

**OHIO ATTORNEY GENERAL'S OFFICE
REQUEST FOR PROPOSALS**

AGO DOCUMENT AND RECORD MANAGEMENT SYSTEM

Sealed Proposals must be received by:

**Ohio Attorney General's Office
Information Technology
150 East Gay Street, 20th Floor
Columbus, Ohio 43215**

On or before:

Mar 14, 2012 at 1:00 PM eastern standard time

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SECTION 1.0 RFP OVERVIEW

1.1 Purpose

This Request for Proposals (“RFP”) is issued by Ohio Attorney General Mike DeWine’s Office (“AGO”) to solicit responses from companies with the ability to provide a document and record management system and its associated services for the AGO’s offices and staff.

The AGO is issuing this RFP to obtain high quality computerized systems and services by utilizing the skills, creativity, experience, and knowledge of a company that specializes in document and record management systems.

1.2 Mission of the Ohio Attorney General’s Office

The AGO’s duties fall into three broad functions. First, the Attorney General is the lawyer for the State of Ohio and its departments, boards, institutions, commissions, and agencies. This office represents the legal interests of the state, provides legal advice when requested by our clients, engages in litigation on behalf of the state and defends the state when it is sued. The AGO is responsible for the collection of debts owed to the state.

Second, the office has enforcement authority in areas as empowered by the General Assembly. These areas include consumer protection, charitable solicitation, antitrust actions and organized crime.

Finally, the office works with local law enforcement agencies at their request and provides criminal justice support services through the Bureau of Criminal Identification and Investigation, peace officer training through the Ohio Peace Officer Training Commission and task force participation through Ohio Organized Crime Investigations Commission. At the invitation of local prosecutors, attorneys with the Office also serve as special prosecutors in criminal cases.

1.3 Business Need

In the last decade, changes in the rules regarding Electronically Stored Information (ESI) and eDiscovery have forced the legal industry to become increasingly dependent on technology. Many legal best practices now include applications for the organization, retention, and retrieval of electronic data. As a public entity, the AGO has a legal obligation to retain information created in-house or received from outside sources for predetermined periods of time.

It is clear that corporate entities and public organizations alike can be negatively impacted by failing to retain important documents. It is also true that failing to dispose of sensitive information in a timely fashion can create challenges to an organization. The AGO requires a system to make both processes more streamlined, effective, and efficient.

As a public entity, the AGO is subject to the Ohio Public Records Act. It is, therefore, necessary

to provide easy access to requested documents and provide a level of transparency to the people of the State of Ohio. The implementation of a document and records management system will go a long way in helping the AGO more easily accomplish both goals.

Major benefits of a Document Management System (DMS) and Records Management System (RMS) include the ability to easily locate current work product, and the ability to leverage information from other users. A robust DMS and RMS would also help safeguard the AGO against discovery-related litigation and court sanctions. A DMS and RMS will also standardize the way staff classify and file documents by automating the retention and disposition procedures. In addition, the use of current organizational technologies will help to reduce cost, improve efficiency and allow the AGO to stay competitive in the legal market.

In this context, by *document management system*, we are referring to a system that aids in creating, sharing, and organizing electronic documents in a collaborative environment. Document management systems typically include features such as version control, check in/out procedures, workflow, and powerful searching capabilities. In contrast, a *records management system* refers to a system that aids in tracking, retaining, and accessing both electronic and physical records. Records management systems typically include features such as robust intake processes, enforcement of retention schedules, and powerful searching capabilities. The two types of systems are often tightly integrated, because documents created in the document management component will frequently (but not always) become records tracked in the records management component. Conversely, many (but not all) of the electronic records will originate in the document management component. For this reason, we are issuing an RFP to address both needs simultaneously. The respondent may notice that the significant overlap in the feature set of the two types of systems is reflected in the questions found in the Requirements & Questionnaire (sheet 1 & sheet 2 in Appendix A.).

1.4 Timetable

RFP Release	February 13, 2012
Inquiry Period	Feb 13, 2012 through Mar 14, 2012
Deadline to Submit Proposals	Mar 14, 2012 by 1:00 PM Eastern time
Proposal Review	Mar 15, 2012 through Mar 29, 2012
Applicant Presentations, if any	Mar 30, 2012 through Apr 6, 2012
Contract Negotiations	Apr 9, 2012 through Apr 20, 2012
Contract Award	Apr 23, 2012 through Apr 30, 2012
Initial Contract Period	Commencing no earlier than May 1, 2012.

The AGO may, at any time and in its sole discretion, adjust the dates listed above. The AGO shall

incorporate any schedule changes or other amendments to the RFP according to the process identified in Section 2.2, Communications and Inquiries, for all to see.

While the RFP dates are subject to change, Applicants must be prepared to meet them as they currently stand. **Any failure to meet a deadline or make any objection to the dates for Contract performance may result in the AGO, in its sole discretion, refusing to consider the Applicant's Proposal.**

The AGO may, at any time and in its sole discretion, request additional information to assist in the review process, reissue the RFP requiring new Proposals from interested parties, or reject all Proposals if it determines that it is in the AGO's best interests to do so.

SECTION 2.0 SUBMISSIONS AND INQUIRIES

Applicants shall read all conditions set forth in this RFP for a full understanding of the RFP requirements.

2.1 Proposal Submission

One original and ten (10) conforming copies, in both paper form and electronic form on compact disks (CD or DVD), of the Proposal must be submitted no later than **Mar 14, 2012 at 1:00 PM eastern standard time**. Proposals shall be delivered to:

Ohio Attorney General's Office
Information Technology Services
150 East Gay Street, 20th Floor
Columbus, Ohio 43215
Attn: Diane Walker

An individual who is authorized to bind the Applicant to the provisions of the Proposal must sign the original Proposal in blue ink. Proposal responses must address all requirements of this RFP.

Proposals must be received at the above listed location by the appointed time to be considered. Proposals that are postmarked by the deadline date but not received by the AGO by Mar 14, 2012 at 1:00 PM EST shall be considered late. An Applicant that mails its Proposal must allow for adequate mailing time to ensure its timely receipt. Applicants must also allow for potential delays due to increased security or inclement weather.

Proposals received after 1:00 PM EST on Mar 14, 2012 shall be considered late and shall not be accepted or considered. Requests for extensions of the deadline date and time shall not be granted. Late Proposals will remain unopened and will not be returned. Incomplete Proposals not conforming to the format as listed in section 3, Format and Requirements, will not be accepted or considered and will not be returned. The AGO will reject late responses regardless of the cause for the delay.

It is essential that Applicants carefully review all elements in their Proposals. Once opened, Proposals cannot be altered, except as allowed by this RFP. The AGO may also reject any Proposal that it believes is not in its interests to accept and may decide not to do business with any of the Applicants responding to this RFP. Moreover, the AGO may decide to cancel this RFP for any reason, or issue another RFP, if it is in its best interests to do so.

The AGO shall not be liable for any costs incurred by an Applicant in responding to this RFP, regardless of whether the AGO awards any Contract(s) through this process, decides to cancel this RFP for any reason, or issues another RFP, if it is in its best interests to do so.

The AGO is not responsible for the accuracy of any information regarding this RFP that was gathered through a source different from the inquiry process described in the RFP.

The AGO prohibits multiple Proposals from a single Applicant.

2.2 Communication and Inquiries

From the date of release of this RFP until an Applicant is selected and a Contract executed, Applicants shall not communicate with any AGO staff and/or reviewer concerning this RFP, except by the methods described herein. The AGO may, in its sole discretion, reject the Proposal of an Applicant who attempts unauthorized communications with any member of the AGO staff.

Upon release of this RFP, Applicants may submit questions regarding the RFP in writing via email to DocumentManagementRFP@ohioattorneygeneral.gov. The questions and answers will be posted at <http://www.ohioattorneygeneral.gov/Services/Business/Requests-for-Proposals-and-Qualifications/Document-and-Record-Management-System-RFP/Questions-and-Answers>. After Mar 14, 2012, Applicants may not communicate any further questions regarding the RFP to the AGO.

The AGO reserves the right to clarify or modify the RFP through the issuance of written Amendments. Such Amendments may set forth changes including, but not limited to, modifications, additions to, or deletions of, any of the requirements and specifications set forth in the RFP. Copies of any such Amendments shall be posted at <http://www.ohioattorneygeneral.gov/Services/Business/Requests-for-Proposals-and-Qualifications/Document-and-Record-Management-System-RFP/>, no later than Mar 14, 2012.

2.3 Public Record Information

The AGO agrees to give prior notice before disclosing any specific information that Applicant has previously identified as a proprietary trade secret. In the event that a person seeks that information through a public records request, AGO will notify Applicant in the course of AGO's legal review to give Applicant an opportunity to establish to the satisfaction of the AGO that the information constitutes a proprietary trade secret that is exempt from disclosure under the Public Records Act. If the AGO does not find that the information constitutes a proprietary trade secret, AGO will notify Applicant of its intention to disclose the information in accordance with the

law. Applicant may choose to seek appropriate legal action, including injunctive relief, to prevent disclosure of the information at issue.

If, after a request for disclosure, litigation is brought attempting to compel production of the material or to protect the materials from production, Applicant shall be solely responsible, at its own costs, for establishing the basis for non-disclosure of the information. If an appropriate tribunal determines that the information must be disclosed or fails to protect the information from disclosure, the AGO will release the material and Applicant shall indemnify and hold the AGO harmless and immune from any and all claims for injury or damages arising out of the litigation including, but not limited to, attorneys' fees.

SECTION 3.0 FORMAT AND REQUIREMENTS

3.1 Proposal Format

Proposals must be double-spaced on 8½-inch by 11-inch paper with one-inch margins, and must include the RFP identification number on each page of the Proposal.

3.2 Cover Letter

The cover letter shall be in the form of a standard business letter, on company letterhead. The letter shall list the name, telephone number and email address of a contact person with authority to answer questions regarding the Proposal and an individual to be notified regarding contractual issues, should that person be different from the person with authority to answer questions regarding the Proposal. The cover letter shall also state that the Applicant will undertake the project stated in the Proposal at the cost stated in the Proposal, and shall be signed by an individual authorized to legally bind the Applicant.

3.3 Proposal Content

Proposals are to be prepared in such a way as to provide a straightforward, concise description of Applicant's capabilities to satisfy the requirements of this RFP. Emphasis should be on conformance to the RFP instructions, responsiveness to the RFP requirements, completeness and clarity of content. Costs for developing Proposals are entirely the responsibility of the Applicant and shall not be chargeable to the AGO and/or the State of Ohio. Errors or omissions may cause rejection of the Proposal. Proposals from Applicants must agree to all conditions contained in this RFP and must provide sufficient information to fully establish the Applicant's ability to satisfy all requirements and perform all of the actions, activities and functions described in this RFP.

The Proposal shall contain at least the following information:

- A cover letter addressing the information described in Section 3.2.
- Complete applicant profile as requested in section 6.0.
- A summary and statement of understanding of the Scope of Work described in Section 4.0.
- The structure of the organization along with resumes of staff to be assigned to this project.
- If appropriate, reconciliation between the prices as bid and the Applicant's State Term Contract, demonstrating that the prices as bid are no higher than the prices listed in the State

Term Contract.

- The Applicant shall designate a client service representative to communicate with the AGO. Indicate how you will fulfill this requirement.
- Fixed prices for each individual item listed in Section 4.0, Scope of Work.
- For any proposed hardware, a detailed specification of the hardware, quantity of each piece of the hardware, unit price of each piece of the hardware, and a total price of all hardware needed for the project. The AGO has the option to purchase needed hardware from the Applicant or provide its own through other means.
- For any proposed software, a detailed functional description of the software modules and quantity of each of the software modules, unit price of the software modules, and a total price of the software.
- For any proposed software modification or customization, a detailed functional description of the software modification or customization, unit price of the software modification or customization, and a total price of the software modification or customization.
- For any proposed services, a detailed description of each of the services, duration of each of the services, hourly rate for each of the services, and a total price of the services.
- For the proposed Solution, clearly indicate which components (hardware, software and services) are mandatory or optional.
- A detailed implementation plan to accomplish the work specified in Section 4.0, Scope of Work.
- The fixed cost figures should indicate whether they include the addition, at no extra charge, of new materials and/or services as they become available. Conversely, indicate what discount, if any, would apply for these additional material and/or services.
- Applicant should indicate any additional benefits and/or discounts, if any, that would apply for any other relevant services Applicant provides, including, but not limited to, any paper-bound books.
- The cost shall be divided into two major sections: initial implementation (including, but not limited to, hardware/software/training/service) cost & ongoing yearly maintenance cost, if the Applicant keeps being engaged, with line items details as described in the bullet items of this section.
- Proof of insurance.
- Responses to questionnaire in appendix A.

The Proposal shall not contain any legal terms or conditions of any contract arising out of the RFP. Pursuant to Section 7.1, Applicant Warranties and Certifications, any contract arising out of the RFP shall be in a form provided by the AGO and the Applicant shall negotiate such contract in good faith.

SECTION 4.0 SCOPE OF WORK

4.1 Existing Environment

The following is a list of existing and expected environmental considerations. This list is for informational purposes only and should not be considered exhaustive. Applicants are encouraged to utilize the inquiry process described in Section 2.2 to gather any specific existing environmental information required for the preparation of their Proposals.

1. Ultimately the Document and Record Management System will be rolled out across the AGO enterprise which consists of approximately 13 locations around the State serving more than 1500 employees.
2. The existing platforms are Windows/Intel and Unix, with a preference for Windows/Intel.
3. Available databases include MS SQL Server and Oracle, with a preference for MS SQL Server.
4. The AGO email system is Outlook/ Exchange.
5. In-house development choice is .Net framework.
6. Microsoft SharePoint licenses are available for the entire AGO.
7. IBM Content Manager 8.4.3 running on DB2 database is being used by a number of sections within AGO.
8. The AGO currently uses the Lexis Nexis document review tool Concordance for eDiscovery.
9. The Document and Record Management System will be expected to handle one million items per month and is preferred to integrate with or sit on top of IBM Content Manager.
10. The Office is moving into the direction of virtualization. It is expected that, by the time of the deployment of DMS/RMS, part of the backbone infrastructure/environment of AGO will be built upon VMware. And it is preferable that the proposed solution be able to integrate with and make the most of a virtualized environment.

4.2 Scope of Work

As part of the proposal, the Applicant must indicate how the following tasks, or comparable materials, are included in the implementation of the document management and records management solutions.

Milestone 1: Project Management

The AGO will provide oversight for the entire Project, but the Contractor shall provide overall project management for the tasks under this Contract, including the day-to-day management of its staff. The Contractor also shall assist the AGO with coordinating assignments for AGO staff working on the Project. Additionally, the Contractor shall provide all administrative support for its staff and activities. The project management methodology used by the Contractor should include industry best practices and the functions of the nine (9) Project Management Knowledge Areas contained in the Project Management Institute's Project Management Body of Knowledge (PMBOK). Throughout the Project, the Contractor shall employ ongoing project management techniques to ensure a comprehensive Project Plan is developed, executed, monitored, reported on, and maintained. The Contractor is expected to create the Project Schedule and provide the updated schedule to the AGO PMO weekly on Monday Mornings.

The Contractor shall provide one fulltime Project Manager throughout the Project lifecycle. This Project Manager shall work at the primary project site or at the AGO site as requested by the Attorney General's Office. The Contractor shall employ the proposed Project Manager as a regular, fulltime employee on the Proposal submission date and throughout the term of the Contract, including all renewals of it.

The Contractor shall create all project management deliverables initially and update them as needed throughout the lifecycle of the Project.

The Contractor shall be responsible for bringing printed copies of project documentation for participants to all meetings.

Kick Off

Kick Off Meeting. The Contractor and the Attorney General's Office shall conduct a kick-off meeting within five working days of when a start date has been established.

Manage Staff. The Contractor shall provide the day-to-day management of its staff and project activities, tasks, and deliverables in accordance with the approved project work plan and project schedule. The Contractor shall have primary responsibility for the successful completion of project activities, tasks, and deliverables and the transfer of knowledge to AGO staff. The Contractor shall provide administrative support for its staff.

Update Project Schedule. The Project schedule submitted with the Contractor's Proposal shall be updated and submitted in electronic and paper form to the AGO for approval within 14 calendar days of the work start date. The revised project schedule will become the Contractor's baseline plan to fulfill the Contract. The Contractor shall use Microsoft Project latest version as the automated project management tool for the maintenance and presentation of the project schedule during the project.

The project schedule must be formally updated in conjunction with the weekly and monthly reporting requirements throughout the project.

Project Communication Plan

As part of the Project management task, the Contractor must develop a Project communication plan that ensures timely and appropriate generation, collection, and dissemination of Project information. This includes the communication protocols and procedures for reporting to AGO regarding Project issues, changes via the Change Management Board, work activities, tasks, and Deliverables. The Contractor must detail its procedure for assuring effective Project management activities, specify all Project management activities and responsibilities, and quantify how project progress will be measured and controlled in the communication plan. All materials generated as a result of the communication plan must be turned over to AGO upon acceptance.

Software Development Plan

The Software Development Plan is a comprehensive plan that gathers all information required to manage the Project from a software development perspective. This plan shall be developed using the Contractor's proposed methodology, provided with the updated project schedule, and updated as necessary. It shall describe the approach to the development of the software, and be designed as the top-level plan developed and used by managers to direct the development effort. It shall provide the Project Manager with the tools needed to plan the project schedule and resource needs, as well as track progress against the schedule. This plan shall provide to project

team members an understanding of what they need to do, when they need to do it, and what other activities they are dependent upon.

Artifacts that shall be included in the Software Development Plan are (but are not limited to):

- Requirements management plan
- Risk management plan
- User-interface guidelines
- Design guidelines
- Test Guidelines
- Infrastructure plan
- Configuration management plan
- Documentation plan
- Quality assurance plan
- Problem resolution plan

Change Management Plan

The Contractor shall work with AGO to develop a change management plan that establishes the change management roles and responsibilities, polices, guidelines, processes, and procedures necessary for controlling and managing the changes during the life of the new system. Any alteration or modification shall be considered a change only after the JAD session and design documents have been finalized. Changes may be based on scope (both technical and functional), cost, or schedule. The change management plan shall specify how changes are identified, defined, evaluated, approved, and tracked through completion. This plan shall also identify responsibilities and define the composition, function, and procedures for the Change Management Board.

Change Control Process

The Contractor shall work with AGO to provide a change control process within the Change Management Plan. Change control is the formal process for identifying the impact of any proposed change or correction that would modify scope, deliverables, timeframes, or resource allocations, and for determining the disposition of the proposed change or correction. The Contractor should show the impact to the overall project schedule resulting from any proposed change.

The change control process could be initiated by events such as the following:

- Changes in Federal and/or State legislation
- Changes introduced by an external source (e.g. Third Party Vendor, Special Counsel, and AGO Clients)
- Changes in AGO business processes or policies
- New business requirements

The Contractor shall work with AGO to implement and follow a change control process that will:

- Span the entire Project life cycle;

- Incorporate a formal change order process that:
 - Provides a clear scope of what is included and excluded from each change order request;
 - Delineates the system downtime required to implement any changes, if appropriate;
 - Requires the successful completion of regression testing before the implementation of the change;
 - Incorporates multiple levels of priority for change orders (e.g., critical, must-have, desired, etc.);
 - Supports the change control process by estimating impacts, investigating solutions, identifying alternatives, inputting appropriate information into Project tracking tools, participating in the decision-making process, and implementing the agreed-upon solution; and
 - Provides and maintains a fully documented and automated change request tracking system for change order requests that is compatible with AGO technology. The automated change request tracking system must provide the following at a minimum:
 - Control to monitor change orders
 - A process for reporting the status of all change requests
 - The ability for AGO to set and change priorities on individual change requests
 - A method for AGO to determine the estimated and actual hours allocated to each change request, and the personnel assigned to each request
 - A method to schedule a completion date provided by AGO for each change request.

Change Order Budget

If AGO determines that it has additional requirements, which are not specified in the RFP or addressed in the Contractor's Proposal, the AGO Project Manager may approve a modification to the Contract for implementation and support of the additional requirements using the management reserve. The Contractor shall use the approved change control procedures when using the management reserve. AGO use of the management reserve will be limited to changes required to comply with Federal or State regulatory requirements or AGO policies. The total change request budget shall not exceed 20% of the total project cost. The approved change control procedures and the Changes provision described in the Changes Section, under Section 10 of the RFP must be used to address changes that are not based on State or Federal regulatory requirements.

On a monthly basis, the Contractor shall submit a written report to the AGO Project Manager showing the number of management reserve changes implemented and total dollars expended using the management reserve. The Contractor shall bill AGO according to the agreed to price for the change(s).

Personnel Interface Matrix

The Contractor shall work with the AGO Project Manager to produce an AGO Personnel Interface Matrix identifying the AGO resources by competence categories that are required to meet the requirements of the Project Plan. The project schedule should be the driving force on creating the personnel interface matrix. This matrix is to be revised and published weekly projecting resource needs by date ranges three (3) months forward. The first AGO Personnel Interface Matrix shall be published within fourteen (14) calendar days of the work start date in conjunction with the Updated Project Schedule.

Project Plan Baselines

The Project Plan Baseline shall be established in the early stages of the Project by the Contractor's & AGO's Project Manager. Once established, the baseline may only be modified through the Change Management Board process. The approved baseline shall be used for all Project metrics reported on a weekly status reporting schedule.

Governance Model

The Contractor shall work with the AGO Project Manager to produce a project Governance Model identifying key resources on the project. In addition, the Governance Model will identify the roles and responsibilities of each of the key resource on the project. The Governance Model should include the Executive Steering Committee (ESC), Project Management Team (PMT), and the Change Control Request Board (CCRB).

Reporting and Status Meetings

The Contractor must provide periodic reporting and attend status meetings. The weekly status reports, monthly status reports and project schedules do not require a deliverable review cycle. All electronic status reports must be stored in a project repository, which provides an automated system that ensures version control, indexing, and storage of all communications media, and must be accessible by the AGO staff.

Weekly Meetings: Throughout the Project, the Contractor's Project Manager and pertinent primary Project staff shall attend weekly meetings with the AGO Project Manager and other members of the Project.

Weekly Status Reports: The Contractor shall provide electronic status reports on the Project, which are due to the AGO Project Management Team at least 24 hours before each weekly meeting. Weekly status reports shall contain, at a minimum, descriptions of the following:

- An Executive Summary;
- Any issues encountered and their current disposition;
- The results of any tests;
- Whether deadlines were met;
- Any issues that need to be addressed before proceeding to the next task;
- Anticipated tasks to be completed in the next week;
- Tasks percentage completed between 0% and 100% in increments not greater than 25%, unless otherwise mutually agreed upon between the AGO and the Contractor;
- Updated Project schedule;
- Weekly project metrics (i.e. schedule performance index, cost performance index, schedule variance percent);

- A list of all change requests;
- Updated risk and mitigation planning; and
- Status of open issues.

The Contractor's proposed format and level of detail for the status report will be subject to the AGO approval.

Monthly Status Reports: The Contractor shall submit an electronic status report, which is due to the AGO Project Manager by the close of business, the second working day following the end of each month during the Project. Monthly status reports must contain, at a minimum, the following:

- A complete set of updated and current output from the Microsoft Project 2002, including an updated Gantt chart, along with a copy of the corresponding Project schedule files in electronic version;
- A description of the overall completion status of the Project in terms of the approved Project schedule;
- The plans for activities scheduled for the next month;
- The Deliverable status, with percentage of completion and time ahead or behind schedule for particular tasks;
- Identification of Contractor employees assigned to specific activities;
- Problems encountered, proposed resolutions, and actual resolutions;
- A list of all change requests;
- An analysis of risk anticipated, proposed mitigation strategies, and resolved risks;
- Any updates required in the change management strategy;
- Testing status and test results; and
- Proposed changes to the Project schedule, if any.

Contractor Deliverables

The Deliverables to be produced by the Contractor for the Project Management Task shall include the following:

1. Updated project schedule
2. Project communication plan
3. Communication materials
4. Software development plan
 - Requirements management plan
 - Risk management plan
 - User-interface guidelines
 - Design guidelines
 - Test guidelines
 - Infrastructure plan
 - Configuration management plan
 - Documentation plan
 - Quality assurance plan
 - Problem resolution plan
5. Change management plan
6. Personnel interface matrix
7. Project plan baselines

8. Governance Model
9. Weekly status reports
10. Monthly status reports

Milestone 2: Systems Analysis and Design

AGO believes that a controlled, phased approach by functionality will provide significant value to the AGO, keep stakeholder commitment and enthusiasm high throughout the Project and make the Project more manageable. All requirements are to be developed and designed for development and testing by the Contractor. The design shall be based on an understanding of AGO requirements. The design shall cover the hardware, software and services that can support the entire AGO enterprise. Several sections of the AGO currently use IBM Content Manager for the intake and storage of documents. In most cases the intake consists of scanning hard copies into Content Manager for storage and retention. Each of these sections has Content Manager integrating into other AGO proprietary applications. Applicants may wish to consider these workflows and application integrations into the design. The Deliverables from this task shall be developed according to the approved detailed Software Development Plan developed in Milestone 1, and shall be consistent with the agreed upon standards. The major objectives of the System Analysis and Design task are as follows:

- Ensure that the Contractor has a thorough, detailed understanding of the document & record management operations and its business requirements
- Validate and refine the business requirements specified in this RFP (Attachment 1 – Business Requirements) and supporting documents with AGO staff
- Industry based, open architectural standards
- Modular components
- Relational database
- Web and real-time processing
- Rules Engine management
- Data privacy, security, and integrity with access limited by staff role
- Interoperable systems that support e-communication and processing between systems
- Elaborate and document the requirements of the solution
- Support and participate in requirements management
- Document the analysis & design of the solution

Contractor Responsibilities

The Contractor shall perform a detailed review and analysis of all the requirements provided in Supplements of the RFP and develop the detailed specifications required to construct and implement the solution. The Contractor shall complete activities consistent with its proposed phased approach by functionality to accomplish the task objectives and meet all RFP requirements. The AGO prefers methodologies that allow the Attorney General’s Office multiple opportunities to validate requirements and design. For this reason, a phased approach by functionality must be used in the development of the application. The Contractor shall ensure that the technical system requirements are continually updated in the RSD and the DSD documents. The Contractor shall ensure the Business Architecture is in alignment with changes at the State and Federal level. This includes a desire to view rapid prototypes of requirements

and design concepts, screens, content, and application flow. Prototypes do not necessarily need to become operational or be reused during development. Workflow and performance simulation within the design is also preferred. At a minimum, completion of this task must include the following activities:

Review, Validate and Refine Requirements

The Contractor shall thoroughly review, validate, and update, if necessary, all requirements specified in the supplements of this RFP. In addition, the Contractor shall work with AGO staff to fully understand the scope, purpose, and implications of each requirement.

The Contractor shall thoroughly review all appropriate Ohio and Federal programs and policies. The Contractor may reference the Ohio Revised Code (ORC), Ohio Administrative Code (OAC), and other associated documentation as it pertains to document & record management.

Construct Requirements Specification Document (RSD)

The Contractor shall develop a System Requirements Specification Document. This System Requirements Specification Document shall include system functional, and non-functional requirements (e.g., quality attributes, legal and regulatory requirements, standards, performance requirements, and design constraints). The requirements covered in this RFP are the base requirements. They must be further refined to arrive at the detailed design requirements and traced throughout the system development life cycle. These detailed requirements shall be traceable back to the requirements specified in the RFP Supplements. At a minimum the Contractor must:

- Conduct joint application design (JAD) sessions to finalize requirements and ensure that responses to all RFP requirements are acceptable to AGO. The AGO will be responsible for making sure key personnel and/or the subject matter experts (SME) from the business areas are present at the JAD session; and
 - The contractor shall work with the AGO during the scheduling of JAD sessions to avoid conflicting scheduled JAD sessions. In addition, all JAD sessions must be approved by the AGO.
- Evaluate business model/process changes and approved changes to the current document management system since the RFP release date and identify corresponding requirements.

The specification for each requirement should include a means of measuring that the requirement has been satisfied. This measurement will be used to generate the necessary test cases for system and acceptance testing.

The RSD shall take RFP requirements, validate them, and identify how and where the requirements are met in the system design. Additionally, the RSD shall include:

- A cross-walk or map of each business requirement
- A listing of any open change orders, as well as any requirements subsequently identified in JAD sessions related to any functions and processes
- Identification of all internal and external interfaces
- Linkages across the business model and component functions

Requirements Traceability Matrix and Repository

The Contractor shall develop a requirements traceability matrix to track all requirements specified in the RSD. Requirements shall be tracked through each stage of the development life cycle from requirement specification through production deployment. The requirements shall be stored in a requirements management repository that permits reporting of a specific requirement, selected requirements based on type or attributes, and a complete detailed listing of all requirements. This matrix and the repository shall be used throughout the Project to assure that the design, development, test, and final production system meet the specified requirements.

Prepare Detailed Systems Design Document

At a minimum, the Detailed System Design (DSD) shall be made available in hardcopy and electronic media, and a format approved by AGO and shall include:

- Resource requirements that detail CPU, data storage, print, memory, and time estimates for transaction and batch processes required for test, development, and production of the system
- A systems standards manual, listing all standards, practices, and conventions, such as, language, special software, identification of all development, test, training and production libraries, and qualitative aspects of data modeling and design
- An identification of system files and processing architecture
- A general narrative of the entire system and the flow of data through the system
- A detailed description and diagram of the system architecture identifying how components are integrated to meet RFP requirements
- General and detailed subsystem narratives describing each function, process, and feature
- A security design description for each business area that defines access control including specifying roles, role locations, and a matrix of roles by inputs/outputs
- A flow diagram of each subsystem, identifying all major inputs, processes, and outputs
- Lists of all inputs and outputs by subsystem
- A listing and brief description of each file
- Preliminary screen and report layouts
- Preliminary screen and report narrative descriptions
- Preliminary layouts for on-line, context-sensitive help screens for all System functions including Web-based components
- A preliminary layout for the data element dictionary
- Final network configuration with graphic layout of all network lines
- Switches and all hardware/software detail
- A high level data model and a detailed and physically specific data model
- Entity relationship diagrams
- Hierarchy charts or Use Case models identifying system objects and their relationships
- High and medium level batch flowcharts to the job, procedure, and program level
- Detailed program logic descriptions and edit logic, including, at a minimum, the sources of all input data, each process, all editing criteria, all decision points and associated criteria, interactions with other programs, and all outputs

- Final layouts for all inputs to include, at a minimum, input names and numbers; data element names, numbers, and sources for each input field; and examples of each input
- Final layouts for all outputs to include, at a minimum, output names and numbers, data element names, numbers, and sources for each output field, and examples of each outputs
- Final layouts for all files to include, at a minimum, file names and numbers; data element names, numbers, number of occurrences, length and type; record names, numbers, and length; and file maintenance data such as number of records, file space;
- Site maps for all web-based interface components
- A detailed comprehensive data element dictionary, including, at a minimum, data element names, numbers, and business area definitions; valid values with business area definitions; sources for all identified data elements; and lists from the data element dictionary (DED) in multiple sort formats.

A logical and physical data model shall be included in the DSD documents. The creation of the data model shall be done in coordination with AGO database administration and data modeling staff.

The Contractor shall provide and present the changes to prototypes for AGO staff to review throughout the design process. The Contractor shall conduct walkthroughs of the Design Documents with the AGO Project Manager and technical resources (as assigned by the AGO Project Manager) and demonstrations during the development of the design specification to enhance the Attorney General’s understanding and to facilitate the approval process. Application Programming Interfaces (APIs) used within the application to communicate between components and modules or with external systems shall be defined in this document as well.

Security Plan

The Contractor shall develop a System Security Plan. As such, it shall detail all methods of security used by the System. This plan shall include details describing the systems’ adherence to and compliance of all State, Federal, and the AGO security regulations, policies, and procedures, including, but not limited to, Health Insurance Portability and Accountability Act of 1996 (HIPAA), IRS publication 1075, IRS Requirements, Taxpayer Bill of Rights, Fair Debt Credit/Collections Protection Act (FDCPA), and the House Bill 648 ORC section 1347.99. In addition, the System Security Plan shall include details describing the use of LDAP-based authentication to deliver single sign-on system access leveraging the AGO centralized directory, security aspects of the system’s physical architecture, all user access roles and their corresponding security levels, and the security related business requirements itemized in the attached Business Requirements document. This plan shall include any appropriate diagram(s) and explanation of the security architecture. This plan shall be developed through consultation with the AGO System Security Officer. The plan shall also be subject to final approval by the AGO System Security Officer, along with the standard approval requirements of all systems development deliverables.

The system must be compliant with the IRS publication 1075. Please refer to <http://csrc.nist.gov/publications/PubsSPs.html> to review the requirements. Below is a list of some of the critical 1075 requirements:

- [800-44; Guidelines on Securing Public Web Servers](#)
- [800-45; Guidelines on Electronic Mail Security](#)

- [800-47; Security Guide for Interconnecting Information Technology Systems](#)
- [800-53; Guide for Assessing the Security Controls in Federal Information Systems and Organizations, Building Effective Security Assessment Plans](#)
- [800-53 A Rev 1; DRAFT Privacy Control Catalog](#)
- [800-63 Rev 1; DRAFT Electronic Authentication Guideline](#)
- 800-64 Rev 2; Security Considerations in the System Development Life Cycle
- 800-77; Guide to IPsec VPNs
- 800-84; Guide to Test, Training, and Exercise Programs for IT Plans and Capabilities
- 800-88; Guidelines for Media Sanitization
- 800-92; Guide to Computer Security Log Management
- 800-94; Guide to Intrusion Detection and Prevention Systems (IDPS)
- 800-95; Guide to Secure Web Services
- [800-111; Guide to Storage Encryption Technologies for End User Devices](#)
- 800-115; Technical Guide to Information Security Testing and Assessment
- 800-122; Guide to Protecting the Confidentiality of Personally Identifiable Information (PII)
- 800-123; Guide to General Server Security
- 800-128; Guide for Security-Focused Configuration Management of Information Systems
- [800-132; Recommendation for Password-Based Key Derivation Part 1: Storage Applications](#)

Deployment Plan

The Contractor shall develop a Deployment Plan that details how the system will be deployed to the user community. The Deployment Plan shall detail how the System's software will be produced, identify user documentation and its deployment, identify system configuration, identify and describe installation scripts, identify the packaging and installation of components, identify the distribution of all software, and detail the distribution of system components to external users. The software licensing process shall be described in detail. Internet distribution also shall be described in detail. This plan shall explain how all nodes of the system will be installed and upgraded in a timely fashion and where the installation may split up in multiple procedures. The deployment shall be planned in conjunction with the System's Training Plan, Test Plans, and Implementation Plan and in accordance with AGO procedures for deploying applications to end user workstations

Hosting Plan

The Contractor shall produce, maintain and obtain approval from AGO for a Hosting Plan which details where the system will be maintained. The system shall be hosted by the AGO.

The Hosting Plan should include:

- Relationship Management Services
- Day-to-Day Management
- Contractor Roles and Responsibilities
- AGO Roles and Responsibilities
- Communication Plan
- Escalation Procedures
- Software License Management
- Service Level Agreements

- Environment and Facilities Support
- Hosting Transition
- Training and Knowledge Transfer
- Operations and Administration
- Hardware Refreshment and Replenishment
- IT Service Continuity and Disaster Recovery
- Backup and Restore Service Level Requirements
- Daily, Weekly and Monthly Reports

The AGO will host the system and the system shall include limited and controlled security access, firewalls, Secure Socket Layer and Public Key Infrastructure, Intrusion Detection System, and Network- Based Encryption.

Architectural Component Procurement Plan

The Contractor shall produce and maintain an Architectural Component Procurement Plan which details all hardware and software required for the AGO Development, Test, Training, and Production environments. This document shall identify the detailed specifics (e.g., components, stock numbers, configurations, quantities, etc.) of all hardware and software components that AGO will purchase for these environments. In addition, it shall identify the dates each component must be in operational status. AGO requires a 90 day lead time for component purchases and this procurement plan shall identify the lead time for each component. All projected hardware/software order and availability dates shall be reflected in the AGO project plan at the completion of this document. Any hardware/software procurement plan changes shall also be reflected in the project plan.

Glossary

The Contractor shall produce and maintain a System Glossary to define terminology specific to the document & record management domain. The Glossary shall explain terms and system usage that may be unfamiliar to the reader of Project documents. In addition, it will be the repository for agreed upon definitions of terms open to various interpretations. Also, as an option, this document may be used as an informal data dictionary, capturing data definitions so that design descriptions and other project documents can focus on what the system must do with the information. The Glossary shall organize the various terms into groups to improve readability and ease of user understanding. The terms should be organized alphabetically within each group.

Contractor Deliverables: Deliverables to be produced by the Contractor for this task include:

- Updated supplement documents
- Requirements specification document (RSD)
- Requirements traceability matrix & repository
- Detailed systems design document and artifacts (DSD)
- Develop System security plan
- Develop a deployment plan
- Develop a Hosting Plan
- Develop architectural component procurement plan
- Glossary

Milestone 3: Development

AGO believes that a controlled, phased approach by functionality will provide significant value to the AGO and represent the best approach to successfully implementing the system. The objectives of the Development Task are to modify, develop, and install the solution on the requisite hardware and software in the development environment. Establishing the hardware, software, and network environment, including connection to the AGO network and integration with other AGO applications, will be essential to the Contractor's success. It is the Contractor's responsibility to procure all the hardware, software, and necessary technical accessories required to accomplish the development task.

This section also addresses requirements for system and user documentation, as well as software development change management processes and procedures.

Contractor Responsibilities

The Contractor shall be responsible for developing, testing, and maintaining all system application code in the development, test, and training environments according to AGO provided standards and best practices. The Contractor will be required to package all code deployments into the test, training and production environments in a manner such that all code changes and related configuration changes are packaged via a software configuration management tool. All licenses, including the development licenses, must either be transferred to the AGO or licensed in the Attorney General's name before the development ends. The Contractor shall create installation scripts for the release. The Contractor shall execute these scripts in the test and training environments. The installation scripts will be promoted and executed in production by AGO. This release package must include release notes that document and identify all related application and system software related configuration changes.

Contractor shall be responsible for all aspects of procuring, implementing and maintaining the Contractor's Development Environment. This includes procuring, installing, maintaining and housing all hardware and software required to develop the application per AGO provided server configuration standards and best practices. Depending upon the architecture of the winning Proposal, AGO may request minor changes to the environment configuration to better integrate with its existing network and computing environment. All software shall be maintained such that it is at a current release and is fully supported by the software manufacturer. The Contractor shall provide documentation of all server system software configuration properties to AGO operations staff when promoting code into the test and/or training environments.

The Contractor shall be responsible for procuring installing and maintaining all workstations, its local area networks, wide area networks and internetworking infrastructure required for the Contractor's development site. The Contractor shall be responsible for providing connectivity to connect to the AGO VPN gateway to the internal AGO network.

Contractor's Development Environment

The Contractor shall develop, modify, enhance, and install software of the system. This also may include implementation of commercial off the shelf and third party products as appropriate. The Contractor shall establish all necessary telecommunications links with all specified AGO offices. The Contractor shall establish the data processing environment (hardware and software)

necessary to develop, test, and operate the System and support AGO strategy, including, but not limited to, all hardware, operating system software, and application software.

Upon completion of the development environment, the Contractor shall provide a letter to AGO certifying that the environment has been set up for development of the System per the business and technical system requirements. The Contractor is responsible for identifying the hardware and software required for the System's test, training and production environments. The Contractor shall supply this information at least 90 days before needing the environment setup. Upon completion of the configuration of the testing, training, and production data processing environments by AGO staff, the Contractor shall provide a letter of verification and acceptance to AGO certifying that the system environments have been properly set up.

The AGO shall be responsible for setting up the AGO development environment with the assistance of the Contractor. The AGO shall have an option to have the Contractor configure the AGO development environment. A separate line item should be provided in the cost section showing the Contractor's configuration of the AGO development environment as an option.

The Contractor also shall be responsible for documenting a plan identifying how each component of the production system will be proactively monitored. This plan shall identify all software and/or hardware components to meet this requirement. The Contractor shall be responsible for specifying the proper configuration of these components once they are deployed into Production. The Contractor shall assist with troubleshooting these components.

It is expected that the Contractor will perform the data conversion activities within the development and test environment. The data conversion programs shall be promoted and executed in production by the Contractor.

Disaster Recovery, Backup, and Business Continuity Plans

The Contractor shall create and maintain a disaster recovery plan, backup plan, and business continuity plan. These plans must:

- Provide for mitigation of all production failures and disasters;
- Ensure a complete system recovery within timeframes appropriate for the level of severity of a particular production failure; and
- Provide a resource pool of sufficient size, with members of sufficient experience, to ensure complete recovery within the appropriate timeframe

The Contractor shall develop a disaster recovery plan identifying how the production system (to include application code, non-related Operating System production software and data) will be recovered and made operational in an AGO provided recovery site. The AGO shall provide the backup site to the Contractor. The AGO shall be responsible for ensuring the hardware and Operating System are available and configured per Contractor production specifications. The Contractor shall be responsible for promoting the code into this environment and configuring any software running in this environment if during the maintenance and enhancement period, while Information Technology Services (ITS) shadows the Contractor. However, if it occurs after acceptance of the system, ITS shall be responsible for promoting the code into the environment.

The Contractor shall supply a backup plan identifying how the application code and data is to be backed up and, if needed, recovered for normal business operations.

The Contractor shall create and maintain the business continuity plan identifying how business operations will continue if disruptions occur within the system.

Provide Software Change Management Process, Tools and Documentation

The Contractor shall provide automated tools, processes, and documentation for software change management. The Contractor shall conduct all activities in software change management to conduct an efficient, auditable and secure software development process. The software change management process must allow for iterative development and testing processes. The Contractor shall provide electronic and paper copies, including flowcharts, of the processes and procedures that will be used to control the changes to program source code and all required documentation.

Update Documentation

The Contractor shall update at a minimum the following documents, as appropriate, with all development tasks. The documents to be updated at a minimum are:

- Technical Requirements
 - Technical Architecture
 - Network Architecture Diagram
 - Hardware Configuration Diagram
- Disaster Recovery Plan
- Back-up Plan (including necessary hardware, software and networking components)
- Business Continuity Plan
- Requirement Specifications Document
- Detailed System Design Document
- Requirements Traceability Matrix
- Integration Architecture Document
- Data Conversion Requirements

Provide User Electronic Documentation

The Contractor shall prepare user documentation for each business process. The Contractor shall prepare draft user documentation during the development task and updated during the testing and implementation tasks, as appropriate. The Contractor shall be responsible for the production and distribution of all user documentation updates in a timely manner. The following are minimum requirements for user electronic documentation:

- The electronic documentation shall be rules based driven using meta-data where ever possible, allowing for automatic updates to the documentation when system or requirement changes occur. The documentation shall also include on-line, context-sensitive help screens for all system functions including web-based components.
- The electronic documentation shall include the use of content/document management capability to link, track, and update all documentation affected by a system or requirement change.
- The documentation shall be available on-line via the application and provide an online search capability with context-sensitive help.

- AGO requires one paper copy using 8-1/2" x 11" pages in three-ring (3) binder form, pages numbered within each section, and a revision date on each page. Revisions shall be clearly identified in bold print.
- User documentation shall be created and maintained in AGO's current version Microsoft Office Suite and Visio, provided on request to AGO on diskette or CD, and shall be accessible via the Web to users during the operations phase.
- User documentation shall be written and organized so that users not trained in data processing can learn from reading the documentation how to access the online windows/screens, read subsystem reports, and perform all other user functions.
- User documentation shall be written in a procedural, step-by-step format and should be aligned with the business transformation documents.
- Instructions for sequential functions shall follow the flow of actual activity (that is, balancing instructions and inter-relationship of reports).
- User manuals shall contain a table of contents and an index.
- Descriptions of error messages for all fields incurring edits shall be presented and the necessary steps to correct such errors shall be provided.
- Definitions of codes used in various sections of a user manual shall be consistent.
- Mnemonics used in user instructions shall be identified and shall be consistent with windows, screens, reports, and the data element dictionary.
- All system errors shall be handled by a standardized error handling module that translates technical messages into commonly understood terminology.
- Abbreviations shall be consistent throughout the documentation.
- Field names for the same fields on different records shall be consistent throughout the documentation.
- Each user manual shall contain "tables" of all valid values for all data fields (for example, Action Codes and Business Class) including codes and an English description, presented on windows, screens, and reports.
- Each user manual shall contain illustrations of windows and screens used in that subsystem, with all data elements on the screens identified by number.
- Each user manual shall contain a section describing all reports generated within the subsystem, which includes the following:
 - A narrative description of each report
 - The purpose of the report
 - Definition of all fields in the report, including detailed explanations of calculations used to create all data and explanations of all subtotals and totals
 - Definitions of all user-defined, report-specific code descriptions; and a copy of representative; and pages of each report
- Instructions for requesting reports or other outputs shall be presented with examples of input documents and/or screens.

- All functions and supporting material for file maintenance (for example, coding values for fields) shall be presented together and the files presented as independent sections of the manual.
- Instructions for file maintenance shall include both descriptions of code values and data element numbers for reference to the data element dictionary.
- Instructions for making on-line updates shall clearly depict which data and files are being changed.
- Desktop guide that includes appropriate instructions from this bullet list and that provides users with all the information they need for role-based access to the screens and functions that are necessary for their jobs
- Draft user documentation shall be used as the basis for user acceptance testing and training, unless otherwise specified by AGO, and final versions will be used for training before the start of operations.

Provide External Electronic Documentation

External documentation is used to enable the AGO Clients to submit and update accounts correctly in the application. Additionally, it is for reference by Third Party Vendors and Special Counsel on how to view accounts and use the system. The Contractor shall prepare draft documentation during the development task and update it during the testing and implementation tasks, as appropriate. All documentation shall be specific to individual AGO clients, Third Party Vendors, and Special Counsel or groups of related clients and support the multiple communication channels available to each AGO Client, Third Party Vendor, and Special Counsel. The documentation at a minimum must:

- Be rules-based driven using meta-data where ever possible, allowing for automatic updates to the documentation when system or requirement changes occur;
- Contain an introduction, general information, policy section, and instructions on how to use the system;
- Be created and maintained in AGO's current version of Microsoft Office Suite and Visio and must be provided to AGO on request, on diskette or CD and be accessible to providers via the Web during the operations phase;
- Contain a table of contents and be indexed;
- Include an online search capability for the electronic version.

System Administration Manual

The Contractor shall provide and maintain a System Administration Manual detailing the business and technical functions and use of all system administration modules. This manual shall identify all administrative modules included in the system and detail their operation and administration. Where administrative modules require the use of domain tables or data tables, the values used by the tables shall be identified through the use of attachments to this manual to facilitate future manual updates. Security roles necessary for the operation of each module must be identified and explained. The manual shall be organized by administrative function and, at the option of AGO, may be broken into smaller functional manuals for distribution to the appropriate operational unit(s).

Development and Unit Testing

The Contractor responsibilities for this Deliverable include programming and unit testing on all system functions. The AGO requires an iterative methodology that allows for multiple development increments, either in parallel or sequential, with discrete testing for each such increment.

The Contractor shall enforce the established development standards and document deviations from the established development standards, including the rationale behind the deviation. These deviations shall be included in the test results.

The Contractor shall develop the application software for the required interfaces as defined in the completed and approved Detailed System Design Document. The Contractor shall develop any bridges and integration code necessary for the system to interface with other software and systems.

The Contractor shall test all components (i.e. programs) as stand-alone entities. Unit testing ensures that a single component is resilient and will function correctly on a stand-alone basis (e.g. the modified component can take inputs and produce expected outputs).

AGO Responsibilities

AGO shall be responsible for procuring, implementing, and maintaining the test and training environments in accordance with the Contractors specifications. This includes procuring, installing, maintaining, and housing all hardware and software required to perform testing and training on the system. AGO shall be responsible for installing and promoting the application code into the production environment. AGO will install, maintain, and support any system software packages (i.e., HTTP server, application server, message queuing software) required for the application in the test, training and production environment according to Contractor supplied specifications. AGO staff shall be responsible for installing, configuring, and maintaining performance and application monitoring software as specified by the Contractor.

AGO shall be responsible for procuring installing and maintaining all workstations, local area networks, wide area networks and internetworking infrastructure required to support AGO staff located in Attorney General Office's. AGO will supply a VPN gateway for Contractor connectivity.

Contractor Deliverables: Deliverables to be produced by the Contractor for the development task shall include the following (Continued from Milestone 2):

- Letter certifying that environment has been set up for development of system in accordance with the business and technical requirements
- Software change management documentation
- Business Continuity Plan
- Disaster Recovery Plan
- Backup Plan
- Updated documentation
- Technical Requirements
 - Technical Architecture
 - Network Architecture Diagram
 - Hardware Configuration Diagram

- Disaster Recovery Plan
- Back-up Plan (including necessary hardware, software and networking components)
- Business Continuity Plan
- Requirement Specifications Document
- Detailed System Design Document
- Requirements Traceability Matrix
- Integration Architecture Document
- Data Conversion Requirements
- The User and External electronic documentation
- System administration manual
- Development and unit testing

Milestone 4: Testing

Within the testing task, appropriate testing shall occur for each phase as it is developed by functionality. Planning for the testing task shall occur as early in the Project as possible to ensure successful testing results. Test plan development shall occur during the systems analysis and design task using the requirements traceability matrix. Additionally, various types of testing require a separate test environment, and AGO requires the Contractor's testing methodology to appropriately address the testing requirements described in this task. The objectives of the testing task are to perform unit, system/sub-system, end to end integration, parallel, and regression (baseline) testing to ensure all relevant system requirements are satisfied for each phase. Load/stress, performance and user acceptance testing (UAT) are also included in this task Deliverable. Upon successful completion of the UAT, the Contractor shall perform the operational readiness test. Through comprehensive and extensive internal testing, Contractor staff shall demonstrate that the functions under test meet all relevant requirements.

This task shall result in the following for unit, system, end to end integration, regression, parallel, load/stress, performance, UAT, and operational readiness testing:

- Test Plans, Test Cases/Scripts, and other documentation;
- Execution and Tracking Tools; and
- Results and Reports.

Contractor Responsibilities

Since the development of the system is in a phased approach, the following tests shall be executed for each process. At a minimum, the Contractor shall perform the following activities during this task:

System Test: The Contractor shall test modifications to a collection of components within the context of the system/sub-system in which they function. System testing ensures that the system functions as designed after development and modification of its components. This should include end to end testing. The Contractor shall work with all external parties to set up all interface connections and complete end to end testing on all interfaces. The Contractor shall include the testing of all interfaces as a line item in the cost section. The Contractor shall be responsible for providing system test results/metrics to the AGO project management team (PMT) weekly during the system test cycle.

Integration Test: The Contractor shall test modifications within the context of the integrated system/sub-systems (the collection of interconnected systems or sub-systems) in which it

functions. Integration testing helps ensure that a defined set of interconnected systems/sub-systems will perform as designed after additions/modifications to components. The testing shall also ensure that interfaces with external systems are exchanging data correctly by testing end to end transactions.

Regression (Baseline) Test: The Contractor shall test the system as software releases are placed into any of the environments. Regression testing ensures that when software is added to the system that nothing was corrupted during the addition of new software. The Contractor shall be responsible for developing and running specific test cases to complete regression testing each time a software release is placed into an environment.

Parallel: The parallel test is designed to ensure that the Contractor is ready to switch to the new system. This shall be executed in a production replicate mode using a representative dataset.

Load/Stress Test: The Contractor performs this test to document that the system will function within the normal work day, work week, and work month schedule of the AGO. The Contractor shall conduct load/stress testing to determine on-line, Web-access, and batch performance levels under expected system loading conditions with production-sized databases. Load/stress testing shall also be conducted to evaluate how the system performs under maximum stress conditions and to determine the maximum capacity within specified performance levels. The results of the load test may also result in re-work and system tuning if the processing schedule negatively impacts AGO's ability to work a normal business day. The successful completion of regression and load testing must assure AGO that they can successfully participate in the user acceptance testing.

User Acceptance Test (UAT): The UAT demonstrates that the Contractor is ready to perform all required functions for the AGO, that the system meets RFP requirements, and that all AGO approved change orders function properly. All subsystems & modules shall be tested before start of operations. This shall also include but not be limited to testing of all business processes, commercial off the shelf products, and business rules engines. Components of the test will require that the Contractor demonstrate readiness to perform all functions and contractual requirements, including manual processes. User acceptance testing shall be conducted in a controlled and stable environment. No modifications to the software or files in the acceptance test library shall be made without prior written approval from the AGO.

Operational Readiness Test: The operational readiness test is designed to ensure that the Contractor and AGO staff are ready to use the solution to save and retrieve documents/records, meet all reporting requirements, use a properly functioning data communications network, and have a demonstrated back-up capacity. Operational readiness testing shall include a pilot test of actual collections documents/records in a full operational environment. Operational readiness testing shall be done with full data volumes. An additional component of the operational readiness test is the demonstration and verification of data security and fire/disaster prevention and recovery procedures.

The Contractor shall conduct a Business Continuity and Disaster Recovery test, with the AGO participation. The Contractor shall also execute disaster recovery processing, including

switch-over to an alternate back-up site and back. The disaster recovery portion of the test shall be limited to a recovery during a daily and a weekly process cycle. The length of the test shall be the amount of time that is necessary to recover from the disaster and provide proof that the recovery has been successfully completed. For disaster recovery, the Contractor shall test the procedures for each level of severity. The results for business continuity and disaster recovery shall be presented to AGO for approval. If the test for the Business Continuity and/or the Disaster Recovery test fail, the Contractor shall be required to retest all or part of the procedures within 30 days of the failed test. A second test of the business continuity and disaster recovery shall be required with 90 days of when the system goes live.

Performance Tuning Document and Testing

The Contractor shall perform all application system modifications required to ensure that the system meets performance requirements. The majority of the modifications will be identified using a load testing tool, such as Mercury Interactive or an equivalent. The tool must be compatible with AGO approved tools. Performance tuning shall be planned and completed using tier by tier and end to end methodologies. The Contractor may suggest changes to system settings (server, database, network, and optical scanning hardware and software) to improve performance. AGO may consider suggested changes to system settings as appropriate. All results and recommendations shall be provided in the performance tuning document.

Capacity Analysis Document and Testing

The Contractor shall analyze and evaluate performance of all systems, telecommunication networks, hardware, and software, including components in the network layer, hardware layer, application layer, and presentation layer. The result of this analysis shall be included in the document. All performance monitoring results and summaries shall be made available for review on a daily basis. All results and recommendations shall be provided in the capacity analysis document. All stored data shall meet Federal and State compliance guidelines.

Minimum requirements for the capacity analysis document are:

Disk needs for:

- Database in megs or gigs
- SFTP
- Flat file usage
- Backups
- Temp/Sort space on DBMS

Memory and CPU needs:

- Web servers
- Application servers
- Database servers
- All other system servers

Tape usage needs for:

- Onsite tape storage number of days/weeks/month do we retain
- Offsite disaster recovery/business resumption

Real time transaction needs for:

- Number of transactions per second
- Average number of database accesses per transaction. This could be broken down by select, insert, update, and delete.

Database needs for:

- Number of tables/indices
- Initial rows expected and growth rate per quarter
- Number of inserts, updates, deletes, and selects per day

Application needs for:

- Message broker usage
- Number of batch programs
- Number of online programs
- Number of application servers
- Number of database servers
- Batch window
- Number of accounts expected to be processed per night
- Weekly processing
- Monthly processing
- Quarterly processing
- Year end processing

Test Plans

The Contractor shall develop test plans (this includes unit, system, integration, regression, parallel, load stress, performance, user acceptance, and operational readiness). The plans shall include the defined progress path to achieving operational readiness testing. Additionally, the plans shall show valid links from operational readiness testing all the way back to achieving each functional requirement. The plans shall identify the inputs to the test, the steps in the testing process, and the expected results. The plans also shall identify any software tools used during testing and any AGO resources needed. In addition, proposed test metrics and progress reports (which will be issued at intervals approved by the AGO) shall be defined. The plans shall provide detailed descriptions of the test environments, methods, workflow, training required, management of the testing processes, and the defect identification and resolution processes to be executed during the tests. The Contractor shall take responsibility for the execution of the plans.

Test plan deliverables include, but are not limited to, the following:

- Test plans and schedules for the solution
- A description of every test scenario, linkage to the approved RSD and DSD, AGO policy and/or business function, and expected test results
- A mapping of every test scenario to every element in the requirements traceability matrix developed in the design phase and modified in the development phase
- An organization plan showing Contractor personnel responsible for testing all testing cycle

- A discussion of management of the testing effort, including strategies for dealing with delays in the testing effort, high volume of defects, back-up plan, back-up personnel, and related issues
- Procedures for tracking and correcting deficiencies discovered during testing
- A plan for updating documentation based on test results
- Procedures for notifying AGO of problems discovered in testing, testing progress, adherence to the test schedule, and so forth
- Plan for organizing and presenting test results for AGO to review

Test Cases/Scripts

The Contractor shall develop test scripts and test cases (this includes unit, system, integration, regression, parallel, load stress, performance, and user acceptance testing) that thoroughly test the functionality of the system. These scripts shall provide step-by-step instructions for executing the tests. Test scripts may take the form of either documented textual instructions that are executed manually or computer readable instructions that enable automated test execution. The scripts shall address all data scenarios that the system will process.

UAT Plan

In addition to the requirements described in the test plan section, the Contractor shall work with AGO to develop a UAT plan. The plan shall include documentation of UAT scripts, procedures, timelines, and processes. This includes training AGO staff who will be responsible for the UAT process.

Minimum requirements are:

- Define the approach, scope, and criteria for user acceptance testing
- Identify anticipated AGO and Contractor resources involved in testing
- Describe how the development of the test scenarios ensure that all functions of the system are evaluated and acceptable
- Define the schedule of the acceptance testing effort
- Describe how the acceptance testing process is tracked and monitored to ensure that all testing and re-testing have been satisfactorily completed

Letter Certifying That Data for UAT Has Been Provided

The Contractor shall provide a letter certifying that all data necessary to perform UAT has been provided. This includes populating the UAT database with suitable test data.

UAT Defect Tracking Report

The Contractor shall track all defects throughout UAT in the AGO approved defect-tracking tool and repair the defects. The Contractor shall not change the priority of a defect without approval of the AGO UAT team. The Contractor shall make the changes necessary to the application to meet the RSD requirements. Additionally, the Contractor shall update the requirements traceability matrix and repository verifying that UAT successfully meets the requirements of the system.

Metrics from the UAT shall be reported weekly from an automated test scenario tracking tool

reporting the current status of every test scenario currently available for testing or in progress. At a minimum, the automated tracking tool must:

- Define the UAT universe
- Capture or assign a unique ID for each acceptance test scenario
- Store scenarios and UAT results by the system's business function
- Cross-reference to RSD requirements covered by each test scenario
- Define and report UAT status by:
 - Number of UAT scenarios identified for the business process and sub-business process
 - Number ready for testing
 - Number released for UAT
 - Number of UAT scenarios that have passed
 - Number of UAT scenarios that have failed
 - Number of defects identified by severity
 - Number of test cases under further research after initial results
 - Number of UAT scenarios passed and signed off by AGO as completed and number of UAT scenarios that failed
 - Number of UAT scenarios to be retested
 - Number of remaining test scenarios to be tested/retested
 - Grand total
 - Percent complete

In addition, the Contractor shall work with AGO staff to analyze UAT results and to identify any corrections needed and make those corrections.

Updates, Patches and Repairs

The Contractor shall update, patch, and repair the application software components in the development, test, and training environments, and package software changes for promotion to production.

The Contractor shall follow the deployment processes approved by AGO. When installing new application updates, patches and repairs, the Contractor must evaluate the impact on current configurations. If the proposed system includes third party products that are integral to the solution, the Contractor must disclose the software license agreements for the products. All software license agreements shall include provisions for regular software updates, patches, and repairs. The Contractor shall provide such updates, patches and repairs as specified in the software license agreements until the system is successfully transitioned to the AGO. Any and all updates, patches, and repairs shall be fully and successfully tested before migration to production.

For implementation of updates, patches, and repairs to the system the Contractor shall work with AGO to coordinate the release of the updates, patches, and repairs with regularly scheduled maintenance releases.

Correction of Defects During Testing

The Contractor shall correct application defects, which are application malfunctions or functional deviations from AGO approved application design. No requirements or design changes shall be

involved in the correction of application defects. If the Contractor feels an issue is a change in the baseline design or requirements instead of a defect, the burden of proof shall be on the Contractor to prove that it is not a defect. If the Contractor is unable to prove that an issue is a change, then it shall be determined that the issue is a defect. The Contractor shall take corrective action and ensure that the application performs as designed. The Contractor shall be responsible for fixing data issues identified during testing in all environments.

1. The Contractor shall use the following definitions of resolution priority for application defects discovered during production:

- **Urgent:** issue/problem has caused, or has potential to cause, the entire system to go down or to become unavailable;
- **High:** issue/problem directly affects the public, or a large number of stakeholders are prevented from using the system. High-priority problems include those that render a site unable to function, make key functions of the system inoperable, significantly slow processing of data, severely impact multiple stakeholders, lead to Federal penalties, misdirect payments, or severely corrupt data;
- **Medium:** all other issues/problems. Medium-priority problems include those errors that render minor and non-critical functions of the system inoperable or unstable, and other problems that prevent stakeholders or administrators from performing some of their tasks; and
- **Low:** all service requests and other problems that prevent a stakeholder from performing some tasks, but in situations where a workaround is available.

AGO shall establish priorities and provide approval for the Contractor to begin working to implement or define a proper solution for all urgent and high-priority problems immediately and, if requested by the AGO Project Manager, provide on-site assistance and dedicate all available resources to resolving the problem.

Once the resolution is defined (if not defined with initial diagnosis), the Contractor shall confer with AGO to confirm approval of resolution.

The Contractor shall correct system fatal errors and abnormal ends, and the software defects causing such problems. On-line fatal errors and abnormal ends shall be corrected within 24 hours from the time that the problem occurs unless the AGO Project Manager has approved additional time for corrective action. Processes that end abnormally and negatively impact on-line availability, the claims adjudication process, and/or the claims payment process must be fixed immediately.

The Contractor shall resolve all other System issues and defects within timeframes specified in the below table. If the Contractor is unable to meet the resolution time frames below, they have to present the reason why they are unable to meet the resolution times below to the project management team (PMT) and it must be agreed upon by the PMT that the time frames can be extended on a case by case basis.

Issue Resolution Time Frames

Complexity	Resolution Priority		
	Low	Medium	High
Low	3 Business Days	1 Business Day	1 Business Day
Medium	7 Business Days	3 Business Days	1 Business Day

Complexity	Resolution Priority		
	Low	Medium	High
High	10 Business Days	4 Business Days	2 Business Days

Whenever an operational problem results in inaccuracy, data corruption, delay or interruption in online availability, or delays in claims adjudication, notices, reports or other output, the Contractor shall immediately notify the AGO Project Manager or his/her designee to AGO staff via a daily promotion status report. The notification must include a description of the problem, the expected impact on operational functions, a corrective action plan, and expected time of problem resolution.

Upon correction of the problem, the Contractor shall notify the AGO Project Manager or designee that the problem has been resolved.

As defects are resolved, the defects should be system tested and regression tested prior to being placed in the User Acceptance Test environment.

The Contractor shall fix all application defects unless the Contractor is not authorized to fix the defect. All defect resolution will have to be approved by AGO.

For all system-related problems, the Contractor shall work with AGO staff to diagnose and develop a plan to resolve all such issues. Resolutions may require the Contractor to: Monitor and tune the system to maintain system performance or correct deficiencies or problems with the functionality of subsequent enhancements.

UAT Final Report

The Contractor shall summarize the results of the UAT in the UAT Final Report. The Contractor also shall include a written certification letter certifying that UAT was successfully completed. This certification must include all issues identified that have been corrected.

Minimum content requirements for this Deliverable are:

- A summary of the testing process, including number of problems identified and corrected, by type
- A listing of all acceptance test scenarios that passed acceptance testing by functional area within the business model
- Descriptions of problems identified, details of defects created, severity, and corrective steps taken
- Description of issues outstanding at the end of acceptance testing, the plan for resolution, and the impact on operations

Operational Readiness Test Report

The Contractor shall submit a report that details the results of the operational readiness assessments and certifies that the system, its subsystems, functions, processes, operational procedures, staffing, telecommunications, and all other associated support is in place and ready for operation.

Operating Procedures

The Contractor shall work with AGO staff to develop operating procedures that define the relationships and responsibilities of the Contractor and AGO personnel for the system. The Contractor shall build the automated scripts to achieve as near a “lights out” operation as possible using AGO approved scheduling tool. The Contractor should consider the Technical Requirements when developing the operating procedures to leverage existing operations management tools. Minimum requirements are:

- Must be written in a procedural, step-by-step format and linked to the roles-based rules engine
- Operating procedures must be created and maintained in AGO current version of Word and must be available online and provided on request to AGO on diskette or CD
- Instructions for sequential functions must follow the flow of actual activity
- Operating procedures must contain a table of contents, be indexed, and include an online search capability
- Descriptions of error messages for all fields incurring errors must be presented
- Definitions of codes used in various sections of a manual must be consistent
- Mnemonics used in operating procedures must be identified and must be consistent with windows, screens, reports, and the data element dictionary
- Abbreviations must be consistent throughout the documentation
- Instructions for making on-line updates must clearly depict which data and files are being changed
- Requirements for purging, archiving, backing up, and restoring required data
- Monitoring and identifying adequate space allocations for the systems data volume
- Application or system problems occurring in production as reported by system users
- If batch cycles are required by the system, these cycles must conform to AGO standards and be approved by AGO and executed to maintain the minimum system accessibility windows specified in the RFP
- Flow charts and process flows that diagram batch processes, including listing each job functions, dependencies, or special processing
- Operating procedures must contain any internal reports. All fields in reports must be defined, including detailed explanations of calculations used to create all data.

Proposed Test Environment(s)

The Contractor shall update its description of the environment(s) that will be needed to execute all the tests described in this task, including its approach to creating data to drive these tests, and obtain approval from AGO. Based on Contractor requirements, the Contractor shall provide, maintain, and support the testing and training environment(s). The testing environment should include a system test environment for the Contractor, Operational Readiness/Parallel test environment, AGO test environment, and a User Acceptance Testing (UAT) environment. In addition, there shall be an environment to be used specifically for training. The testing or training environment(s) may also be used for load/stress testing. However, it is imperative to have a separate environment that the Contractor shall utilize to complete testing of the system. The Contractor shall provide the cost of each environment as a line item in the cost section.

Contractor Deliverables

The Deliverables to be produced by the Contractor for the testing task include the following:

- Test plans (unit, system, integration, regression, parallel, load/stress, performance, user acceptance and operational readiness)
- Test cases/scripts and completed systems test
- Integration test cases/scripts and completed integration test
- Regression test cases/scripts and completed regression test
- Parallel test cases/scripts and completed parallel test
- Load/stress test cases/scripts and completed load/stress test
- Performance tuning document and Testing
- Capacity analysis document and Testing
- UAT plan
- Written certification that UAT data has been provided
- User acceptance test cases/scripts and completed user acceptance test
- UAT defect tracking report
- UAT final report;
- Operational readiness test cases/scripts and completed operational readiness test (This includes Disaster Recovery and Business Continuity tests)
- Operational readiness test report
- Operational procedures
- Finalized proposed test environment(s) specifications

Milestone 5: Data Conversion

If the proposed solution does not work with existing IBM Content Manager, all meta data including indexing data, document annotations and notes as well as documents shall be converted into the new solution. All historical and active data in the current systems that are needed to meet the system requirements must be converted. AGO requires a sound conversion strategy and approach that addresses data conversion using conversion programs and manual data entry. The data conversion task often involves planning, identifying, and analyzing conversion requirements, preparing conversion specifications, developing and testing conversion programs, and converting the data. Objectives of this task are described below:

- Data integrity
- Data cleansing and purification
- Data quality
- Data verification
- Data loads for testing purposes
- Data load completion

The Contractor shall address the data conversion requirements necessary for the new solution. AGO believes that the data conversion task should begin early in the life of the Project. AGO requires three (3) to four (4) trial data conversions with data validation from the Contractor after each test. The Contractor shall provide results to the AGO and the AGO will review the results. If validation of the results fail, it may be required that the Contractor test data conversion more than four times.

Contractor Responsibility

The Contractor shall provide for conversion of all data elements in the current systems. Additionally, the Contractor shall provide application functionality to allow for the initial loading of all information currently captured on paper that will be automated in the system.

Update Data Conversion Plan

The Contractor shall revise the data conversion plan submitted as necessary to meet the current AGO business and technical environment. Before conducting the data conversion test, the Contractor shall submit, for review and approval, a conversion test plan that clearly sets forth how the process is designed to fully test the functions and features of the conversion software. The plan must identify the inputs to the test, the steps in the testing process and the expected results, and any software tools used during testing.

The minimum requirements for the conversion plan are:

- A detailed plan for conversion of all files, user validation of converted data, and final conversion of files; the plan shall include a detailed conversion schedule, definition of the universe of files to be converted, any metrics to use to monitor data quality and personnel resources assigned to the conversion of each file.
- A discussion of the management of the conversion effort, including strategies for dealing with delays, contingencies, data reconciliation procedures, back-up plan, back-up personnel, process verification, and so forth.
- Procedures for tracking and correcting conversion problems when encountered

Contingency Plan to Mitigate Data Conversion Risks

The Contractor shall provide a contingency plan to accommodate risks that may be encountered during conversion. For each risk, the Contractor shall provide a detailed response on how they plan to mitigate that risk. The Contractor shall provide a walkthrough of the contingency plan before submitting to AGO for final approval.

Proposed Approach to Parallel Runs between the current and new solution

The Contractor shall detail an approach to conducting parallel system and subcomponent runs to validate data conversion results. AGO will validate the accuracy of the data conversion both by using comparative reports and record counts, and the execution of parallel system and system component runs. Actual data sets will be run through both the current and new solution to measure both the accuracy of the converted data and the new system's components. The results of these parallel runs must be reconcilable back to the equivalent current system's historical results.

Data Conversion Specifications Document

The Contractor shall review the AGO's conversion requirements and include the specific conversion criteria for all data elements in the current systems as well as those targeted for manual conversion of data in a Data Conversion Specification Document. Additionally, the Contractor must provide:

- Specifications for manually converting data and capturing data elements that are missing or are so unreliable, as defined in the specification, that they cannot be converted
- Data collection forms and create procedures to gather and capture that data;

- Review the data conversion criteria with AGO staff and design appropriate conversion reports to support the conversion process
- Address the necessity of converting historical data
- Layouts of the reports produced as a result of conversion
- A definition of the metrics that will be generated by the conversion process
 - These metrics will be used to measure the completeness of the conversion
 - The metrics must include record counts for each major grouping of data elements from both the legacy source systems and the new system (i.e. Number of documents, records, notes, etc.)
- Develop a data cleansing strategy for any data that does not convert
- A detailed description of all files to be converted and whether it will be a manual or an automated conversion or a combination of both
 - Data element mappings, including values, of the old system data elements to the new system data elements, and new data elements to old data elements to ensure all data elements are addressed
 - Identification of default values, where necessary
 - Interim reporting on each file/table conversion test within 24 hours of each scheduled file/table conversion test; this interim report will include the following for each file/table conversion
 - all test results
 - any problems encountered and the impact on the rest of the conversion schedule
 - before and after versions of each converted file/table, including default values, formatted for review by non-technical personnel (in certain cases, AGO may require only a portion of the file/table to be formatted for review)
 - A summary of the status of the conversion, including
 - Number of problems identified by type of problem
 - Number of problems corrected and any significant outstanding issues
 - The effect of any findings on the implementation schedule
 - Any other relevant findings
- Copies of all conversion programs and program listings used during the test

At a minimum, the Contractor shall produce the following reports to ensure adequate checks and balances in the conversion process:

- Detailed mapping of the Conversion elements (Source fields to Target Fields) for each Entity
- Weekly status reports on the conversion progress and identify any issues
- Conversion progress by environment, by Data area
- Statistics on conversion (% complete, % error, Volume, exceptions,)
 - By data areas
 - By application source
 - Time estimated vs. actual time taken
- Data Verification reports
 - Manual spot check results
 - Automated check results
 - Data reconciliation reports

- Data cleansing reports by data areas, by application data source
- Capacity plans (if applicable)

Update Data Conversion Requirement Document

The Contractor shall review the RSD and the DSD documents to determine which data elements are actually required for the conversion process. The only exceptions to this are those data elements that are identified as obsolete, redundant, calculated fields and those strictly used for the internal processing. Working with AGO, the Contractor shall establish the requirements for data conversion. The results shall be documented in an updated data conversion requirements document.

Data Conversion Checklists

The Contractor shall prepare data conversion checklists, provide walkthroughs for AGO staff, and then submit the checklist for final review and approval.

Develop Data Reconciliation Procedures

The Contractor shall prepare data reconciliation procedures and scripts. Walkthroughs shall be conducted for AGO staff before submission of these procedures and scripts for final review and approval. Data conversion from existing complex data formats to relational database schema will require the application of conversion rules to transform the data. The Contractor shall detail all procedures and develop scripts to reconcile the converted data back to its original content during the execution of parallel runs and regression testing between the current and new solution. These procedures and scripts will be an integral part of the Contractor's approach to the regression testing requirements of Milestone 4 and the parallel runs between the systems required in Milestone 5.

Develop or Provide Conversion Programs

The Contractor shall write programs, use tools, or utilize existing extract routines to extract data from the current system. The Contractor shall develop or provide any training, documentation, maintenance, or enhancement software identified in the conversion specification document as being required to support the conversion from the existing system to the new system.

Convert and Reconcile Data for Implementation

Before converting the data, the Contractor shall perform three (3) to four (4) trial conversions and conduct walkthroughs of completed file/table conversions for AGO staff and submit the results for approval.

The Contractor shall convert and reconcile data and produce all necessary reports defined in the data conversion specification document. The conversion results must be used to further refine the cleansing criteria. The Contractor shall review the results of each conversion run to ensure the correctness and completeness of the conversion before allowing user access to the system. The Contractor shall verify the data selected for pilot implementation before any other use of the system. The Contractor shall perform a final conversion of all data and cases as part of the implementation task and produce all necessary reports defined in the data conversion specification document. The Contractor shall verify all converted data before any other use of the system, and the AGO will review the conversion results for approval.

The Contractor shall review the results of conversion and coordinate an effort with the AGO to cleanse remaining data that do not convert under normal conversion or data cleansing tasks in a

separate environment.

Data Conversion Test Scripts

The Contractor shall develop and use test scripts based on the design and specific functions included in the conversion process. These scripts should be step-by-step instructions addressing every activity in the conversion process for each data file converted.

Data Conversion Reports

The Contractor shall produce a number of reports to assure that there are adequate checks and balances in the data conversion process. The Contractor shall document any instance categorized as a serious data quality issue in the conversion specification document.

Confirmation of Converted data

The Contractor shall confirm that data conversion has been done correctly, including certification that the “new” data matches the “old” data. The test for data conversion must actively use all of the conversion functions, process all types of input, and produce all conversion reports. The AGO may require that the Contractor include certain types of data in the conversion test.

Data Conversion Test Results Report

The Contractor shall conduct a system test of all conversion software to demonstrate its functionality and performance before conversion. The Contractor shall provide a data conversion software confirmation letter certifying that the programs used for conversion are error free and are appropriate for the task of performing the conversion into the new system.

Additionally, the information that data conversion test results report must contain the following:

- Permits the AGO to validate that the test has been successfully executed in accordance with the approved plan and any problems encountered and the impact on the remaining conversion schedule
- Before-and-after versions of each converted file formatted for review by non-technical personnel, including default values (in certain cases, AGO may require only a portion of the file be formatted for review)
- Copies of version of manually and automated converted files available for review online, where appropriate.

Contractor Deliverables: Deliverables to be produced by the Contractor for conversion include the following (Continued from Milestone 4):

- Updated data conversion plan
- Contingency plan to mitigate data conversion risks
- Approach to parallel runs between the current and new solution
- Data conversion specification document
- Updated data conversion requirements document
- Data conversion checklists
- Data reconciliation procedures
- Conversion software readiness certification letter
- Conversion programs

- Conversion and reconciliation of data
- Data conversion test scripts
- Convert and reconcile data for implementation
- Conversion reports
- Data conversion test results report

Milestone 6: Training

AGO requires training to prepare staff for the new system. As a result of the implementation, AGO expects the current roles and responsibilities of staff and management to change. The role changes must be addressed by general and tailored training to each functional group of users and managers for each of the business processes including overall system functionality, operability, technology, processes, and operations, to ensure organization readiness. This includes individual training session by organizational role, including system maintenance. The objective of this task is to train the organization for the culture change and changes in roles and responsibilities. The objective of this task also is to prepare AGO staff and the provider community to use the new system.

Contractor Responsibility

The Contractor shall be responsible for developing training plans and training e-documentation for identified AGO users and trainers supporting the system's functionality, business processes, and other training needs as identified in this RFP. The Contractor shall provide training to AGO users, trainers, technical staff, administrators, managers, and test, conversion, and system transfer teams. The Contractor shall develop a training curriculum based and segmented toward specific security levels and role-based groups. The Contractor shall develop all training documentation and training curriculum for user and provider training sessions. The Contractor shall also train and prepare AGO staff to present and conduct provider training sessions. The Contractor shall develop a training plan to ensure just in time training activities.

The Contractor shall be responsible for the development and delivery of various methods of training such as but not limited to classroom style, Web, computer, and video-based. AGO will provide for the use of classrooms at a designated AGO training site. Before the initiation of training, the Contractor shall be responsible for site preparation for AGO training. The AGO may, at its sole discretion, record any training sessions and use any training materials for future training, user documentation, or promotional use. The Contractor shall be responsible for identifying and providing the appropriate number of user and train-the-trainer sessions to ensure role-based training is conducted for all identified AGO staff per designated security levels.

Training shall be provided in the following categories:

- **System Administration:** The Contractor shall provide training for the administration of the system. The training must be geared towards the users of the software with meaningful instructions on how to take full advantage of all of the capabilities designed for end users. Training also must include the installation and system administration

documentation for a system administrator to allow proper control, configuration, and management of the software.

- **Staff and Management User Training:** The Contractor shall provide training to AGO personnel who have varying computer skills and who perform different functions within their organizations. The Contractor shall provide classroom "style of instruction" for each job function with job aids. The Contractor shall provide various levels of training such as users, super users, and train-the-trainer.
- **Train-the-Trainer:** The Contractor shall develop training e-documentation and provide train-the-trainer sessions to prepare AGO staff to conduct both user and provider training on the system functionality and business process changes.
- **On-line Tutorial:** The Contractor shall provide an on-line tutorial capability for the major functions within the system. This tutorial must provide basic "dummy" data, and allow the user to enter or modify information to simulate actual use of the system. This tutorial must be used for training and made a part of the final system so that new users accessing the system will have an online tutorial to assist in learning the system's functionality. Users must be allowed to click their way through the entire process.
- **Technical Training:** The Contractor shall provide technical training in the tools and techniques used in the proposed technical approach; if AGO Project staff does not already use the tools and techniques. Technical training must occur at a designated AGO site and also parallel the transition plan as much as possible. The Contractor also shall provide transfer of knowledge training for AGO staff during development through the transfer of the application to the Attorney General's Office. Training must be provided to Project team members, as needed, to support Project tasks.

The Contractor shall be responsible to provide competency level and skill set assessments and for developing and delivering role-based training to AGO staff that will prepare them for the operation and use of the system throughout the system development lifecycle (SDLC), operations, and maintenance phases. The Contractor also shall continue to provide user performance support once training is completed. At a minimum, the activities of this task shall include the following for the Project:

- **Training Schedule:** The Contractor shall create training schedules for technical, non-technical, and train-the-trainer sessions. The Contractor also shall conduct training for system maintenance during and following the transfer of the system to AGO staff. The Contractor shall provide training throughout the operations and maintenance stage for new staff and staff who change positions. Training must be provided at an AGO facility and the Contractor must schedule the training with the AGO Project Manager or designee. The training shall be conducted Monday through Friday, excluding State holidays, between the hours of 9:00 AM and 4:00 PM EST. The Contractor shall be responsible for furnishing the trainees with whatever training materials are necessary.
- **Training Plans (Technical, Non-Technical, and Train-the-Trainer).** The Contractor shall create, maintain, and update, as required, the approved technical, non-technical,

and train-the-trainer training plans. The training plans must include at least the following:

- Provide an overview of the training methodology for a security/ role based System environment and training objectives for AGO system users
 - Identify the training courses and associated course objectives, competency level and skill set assessment tools, including the format and content of all training material to be developed by the Contractor
 - Identify the training presentation style
 - Identify the number of role based training sessions necessary to train all identified staff per designated security levels Identify the number of users to be trained by type of training
 - Identify the length of each training course
 - Describe the online real-time training on electronic communications and claims and other documentation
 - Define hardware, software, and supplies required for the training environment
 - Define procedures for implementing and maintaining a training database
 - Provide for evaluation of training sessions and feedback to AGO
 - Provide milestones for training
 - Identify potential impact to on-going business operations and determine methods to minimize the impact to on-going business operations. Due to the nature and timing of work performed all the trainees' functional groupings of staff and managers cannot be trained during the same session. There must be adequate coverage for business functions to proceed.
-
- **Develop, Provide and Maintain Training Documentation:** The Contractor shall develop and update all training e-documentation, manuals, materials, training guides, speaker notes, and course curricula (including training objectives and outcomes). The Contractor shall develop a document version control plan and for the version control and maintenance for training documentation to include all user and provider training e-documentation. The Contractor also shall incorporate on-line help, on-line policy, and procedure manuals and hard copy user manuals for the delivery of training. All training materials must be reviewed and approved by the AGO before the start of the training. The Contractor shall provide sufficient copies of all training materials for all staff plus a reserve equal to 5% of the total number of copies. The Contractor shall provide all electronic source documents, graphics, used in the development and presentation of all aspects of training.
 - **Prepare and Maintain Training Database and Application Software:** The Contractor, based upon AGO protocols, equipment, and network, shall prepare, implement, and maintain a technical training application (database and application software), capable of supporting concurrent application training classes. Due to the potential concurrent training classes, the training application must be capable of allowing for independent training data refreshes as controlled by the trainers and training schedules. With the assistance and approval of AGO, the training database(s) and application software must be installed in a separate technical environment from the development or production database environments. The Contractor shall perform all training database(s) and application software refreshing maintenance duties in assuring

each classroom's readiness for the next training session activities. Based upon AGO protocols, equipment, and network, the Contractor, must ensure access in conjunction with the implementation schedule to the technical training application (database and application software) for post training practice. The Contractor shall maintain and support the application and data during this task in the event of application failure. The Contractor must use the testing and training environments to accomplish this task. Upon completion of the training database and application software, the Contractor shall submit a letter certifying that the training database and application software is operational.

- **Certificate of Completed Training:** Training must be implemented in accordance with the Contractor's approved training plans. Upon completion of the training the Contractor shall submit a letter certifying that all training has been completed.
- **Prepare Evaluation Tool:** The Contractor shall specify the expected performance and the expected outcomes of each type of training in the Training Plan. In conjunction with this, the Contractor shall develop evaluation survey tools to determine whether the trainings produced the expected results. The evaluation must consist of various tests administered to trainees at each training session. This evaluation survey tool must be used to identify weaknesses in the training program and specific revisions that need to be made. This survey tool must also be used for implementation training to assess the effectiveness of the training sessions. The trainers for all training must implement the evaluation survey tool.
- **Training Report:** The Contractor shall develop training reports that include information such as, but not limited to, the number of training sessions, type of training, training locations, number of trainees, and information regarding the actual training results and recommendations for follow up training.

Contractor Deliverables: Deliverables to be produced by the Contractor include the following:

- Update organizational assessment and gap analysis
- Training plan/schedule including train the trainer plan and schedule
- Training documentation
- Training database and application software
- Letter certifying training data base is built and software is operational
- Document version control plan
- Conduct training
- Letter certifying completion of training
- Evaluation survey tools
- Training report

Milestone 7: Implementation and Stabilization

A controlled approach to the implementation will provide significant value to the AGO and represent the best approach to successfully deploying the system to the organization. Stabilization is required for the first six months of the system production operations. The purpose of stabilization is to ensure that the system is a reliable and a dependable system that meets the needs of AGO and its stakeholders.

Contractor Responsibilities:

Implementation Plan

The AGO is considering a two phase implementation. The first phase will be the implementation at two sections to validate that the solution meets the needs of the business user for testing and configuration. The second phase will be the implementation to the AGO enterprise with considerations for sections with special needs. The Applicant is encouraged to propose different approaches based on its implementation experience in collections, legal or law enforcement environment.

The Contractor shall produce and update the implementation plan as necessary to reflect all Project changes that directly impact implementation. The most critical update to the plan during this task is the development of a contingency plan for mitigating and resolving those risks that have been identified as impacting implementation. It must address the strategies for business and system continuity planning as a result of implementation issues. The contingency plan must include one or more alternate solutions for each risk that are acceptable to the AGO. The Contractor shall execute the contingency plan as issues arise during implementation, upon approval of the AGO Project Manager. The Contractor, upon approval of the AGO Project Manager, shall implement the system in accordance with the Contractor's approved implementation plan.

The implementation plan must describe to the Attorney General how the Contractor will implement the system. The plan must detail the approach for coordinating the following:

- Final data conversion activities
- Technical preparation and system changeover activities
- Development of an implementation activities check list
- Implementation schedule
- The process for developing a contingency plan for identifying, communicating, resolving risks and maintaining then current production capability if the implementation is delayed. This contingency plan must be developed during the Implementation task;
- Activities required to effectively implement, operate, and maintain the system. In addition to the activities, the plan must include, but not be limited to, staffing requirements by staff type and skill level, and the activities that must be performed by this staff.
- Identify cutover procedures and dates for submittal of accounts
- Document resolution of inventory issues (for current accounts in specific workflows) and associated dates
- Document plans for installation of lines and workstations

- Specify methodology for handling adjustments to incumbent-processed claim records
- Identify procedures and dates for any required provider certification activity and/or recertification
- Identify the process to accommodate provider updates, consumer data changes, reference changes, and prior authorizations after final conversion but before implementation

Management and Support of Information Technology Services Customer Support

Beginning with implementation through acceptance, the Contractor shall supplement and train the existing Information Technology Services (ITS) Customer Support. This includes supplementing, managing, supporting and training of the AGO Information Technology Services staff, and manage the Customer Support area from 7:00 AM to 6:00 PM EST. five days a week, Monday through Friday and on Saturday's as requested by the AGO. The Contractor Staff shall assist with all AGO staff technical and user problems following implementation. The Contractor's Customer Support shall respond to all system and user questions during implementation within four hours of notification of a problem. The Contractor's Customer Support shall be located at a site designated by the AGO. The Contractor shall utilize the AGO's existing call center system to provide customer support functions. The Customer Support must use AGO-provided help desk software, Numara Track-It, for documenting and tracking all inquires. The Contractor shall produce and update as necessary a customer support procedure manual that may be used to address all system and user questions, including problem identification, initial diagnosis and checklist, problem resolution/referral procedures, and a list of frequently asked questions. The procedures must include protocols for managing and responding to incoming phone calls, voice mail, and e-mail options, etc. Before implementing the Customer Support operations, the Contractor must train AGO Technical staff for tickets that will be routed to that customer support area. The Contractor shall provide support to all users on system operation and to internal AGO staff on the day-to-day operation of their Customer Relationship Management (CRM) efforts including operation of their Customer Service Center, execution of the communication plan, and any ancillary tools or automated response systems.

The AGO ITS Customer Support must provide access to system technical resources to answer inquiries relating to the system. Inquiries are questions about troubleshooting issues with the functionality and operability of the system, including but not limited to:

- Application availability
- System issues and their expected time of resolution
- Problems with application screens
- Role-based security issues

The Contractor must staff the Customer Support throughout the day with the number of operators appropriate to meet the performance specifications defined below:

- Maintain the average call response time at or below 30 seconds;
- Respond to all email inquiries within four business hours;
- Respond to all fax inquiries within four business hours;
- Maintain, at a minimum, a monthly average call answer rate of 97%; and
- Maintain a busy rate at or below 10% of calls.

The Contractor shall provide onsite support to work with AGO ITS Customer Support for six (6) months after AGO acceptance of the system has occurred.

The Contractor shall:

- Receive inquiries and provide an automated response for any known problems through the following means at a minimum:
 - Online portal
 - Toll-free phone number
 - Fax
 - E-mail
 - Instant messaging on the internal AGO network
 - Any alternative methods proposed by the Contractor
- Within one business day, provide an acknowledgement of the inquiry along with the expected resolution date
- Provide daily, weekly, and monthly reporting on the ITS Customer Support activities. Reports must include performance statistics and Service Level Agreements (SLA) as approved by the AGO Project Manager. These will be reviewed and assessed to determine adequate support levels.
- Classify inquiries that cannot be resolved immediately upon receipt into low, medium, or high priority, defined as follows:
 - **Low Priority:** the problem prevents the User from performing some tasks, but a workaround is available
 - **Medium Priority:** the problem prevents the User from performing some tasks
 - **High Priority:** the problem prevents several Users from performing their duties
- Classify inquiries that cannot be resolved immediately upon receipt into simple, medium and complex complexity, defined as follows:
 - **Simple Complexity:** the problem is a known issue or an immediate solution is available;
 - **Medium Complexity:** the problem appears to be a bug or data problem; and
 - **Complex Complexity:** the problem is hard to trace and is likely to need extensive troubleshooting.
- Report all system inquiries/problems to the AGO Project Manager or designated back-up AGO manager according to the following schedule based on the priority assigned to the inquiry/problem:
 - **Low Priority:** Report via email within two business hours;
 - **Medium Priority:** Report via phone and/or pager within one business hour on a 24 hour per day schedule; and
 - **High Priority:** Report via phone and/or pager immediately on a 24 hour per day schedule.

Implementation Certification

The Contractor shall provide an implementation certification letter that certifies that the system is ready for production. The certification letter must confirm at a minimum:

- All training activities required have been completed
- All staff have completed non-technical training
- All data has been converted, cleaned and accepted
- All site preparation requirements have been met
- ITS Customer Support and help desk is established
- All user and system supports are in place
- All production jobs have been through the change control process and locked down in production libraries
- All production databases have been appropriately sized and are ready for production processing to begin

Stabilization

For the first six months of production operations, the Contractor shall ensure that the system is a reliable and dependable and meets the needs of AGO and its stakeholders.

During stabilization, the Contractor shall provide maintenance and support of the system, which includes updates, patches and repairs; correction of application defects; and on-site technical support.

In addition to the metrics and timeframes established for correcting application defects, the Contractor must ensure, at a minimum, that the following metrics are included and documented for problems encountered during the stabilization period:

- Severity of problem
- Type of problem
- Number of problems
- Anticipated fix date
- Resolution
- Frequency of problem occurrence
- Problem source(s)

The Contractor must use criteria and thresholds based on the metrics described above, when assessing the stability of the system. At the conclusion of the stabilization period, the Contractor shall provide a written certification letter that stabilization is complete and the system is ready for the performance period.

The Contract must also make provisions to support any planned special processing risk areas that may fall outside the Stabilization.

Final Implementation Report

The Contractor shall produce an implementation report detailing the results of all implementation activities.

Present System to the State for Final Acceptance

Upon successful completion of the stabilization period, the Contractor shall submit the system for acceptance. The performance period must be successfully completed before the Contractor presents the system to the AGO for acceptance. The system presented for final acceptance must account for all required functionality, training, documentation and any other requirements of this RFP for that particular phase.

Performance Period Report

To determine the growth and reliability of the system, the Contractor shall perform benchmarking during the performance periods (to include tests against predetermined response times), as designed by the Contractor, before final system acceptance. All Performance monitoring results and summaries shall be made available to the AGO for review on a daily basis. The Contractor shall perform all application software, file structure, database and system software modifications necessary to ensure system performance reaches acceptable levels in the production environments, based upon the results of the benchmarks or the capacity simulation models. Capacity projections must account for system usage and data growth over a 24-month horizon. Performance monitoring results and summaries, benchmarking results, capacity simulation results and documentation of all changes made to address system defects or system performance made shall be provided in a Performance Period Report.

System Documentation

The Contractor shall provide the AGO all system documentation at the time the system is implemented; however, the system documentation must be updated throughout the support, maintenance, and enhancement period. System documentation must be versioned using the AGO's configuration management tool. Systems Documentation must be provided at go-live and an updated version shall be provided at the acceptance of the system. During the conclusion of the implementation task, the Contractor shall prepare updates to the system documentation to incorporate all changes, corrections, and enhancements to the system made as a result of the completion of all open items and defects.

Two (2) electronic copies (CD) of the final version of the system's documentation shall be provided to AGO.

The systems documentation shall:

- Be available and updated on electronic media as approved by AGO and maintainable after turnover
- Have all narrative created and maintained in AGO's current version of Microsoft Office Suite of products and Visio, and be provided to AGO on request on electronic media
- Be organized in a format that facilitates updating, with revisions clearly identified
- Include system and subsystem narratives that are understandable by non-technical personnel
- Contain an overview of the system, including:
 - Narrative of the entire system
 - Description and flowcharts showing the flow of major processes in the system which will include workflow strategies and workflow business rules
 - Multiple sets of hierarchical, multi-level charts, that give a high, medium, and detail view of the system, for both on-line and batch processes
 - Description of the operating environment

- Nomenclature used in the overview must correspond to nomenclature used in subsystem documentation (all subsystems must be referenced, and documentation must be consistent from the overview to the specific subsystems and between subsystems)
- Contain the following documentation for each subsystem:
 - Subsystem name and numeric identification
 - Subsystem narrative, including each function and feature of the subsystem
 - Subsystem flowcharts, identifying each program, input, output, and file
 - Job streams within subsystems identifying programs, input and output, controls, job stream flow, operating procedures, and error and recovery procedures
- On-line teleprocessing tables and entries
- Identification and listing of all Contractor internal control reports
- For all forms, screens, tapes, and other inputs: input definitions, including names, descriptions, sources, examples, and content definition
- For all screens, reports, tapes, and other outputs: output definitions, including names, numbers, sources, destinations, examples, and content definition; tape/cartridge specifications, file descriptions, and record layouts must be included for all data stored on electronic storage including tape or cartridge
- Listings of edits and audits applied to each input item, including detailed edit logic, claim and provider types affected, edit disposition, suspense and override data, and corresponding error messages
- Program documentation shall include, at a minimum:
 - Program narratives, including process specifications for each, the purpose of each, and the relationships between the programs and modules
 - A list of input and output files and reports, including retention
 - File layouts
 - File names and dispositions
 - Specifics of all updates and manipulations
 - Program source listing
 - Comments in the internal identification division of the listing, identifying changes to the program by date, author, and reason
 - Comments in the internal procedure division of the listing, identifying each subroutine and each major entrance, exit, and function of the subroutine
 - Detailed program logic descriptions and edit logic (or decision tables), including, at a minimum, the sources of all input data, each process, all editing criteria, all decision points and associated criteria, interactions and destination links with other programs, and all outputs
 - Physical file definitions and data models
- All files, including intermediate and work files shall include: file descriptions and record layouts, with reference to file names and numbers; data element names, numbers, number of occurrences, length, and type; record names, numbers, and lengths; and file maintenance data, such as number of records, file space, and any other data necessary to manage the data or utilize the documentation
- Lists, by identifying name, of all files, inputs, and outputs with cross-references to the programs in which they are used
- A domain object model
- Entity relationship diagrams for all relational databases

- Contain a data element dictionary that shall include, for each data element:
 - A unique data element number
 - A standard data element name
 - A narrative description of the data element
 - A list of data names used to describe the data element;
 - A table of values for each data element
 - The source of each data element
 - A list of programs using the data element, describing the use of input, internal, or output
 - A list of files containing the data element
- Operations run documentation with schedules and dependencies; and
- Support AGO and Federal monitoring activities

Contractor Deliverables

Deliverables to be produced by the Contractor for the statewide implementation task shall include the following for each phase of delivery:

- Implementation plan
- Signed implementation certification letter
- Written certification that stabilization is complete
- ITS Customer Support and Help desk procedure manual
- Final implementation report
- Presentation of the system to the AGO for Final Acceptance
- Performance Period Report

Project Specific

a. Partnering

The Applicant is encouraged to partner with other vendors that might offer services and/or products to complement its own functionalities and capabilities. Each partner shall submit documentation to respond to the following requirements:

- Complete applicant profile as requested in section 5.0.
- The structure of the organization along with resumes of the staff who will be assigned to this project.
- Proof of insurance.

Additionally, the responsibility and parts of the Solution provided by each of the partners need to be clearly identified and specified. It is the primary vendor's responsibility to manage the subcontractor relationship.

b. Maintenance

Maintenance shall be provided by the contractor for the term of one year after enterprise implementation has been accepted by the AGO. This will include upgrades and license renewal during that one year period. After one year, the AGO will have the option to extend

the maintenance option. The Applicant shall include yearly maintenance cost for 3 consecutive years after the first maintenance- period is over. The AGO reserves the right to negotiate the total number of staff required on site as part of the best and final offer negotiations.

c. Migration/Data Conversion Plan

In the event the Applicant's design will replace the storage resources currently used by IBM's Content Manager, it will be necessary to provide a detailed migration/data conversion plan.

d. Licensing Plan

It is a regular practice for AGO to provide development, training & test environment in addition to production environment. The applicant will provide pricing information about the licensing plan for development training, test and production environment.

e. System Level Architectural Documents/Diagrams

The Applicant will provide system level architectural documents and diagrams about the solution including how server virtualization will be integrated into the solution.

f. Support Plan

The Applicant will provide information about support structures, including customer issue escalation, & cost of various support plans if there are multiple options. Please indicate your experience and your certification in Information Technology Infrastructure Library.

g. Payment Schedule

The applicant will provide as part of their proposal, a proposed payment schedule. Each payment proposed should be contingent on the acceptance of one or more deliverables and each payment should indicate which deliverables generate payment. Additionally, any schedule milestones that need to be achieved in order to support the payment deliverable should be identified.

Unless otherwise agreed to, the AGO will require a maximum of 15 working days to review each deliverable whose approval will generate a payment. Additionally, for deliverables that do not generate payment and are informational in nature, there will be a maximum 10 day review period. Each deliverable submitted for review shall have two (2) copies submitted in paper form and one digital copy deposited into a digital repository provided by the AGO. Each invoice submitted for payment must include a copy of the sign-off page for each of the deliverables that are pertinent to that invoice. Review processes and communications will be agreed to prior to the first deliverable being produced. If the applicant wishes, the applicant may describe this process in their proposal.

Due to the nature of this effort, the AGO will require 5% of the total award of the contract to be held back as a payment once the system has been accepted. An additional 5% hold-back

amount will be required and paid out at the end of the first year of mandatory maintenance, provided that all contract deliverables have been accepted and the system has not experienced more than 2% downtime (outside of scheduled maintenance).

SECTION 5.0 APPLICANT PROFILE

The AGO requires complete data from each Applicant in order to evaluate submitted Proposals and determine which responses meet the RFP requirements. Each Applicant shall furnish a complete description of its capabilities by providing the information requested with respect to each of the following required profile items.

5.1 Organization’s Description

Applicant must provide a description of the organization, including any subsidiaries, with an organization chart, which identifies key positions, duties, and present personnel in place. Applicant must also provide the name and positions of the client service representative(s) to communicate with the AGO.

Please provide any information relevant to the below list:

- Include State Term Schedule number, if any.
- Provide resumes of any consultants that will be performing work.
- Time Applicant’s company has been in business.
- Size of Applicant’s company.
- State whether Applicant qualifies as a minority-owned enterprise. If so, clarify whether Applicant is certified by the Ohio Department of Administrative Services as MBE, EDGE, both, or neither.
- At least five references. It is preferred that you have at least two legal, law enforcement, and/or governmental customer references.
- Provide which personnel will be on site and which will not. The AGO reserves the right to negotiate the total number of staff required on site as part of the best and final offer negotiations

5.2 Organization’s History

Applicant shall indicate how long it has been in the related business and detail the extent of its activity over that time.

Attach a short narrative description including answers to the following questions (limit to three pages):

- What is your company’s experience related to similar types of projects?
- What is your company’s technical expertise in the related area?
- List all governmental agencies, including law enforcement organizations, for which your company has done similar work.
- List all legal firms, including any other Attorneys General offices, for which your

company has done similar work.

SECTION 6.0 EVALUATION

6.1 Evaluation Process

A selection committee will evaluate the Proposal responses for this RFP. The selection committee reserves the right to reject in whole or in part, at any time during the process, any or all such responses received.

The award of a Contract hereunder, if any, will be with one or more Applicants whose Proposal response(s) best meets the AGO's interests and needs based upon the evaluation criteria set forth below.

Each Proposal will be evaluated on the ability of the Applicant to deliver the services set forth in the RFP. The Applicant will be evaluated on at least the following:

- Completeness of the Proposal and how well it addresses all of the issues set forth in the RFP.
- Previous experience in related fields and experience of its staff in carrying out the deliverables as set forth in the RFP.
- Readability of the Proposal and clarity of the Proposal.
- Capacity of organization to complete the work as set forth in the RFP.
- Reasonableness of proposed costs.

EVALUATION OF PROPOSALS

Disclosure of Proposal Contents

The AGO agrees to give prior notice before disclosing any specific information that Applicant has previously identified as a proprietary trade secret. In the event that a person seeks that information through a public records request, AGO will notify Applicant in the course of AGO's legal review to give Applicant an opportunity to establish to the satisfaction of the AGO that the information constitutes a proprietary trade secret that is exempt from disclosure under the Public Records Act. If the AGO does not find that the information constitutes a proprietary trade secret, AGO will notify Applicant of its intention to disclose the information in accordance with the law. Applicant may choose to seek appropriate legal action, including injunctive relief, to prevent disclosure of the information at issue.

Rejection of Proposals

The AGO may reject any proposal that is not in the required format, does not address all the requirements of this RFP, or that the AGO believes is excessive in price or otherwise not in its interests to consider or to accept. In addition, the AGO may cancel this RFP, reject all the proposals, and seek to do the work through a new RFP or other means.

Evaluation of Proposals

The evaluation process may consist of up to four distinct phases:

1. The Initial Review of all Proposals for Defects
2. The Evaluation Committee's Evaluation of the Proposals
3. Request for More Information (Interviews, Presentations, and/or Demonstrations)
4. Negotiations

It is within the purview of the evaluation committee to decide whether phase three and four are necessary. The evaluation committee will make this decision before the evaluation process begins. However, the committee has the right to eliminate or add phases three and/or four or add or remove sub-phases to phases two through four at any time if the committee believes doing so will improve the evaluation process. Applicants shall be available for interviews, presentations, and/or demonstrations upon three days notice during the period of February 29 through March 7. Dates may need to be updated

Initial Review

The evaluation committee will review all proposals for their timeliness, format, and completeness. The evaluation committee will normally reject any late, incomplete, or incorrectly formatted proposal, though the evaluation committee may elect to waive any defects or allow a vendor to submit a correction. If a late proposal is rejected, the evaluation committee will not open it or evaluate it for format or completeness.

Committee Review of the Proposals

The evaluation committee will evaluate and numerically score each proposal. The evaluation will be according to the criteria contained in this part of the RFP. Appendix A of this RFP may further refine these criteria, and the committee has a right to break these criteria into components and weigh any components of a criterion according to their perceived importance. Any break down of this weighting will not alter the composite weight/score for that criterion as specified in this section. The committee may also have the proposals or portions of them reviewed and evaluated by independent third parties or other AGO personnel with technical or professional experience that relates to the work or to a criterion in the evaluation process. The committee may also seek reviews of end users of the work or the advice or evaluation of other AGO committees that have subject matter expertise or an interest in the work. The committee may adopt or reject any recommendations it receives from such reviews and evaluations. The evaluation will result in a point total being calculated for each proposal. Those vendors submitting the highest rated proposals will be scheduled for the next phase.

The number of proposals forwarded to the next phase will be within the committee's discretion, but regardless of the number of proposals selected for the next phase, they will always be the highest rated proposals from this phase. At any time during this phase, the committee may ask a vendor to correct, revise, or clarify any portions of its proposal.

In the proposal evaluation phase, the committee will rate the proposals submitted in response to this RFP based on the following criteria, and the associated weight assigned to each criterion. **Note: All of the technical requirements are detailed in Appendix A. User profiles are detailed in Appendix B.**

<u>Evaluated Requirements</u>	<u>Weight</u>	<u>Doesn't Meet</u>	<u>Meets</u>	<u>Exceeds</u>	<u>Greatly Exceeds</u>
Vendor Profile	1	0	5	7	9
Vendor Profile References	1	0	5	7	9

AGO RFP – Document and Record Management System

Enterprise Wide Imaging Solution Experience	3	0	5	7	9
Development Capabilities	4	0	5	7	9
Staffing Plan	3	0	5	7	9
Detailed Design	4	0	5	7	9
System Installation And Operation	3	0	5	7	9
OS Platform	4	0	5	7	9
Implementation Plan	2	0	5	7	9
Conversion Plan	2	0	5	7	9
Integration Development (Toolkit or API set)	4	0	5	7	9
Work Manager Personal Profile Preferred 5 yrs. Imaging Experience	1	0	5	7	9
Work Manager Personal Profile Preferred 3 yrs. Experience Managing Software Development Projects	1	0	5	7	9
Work Manager Personal Profile Preferred 3 yrs. Experience with the proposed Database Product	3	0	5	7	9
Work Team Personal Profile Preferred 3 yrs. Experience with the proposed Database Product	3	0	5	7	9
Work Team Personal Profile Preferred 5 yrs. Experience Customizing Software	1	0	5	7	9
Work Team Personal Profile Preferred 5 yrs. Systems Analyst Experience	1	0	5	7	9
Work Team Personal Profile Preferred 5 yrs. Experience in Software Installation.	1	0	5	7	9
Work Team Personal Profile Preferred 3 yrs. Experience Working With Current and Prior Versions of Proposed Software	1	0	5	7	9

Evaluated Requirements	Weight	Doesn't Meet	Meets	Exceeds	Greatly Exceeds
Platform Requirements Listed in 1 st sheet, Appendix A	25	0	5	7	9
Client Requirements Listed in 1 st sheet, Appendix A	4	0	5	7	9
Security Requirements Listed in 1 st sheet, Appendix A	9	0	5	7	9

AGO RFP – Document and Record Management System

Input/storage Requirements Listed in 1 st sheet, Appendix A	8	0	5	7	9
Output Requirements Listed in 1 st sheet, Appendix A	3	0	5	7	9
Search Requirements Listed in 1 st sheet, Appendix A	20	0	5	7	9
Features/tools Requirements Listed in 1 st sheet, Appendix A	23	0	5	7	9
Questions Listed in 2 nd sheet, Appendix A	131	0	1	2	3

Total requirements weight from 1st sheet of appendix A: 135

Total questionnaire weight from 2nd sheet of appendix A: 131

Possible maximum score: $135 * 9$ from 1st sheet + $131 * 3$ from 2nd sheet = 1608

The committee will then divide the vendor’s total not-to-exceed fixed price for the work by the proposal's totaled score based on the points received from the evaluation of the proposal's technical merits. One or more of the proposals will then be selected for further consideration in the next phase of the evaluation process. The proposal(s) selected to be considered in the next phase will always be the highest-ranking proposal(s) based on this analysis. That is, the committee may not move a lower ranking proposal to the next phase unless all proposals that rank above it are also moved to the next phase, excluding any proposals that the committee disqualifies because of excessive cost or other reasons. If the committee finds that one or more proposals should be given further consideration, the committee may select one or more of the highest-ranking proposals to move to the next phase. The committee may alternatively choose to bypass any or all-subsequent phases and make an award based solely on the evaluation phase.

This RFP asks for responses and submissions from vendors, most of which represent components of the above criteria. While each criterion represents only a part of the total basis for a decision to award the contract to a vendor, a failure by a vendor to make a required submission or meet a mandatory requirement will normally result in a rejection of that vendor’s proposal. The value assigned above to each criterion is only a value used to determine which proposal is the most advantageous to the AGO in relation to the other proposals that the AGO received. It is not a basis for determining the importance of meeting any requirement to participate in the proposal process.

Financial Ability

Part of the proposal evaluation criteria is the qualifications of the vendor, which includes as a component the vendor’s and subcontractors’ financial ability to perform the contract. The evaluation committee will require the submission of audited financial statements for the past year from all vendors and subcontractors in the proposal contents attachment.

The evaluation committee may insist that a vendor submit audited financial statements for the past three (3) years for the vendor and all subcontractors, if the committee is concerned that a vendor or subcontractor may not have the financial ability to carry out the contract. In evaluating a vendor's or subcontractor’s financial ability, the weight the committee assigns, if any, to that financial ability will depend on whether the vendor's or any subcontractor’s financial

position is adequate or inadequate. That is, if the vendor's or subcontractors' financial ability is adequate, the value assigned to the vendor's relative financial ability in relation to other vendors may or may not be significant, depending on the nature of the work. If the evaluation committee believes the vendor's or any subcontractor's financial ability is not adequate, that decision will be a fatal one for the vendor's proposal, and the committee may reject the proposal despite its other merits.

Interviews, Demonstrations, and Presentations

The proposal evaluation committee may require some vendors to interview with the committee, make presentations about their proposals, and/or demonstrate their products or services. Such presentations, demonstrations, and interviews provide a vendor with an opportunity to clarify its proposal and to ensure a mutual understanding of the proposal's content. The presentations, demonstrations, and interviews will be scheduled at the convenience and discretion of the evaluation committee and applicants shall make presentations with three days notice during the Mar 30 through Apr 6 period. The evaluation committee may record any presentations, demonstrations, and interviews. The evaluation committee normally will not numerically rank interviews, demonstrations, and presentations. Rather, each committee member may decide to revise his or her existing proposal evaluations based on the interviews, demonstrations, and/or presentations.

Contract Negotiations

The final phase of the evaluation process is contract negotiations. Negotiations will be scheduled at the convenience of the AGO. The selected vendor(s) must negotiate in good faith. Negotiations may be conducted with any vendor who submits a competitive proposal, but the AGO representative(s) may limit discussions to specific aspects of the RFP.

Any clarifications, corrections, or negotiated revisions that may occur during the negotiations phase will be reduced to writing and incorporated in the RFP or the vendor's proposal, as appropriate. Any vendor whose response continues to be competitive will be accorded fair and equal treatment with respect to any clarification, correction, or revision of the RFP and will be given the opportunity to negotiate revisions to its proposal based on the amended RFP.

Should the evaluation process have resulted in a top-ranked proposal, the AGO may limit negotiations to only that vendor and not hold negotiations with any lower-ranking vendor. If negotiations are unsuccessful with the top-ranked vendor, the AGO may then go down the line of remaining vendors, according to rank, and negotiate with the next highest-ranking vendor. Lower ranking vendors do not have a right to participate in negotiations conducted in such a manner.

Any oral modification of a proposal will be reduced to writing by the vendor as described below. Following negotiations, the AGO will set a date and time for the submission of best and final proposals by the remaining vendor(s). Best and final proposals may be submitted only once, unless the AGO makes a written determination that it is in the AGO's interest to conduct additional discussions. In such cases, the AGO may require another submission of best and final proposals. Otherwise, discussion of or changes in the best and final proposals will not be allowed. If a vendor does not submit a best and final proposal, the vendor's immediately previous proposal will be considered the vendor's best and final proposal.

It is entirely within the discretion of the committee whether to permit negotiations. A vendor

must not submit a proposal assuming that there will be an opportunity to negotiate any aspect of the proposal.

The AGO is free to limit negotiations to particular aspects of any proposal, to limit the vendors with whom the AGO wants to negotiate, or to dispense with negotiations entirely. The AGO generally will not rank negotiations. The negotiations will normally be held to correct deficiencies or make clarifications in the preferred vendor's proposal. If negotiations fail with the preferred vendor, the AGO may negotiate with the next vendor in ranking. Alternatively, the AGO may decide that it is in the interests of the AGO to negotiate with all the remaining vendors to determine if negotiations lead to an adjustment in the ranking of the remaining vendors.

From the opening of the proposals to the award of the contract, everyone working on behalf of the AGO to evaluate the proposals will seek to limit access to information contained in the proposals solely to those people with a need to know the information. They will also seek to keep this information away from other vendors, and the evaluation committee will not be allowed to tell one vendor about the contents of another vendor's proposal in order to gain a negotiating advantage. Before the award of the contract or cancellation of the RFP, any vendor that seeks to gain access to the contents of another vendor's proposal may be disqualified from further consideration. Negotiated changes will be reduced to writing and become a part of the contract file open to inspection to the public. The written changes will be drafted and signed by the contractor and submitted to the evaluation committee within five (5) business days. If the evaluation committee accepts the change, the AGO will give the vendor written notice of the committee's acceptance. The negotiated changes to the successful offer will become a part of the contract.

The template found at Appendix C will form the basis for any contract awarded under this RFP, which shall be attached to and incorporated by the contract, along with the Contractor's proposal. Applicants should not assume that any provisions included in the attached contract template will be subject to negotiation.

Failure to Negotiate

If a vendor fails to provide the necessary information for negotiations in a timely manner, or fails to negotiate in good faith, the AGO may terminate negotiations with that vendor.

6.2 Method of Award

The AGO may award and sign the Contract(s) with one (1), or more, Applicant(s) for an initial period beginning no earlier than Mar 30, 2012. Date may need updated The Contract(s) may also include optional renewal term(s) that the AGO may exercise at its sole discretion. Each renewal term will be 1 year in length and up to four renewals may be exercised by the AGO. The Contract(s) beginning and expiration dates and the option(s) to renew shall be in the AGO's sole discretion. No award hereunder is effective until approved and fully executed by the AGO.

Any Contract awarded pursuant to this RFP shall be subject to O.R.C. Section 126.07. Accordingly, no rights, duties, or obligations under such a Contract shall be binding on the AGO until such time as all necessary funds are available or encumbered and, when

required, such expenditure of funds is approved by the Controlling Board of the State of Ohio. No work may be performed unless a purchase order has been executed for that work

Any Applicant that may be awarded a Contract under this RFP must sign and return a Contract within ten days after receipt of the Contract for the Applicant's signature. If the Contract is not returned as stated, it will be just cause for annulment of the award.

SECTION 7.0 WARRANTIES AND CERTIFICATIONS

7.1 Applicant Warranties and Certifications

By submitting a Proposal, the Applicant warrants and certifies that it:

- Is eligible for award of a Contract by the AGO, pursuant to O.R.C. Sections 9.24, 125.11, 125.25, 2909.33, 3517.13 and the Governor's Executive Order No. 2011-12K. Has read the RFP, understands it, and agrees to be bound by its requirements.
- If awarded a Contract arising out of this RFP, shall negotiate such Contract in good faith, which Contract shall be in a form provided by the AGO.
- Has not included any legal terms or conditions for the Contract in its Proposal.