer activities. This shall include the transfer of all DPW data (including all data utilized by and input into the Management Information and Incident Reporting system), content, and attachments.
2. The Contractor shall provide all DPW data to DPW in a format that is acceptable to and agreed to by DPW. Data shall be provided in an XML based or a format that is considered industry-standard.
3. Upon successful return of the data to DPW and receipt of written authorization from DPW, the Contractor shall destroy, and certify in writing to the destruction of, all confidential information (and all copies of the information) per Commonwealth (OA-OIT) standards as described in the ITBs.

The Contractor must perform turnover services with minimal interruption of services and no adverse impact to system users and stakeholders. The Contractor shall collaborate with DPW and its designee to develop a comprehensive turnover plan and to actively support and execute this plan.

The Contractor will also provide access to key resources throughout the turnover Task. These key resources must be able to dedicate time to providing support as requested by their counterparts to answer questions, assist in planning various aspects of the Commonwealth and/or its designee's takeover plan, assist in identifying and resolving issues, and provide technical assistance in performing the turnover services.

DELIVERABLE 16: Preliminary Turnover Work Plan

DELIVERABLE 17: Final Turnover Work Plan

DELIVERABLE 18: All items, data and materials to be turned over

DELIVERABLE 19: Turnover Results Report

F.1 Turnover Work Plan and Turnover Results Report

The Contractor shall provide an outline of its proposed turnover approach in a preliminary turnover plan that is due within ten (10) business days after receipt of a request from the DPW contract administrator. The start and duration of the turnover period will be specified by the DPW contract administrator. The proposed approach must address how the Contractor will affect a material and knowledge transfer to the Commonwealth and its designees.

After the Commonwealth has reviewed the preliminary turnover plan, the Commonwealth may request modifications and a final turnover plan. The Contractor must provide an updated or final plan within (10) business days after receipt of the Commonwealth's request.

Following turnover of service delivery, the Contractor must provide DPW with a Turnover Results Report documenting the completion and outcomes of each step of the Turnover Plan previously approved by the DPW. Turnover will not be considered complete and final payment will not be made until the Turnover Results Report is received and approved by the DPW.

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F.2 DPW Responsibilities

DPW responsibilities include:

- Review and approve the Preliminary Turnover Plan
- Review and approve the Final Turnover Plan
- Conduct regular turnover status meetings

F.3 Contractor Responsibilities

The Contractor responsibilities include:

- Prepare Preliminary Turnover Plan at direction of Commonwealth and submit plan to the Commonwealth for approval
- Prepare Final Turnover Plan at direction of the Commonwealth and submit plan to the Commonwealth for approval
- Execute the approved Final Turnover Plan in cooperation with the Commonwealth and contractor staff to ensure a smooth turnover of all responsibilities
- Make key resources available throughout Turnover Phase as required

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V. Reports and Project Control

The Contractor shall set up a project management structure and employ management methods to ensure that all of the required services are timely delivered and meet the performance requirements of this contract. The Contractor will use an approach that facilitates open and timely communication with DPW.

The Contractor's contract management function must include:

- Project management including development and maintenance of detailed work plans and status tracking
- Formal status reporting procedures and schedule
- Management and oversight of subcontractor (if any) activities
- Provisions for interfacing with other Commonwealth contractors as needed
- Personnel management functions
- Risk assessment and a process for mitigating risks
- Performance measuring, monitoring, and reporting

Where appropriate, the use of automation to facilitate these activities is encouraged. All work plans must be provided to the Department in both hard and electronic formats.

The Contractor will attend DPW meetings as directed and support these meetings as required which may include participating in brainstorming and planning activities, providing consultation and technical assistance, resolving issues, providing written status reports, documenting the meetings, providing draft and final minutes, and assist in preparing agendas and other meeting materials.

The Contractor must, at its own expense, make all records available for audit, review, or evaluation by the Department, its designated representatives or federal agencies. Access shall be provided either on-site, during normal business hours, or through the mail. During the contract and record retention period, these records shall be available at the Contractor's office location in Dauphin County, PA.

A. Work Order Process

DPW will utilize a work order process to define the scope, deliverables, hours and cost, and authorize the contractor to perform billable work for the business processes beyond the AIIRS replacement processes of 1) Intake, 2) Incident Reporting, and 3) Reporting.

Each approved work order will constitute the contractor's authority to begin work on the approved work order. The contractor may be required by the DPW contract administrator to provide input, recommendations or submit a proposed work order for review and approval. After reviewing the proposed work order, the DPW contract administrator may enter discussions and request modifications. Approved work orders will become part of this contract through the change order process.

B. Work Product and Contract Artifact Submission to DPW

The Contractor must deliver all work products to the DPW contract administrator. All deliverables, reports, analyses and contract artifacts must be submitted in compliance with the **DPW Deliverables Management Process Guideline** located in the **Business Domain** of the DPW BIS Business and Technical Standards at:

<http://www.dpw.state.pa.us/provider/doingbusinesswithdpw/busandtechstandards/index.htm>

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C. DPW Responsibilities

DPW responsibilities include:

- Oversee and monitor contract performance and compliance
- Review and approve deliverables
- Provide a project manager, implementation team and subject matter experts to work with the Contractor.
- Participate in regularly scheduled status meetings and conference calls held at least weekly throughout Task 3
- Review draft and final status meeting and conference call notes and minutes, and provide comments in a timely manner
- Define the desired content, format, frequency, and media for reports and documentation
- Conduct contract monitoring and issue contract monitoring reports

D. Contractor Responsibilities

The Contractor responsibilities include:

- Develop and maintain detailed project work plans, track and report project status
- Establish and manage project baseline and critical path analysis
- Review communications plan and strategy with DPW and modify as required
- Provide written status reports per agreed upon schedules
- Participate, and lead DPW meetings, as requested and provide status on project activities and facilitate meeting, as requested
- Provide open and timely communication of status and issues to the Commonwealth through formal and informal means including project status dashboard(s) that provide overall status, key risks and issues
- Risk/Issues Management
- Monitor and report on variances to project scope and schedule based on predefined thresholds
- Attend DPW governance meetings (such as Steering or Project Team; Project Status meetings, etc.) as directed and provide status on project and activities; and facilitate as directed
- Provide draft minutes by noon on the 2nd day following the meeting for project status meetings
- Update draft minutes with comments and provide at next scheduled meeting
- Assist in preparing meeting agendas and materials as needed
- Identify, track, and resolve issues relating to this contract
- Develop and implement procedures for measuring, monitoring and reporting performance
- Develop and implement quality assurance procedures
- Ensure the accuracy of all reports; this includes calculations and completeness of data used as input
- Maintain complete, up-to-date user and system documentation
- Respond to and correct issues that have the potential to cause harm
- Make recommendations on any area in which the Contractor believes improvements can be made
- Participate in both scheduled and ad hoc discussions to resolve data issues and discrepancies
- Prepare explanations and materials for discussion as related to action items assigned to the Contractor
- Adhere to agreed upon timeframes
- Retain logs and data files as defined by Commonwealth retention and retrieval standards
- Implement policies and procedures to be compliant with PHI/PII regulations
- Maintain accounting and other records related to this contract and make available to the Commonwealth as required
- Provide high-level estimates of schedule and level of effort for potential changes and enhancements

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- Support all audits, as required
- Complete requests for information, report, and/or queries in a timely manner
- Prepare and conduct a contract and project meeting as needed with the DPW contract administrator
- Submit corrective action plans to DPW contract monitoring report deficiencies within ten (10) business days of receiving monitoring report or such other time as agreed to by DPW
- Deliver requests for information, report, and/or queries to DPW personnel within two (2) business days of the initial request or as agreed upon
- **Monthly SLA report** – Provide a monthly SLA report within five (5) business days of month's end. Report must provide statistical data to track compliance with the SLA.
- **Problem Identification Reports** – The Contractor will be responsible for tracking and reporting any problem areas and changes required. Submitted as required, the report should describe the problem and its impact on the overall project and on each affected task; list possible courses of action with advantages and disadvantages of each, including options provided by the Contractor and rationale supporting each option.