



# **STATE OF LOUISIANA**

**DIVISION OF ADMINISTRATION  
OFFICE OF TECHNOLOGY SERVICES (OTS)**

## **REQUEST FOR PROPOSALS**

**For: Child Support System Maintenance**

**RFP #: 3000006038  
Issued: August 2, 2016**

## TABLE OF CONTENTS

1.0	GENERAL INFORMATION .....	4
1.1	Purpose .....	4
1.2	Background .....	4
1.3	Scope of Services .....	6
2.0	ADMINISTRATIVE INFORMATION .....	6
2.1	Term of Contract.....	6
2.2	Pre-proposal Conference .....	6
2.3	Proposer Inquiries .....	6
2.4	Definitions.....	7
2.5	Schedule of Events .....	8
3.0	PROPOSAL INFORMATION.....	8
3.1	Minimum Qualifications of Proposer.....	8
3.2	Determination of Responsibility.....	9
3.2.1	Right to Prohibit Award .....	9
3.3	RFP Addenda.....	9
3.4	Waiver of Administrative Informalities .....	9
3.5	Proposal Rejection/RFP Cancellation .....	9
3.6	Withdrawal of Proposal .....	9
3.7	Subcontracting Information .....	10
3.8	Ownership of Proposal .....	10
3.9	Proprietary Information.....	10
3.10	Cost of Preparing Proposals .....	10
3.11	Errors and Omissions in Proposal.....	10
3.12	Contract Award and Execution.....	10
3.13	Code of Ethics .....	11
4.0	RESPONSE INSTRUCTIONS.....	11
4.1	Proposal Submission.....	11
4.2	Proposal Format.....	12
4.3	Cover Letter.....	13
4.4	Technical and Cost Proposal .....	13
4.5	Certification Statement .....	13
5.0	PROPOSAL CONTENT.....	13
5.1	Table of Contents .....	14
5.2	Executive Summary .....	14
5.3	Corporate Background and Experience .....	14
5.4	Proposed Project Staff / Experience .....	15
5.5	Approach and Methodology .....	18
5.6	Innovative Concepts.....	20
5.7	Other.....	20
5.8	Cost Proposal.....	20
5.9	Cost Information (Value of 25 points).....	20
6.0	EVALUATION AND SELECTION.....	21
6.1	Evaluation Team.....	21
6.2	Administrative and Mandatory Screening .....	21
6.3	Clarification of Proposals.....	21
6.4	Oral Presentations/Discussions .....	21
6.5	Evaluation and Review.....	22
6.6	Announcement of Contractor .....	22

6.7	Debriefing .....	22
7.0	SUCCESSFUL CONTRACTOR REQUIREMENTS .....	22
7.1	Corporation Requirements .....	22
7.2	Billing and Payment.....	23
7.3	Confidentiality.....	23
	ATTACHMENT I: SCOPE OF SERVICES.....	24
	ATTACHMENT II: COST SUMMARY .....	33
	ATTACHMENT III: CUSTOMER REFERENCES .....	34
	ATTACHMENT IV: SAMPLE WORK ORDER .....	35
	ATTACHMENT V: CERTIFICATION STATEMENT .....	36
	ATTACHMENT VI: CAFÉ SYSTTEM TECHNICAL DOCUMENTATION.....	37
	ATTACHMENT VII: REFERNCE QUESTIONNAIRE .....	46
	ATTACHMENT VIII: INFORMATION SERVICES CURRENT INFRASTRUCTURE.....	50
	ATTACHMENT IX: DRAFT CONTRACT .....	68
	ATTACHMENT X: DEVELOPMENT INTEGRITY REVIEW .....	87

# **REQUEST FOR PROPOSAL FOR CHILD SUPPORT SYSTEM MAINTENANCE**

## **1.0 GENERAL INFORMATION**

### **1.1 Purpose**

This Request for Proposals (RFP) is issued by the Office of Technology Services (OTS) on behalf of the Department of Children and Family Services (herein collectively referred to as "State") for the purpose of conducting a fair and impartial competitive procurement process to solicit proposals from qualified contractors interested in providing significant Information Technology services for the Louisiana Child Support Enforcement Program. These services will include maintenance and development of the Statewide Louisiana Automated Support Enforcement System (LASES) and various web and data base components which together provide comprehensive automated functionality to child support customers and the child support workforce.

This RFP does not require the provision of any computer equipment, and proposers responding to this RFP are not expected to provide equipment to the State of Louisiana.

### **1.2 Background**

The Louisiana Department of Children and Family Services (DCFS) is one of the administrative departments within the Executive Branch of State government in Louisiana. The administrative head of the Department is the Secretary, who is appointed by the Governor. The Vision of DCFS is that DCFS services will assist individuals, children, and families to achieve self-sufficiency and promote their well-being.

The Title IV-D agency in Louisiana is Child Support Enforcement (CSE). CSE is a section within DCFS that provides Child Support Enforcement (CSE) services to the State of Louisiana. CSE puts children first by helping parents assume responsibility for the economic and social well-being, health and stability of their children. Services provided help assure that children receive basic human needs of economic and medical support. The primary customers of CSE are the children in need of support. Secondary customers are the two parents of these children. CSE provides the following services:

1. Location of Absent Parents
2. Establishment of Paternity
3. Establishment of Support Obligations
4. Collection, Receipt, and Distribution of Support Payments
5. Enforcement of Support Obligations

The Child Support Enforcement (CSE) program in Louisiana is supported by the Louisiana Automated Support Enforcement System (LASES), which is a mainframe application that provides a full range of functionality to support the program. LASES is an interactive on-line system which is a centralized, comprehensive, fully automated, state-operated computer system that maximizes the degree of automation. LASES is a mainframe application using an ADABAS Environment with application code written primarily in Natural. LASES is programmed using Software AG's Natural programming language for the system. CICS is the teleprocessing monitor utilized by LASES.

The LASES Web Application has been designed as a 'front-end' to the LASES mainframe system. It aggregates the contents of several mainframe screens into single web pages along with usability enhancements which reduce the number of key strokes and overall time required for each business process. It is important to note that data updated using the web page is immediately updated on the

LASES database. Functionality provided by these web pages can still be performed using the LASES mainframe screens.

Currently the LASESWeb includes functionality that supports the DCFS Customer Service Contractor. This allows CSE to provide the customer service representatives with the information needed to assist child support customers without the need to access the main child support database. This increases efficiency and reduces exposure to sensitive child support data.

In order to transform and modernize the Louisiana Department of Children and Family Services to deliver services to customers in a holistic and collaborative manner, DCFS implemented a Common Access Front End (CAFÉ) system. The primary focus of this project is the implementation of web-based portals to be the outward facing view of information and services provided by DCFS. These portals integrate with the department's standalone information system supporting the program offices.

CAFÉ Customer Portal provides DCFS/CSE customers with a single entry point for all DCFS services. Child support caseworkers are provided with a single sign-on through the CAFÉ Worker Portal. The single sign-on allows the caseworker to access all of the automated systems that are needed to efficiently and effectively perform their duties without the need to log on to each system individually. CAFÉ Worker Portal provides a case management tool for CSE caseworkers that will include an online interview process, enhancements to handling alerts and tasks, and a modular approach to key functions that will allow caseworkers to better organize and prioritize their work. In addition, CAFÉ provides CSE supervisors and managers with tools to monitor productivity and adherence to federal and state law and regulation and CSE policy. CAFÉ links to LASES, LASESWeb, and other systems to leverage the existing functionality of these systems. CAFÉ did not replace any of the current functionality in LASES or LASESWeb but has enhanced the worker's case management experience through advanced technology and enterprise architecture.

Once the current CAFÉ contract ends, CSE will work closely with the Federal Office of Child Support Enforcement and OTS to determine how future enhancements to child support automation will be handled. It is the intent of the Department to leverage CAFÉ technology and to enhance CAFÉ whenever possible to meet the needs of CSE customers and child support caseworkers, supervisors, and managers.

Development of LASES officially started on November 2, 1991. In January 2004, Louisiana was granted full certification of LASES FSA 1998 and the Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (PRWORA). It is critical the LASES functionality continue to meet all of the requirements to remain fully certified. Any modifications, upgrades, or enhancements may not interfere with or diminish the State's ability to continue to meet these requirements. Neither LASESWeb nor CAFÉ are to replace the certified functionality of the LASES Mainframe without prior federal approval and documentation necessary to meet the federal requirements for replacement systems. At this time, there is no plan to replace LASES during this three year contract period. Federal certification requirements can be found in the Automated Systems for Child Support Enforcement: A Guide for States and can be found at: [http://www.acf.hhs.gov/programs/cse/stsys/dsts\\_cert\\_guide.html](http://www.acf.hhs.gov/programs/cse/stsys/dsts_cert_guide.html)

### **OTS Computer Center Overview**

OTS computer operations provide services to DCFS, the Department of Health and Hospitals, the Department of Education and other agencies within the executive branch of state government. OTS currently supports application systems for these three departments and they are networked to all parish, district, regional, and state offices. OTS provides a consolidated Computer Center (OTSCC) and utilizes a wide variety of software products, including automated job scheduling, and report distribution, to provide information technology services to all offices in DCFS as well as to the Department of Health and Hospitals and the Department of Education.

This data center is one of the most comprehensive, centralized computing environments in the State of Louisiana, supporting a variety of batch and on-line computer services. Access to the OTS mainframe computer is controlled by the Resource Access Control Facility (RACF) security software system, as well as Natural Security.

OTS Applications Programming staff maintains, enhances, and develops the application systems for DCFS. This unit is currently responsible for all application systems, including LASES. It provides a full range of automated applications acquisition, transfer, development, and maintenance services, including information processing requirements definitions; feasibility studies; systems design, programming, testing and system conversion; planning and budget preparation; and assistance for client agencies. The continuing liaison with client agencies in reviewing needs for new applications and assessing effectiveness of present applications is also a primary service. Database design and administration are the responsibility of this group as well.

OTS Technical Support is responsible for the operating system software, IBM, and third-party utilities, capacity planning and network software support for DCFS.

OTS Support Services responsibilities include security administration, internal payroll, personnel transactions, billing and tracking, coordination, and performing internal audit functions.

OTS Network Support is responsible for overseeing and coordinating all of the telecommunications system and services provided to various DCFS organizations. These communications services include an integrated state data network and other systems support based on current telecommunications technologies. A broad range of engineering and technical assistance services, including planning and design for new or added systems is provided for state agencies and institutions across the state. Additionally, this group supports a point-to-point network that services local offices in all of the State's parishes.

OTS Personal Computer Support encompasses the maintenance of the Local Area Network (LAN) and PC network within DCFS. They also support the Office of Management and Finance's existing LAN and wide area network. They support these networks with diagnostic software but do not provide application software support. This unit supports all OTS LASES support staff. A description of the current IT Infrastructure is included in Attachment VIII.

### **1.3 Scope of Services**

Attachment I of this RFP details the Scope of Services and deliverables or desired results that the State requires of the selected Contractor.

## **2.0 ADMINISTRATIVE INFORMATION**

### **2.1 Term of Contract**

The term of any contract resulting from this RFP shall be for a period of twelve (12) months, with an option by the State, to extend the contract terms for two (2) additional twelve-month contract renewals for a total contract period of thirty-six (36) months with the concurrence of the Contractor and all appropriate approvals.

### **2.2 Pre-proposal Conference**

Not applicable for this solicitation.

### **2.3 Proposer Inquiries**

Written questions regarding RFP requirements or Scope of Services must be submitted to the RFP Coordinator as listed below:

Dana Maxfield  
Office of Technology  
P.O. Box 94095  
Baton Rouge, La. 70804-9095

E-mail: [OTS.VPM@La.Gov](mailto:OTS.VPM@La.Gov)

The State will consider written inquiries and requests for clarification of the content of this RFP received from potential proposers. Written inquiries must be received by 3:00 PM CST on the date specified in the Schedule of Events. The State reserves the right to modify the RFP should a change be identified that is in the best interest of the State.

Official responses to all questions submitted by potential proposers will be posted by the date specified in the Schedule of Events at <http://www.wprd1.doa.louisiana.gov/osp/lapac/pubmain.cfm>. Only the RFP Coordinator has the authority to officially respond to proposer's questions on behalf of the State. Any communications from any other individuals are not binding to the State.

## 2.4 Definitions

- A. **Agency** – Any department, commission, council, board, office, bureau, committee, institution, government, corporation, or other establishment of the executive branch of this State authorized to participate in any contract resulting from this solicitation.
- B. **CAFÉ** - Common Access Front End
- C. **Can** – The term “can” denotes an advisory or permissible action.
- D. **Contractor** – The Proposer awarded the Contract as a result of this RFP.
- E. **Could** – The term “could” denotes an advisory or permissible action.
- F. **Child Support** – A legally enforceable obligation of a parent to provide support for (a) child(ren).
- G. **CSE** – Child Support Enforcement, Louisiana’s Child Support Agency.
- H. **Dishonesty of Employee** – means dishonest acts committed by an “employee of the Contractor”, whether identified or not, acting alone or in collusion with other persons, with the manifest intent to:
  - Cause one to sustain loss; and/or Obtain financial benefit (other than employee benefits earned in the normal course of employment, including: salaries, commissions, fees, bonuses, promotions, awards, profit sharing, or pensions) for the “employee”, or any person or organization intended by the “employee” to receive that benefit.
- I. **DCFS** – The Department of Children and Family Services.
- J. **Discussions** – For the purposes of this RFP presentation, a formal, structured means of conducting written or oral communications/presentations with responsible Proposers who submit Proposals in response to this RFP.
- K. **Employee** – includes any person employed by contractor, under a written agreement between you and the contractor, to perform duties related to the contract.
- L. **ES** – Economic Stability.
- M. **Genetic Testing** - Testing for the purpose of determining paternity includes, but is not limited to, the collection and analysis of blood or tissue samples.
- N. **LaPAC** – The State’s online electronic bid posting and notification system, located on the Office of State Purchasing website [www.doa.louisiana.gov/osp](http://www.doa.louisiana.gov/osp) and is available for vendor self-enrollment.
- O. **LASES** – Louisiana Automated Support Enforcement System (The child support mainframe computer application).
- P. **LASES ADHOC Reporting** – On demand reporting.
- Q. **LASESWeb** – A Front-End to the LASES Mainframe System.
- R. **LWO** - LASES Work Order
- S. **May** – The term “may” denotes an advisory or permissible action.
- T. **MSS** – Medical Support Services

- U. **Must** – The term “must” denotes a mandatory action or requirement.
- V. **Obligors** – Those persons designated to provide child and/or medical support.
- W. **Occurrence** – all loss caused by, or involving, one or more “employees”, whether the result of a single act or series of acts.
- X. **OTS** – Office of Technology Services.
- Y. **Program** – The sections of Department of Children and Family Services, i.e., Economic Stability (ES) Child Support Enforcement (CSE), Temporary Assistance for Needy Families (TANF), SNAP, Strategies to Empower People (STEP), Child Welfare (Foster Care/Day Care providers),
- Z. **Proposal** – The formal written response to this document.
- AA. **Proposer** – Company or Firm responding to this RFP
- BB. **RFP** – Request for Proposal (This document).
- CC. **Shall** – The term “shall” denotes mandatory requirements.
- DD. **Should** – The term “should” denotes an advisory action and is not mandatory.
- EE. **SOW** – Statement of Work
- FF. **Will** – The term “will” denotes a mandatory action or requirement.

## 2.5 Schedule of Events

**NOTE: The State of Louisiana reserves the right to change this schedule of RFP events, as it deems necessary.**

Event	Date
Advertise RFP and mail public announcements	<b>August 2, 2016</b>
Deadline for receipt of Proposers’ inquiries	<b>August 12, 2016, 3:00 PM CT</b>
Last date to respond to Proposers’ inquiries	<b>August 19, 2016</b>
<b>Proposal submission deadline</b>	<b>September 2, 2016, 3:00 PM CT</b>
Notice of Intent to Award (tentative)	<b>September 27, 2016</b>
Begin Contract negotiation (tentative)	<b>September 28, 2016</b>
Contract execution (tentative)	<b>January 1, 2017</b>

## 3.0 PROPOSAL INFORMATION

### 3.1 Minimum Qualifications of Proposer

Proposers must meet the following minimum qualifications:

Proposers shall provide experienced management and technical staff as part of its proposal. Proposed staff shall have the technical skills identified in Section 5.4 in order to maintain and enhance complex Child Support Enforcement Systems. Experience will be key evaluation criteria.

### **3.2 Determination of Responsibility**

Determination of the proposer's responsibility relating to this RFP shall be made according to the standards set forth in LAC 34: 136. The State must find that the selected proposer:

- Has adequate financial resources for performance, or has the ability to obtain such resources as required during performance;
- Has the necessary experience, organization, technical qualifications, skills, and facilities, or has the ability to obtain them;
- Is able to comply with the proposed or required time of delivery or performance schedule;
- Has a satisfactory record of integrity, judgment, and performance; and
- Is otherwise qualified and eligible to receive an award under applicable laws and regulations.

Proposers should ensure that their proposals contain sufficient information for the State to make its determination by presenting acceptable evidence of the above to perform the contracted services.

The selected Proposer shall be required to assume responsibility for all services offered in his proposal whether or not he provides them. The State shall consider the selected Proposer to be the sole point of contact with regard to contractual matters, including payment of any and all charges resulting from the contract.

#### **3.2.1 Right to Prohibit Award**

In accordance with the provisions of R.S. 39:2192, in awarding contracts after August 15, 2010, any public entity is authorized to reject a proposal or bid from, or not award the contract to, a business in which any individual with an ownership interest of five percent or more, has been convicted of, or has entered a plea of guilty or nolo contendere to any state felony or equivalent federal felony crime committed in the solicitation or execution of a contract or bid awarded under the laws governing public contracts under the provisions of Chapter 10 of Title 38 of the Louisiana Revised Statutes of 1950, professional, personal, consulting, and social services procurement under the provisions of Chapter 16 of this Title, or the Louisiana Procurement Code under the provisions of Chapter 17 of this Title.

### **3.3 RFP Addenda**

State reserves the right to change the schedule of events or revise any part of the RFP by issuing an addendum to the RFP at any time. Addenda, if any, will be posted at: <http://wwwprd1.doa.louisiana.gov/osp/lapac/pubmain.cfm>. It is the responsibility of the proposer to check the website for addenda to the RFP, if any.

### **3.4 Waiver of Administrative Informalities**

The State reserves the right, at its sole discretion, to waive administrative informalities contained in any proposal.

### **3.5 Proposal Rejection/RFP Cancellation**

Issuance of this RFP in no way constitutes a commitment by the State to award a contract. The State reserves the right to accept or reject, in whole or part, all proposals submitted and/or cancel this announcement if it is determined to be in the State's best interest.

### **3.6 Withdrawal of Proposal**

A proposer may withdraw a proposal that has been submitted at any time up to the date and time the proposal is due. To accomplish this, a written request signed by the authorized representative of the proposer must be submitted to the RFP Coordinator.

### **3.7 Subcontracting Information**

The State shall have a single prime contractor as the result of any contract negotiation, and that prime contractor shall be responsible for all deliverables specified in the RFP and proposal. This general requirement notwithstanding, proposers may enter into subcontractor arrangements, however, should acknowledge in their proposals total responsibility for the entire contract.

The prime contractor shall be the single point of contact for all subcontract work.

Unless provided for in the contract with the State, the prime contractor shall not contract with any other party for any of the services herein contracted without the express prior written approval of the State.

If the prime contractor intends to use a subcontractor, the proposal should include specific designations of the tasks to be performed by the subcontractor. Also, the Proposer should state the name of the Subcontractor(s); and should provide, for each proposed Subcontractor, a copy of a fully executed agreement or a signed Letter of Intent confirming that the Prime/Subcontractor relationship exists. These agreements/letters should be included as a clearly labeled attachment to the Proposal.

Information required of the prime contractor under the terms of this RFP, is also required for each subcontractor, and the subcontractors must agree to be bound by the terms of the contract.

It is the preference of the State that the Subcontractor be located in the United States.

### **3.8 Ownership of Proposal**

All materials submitted in response to this request shall become the property of the State. Selection or rejection of a proposal does not affect this right.

### **3.9 Proprietary Information**

Only information which is in the nature of legitimate trade secrets or non-published financial data may be deemed proprietary or confidential. Any material within a proposal identified as such must be clearly marked in the proposal and will be handled in accordance with the Louisiana Public Records Act, R.S. 44: 1-44 and applicable rules and regulations. Any proposal marked as confidential or proprietary in its entirety may be rejected without further consideration or recourse.

### **3.10 Cost of Preparing Proposals**

The State shall not be liable for any costs incurred by proposers prior to issuance of or entering into a contract. Costs associated with developing the proposal, preparing for oral presentations, and any other expenses incurred by the Proposer in responding to this RFP are entirely the responsibility of the Proposer and shall not be reimbursed in any manner by the State.

### **3.11 Errors and Omissions in Proposal**

The State will not be liable for any errors in proposals. The State reserves the right to make corrections or amendments due to errors identified in proposals by State or the Proposer. The State, at its option, has the right to request clarification or additional information from the proposers.

### **3.12 Contract Award and Execution**

The State reserves the right to enter into a contract without further discussion of the proposal submitted based on the initial offers received.

The State reserves the right to contract for all or a partial list of services offered in the proposal. Award shall be made to the Proposer whose proposal, conforming to the RFP, will be the most advantageous to the State of Louisiana with the highest points, considering price and other factors considered. The State intends to award to a single Proposer.

The RFP and the proposal of selected Proposer shall become contractual obligations if a contract ensues. Failure of the successful Proposer to accept these obligations shall result in the rejection of the proposal.

The selected Proposer shall be expected to enter into a contract that is substantially the same as the sample contract included in Attachment IX. In no event shall a Proposer submit its own standard contract terms and conditions as a response to this RFP. The Proposer should submit with its proposal any exceptions or exact contract deviations that its firm wishes to negotiate. Negotiations may begin with the announcement of the selected Proposer.

If the contract negotiation period exceeds thirty (30) days or if the selected Proposer fails to sign the final contract within seven (7) business days of delivery, the State may elect to cancel the award and award the contract to the next-highest-ranked Proposer.

The Contract shall become effective after review and approval by the Director of the Office of State Procurement, Division of Administration.

### **3.13 Code of Ethics**

Proposers are responsible for determining that there will be no conflict or violation of the Ethics Code if their company is awarded the contract. The Louisiana Board of Ethics is the only entity which can officially rule on ethics issues.

## **4.0 RESPONSE INSTRUCTIONS**

### **4.1 Proposal Submission**

Firms/individuals who are interested in providing services requested under this RFP must submit a proposal containing the information specified in this section. The proposal must be received in hard copy (printed) version by the RFP Coordinator on or before 3:00 PM Central Time on the date specified in the Schedule of Events. FAX or e-mail submissions are not acceptable.

It shall be solely the responsibility of each Proposer to ensure that its proposal(s) is delivered at the specified place and prior to the deadline for submission. Proposals received after the deadline will not be considered. Proposers mailing their proposals should allow sufficient mail delivery time to ensure receipt of their proposal by the time specified. Proposers are hereby advised that the U.S. Postal Service does not make deliveries to our physical location. For in person or courier delivery, proposers should be aware of security requirements for the Claiborne building and allow time to be photographed and presented with a temporary identification badge.

The proposal package must be delivered at the proposer's expense. Following are the addresses to be used for mail delivery and in person or courier options:

#### Mail Delivery

Dana Maxfield  
Office of Technology Services  
Division of Administration  
P.O. Box 94095  
Baton Rouge, LA 70804-9095

In Person or Courier Delivery  
Office of Technology Services  
Division of Administration  
Attn: Dana Maxfield  
1201 N. Third St., Suite 2-130  
Baton Rouge, LA 70802

The State requests that copies of the proposal be submitted to the RFP Coordinator at the address specified. At least one copy of the cover letter within the Technical Proposal shall contain original signatures of those company officials or agents duly authorized to sign proposals or contracts on behalf of the organization. A certified copy of a board resolution granting such authority should be submitted if proposer is a corporation. The copy of the proposal with original signatures will be retained for incorporation in any Agreement resulting from this RFP.

Proposers should provide the following copies of their proposals:

<b>Proposal Type</b>	<b>Hard Copy (Paper) Document</b>	<b>CD/Thumb Drive</b>
<b>Technical Proposal</b>	7	1 and 1 redacted copy, if applicable
<b>Cost Proposal</b>	2	1

The technical proposal should be boxed and labeled separately from the cost proposal. Boxes should be labeled as follows:

1. Proposal Name: Request for Proposals for Child Support System Maintenance
2. RFP No. 3000006038
3. Proposal Due Date: September 2, 2016, 3:00 PM Central Time
4. Proposer's Name
5. The inscription "Technical Proposal"

Cost proposals should be similarly labeled, but with the inscription "Cost Proposal".

The required CD's / Thumb Drives should be placed in the cover of the original (signature) copies of the related technical and cost proposals. The CD's / Thumb Drives should include the proposal in both PDF format and in Microsoft Word format with hyperlinks to the sections from the table of contents.

#### **4.2 Proposal Format**

Proposers should respond to this RFP with a Technical Proposal and Cost Proposal. No pricing information should be included in the Technical Proposal. All pages of each proposal volume should be consecutively numbered from beginning to end.

The proposal should be complete so that an evaluation of the proposer's solution can be conducted solely based on proposal contents.

The proposal should address all specifications in each section of this RFP, following the format and content outlined in this RFP. The requirements appearing in this RFP will become a part of the terms and conditions of the resulting Contract. Any deviations from the RFP should be specifically defined by the proposer in its proposal so that, if accepted by the State, become part of the Contract, but such deviations must not have been in conflict with the basic nature of this proposal.

### 4.3 Cover Letter

A cover letter should be submitted on the Proposer's official business letterhead explaining the intent of the Proposer. The cover letter should also:

- Identify the submitting Proposer and provide their federal tax identification number;
- Identify the name, title, address, telephone number, fax number, and email address of each person authorized by the Proposer to contractually obligate the Proposer;
- Identify the name, address, telephone number, fax number, and email address of the contact person for technical and contractual clarifications throughout the evaluation period.
- Be signed by an individual authorized to bind the firm to the commitments required in the RFP as well as to the price offered in the proposal.
- Include an unequivocal positive statement that the firm will supply all the services and products required in this RFP for the fixed price offered in the proposal.
- Assure the Department that the proposal submitted was developed without collusion with other proposers.

### 4.4 Technical and Cost Proposal

Proposals should be submitted as specified in Section 5.0, and should include enough information to satisfy evaluators that the Proposer has the appropriate experience and qualifications to perform the scope of services as described herein. Proposers should respond to all requested areas.

If the proposer fails to comply with any of the mandatory requirements, the Department shall consider the proposal to be unacceptable and reject it from further consideration.

Proposers should submit all required forms, checklists, and cost schedules with their proposal. A certified copy of a board resolution granting such authority should be submitted if proposer is a corporation. The copy of the proposal with original signatures will be retained for incorporation in any contract resulting from this RFP.

### 4.5 Certification Statement

The Proposer must sign and submit the Certification Statement shown in **Attachment V** of this RFP.

## 5.0 PROPOSAL CONTENT

Proposals submitted for consideration should follow the format and order of presentation described below.

The Technical Proposal should include the following:

- Cover Letter
- Table of Contents
- Executive Summary
- Corporate Background and Experience
- Proposed Project Staff / Experience
- Approach and Methodology / Approach to Accomplishing Scope of Work
- Innovative Concepts
- Other Information

The Cost Proposal should be submitted on **Attachment II: Cost Summary** of this RFP.

## 5.1 Table of Contents

Organized in the order cited in the format contained herein.

## 5.2 Executive Summary

This section should serve to introduce the scope of the proposal. It should include administrative information including, at a minimum, Proposer contact name and phone number, and the stipulation that the proposal is valid for a time period of at least 90 days from the date of submission. This section should also include a summary of the Proposer's qualifications and ability to meet the State agency's overall requirements in the timeframes set by the agency.

It should include a positive statement of compliance with the contract terms. If the Proposer cannot comply with any of the contract terms, an explanation of each exception must be supplied. The proposer must address specific language in **Attachment IX** (Sample Generic Contract) and submit whatever exceptions or exact contract modifications that the firm may seek to the sample contract. While final wording will be resolved during contract negotiations, the intent of the provisions will not be substantially altered. **In no event shall a proposer submit its own standard contract terms and conditions as a response to this RFP.**

It should also condense and highlight the contents of the technical proposal in such a way as to provide the evaluation committee with a broad understanding of the proposer's entire proposal. Proposers should summarize their understanding of the required services being requested by this RFP

If the proposal materially deviates from the requirements of this RFP, the proposer should specifically describe how their proposal differs from the RFP, why it differs, how the difference will benefit the State of Louisiana.

No evaluation points will be awarded for the executive summary and it should not exceed 10 pages in length.

## 5.3 Corporate Background and Experience

The Proposer must give a brief description of their company including a brief history, corporate structure and organization, number of years in business, and copies of its latest financial statement, preferably audited.

This section should provide a detailed discussion of the Proposer's prior experience in working on projects similar in size, scope, and function to the proposed contract. Proposer should describe their experience in other states or in corporate/governmental entities of comparable size and diversity. Proposer should provide Client reference information identifying at least three and no more than five projects of comparable work completed within the past six years. See **Attachment III: Customer References** of this RFP.

Information to be provided includes:

- Name and address of agency/corporation, contact person, e-mail address and telephone number. For each project, include Client Project Manager, Program, Information Services or Technical Contact names, addresses, telephone numbers, and e-mail addresses;
- Approximate dollar value, staffing, person-hours and time period of work performed. Size of the project, provided in demographic terms including functional purpose, technical description, geographic scope, number of users, etc. A brief engagement narrative description must be provided which details the scope of the objectives of the project, the benefits received by the Agency as a result of the project implementation both initially and ongoing after the Agency

assumed full responsibility for the maintenance of the program enhancements. Indicate established ability to provide services on time and within budget;

- Description of work performed. If the project relates to Child Support Enforcement explain how. Provide description of the project organization and the roles and responsibilities played by the Proposer and Client personnel. Also identify if the project included model based productivity tools and/or Business Process Reengineering/Change Management, and if so, explain. Include a detailed description of the products produced by the Proposer and samples of work: design documents, plans, manuals, reports, etc.; and
- Description of projects in which difficulties/problems arose and manner in which Proposer was able to successfully solve and return project to schedule, scope, or budget.

In addition to the Proposer's listing and description of Client references, Proposer must provide a copy of the DCFS Reference Response Request Form to each of the Client references identified. The form should be completed in its entirety by the Client reference responder and mailed, faxed, or e-mailed directly from the Client reference responder to the RFP Coordinator by the proposal due date. It is the responsibility of the Proposer to ensure the Client references are aware of deadlines and provide timely responses. Reference **Attachment VII** for the DCFS Reference Response Request Form.

The State reserves the right to obtain information from any resources deemed necessary regardless of whether the Proposer provides the source.

Note: The proposer is responsible for verifying reference contact information, including but not limited to phone numbers and addresses. The Evaluation Committee is not obligated to try to locate persons not found at the numbers or places given in the proposals. Obsolete or inaccurate contact information could affect the score in this category.

#### **5.4 Proposed Project Staff / Experience**

The Proposer shall provide detailed information about the experience and qualifications of the Proposer's assigned personnel considered key to the success of the project. The state believes that the contractor must commit cohesive, dedicated, highly skilled personnel. The proposal should include roles and responsibilities for each person. Proposers shall provide experienced management and technical staff as part of its proposal.

The State seeks to maximize the technical maintenance/enhancement dollars available to it while minimizing development and technical inefficiencies of enhancing and maintaining LASES, LASES Web and/or CAFÉ'. Therefore, experience will be key evaluation criteria.

Proposed staff should have an effective blend of skills in complex systems maintenance and enhancement environment knowledge. This RFP has specified that level of effort and cost estimating are extremely important. Proposers should clearly describe the experience in these areas of the management/supervisory staff being bid including experience in the methodology and tools to be utilized.

The purpose of this section is to evaluate the relevant experience, resources, and qualifications of the proposed staff to be assigned to this project. The experience of proposer's personnel in implementing similar services to those to be provided under this RFP will be evaluated. Proposer should also include a statement of its ability to **commit key personnel for the full term of the contract and its plan for doing so**. The adequacy of personnel for the proposed project team will be evaluated on the basis of project tasks assigned, allocation of staff, professional skill mix, and level of involvement of personnel. Personnel should be identified, and should be the individuals who will work directly on the project. The estimated number of hours for each staff classifications and number of staff proposed per classification should be included in the technical proposal and should align with estimated number of hours in the cost proposal. Hourly rates and cost shall not be included in the technical proposal.

We anticipate the proposers to have about seven (7) full time equivalent staff working on this project. It can be more than 7 staff that work less than full time. At a minimum, we expect the below staff and skill sets:

- Project Manager – with technical background, provides day to day project management, maintains project work plan, provides project progress reports, time sheets and issue control. The Project Manager must have a technical background in at least one of the technologies used for the DCFS and must be able to communicate with both Program and Technical staff.
- Advanced NATURAL/ADABAS Developer – Analyzes requirements, designs, develops, tests, deploys and maintains complex computer programs in a NATURAL/ADABAS environment, with vast experience in Child Support Systems.
- NATURAL/ADABAS Developer – Analyzes requirements, designs, develops, tests, deploys and maintains computer programs of low to moderate complexity in a NATURAL/ADABAS environment.
- Advanced Java Developer – Designs, develops, tests, deploys and maintains complex Java based components, applications and interfaces, with vast experience in Child Support Systems. This includes web services development and maintenance.
- Java Developer – Designs, develops, tests, deploys and maintains Java based components, applications and interfaces.
- Other staff titles may be proposed with their own skill sets specified along with estimated numbers of hours needed over the contract.

Proposers should state job responsibilities, workload and lines of supervision. An organizational chart identifying individuals and their job titles and major job duties should be included. The organizational chart should show lines of responsibility and authority. The proposer should clearly show how the organizational structure is designed to carry out the responsibilities within each of the major components.

The current resumes or representative resumes and qualification summaries of proposed personnel should include:

- Detailed information about the experience and qualifications of the proposer's assigned personnel and subcontractors (if any). The resume should include software and programming proficiencies and current certifications.
- Education, training, technical experience, functional experience, specific dates, and names of employers, relevant and related experience, past and present projects with dates and responsibilities and any applicable certifications.
- A minimum of three references for each resume (name, title, company name, address and telephone number) should be provided for cited projects in the individual resumes.
- Experience with and length of time employed by the proposer.
- Experience in automated Child Support Enforcement Systems and Federal CSE regulations is highly desirable and proposals that include experienced CSE staff will be scored higher in that category.
- Provide job descriptions for staff that are not key positions and will be hired to fulfill the requirements of this RFP.

In order to provide support for the Child Support Enforcement System (LASES) and CAFÉ enhancements that correlate to LASES enhancement, the proposed staff should have experience with the following Software, Programming Languages and Database Managers:

**Mandatory for Team:**

- Natural/Adabas (at least 2-3 staff must possess this skill)
- Predict
- Core Java (at least 2-3 staff must possess this skill)
- Java servlets, JSP, JDBC (at least 2-3 staff must possess this skill)
- Java Web services (at least 2-3 staff must possess this skill)
- DataDirect Shadow
- Zeke
- MVS JCL
- CICS
- DB2
- ADABAS
- Microsoft Word
- Microsoft Project
- Microsoft Access
- Microsoft Power Point
- Microsoft Excel
- Ability to build Web Pages that are J2EE compliant using DCFS provided access to ADABAS.

**Not Mandatory, but preferred for Staff:**

- Construct
- JAXB (Java Architecture for XML Binding)
- Struts
- Adobe LiveCycle services
- Adobe LiveCycle Designer
- DisplayTag
- Log4J
- Enough .NET to support Casino Gaming Interception single sign-on
- Java Triple DES encryption
- Object Oriented Design – UML (Unified Modeling Language)
- Ant
- Rational ClearCase
- Rational RequisitePro
- Rational ClearQuest
- Rational Quality Manager (for System and UAT test tracking)
- CVS (Concurrent Versions System)
- Eclipse / MyEclipse
- ASG Zena
- JBoss
- BuildForge
- Microsoft SQL Server
- Excel Macros (Visual Basic Code)
- Experience in software referenced in Attachment VI, CAFÉ' System Technical Documentation.
- Experience in other software applications that work in conjunction with Natural/ADABAS to maximize efficiency and provide increased support for the user community.
- iWay Data Migrator
- iWay Service Manager
- iWay Master Data Center
- iWay Data Quality Center

- Data Steward Portal
- IBM HATS
- WebTwain
- Flex SDK
- IBM ITCAM
- Websphere

All contractor staff must be physically located in the continental United States and must be able to readily travel to Baton Rouge for Joint application Design (JAD) sessions, meetings, etc. Staff being housed in the continental U.S. is a federal requirement as contractors will have access to Federal Tax Information.

All developer/analyst must have the ability to write business design documents and technical design documents. This will be accomplished by using the DCFS Business Requirements Document (BRD), User Requirements Document (URD), and Technical Design Document (TDD). The documents and requirements are maintained in Rational Requisite Pro. They must also show that the requirement was tested. This can be accomplished by using the DCFS Unit Test Plan for unit testing and by using the DCFS System Test Plan or Rational Quality Manager (RQM) for system testing.

## **5.5 Approach and Methodology**

The Proposal shall include a logical, clear, and detailed statement of methodology for each contractual requirement. Mere assertion or affirmation that a requirement will be met will not be considered an acceptable response. This section shall describe the approach and methodology used by the proposer and shall describe the following:

- Understanding of the nature of the project and how its proposal will best meet the needs of the state agency.
- Functional approach in providing the services.
- Functional approach in identifying the tasks necessary to meet requirements.
- Use the Project Management Office (PMO) Project Plan for Project Management.
- Use the OTS DCFS System Development Life Cycle (SDLC) for Quality Assurance.
- A proposed Project Work Plan that reflects the approach and methodology, tasks and services to be performed, deliverables, timetables, and staffing.
- Functional approach in developing a detailed design reflecting the most effective means of accomplishing system functions within the agency's existing infrastructure.
- Strategy for project team organization and task assignments to transfer application knowledge, to position the State to be self-sufficient after implementation.
- Approach for defining system and data security.
- Identify areas of project risk and procedures to mitigate these risks. Refer to Attachment X Development Integrity Review for procedures to keep the lower environments accurate.
- The methodology to be utilized for system design.
- Explain how each task and service will be performed (this should take into account project phasing, use of tools, technologies, etc.).
- Escalation procedures to be followed by the proposer to resolve problems, issues, and/or changes.
- Procedures to be used to provide updates and status information in a written and/or oral format, and to interface with State management.
- Sign-off procedures for the major decision-making points of the work plan
- Approach to obtaining State approval of deliverables.
- An indication, by deliverable, of the allocated turnaround time for State review, acceptance or rejection of deliverables.
- Approach to monitoring performance standards and overall performance monitoring plans.
- Automated support tool(s) that will be used to plan, track, and report project status using standard DCFS Desktop software.
- Sample project status/updates reports (and frequency) the proposer will use;

- Methods used by the proposer to track and report financial expenditures associated with the contract;
- Methods and procedures to allocate, track, and report resource time to project milestones, deliverables, and tasks. System design, modification, and documentation standards to be used;
- Approach to capacity analysis determination, including assumptions and relationships to; the hardware, software, data, and telecommunications architecture of the system and the DCFS technical computing environment.

**Approach to Accomplishing Scope of Work:** This section should describe the proposer’s approach to each of the tasks and deliverables described in **Attachment I: Scope of Services** of this RFP. The Proposal should include a logical, clear, and detailed statement of methodology for each contractual requirement. Mere assertion or affirmation that a requirement will be met will not be considered an acceptable response.

Proposers should detail their methodologies and the types of controls that will be employed to ensure precise estimates and accurate progress reporting. For each task, Proposers shall incorporate detailed descriptions of their approach to:

- Providing comprehensive and accurate estimates to perform work in response to State generated work orders (or similar vehicle as may be proposed in the bid and accepted by the State);
- Establishing stringent controls to ensure the accuracy of the level of effort estimates, completion times, and cost estimates prepared by the Proposer;
- Utilizing industry standard methodology and tools to track percent complete, resource allocation, resource usage, and variance reporting for project tasks;
- Providing experienced management and technical staff resources; and
- Providing detailed weekly reporting to the State including, but not limited to, timesheets, hours expended to date, hours remaining to complete tasks for each staff member, total planned versus total expended hours, and variance reporting.

These areas are explained in more detail as follows:

#### **Level of Effort/Cost Estimating**

Maximizing technical maintenance/enhancement dollars and minimizing development and technical inefficiencies are extremely important to the State. Therefore, it is incumbent on the Proposer to be experienced in estimating development costs and delivering those products on time and on budget.

Proposers shall describe their development methodology, resource allocation, and estimating tool(s) that will enable them to provide accurate levels of effort, task completion times, and cost to complete each component of work. The State anticipates issuing work orders to identify the specific tasks that are to be addressed. These tasks will come from a priority list maintained by the State identifying all potential enhancement and maintenance items in the work queue. However, Proposers are free to offer alternative methods to divide and describe the work that may facilitate more accurate and reliable estimating.

Once the units of work have been defined, the Contractor will submit cost and time estimates, identify staffing resources, and identify State participation, if any, needed to facilitate the completion of the task. Depending on the size of the task, a detailed task plan and schedule may also be required. The State will then review the estimates and plan. No work will commence until Contractor estimates and plan are approved and a written order to proceed has been issued.

#### **Management and Control of Work**

Contractor should stringently manage and control work efforts in order to ensure that agreed upon timeframes, costs and quality are being achieved. Proposers shall describe their management structure and their internal controls for managing time and quality. Proposers shall describe their

process for continually evaluating their estimating techniques to ensure greater precision in estimating costs. Contractors shall constantly check progress against their estimates and report the results to the State.

### **Methodology and Tools to Track Task Details**

Tracking and managing Contractor staff time and effort per task are critical to the State. Therefore, the level of detail, reporting capabilities, and understandability of progress related information are vital to the State's interests. Proposers shall detail the methodology and tools to be utilized to track and report tasks in detail including percent complete, resource allocation, resource usage, and variance reporting for project tasks. Proposers are at liberty to propose methodologies and tools they are most familiar and that meet the objectives of the State for timely and regular assessments and progress reports.

### **Providing Detailed Weekly Reporting to the State**

State visibility into the details of Contractor work performance is a vital element of the project. The State will be closely examining progress, quality, and adherence to estimates. Contractor is required to submit bi-weekly status reports and detailed information concerning efforts as they relate to specific tasks and activities. As a result, Proposers shall describe their anticipated methodology and format for providing information including timesheets, hours expended to date, hours remaining to complete tasks for each staff member, total planned versus total expended hours, and variance reporting. Proposers shall include samples of the reports to be submitted on a weekly basis. At a minimum, samples of timesheets, hours expended to date, hours remaining to complete tasks for each staff member, total planned versus total expended hours, and variance reporting should be presented.

The Contractor's Project Manager must attend scheduled project status meetings to discuss the contents and results of reports and documents.

## **5.6 Innovative Concepts**

Present innovative concepts, if any, not discussed above for consideration.

- Proposed innovative concepts will be evaluated on their usefulness, practicality, and likelihood of successful implementation.
- The detailed statement of needs and requirements for Proposer's in the preceding pages is not intended to limit the Proposer's creativity in preparing a proposal. Innovative ideas, new concepts, partnership arrangements, optional features and specialized services may be presented with this RFP for consideration.

## **5.7 Other**

Any other information deemed pertinent by the proposer, including terms and conditions which the Proposer wishes the State to consider, should be included.

## **5.8 Cost Proposal**

Proposer's costs shall be submitted on the Cost Summary in **Attachment II** of this RFP. A statement should also be included stating that the price quoted will be in effect until a contract is approved. Proposed costs shall be the fully burdened rate that includes labor, per diem, travel, overhead, and any other costs related to the service. Proposer shall submit, in the Cost Summary, classifications for each level of worker proposed for this effort. Each classification will have its own hourly rate.

## **5.9 Cost Information (Value of 25 points)**

Cost Proposals will be evaluated separately. Prices proposed shall be firm.

- Proposers shall submit the cost in a similar format to the attached cost template form in Attachment II for the full three year term of the contract.
- The cost proposal must include the individual positions and the estimated number of hours for each over the three year term of the contract. The proposer shall take travel expenses, labor, per diem, overhead and any other costs related to this service into account in determining each classification's hourly rate proposed.
- OTS estimates **43,000 hours** required for the three year contract period and makes no guarantee of the number of hours for the project.

**Current scoring:**

OTS will evaluate and score the Proposer's rate as indicated on **Attachment II: Cost Summary** of this RFP.

Each proposal will be scored based on the sum of the total hours for each classification times its hourly rate proposed. The total number of hours proposed shall equal 43,000, for each proposer. The total burdened amount for each of the classifications will be added together to come up with the proposer's total proposed cost for the three year term of the contract. The proposer with the lowest total shall receive 25 points. Other proposers shall receive points for cost based upon the following formula:

Lowest proposer's total cost divided by evaluated proposer's total cost multiplied (x) by 25 equals proposer's score. Scoring will be rounded to two decimal places throughout this process.

**CPS = (LPC/PC X 25)**

**Where:**       CPS     = Cost Proposal Score (points) for proposer being evaluated  
                   LPC     = Lowest proposed cost of all proposers  
                   PC      = Individual Proposal Cost being evaluated  
                   25      = Total cost points

**6.0 EVALUATION AND SELECTION**

**6.1 Evaluation Team**

The evaluation of proposals will be accomplished by an evaluation team, to be designated by the state, which will determine the proposal most advantageous to the state, taking into consideration price and the other evaluation factors set forth in the RFP.

**6.2 Administrative and Mandatory Screening**

All proposals will be reviewed to determine compliance with administrative and mandatory requirements as specified in the RFP. Proposals that are not in compliance will be rejected from further consideration.

**6.3 Clarification of Proposals**

The State reserves the right to seek clarification of any proposal for the purpose of identifying and eliminating minor irregularities or informalities.

**6.4 Oral Presentations/Discussions**

Not applicable to this solicitation.

## 6.5 Evaluation and Review

Proposals that pass the preliminary screening and mandatory requirements review will be evaluated based on information provided in the proposal. The Evaluation Team will evaluate and score the proposals using the criteria and scoring as follows:

CRITERIA	MAXIMUM SCORE
<b>Corporate Experience:</b>	<b>20</b>
<b>Staff Qualifications:</b>	<b>40</b>
<b>Approach and Methodology:</b>	<b>15</b>
<b>Cost</b>	<b>25</b>
<b>TOTAL SCORE</b>	<b>100</b>

The Evaluation Team will compile the scores and make a recommendation to the head of the agency based on the most responsive proposal with the highest score.

## 6.6 Announcement of Contractor

The State will notify the successful Proposer and proceed to negotiate terms for final contract. Unsuccessful proposers will be notified in writing accordingly.

The proposals received (except for that information appropriately designated as confidential in accordance with R.S. 44.1 et seq), selection memorandum along with list of criteria used along with the weight assigned each criteria, scores of each proposal considered along with overall scores of each proposal considered, and a narrative justifying selection shall be made available, upon request, to all interested parties after the "Notice of Intent to Award" letter has been issued.

Any contractor aggrieved by the proposed award has the right to submit a protest in writing to the head of the agency issuing the proposal within 14 days after the award has been announced by the agency. The award of a contract is subject to the approval of the Division of Administration, Office of Contractual Review.

## 6.7 Debriefing

The participating Proposers may schedule debriefings after the Intent to Award letter has been issued. Contact may be made to the RFP Coordinator to schedule the debriefing.

## 7.0 SUCCESSFUL CONTRACTOR REQUIREMENTS

### 7.1 Corporation Requirements

If the contractor is a corporation not incorporated under the laws of the State of Louisiana, the contractor shall have obtained a certificate of authority pursuant to R. S. 12:301-302 from the Secretary of State of Louisiana.

If the contractor is a for-profit corporation whose stock is not publicly traded, the contractor shall ensure that a disclosure of ownership form has been properly filed with the Secretary of State of Louisiana.

## 7.2 Billing and Payment

Billing and payment terms shall be negotiated with the successful Proposer. OTS shall pay Contractor in accordance with the Pricing Schedule set forth in **Attachment II: Cost Summary** of this RFP.

Payments will be made to the Contractor after written acceptance by the State and receipt of an invoice. State will make every reasonable effort to make payments within 25 work days of the receipt of invoice.

Prohibition Against Advance Payments. No compensation or payment of any nature will be made in advance of services actually performed and/or supplies furnished.

## 7.3 Confidentiality

All financial, statistical, personal, technical and other data and information relating to the State's operation which are designated confidential by the State and made available to the contractor in order to carry out this contract, or which become available to the contractor in carrying out this contract, shall be protected by the contractor from unauthorized use and disclosure through the observance of the same or more effective procedural requirements as are applicable to the State. The identification of all such confidential data and information as well as the State's procedural requirements for protection of such data and information from unauthorized use and disclosure shall be provided by the State in writing to the contractor. If the methods and procedures employed by the contractor for the protection of the contractor's data and information are deemed by the State to be adequate for the protection of the State's confidential information, such methods and procedures may be used, with the written consent of the State, to carry out the intent of this paragraph. The contractor shall not be required under the provisions of the paragraph to keep confidential any data or information which is or becomes publicly available, is already rightfully in the contractor's possession, is independently developed by the contractor outside the scope of the contract, or is rightfully obtained from third parties.

Under no circumstance shall the contractor discuss and/or release information to the media concerning this project without prior express written approval of OTS.

## ATTACHMENT I: SCOPE OF SERVICES

### 1.0 Overview

The purpose of this RFP is to acquire the services of a contractor to provide Information Technology services for the child support program. The selected contractor will augment State programming resources to maintain and to implement enhancements and modifications to child support automated systems which include but are not limited to the LASES mainframe system (Adabas/Natural), LASESWeb system (JAVA and Shadow), LASES Adhoc Report System (DB2), Document Generation System (Adobe), Child Support Payment and Information/client messaging (SQL), Casino Intercept (SQL), Escrow Balancing (DB2), State and Federal Reporting, and Child Support Performance Measures.

Child support functionality also exists in the Department's Common Access Front End (CAFÉ) which includes a customer portal and a worker portal. The selected contractor will be expected to work with any CAFÉ, Imaging, and Customer Service contractors to support the need for any changes or modifications to the existing child support systems necessary for the successful implementation of any modernization initiatives.

The selected contractor for this procurement will be required to enhance or modify CAFÉ components specific to child support enforcement. Therefore, the selected contractor should provide staff possessing the knowledge and skills necessary to successfully maintain and enhance CAFÉ for CSE.

The contract goal is to increase the level of services provided to the children of Louisiana through automation by enhancing the customer's access to information and increasing worker's productivity while maintaining a cost-effective program that meets the federal requirements.

As stated in the Section 1.2 Background, there are no plans to replace LASES during the term of this contract, therefore, maintenance and support of the existing LASES mainframe system is of utmost importance.

The LASES distribution subsystem is extremely complex and is the key component of the Child Support System. Federal regulations require child support payments to be processed and disbursed within 2 days of receipt and in accordance with federal and state law and regulations. Therefore, knowledge of child support distribution logic and the knowledge and skills necessary to maintain, support, enhance, and modify the LASES mainframe source code is vital. In addition, escrow balancing is an integral part of the distribution process and therefore balancing of the LASES distribution must occur each business day. If there is an imbalance, immediate action must be taken by the contractor to identify the cause of the imbalance and to correct the imbalance. LASES escrow balancing is supported by DB2. Payments cannot be released to customers until balancing has been approved by DCFS Payment Management. Again, knowledge of child support distribution logic, mainframe code and DB2 is critical. Child Support experience in other states is very important and should be outlined in the proposal.

The contractor shall provide services and staff, and otherwise do all things necessary for or incidental to the performance of work as set forth below. One or more of these tasks identified in subsection 2.1 through 2.9 of this Attachment may be contained within any given LWO.

Contractor must maintain all records and have them available for auditing purposes. These records must be turned over to DCFS at the termination of this Contract in a fully organized, labeled and easily accessible manner.

The Contractor shall be responsible for operating and maintaining the LASES from their facility. Contractor will provide its own workstations, any workstation resident software and maintenance thereof.

Any Contractor-provided workstations or devices to be connected to the State's network, must comply with State network and security standards provided in the OTS Information Security Policy which may be accessed at <http://www.doa.la.gov/OTS/InformationSecurity/InformationSecurityPolicy-LA-v.1.0.pdf>.

Contractor must provide the hardware components, operating system, and software licenses necessary to function as part of the State network. All hardware and software must be reviewed before it is used on the Local Area Network, and may be made operable on the Local Area Network with written approval of the State.

## **2.0 Tasks and Services**

### **2.1 Requirements Investigation and Specification**

#### **2.1.1 Task 2.1 Description**

The Contractor will identify all requirements, processes, and specifications necessary to complete the particular, defined software functionality. All developers/analysts must be able to provide DCFS Business Design Documents. The business requirements will be entered into Rational RequisitePro. Contractor will meet with appropriate functional, technical, and/or user staff to completely identify the requirements and specifications. All developers/analysts must be able to readily travel to Baton Rouge for Joint Application Design (JAD) sessions, meetings, etc.

Any requirements investigation should also consider whether code applicable to the satisfaction of federal and State child support enforcement requirements may be involved. If so, precautions must be taken so that any modifications do not bring the system out of compliance with federal and State regulations. This consideration must be constantly reviewed during the development and testing cycle.

#### **2.1.2 Task 2.1 Completion Criteria**

This task will be considered complete when the Contractor has documented all requirements and specifications necessary to generate a business and technical design and such requirements and specifications have been approved by the State. Enough information must be gathered for the Contractor to accurately estimate or confirm existing estimates for the time, level of effort, and cost to create business and technical designs if those are components of the LWO.

#### **2.1.3 Task 2.1 Deliverable**

Unless otherwise specified in the LWO, this task will result in a DCFS User Requirement Document detailing all requirements and specifications to move to the business and technical design and, ultimately, programming specifications and coding. The Functional requirements will be entered into Rational RequisitePro.

### **2.2 Functional Requirements (DCFS User Requirements Document (URD)): Business Design Investigation and Specification**

#### **2.2.1 Task 2.2 Description**

The Contractor will identify all business requirements, processes, and specifications necessary to complete the particular, defined software functionality. Contractor will create a business design specification for the functionality which will include business design workflow(s) and mapping inputs, outputs, manual procedures, and the like. Contractor will meet with appropriate functional, technical, and/or user staff to completely identify the business requirements and specifications.

#### **2.2.2 Task 2.2 Completion Criteria**

This task will be considered complete when the Contractor has documented all business requirements and specifications and created a User Requirement Document that accomplishes the desired functionality. The completed User Requirement Document must be reviewed and approved by the State. Enough information must be gathered to allow for the accurate estimation or confirmation of existing

estimates for the time, level of effort, and cost to create a Technical Design Document and a MS Project Timeline covering the general scope of the programming effort if those are components of the LWO.

### **2.2.3 Task 2.2 Deliverable**

Unless otherwise specified in the LWO, this task will result in a Business Requirements Design Document that includes, but is not limited to workflows; manual and automated inputs and outputs; and forms. The design must be mapped to the requirements from the previously defined User Requirement Document to ensure that all requirements and specifications have been accounted for. The User Requirement Document must be complete and enable the creation of a Technical Design Document and, ultimately, programming specifications and coding.

## **2.3 Technical Requirements (DCFS Technical Requirements Document (TDD)): Technical Design Specifications**

### **2.3.1 Task 2.3 Description**

Contractor will identify all technical requirements, processes, and specifications necessary to complete the particular, defined software functionality. Contractor will create a DCFS Technical Design Document for the functionality which will include:

- Database requirements
- Modules to be modified or created
- Lines of code to be created, deleted, or modified
- On-line or batch processing requirements
- Data fields to be updated or modified
- Inputs, outputs, user interface features and all other pertinent programming specifications
- Modifications to CAFÉ' if required

Contractor will meet with appropriate functional and technical staff to completely identify and confirm the Technical Design Document. All developers/analysts must be able to provide Technical Design Documents. The Technical requirements will be entered into Rational RequisitePro.

### **2.3.2 Task 2.3 Completion Criteria**

This task will be considered complete when the Contractor has created comprehensive programming specifications necessary to enable complete programming activities and those programming specifications have been approved by the State. Enough information must be gathered to allow for the accurate estimation or confirmation of existing estimates for the time, level of effort, and cost for programming and testing activities if those are components of the LWO.

### **2.3.3 Task 2.3 Deliverable**

Unless otherwise specified in the LWO, this task will result in a Technical Design Document detailing all requirements necessary to code the functional enhancements or modifications. The specifications must adhere to State standards for format, naming conventions, database usage, and all other technically related requirements as identified by State technical personnel. The programming specifications must also be mapped to the requirements as have been identified in the User Requirements Document. This step may also include the development of a Unit Test Plan whereby the Contractor will submit its planned approach and steps to Unit Testing the programming to be accomplished with the LWO.

## **2.4 Programming and Unit Testing**

### **2.4.1 Task 2.4 Description**

Contractor will code the new and/or modified modules as defined in the Technical Design Specifications. Unit testing of the coded software will also be performed according to an approved Unit Test Plan developed either as part of this task or the previous task, as will be specified in the LWO. Contractor must also show that the requirements were tested. This can be accomplished by using the Unit Test Plan for unit testing.

### **2.4.2 Task 2.4 Completion Criteria**

This task will be considered complete when the Contractor has completed programming and unit testing and when those activities/outputs have been reviewed and approved by the State. Enough information must be gathered to allow for the accurate estimation or confirmation of existing estimates for the time, level of effort, and cost for training, software implementation support, and the creation and implementation of on-line documentation if those are specified in the LWO.

### **2.4.3 Task 2.4 Deliverable**

Unless otherwise specified in the LWO, this task will result in the coded software, the Technical Design Document of the work, Unit Test Plan (unless specified as part of a previous task), and Unit Test Results. This step may also require the production of a System Test Plan or that may be included in the next component. The code, naming conventions, JCL, technical documentation, and any other related technical components must be consistent with State standards. The coding and unit testing must also be mapped to the requirements as have been identified in the Technical Design Document.

## **2.5 System Testing**

### **2.5.1 Task 2.5 Description**

Contractor will completely System Test the new/modified code with modules of the LASES application to the extent to be pre-defined by the LASES technical team. If modifications were required to CAFÉ', the CAFÉ' modules must be System Tested. The new/modified modules will be tested in a simulated production environment to determine the appropriate interaction with production modules. The extent of the testing will depend on the potential impact of the modifications as judged by State technical and functional staff. Contractor will define a System Test Plan either in this or the previous step as will detailed in the LWO. Contractor must also show that the requirements were tested. This can be accomplished by using the DCFS System Test Plan or Rational Quality Manager (RQM) for system testing.

### **2.5.2 Task 2.5 Completion Criteria**

This task will be considered complete when the Contractor has completed System Test, all high priority errors have been corrected and re-tested, and the State has approved the System Test Results. The State may require a demonstration of the entire System Test or specified components of the System Test. Contractor will be notified in writing if this will be required. Contractor must also create estimates or re-evaluate existing estimates for time, level of effort, and cost for training, software implementation support, and the creation and implementation of on-line documentation based on information learned or changes that may have occurred during System Test.

### **2.5.3 Task 2.5 Deliverables**

Unless otherwise specified in the LWO, this task will result in a System Test Plan (unless specified as part of a previous task), and System Test Results. The System Test must specifically address requirements as were identified in the Requirements Specifications Document and traced through User Requirement Document Technical-Design Document, and the coding/Unit Test Plan. Test results of those requirements must be specifically recorded as part of the System Test Results. Additionally, if the coding

impacted an area of federal certification, it must be demonstrated and recorded that LASES remains compliant with those particular federal regulations.

## **2.6 User Acceptance/Integration Testing Support**

### **2.6.1 Task 2.6 Description**

Contractor will support the State's efforts in User Acceptance Testing and Integration Testing the new/modified software. The State will advise the Contractor the types of tests that will be run during Acceptance and Integration Testing and the support needed although the specifics of those tests will not be revealed. Contractor will participate in testing planning sessions, as requested, so that it will know the schedule and when certain types of support will be required.

### **2.6.2 Task 2.6 Completion Criteria**

This task will be considered complete when the Contractor has corrected and re-tested all high priority errors that may have been uncovered and the State has approved the Acceptance Test and Integration Test Final Results.

### **2.6.3 Task 2.6 Deliverables**

Unless otherwise specified in the LWO, this task will result in completely tested software by the State and the correction, Contractor re-test, and State re-test of all high priority errors. Any material errors may result in the Contractor having to correct information contained in the User Requirement Document, Technical Design Document, and Technical Documentation previously approved by the State in order to update the information in those sources.

## **2.7 Implementation Support**

### **2.7.1 Task 2.7 Description**

Contractor will provide implementation support to an extent to be defined in the LWO. For smaller implementations, this may involve turning over the approved software, including JCL and operations documentation, and providing telephone support. For larger implementations, this may involve assisting with or writing an Implementation Plan, working with State technical staff on configuration management and operations preparations, attending implementation planning meetings, and providing on-site weekend support. Specifics will be provided on a case-by-case basis as defined in the LWO so that the Contractor can accurately scope the task in terms of level of effort and cost estimate. For large implementations the DCFS Implementation Plan should be used as a guide.

### **2.7.2 Task 2.7 Completion Criteria**

This task will be considered complete when the Contractor's LWO-defined implementation tasks have been completed and approved by the State including the successful implementation of the software.

### **2.7.3 Task 2.7 Deliverables**

The deliverables for this task will be specified in the LWO based on the size and projected level of effort of the given implementation.

## **2.8 System Documentation**

### **2.8.1 Task 2.8 Description**

Contractor will develop and implement system documentation for specified software modules. Contractor will work with State staff to develop documentation according to State standards, presentation formats, and

appropriate functional content. Contractor will ensure the completeness and accuracy of the documentation and submit draft copies to the State for review and approval before proceeding with the entire documentation set.

### **2.8.2 Task 2.8 Completion Criteria**

This task will be considered complete when the Contractor provides the complete documentation set as will be specified in the LWO and the State has reviewed and approved all materials.

### **2.8.3 Task 2.8 Deliverables**

Unless otherwise specified in the LWO, this task will result in a complete and installed documentation set covering the specifics as will be contained in the LWO.

## **2.9 Project Team Management**

### **2.9.1 Task 2.9 Description**

Under specific circumstances the Contractor may be tasked to lead certain development initiatives. In such circumstances, the LWO will specify the details and extent of the required services such that the Contractor can estimate the required level of effort, staffing considerations, and cost.

NOTE: The Contractor shall provide documentation in DCFS standard Desktop Software including: MS Word, MS Project, MS Excel and MS Power Point. The DCFS IMT Project Plan should be used for Project Management.

### **2.9.2 Task 2.9 Completion Criteria**

This task will be considered complete when the Contractor successfully completes the specifics for this task as will be detailed in the LWO and such activities receive final approval from the State.

### **2.9.3 Task 2.9 Deliverables**

Any deliverables required for this task will be specified in the LWO. Contractors should describe the types of deliverables they might expect to result from this task.

## **PROJECT MANAGEMENT**

Contractor shall provide, at a minimum, the following project management functions:

- Provide Project Management - Contractor will provide day-to-day project management using best management practices for all tasks and activities necessary to complete the tasks identified in Attachment I, Scope of Services, Tasks and Services.
- Provide Project Work Plan - Contractor shall develop and maintain a Project Work Plan, which breaks down the work to be performed into manageable phases, activities and tasks as appropriate. The work plan will identify: activities/tasks to be performed, project personnel requirements (both State and Contractor), estimated workdays/personnel hours to complete, expected start and completion dates. Scheduled completion dates for each deliverable shall specifically be included. Written concurrence of both parties will be required to amend the Work Plan. The Project Work Plan shall be approved by the State before project payments are made.
- Provide Project Progress Reports - Contractor shall submit monthly progress reports signed by the Contractor's Project Manager to the State, no later than 10 business days after the close of each month. Each progress report shall describe the status of the Contractor's performance since the preceding report, including the work orders delivered, descriptions of problems encountered with a

plan for resolving them, the work to be accomplished in the coming reporting period, and identifying issues requiring management attention, particularly those which may affect the scope of services, the project budget, or the deliverables to be provided by the Contractor. Each report shall identify activities by reference to specific LASES Work Order numbers.

- Provide Time Sheets – The Contractor shall submit time sheets to the State Project Director monthly indicating effort expended and work performed by each member of its or its subcontractors' staff, participating in this contract. Time sheets shall, at a minimum, identify the name of the individual performing the work and the number of hours worked during the period by LASES Work Order.
- Provide Issue Control. Contractor will develop and implement with State approval, procedures and forms to monitor the identification and resolution of key project issues and problems.

## **2.10 After Hours Support**

Whenever a large maintenance project is implemented the Contractor may be required to provide weekend and after hours support to CSE and Information Services in the event of problems with the implementation.

## **3.0 Performance Standards**

### **3.1 Performance Requirements**

If Contractor is found to be deficient in its delivery of timely and effective service, the State will notify contractor in writing detailing such deficiencies. Contractor shall have a period of seven (7) days to correct all deficiencies to the satisfaction of the State.

If, at the end of the seven (7) days, Contractor has not corrected above deficiencies, to the satisfaction of the State, the State may, at its sole discretion and without further notice enforce the actions described in 3.8 Penalties for Non-Performance.

If an error is found after seven (7) days then a work order will be created to fix the error. These errors will be tracked along with the errors found in the seven (7) day period by OTS Applications and QAO.

### **3.2 Performance Measurement**

Contractor project performance will be evaluated as based on the requirements described in **Attachment I: Scope of Services** of this RFP.

### **3.3 Deliverables and Similar Products**

The State will review all deliverables and hardcopy products (i.e. user documentation, schedules, plans, and the like) to confirm that they satisfy pre-defined objectives and approval criteria defined between the State and the Contractor. Prior to the submission of deliverables and similar products the Contractor will submit outlines and drafts of the documents for agreement and approval of the basic format and content of the documents. The State will not approve or pay for deliverables and similar products that do not meet the objectives and approval criteria. The State will not approve or pay for deliverables and similar products that contain errors, incomplete material, or that are inconsistent with documented State standards that are available to the Contractor. For example, user documentation must be in the format and structure currently being used for LASES. The State will return written comments on unapproved submissions detailing the problems and requesting re-submission.

### **3.4 Software Products**

All design and coding specifications must be approved by the State in writing before actual programming and related development activities can begin. Software design and coding must follow documented State,

LASES and CAFÉ' standards and conventions. Contractor must be especially cognizant that LASES operates under federal and State requirements and all software must be compliant with those requirements. Although it is not anticipated that the immediate work encompasses implementing new compliance functionality, care must be taken that enhancements and maintenance initiatives do not bring the system out of compliance.

The State will Acceptance Test all software products for adherence to the pre-approved design, State programming and database standards, federal and State regulations (where appropriate), and general usability for LASES workers. Software that does not meet these criteria will not be approved. Contractors are required to establish written internal quality assurance processes to ensure that all software development follows a standard process, is consistent with approved requirements, is effectively unit tested and system tested, and is accurately documented.

### **3.5 Time and Cost Estimates**

The State will closely monitor the time and cost estimates developed by the contractor for each work order on a weekly basis. In the event that the Contractor regularly misses due dates and overruns planned levels of effort and costs without the occurrence of agreed extenuating or uncontrollable circumstances, the State reserves the right to require the Contractor to correct these situations by utilizing a different methodology, different automated tools, and/or replacing staff responsible for creating and managing the estimates.

### **3.6 Resource Allocation**

The State will monitor staffing levels and staff performance versus plan on a weekly basis. In the event that certain individuals continually fail to accomplish established deadlines in either maintaining scheduled progress or achieving the desired design results, the State reserves the right to request a reassignment or replacement of those individuals.

### **3.7 Status Meetings and Reporting Documents**

As indicated earlier, the State will very closely examine all reporting mechanisms provided by the contractor to determine adherence to schedule(s), hours expended, progress, and budget. Contractor reports must provide sufficient detail for this examination. Additionally, written status reports should specifically address progress, activities on-schedule, activities behind schedule, circumstances that could impact progress, and corrective action plans, where applicable.

Weekly status report and/or conference calls will be a forum to discuss all aspects of recent and planned work and to explain details of the reports mentioned above.

### **3.8 Penalties for Non-Performance**

If, at the end of the seven (7) days after notification of deficiencies, Contractor has not corrected the deficiencies to the satisfaction of the State, the State may, at its sole discretion and without further notice, withhold 10% of the total monthly fee as liquidated damages. If the deficiency is corrected within the initial seven (7) days corrective action period there will be no penalty.

In the future, if the Contractor fails to comply again for the same deficiency, the ten percent (10%) penalty shall be imposed again without the benefit of the seven (7) day corrective action period. The penalty is removed when the Contractor is in compliance.

Any amount withheld as liquidated damages shall be forfeited by the Contractor.

#### 4.0 Project Requirements

The nature of the contract will be based on hourly rates with actual work being defined through the issuance of work orders or some other such mechanism as may be proposed in this bid process and accepted by the State. These work orders should include one or more of the areas identified below

- Requirements Investigation and Specification
- User Requirements Document business design investigation and specification
- Technical Design Document
- Programming and Unit Testing
- System Testing
- User Acceptance/Integration Testing Support
- Implementation Support
- System Documentation
- Project Team Management

For individual task objectives, the LASES Work Order (LWO) or similar adopted methodology from the Proposer's bid, will identify specific units of work and components to be accomplished. **Attachment IV: Sample Work Order** of this RFP provides a sample format of what of work order may look like. The contractor will take the LWO and develop plans and appropriate time, resource, and cost to complete estimates. In some cases, the State will provide detailed specifications on the work to be performed. In other cases, the LWO will require the contractor to define the specific requirements and scope for software development based on meetings with State staff.

**ATTACHMENT II: COST SUMMARY**

The proposer must provide a fixed hourly rate for each classification proposed in section 5.4 Proposed Project Staff / Experience. This amount will be fixed for the term of this contract. The proposer must also provide the estimated number of hours per classification for the term of the contract. One of the classifications must be a Project Manager. The State requires that the Project Manager have a technical background in at least one of the technologies used by DCFS and must be able to communicate with both Program and Technical staff. The Department estimates **43,000 hours** required for the three year contract period and make no guarantee of the number of hours for the project.

Each proposal will be scored based on the total cost of all staff for the estimated 43,000 hours. The proposal with the lowest total cost over the three year contract period shall receive 25 points. Other proposals shall receive points for cost based upon the formula in Section 5.9 Cost Information.

The rate will be a fully burdened rate that includes labor, per diem, travel, overhead (including executive management costs), and any other costs related to the service.

**Breakdown of All Staff for all three (3) years of the contract**

<b>Staff Classifications (and number of staff proposed per classification)</b>	<b>Estimated Number of Hours</b>	<b>Hourly Rate</b>	<b>Totals</b>
Project Manager			
Advanced NATURAL/ADABAS Developer(s)			
NATURAL/ADABAS Developer(s)			
Advanced Java Developer(s)			
Java Developer(s)			
Other proposed titles			
<b>Totals</b>	<b>43,000</b>		

**TOTAL COST TO BE EVALUATED:** \_\_\_\_\_

**ATTACHMENT III: CUSTOMER REFERENCES**

Company \_\_\_\_\_

Contact Person \_\_\_\_\_

Address \_\_\_\_\_

City/State \_\_\_\_\_

Telephone \_\_\_\_\_

Fax # \_\_\_\_\_

E-Mail Address \_\_\_\_\_

Brief description of I.T. environment \_\_\_\_\_

Company \_\_\_\_\_

Contact Person \_\_\_\_\_

Address \_\_\_\_\_

City/State \_\_\_\_\_

Telephone \_\_\_\_\_

Fax # \_\_\_\_\_

E-Mail Address \_\_\_\_\_

Brief description of I.T. environment \_\_\_\_\_

Company \_\_\_\_\_

Contact Person \_\_\_\_\_

Address \_\_\_\_\_

City/State \_\_\_\_\_

Telephone \_\_\_\_\_

Fax # \_\_\_\_\_

E-Mail Address \_\_\_\_\_

Brief description of I.T. environment \_\_\_\_\_

**ATTACHMENT IV: SAMPLE WORK ORDER**

**STATE OF LOUISIANA  
DEPARTMENT OF CHILDREN AND FAMILY SERVICES**

**LASES-ITS Work Order**

This Work Order specifies approved work to be done in terms of the State of Louisiana Consulting Services Contract

Work Order Number:			
Description:			
Authorization:	This Work Order authorizes contractor to begin working on tasks described below for this function.		
Included tasks:	<input type="checkbox"/>	<b>Checked items are included in this Work Order.</b>	<b>Estimate (hours)</b>
	<input type="checkbox"/>	Create initial estimate (SDLC step 2)	
	<input type="checkbox"/>	Requirements Investigation and Specification. URD and Test Plan (SDLC step 3)	
	<input type="checkbox"/>	Business Design Investigation and Specification. (SDLC step 3)	
	<input type="checkbox"/>	Technical Design Specification TDD (SDLC step 3)	
	<input type="checkbox"/>	Programming and Unit Testing. (SDLC step4)	
	<input type="checkbox"/>	System Testing. (SDLC step 5)	
	<input type="checkbox"/>	User Acceptance/Integration Testing Support (SDLC step 6)	
	<input type="checkbox"/>	Training Documentation	
	<input type="checkbox"/>	Conduct Training	
	<input type="checkbox"/>	Implementation Support (SDLC step 7)	
	<input type="checkbox"/>	Warranty support (of changes under this support)	
	<input type="checkbox"/>	Online Documentation	
	<input type="checkbox"/>	Project and Team Management	
	<input type="checkbox"/>	Other (describe):	
			Total:
Approved by:			
Name:			
Date:			

**ATTACHMENT V: CERTIFICATION STATEMENT**

*The undersigned hereby acknowledges she/he has read and understands all requirements and specifications of the Request for Proposals (RFP), including attachments.*

**OFFICIAL CONTACT.** The State requests that the Proposer designate one person to receive all documents and the method in which the documents are best delivered. Identify the Contact name and fill in the information below: (Print Clearly)

Date \_\_\_\_\_ Official Contact Name: \_\_\_\_\_

A. E-mail Address: \_\_\_\_\_

B. Facsimile Number with area code: (    ) \_\_\_\_\_

C. US Mail Address: \_\_\_\_\_

Proposer certifies that the above information is true and grants permission to the State or Agencies to contact the above named person or otherwise verify the information provided.

By its submission of this proposal and authorized signature below, Proposer certifies that:

1. The information contained in its response to this RFP is accurate;
2. Proposer complies with each of the mandatory requirements listed in the RFP and will meet or exceed the functional and technical requirements specified therein;
3. Proposer accepts the procedures, evaluation criteria, mandatory contract terms and conditions, and all other administrative requirements set forth in this RFP.
4. Proposer's quote is valid for at least 90 days from the date of proposal's signature below;
5. Proposer understands that if selected as the successful Proposer, he/she will have \_\_\_\_\_ business days from the date of delivery of final contract in which to complete contract negotiations, if any, and execute the final contract document. (Agency insert number of days to correspond to same number referenced in RFP section number 3.12 Contract Award and Execution.)
6. Proposer certifies, by signing and submitting a proposal for \$25,000 or more, that their company, any subcontractors, or principals are not suspended or debarred by the General Services Administration (GSA) in accordance with the requirements in OMB Circular A-133. (A list of parties who have been suspended or debarred can be viewed via the internet at [www.epls.gov](http://www.epls.gov) .)

Authorized Signature: \_\_\_\_\_

Typed or Printed Name: \_\_\_\_\_

Title: \_\_\_\_\_

Company Name: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

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SIGNATURE of Proposer's Authorized Representative

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DATE

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## **ATTACHMENT VI: CAFÉ SYSTEM TECHNICAL DOCUMENTATION**

### **One DCFS Transformation Project**

#### **System Overview**

The architecture for CAFÉ solution is based on a reusable framework that is flexible, scalable, and built on a Service Oriented Architecture (SOA) that conforms to open standards. The Customer Portal represents a transfer solution that is built from Georgia COMPASS, a J2EE based application with demonstrated quality, scalability, and performance. The Worker Portal is a Rich Internet Application (RIA) developed using Adobe Flex and Java technologies to enhance user experience, scalability and performance.

The CAFÉ application uses n-Tier architecture and is built on SOA principles with business process services for orchestration; application services for meeting business functionality; and technical services for common shared functionality. The solution is further augmented by reusable framework and integration services for accessing legacy systems. The open standards based, SOA approach provides the capabilities for easy integration with legacy and other Web-based systems within DCFS.

The CAFÉ application provides a single point of access allowing workers to log into a portal using their DCFS-issued user ID and password. An ultra-thin client topology accommodates multiple client machine configurations since the entire functionality can be accessed using standard web browsers such as Internet Explorer. Users logging in to a centralized web portal receive the appropriate level of access through the use of the OTS DCFS Novell security infrastructure and CAFÉ implementation of role base access control.

CAFÉ uses shared services that allow data access across multiple systems preventing potential inconsistency of data that could occur when data is accessed through system specific data access objects. CAFÉ implements and uses a common customer index and common provider index that mitigates data redundancy, reduces potential for duplication and improves accuracy.

The CAFÉ application provides platform agnostic n-tier J2EE architecture that separates application functions into independent layers and maximizes benefits of enabling technologies through flexible and distributed deployment.

#### **Architectural Goals and Constraints**

The primary goals of CAFÉ system architecture include the following:

- Reusability – CAFÉ aims to reuse the artifacts created during the project for future projects, as well as the development process and elements of its technical construction infrastructure.
- Allow for deployment flexibility – Components and services in the scope of CAFÉ today may, over time, get deployed on physically different application servers and may have to use separate instances of databases. CAFÉ architecture allows, from a technical standpoint, multiple deployment scenarios.
- Ease of maintenance – DCFS operates in an environment where business rules change over time. A specific goal of CAFÉ application is to make enhancements to the system easier while retaining a high degree of information quality (reliability) in the system.
- Modularity – Given the varying rate of change within the business environment, it is important that the CAFÉ solution is modular, allowing parts of the system to change independently. The CAFÉ design is SOA based and it insulates clients from the implementation details of the components they use. The CAFÉ architecture uses Enterprise Server Bus (iWay Service Manager) to allow loosely coupled COTS, Custom and Legacy components for seamless execution of end to end business transactions.

- **Extensibility** – DCFS expects to extend the CAFÉ functionality over time. The CAFÉ architecture is built to support expansion beyond the current application domain, and should optimize the use of configurable components that can be replaced with minimal impact to existing components and services.
- **Reliability** – Access to key business functions to users over the web and other new service channels, it is important that the CAFÉ business functions are consistently and reliably executed. To support this goal, the CAFÉ architecture should enforce the application of business rules and the consistent demarcation of transaction boundaries across all components. This means using the technical infrastructure to ensure consistent application of rules and transactions, instead of making it a matter of procedural discipline for application developers. It also means, designing the CAFÉ architecture to take advantage of clustering and fail-over capabilities of the IBM WebSphere and DCFS infrastructure for Network Load Balancing (NLB).
- **Security and Confidentiality** – operation of CAFÉ should address applicable security policies. Special consideration should be given to confidentiality requirements during the JAD sessions.
- **Use of Commercial Off-the-shelf Software (COTS)** – In an effort to reduce duration of development lifecycle and improve system quality, DCFS desires that the system make a use of COTS software products where technically and financially reasonable. CAFÉ must integrate these components to provide consistent view of the data exchanged and processed by these components.
- **Reuse of Existing Infrastructure Elements** – the CAFÉ should use existing infrastructure elements wherever possible and applicable. Currently, the major element for such reuse is Novell Access Manager, IBM Rational tools IBI adapters used by the legacy systems, MQ Series, Scheduling, Monitoring and some of the performance tuning infrastructure components.

Primary constraints for the CAFÉ System Architecture include the following:

- **The J2EE Architecture** – the J2EE specification provides a technical architecture specification that facilitates the architectural goals of the system. However, embracing J2EE with its component and programming models imposes specific constraints upon the application design and programming model.
- **IBM DB2 RDBMS** as persistence provider – IBM DB2 has been chosen as the solution for persistence. The choice of a relational database in general and IBM product in particular, imposes constraints with respect to persistence of objects in CAFÉ.
- **Integration with external systems** – CAFÉ must interact with a variety of external systems using a number of protocols, transports and data payload formats. This introduces constraints related to payload transformations and their completeness, and also flow of data and flow of control in the mutual interactions.

## Design Considerations

The CAFE project uses an iterative development methodology based on Rational Unified Process (RUP). It provides a disciplined approach to assigning tasks and responsibilities within a development organization. Its goal is to ensure the production of high-quality software that meets the needs of CAFE end-users, within a predictable schedule and budget. The CAFÉ application development methodology is based on the following themes:

- **Use-case Driven** - Use cases provide a means for capturing functional requirements, organizing activities, and keeping the entire team focused on the end result.

- Architecture-Centric - The central technical activity is architecture, which is developed and validated early, and the rest of the system is built around it.
- Emphasis on Systemic Qualities – The system is architected to meet the Service Level Requirements at each layer and each tier. The Systemic Qualities are prioritized, architected for and validated early.
- Iterative and Incremental - The bigger system is evolved from a series of smaller systems, each of which extends the previous one.
- Focus on Early Risk Mitigation - Risks are identified early and tracked. Early activities are focused on risk reduction.

The implementation of CAFÉ methodology is supported through configuration and setup of IBM Rational products for software configuration, change, build and test management.

### Key Risk Areas

The currently identified risks that have a direct or an indirect impact for the CAFÉ System Architecture are the following:

- **Dependence on External Systems** – In order to carry out its business functions, CAFÉ interacts with a number of external systems and infrastructure services. This interaction introduces risks involving availability of the external systems/infrastructure services, their commitment to schedule and their commitment to published interfaces' documentation.
- **Impact on Legacy System SME and Contractor Resources** - In some cases CAFÉ integration may require changes at the legacy system side. These changes will need to be implemented by the legacy Subject Matter Expert (SME) or contractor and tested in collaboration with CAFÉ development and testing teams. This introduces the risk of SME and legacy system contractor resource availability. CAFÉ development team will communicate Legacy system SME and contractor resource requirement through CAFÉ Project Management and will work with the Legacy team to resolve the issue, if any. Unresolved issues will be escalated to CAFÉ project management for their assistance and reprioritization

### Architectural Decision

This section describes the main architectural decisions made for CAFÉ in order to address business requirements, goals and constraints as described in the previous sections. These decisions form the crux of the CAFÉ architecture. The crucial decisions are grouped in the following categories:

- Architectural Style
- System Decomposition

The above groups are summarized in the following subsections.

### Architectural Style

Architectural Style is a set of prescriptions and conventions according to which the architecture is defined, developed and implemented. The style adopted for CAFÉ has the following features:

- It is service-centric and component-based

- It uses N-tier approach and Object-Oriented concepts, such as object, class, encapsulation, inheritance, etc.
- It is based on SOA practices and industry standards and guidelines
- It utilizes software patterns and expressed using UML

The rationale for choosing the architectural style as above is summarized as:

- It embodies industry practices for the technology to be used in CAFÉ
- It satisfies short- and long-term architectural needs of CAFÉ
- It reduces risks associated with ambiguous specifications and rediscovery of standard patterns

The important consequences of adoption of that architectural style are:

- It is the interaction of services and assembly of components that creates CAFÉ “applications” and CAFÉ “systems”
- Distribution and scalability is built-in and not an afterthought.

### **System Decomposition**

The foundation building block of CAFÉ is a software component. The software components are units of composition with contractually specified interfaces and explicit context dependencies. CAFÉ components have the following attributes:

- Provides services using well-defined interfaces, ports and protocols
- Encapsulates state and behavior
- Depends on a component framework, middleware and/or operating system to communicate with other CAFÉ and/or external system components
- Can be constructed, tested, and deployed independently of other CAFÉ components

CAFÉ maximizes use of COTS components to reduce development effort and enhance solution stability. A part of the DCFS specific business functionality is implemented via custom code or transfer solution from the State of Wisconsin and the State of Georgia. The J2EE is used for custom development and the software components are implemented as services. This choice leads to the following view of the overall system:

- The actual implementation and functionality of a component is obtained from interaction of a number of instances of Java classes.
- A business service is provided either by a single physical component or a group of interacting components.
- The overall functionality of CAFÉ results from interaction of possibly composite components treated as black boxes implementing well-defined services.

The CAFÉ Functional Design Document (FDD) (The User Requirement Document (URD) details the Functional Requirements needed for the current work effort. The CAFÉ FDD is a full System Design Document.) decomposes the system based on the business functionality. The Technical Design Document (TDD) describes how the business functionality is implemented using custom developed code and

integration of COTS components. This document describes the system decomposition from lower and upper platform layer standpoint. The lower platform layer defines the operating system and hardware components, whereas the upper platform layer provides details about the middleware product used to setup the execution environment for CAFÉ application.

### Lower Platform Layer

The CAFÉ lower platform consists of IBM zSeries Mainframe as the choice of hardware. The System z hardware contains redundant components, making its Mean Time Between Failure (MTBF) in the range of years. Because of the hardware reliability, the lower platform layer uses a single mainframe.

The CAFÉ solution uses "CISCO Application Control Engine", Novell Access Manager and WebSphere ND to provide high availability and fault tolerance at the application level. This approach requires mainframe hardware to be partitioned into multiple LPARs (Logical Partitions). The LPAR technology allows partitioning is of resources at the hardware level.

### Upper Platform Layer

The upper platform layer consists of infrastructure software component deployed to provide execution environment for CAFÉ solution. These components are configured to provide high availability and fault tolerance.

The following table provides a brief description of each component:

Component Name	Purpose
Novell Security	Novell Security and eDirectory infrastructure is used for authentication and authorization services
Tivoli Monitoring	<p>These components are used to monitor server resources utilization, and performance tuning. CAFÉ is currently using the following components for resource monitoring and performance tuning:</p> <ol style="list-style-type: none"> <li>1. HTTP Agent installed on HTTP servers only</li> <li>2. OS Monitoring Agent</li> <li>3. WebSphere Application Diagnostics (AD)</li> </ol> <p>In order to minimize infrastructure resources required run Tivoli agents, CAFÉ production environment will only use OS monitoring agent. The AD agent will be deployed in production to collect monitoring statistics only. HTTP agent will be used in lower environments to investigate and resolve performance issues.</p>
WebSphere Deployment Manager	The deployment manager provide a central point for WebSphere infrastructure components Administration
IBM HTTP Server	Web Server for CAFÉ applications
WebSphere Application Server	Application Server for CAFÉ applications

Component Name	Purpose
HATS	Host Access Transformation Services (HATS) used for Legacy integration.
Corticon	Business Rule Engine for CAFÉ
iWays Service Manage	Enterprise Service Bus (ES) for CAFÉ
iWays Data Migrator	ETL tools for CAFÉ Legacy Integration
z/OS DB2	CAFÉ database

### Systematic Qualities

The CAFÉ deployment architecture is designed to conform to the following systematic qualities:

- **Performance** – CAFÉ deployment architecture provides flexible and saleable environment configuration for the production application to produce intended results under specified load within specified response times.
- **Throughput**: The deployment architecture minimizes the failures noticeable to the user. When fault occurs, the current transaction may fail, but subsequent transactions succeed. After a failure, subsequent transactions continue at the same rate without degradation in the throughput or response time.
- **Scalability**: Scalability defines the degree to which the web platform and constituent services can be scaled both horizontally and vertically to support varying numbers of users or transaction volumes without performance impact.
- **Availability**: The CAFÉ infrastructure is designed to support dynamic allocation of system resources to the application services to withstand the specified load and meet the service level expectations.
- **Security**: CAFÉ solution integrates with DCFS existing Novell Access Manager Infrastructure to authenticate and authorize users.

### CAFÉ' Environments

The CAFÉ application uses WebSphere Application Server (WAS) Network Deployment as the baseline runtime environment for Web application. Each CAFÉ environment consists of one WebSphere cell that contains the deployment manager node, one or more instances of IBM HTTP Server (IHS) and one or more instances of WebSphere Application Servers. WebSphere Servers included as part of the cell can be managed from using WebSphere Administration Console. The following table provides the list of CAFÉ environments.

CAFÉ Environment
Development
System Test
User Acceptance Test (UAT)
Training
Sandbox
Load
Production

## CAFÉ' Software Configuration

The following table provides the list of server software currently used by CAFÉ.

#	Vendor	Software Name	Version	License Production	License Non-Production
1.	ASG	ASG Zeke and Zena	2.4.2 --> 3.0	Existing	Existing
2.	CA	CA - Insight for Performance Monitoring		Existing	Existing
3.	Corticon	Corticon Rules Engine	5.5.2	4 IFL	3 Servers
4.	IBI	iWay Service Manager	6.1.4	2 IFL	2 IFL
5.	IBI	iWay SM/Adaptors – Adabase	7.0.11.	Existing	Existing
6.	IBI	iWay SM/Adaptors - DB2 – JDBC Type 4 driver	9.0	N/A	N/A
7.	IBI	Data Migrator Workbench	7.7.05		15
8.	IBM	IBM Application Diagnostic for WebSphere	7.1 FP2 IF6 2	8 IFL	N/A
9.	IBM	IBM BuildForge	7.0.2	Existing	N/A
10.	IBM	IBM DB2 for Z/OS	10.0	Mainframe	Mainframe
11.	IBM	IBM Rational ClearCase Server	7.1.2.02	Existing	Existing
12.	IBM	IBM Rational ClearQuest Server	7.1.2.02	Existing	Existing
13.	IBM	IBM Rational Quality Manager	2.0.1.1 iFix 3	Existing	Existing
14.	IBM	IBM Rational Requisite Pro Server	7.1.2.02	Existing	Existing
15.	IBM	IBM Tivoli Composite Application Monitoring	6.2.2	8 IFL	N/A
16.	IBM	IBM WebSphere Application Server	7.0.0.35	8 IFL	8 IFL
17.	IBM	IBM WebSphere HATS	7.5.1.1	2 IFL	Unlimited
18.	IBM	IBM Websphere HTTP Server	7.0.035	8 IFL	N/A
19.	IBM	z/OS	1.13	Mainframe	Mainframe
20.	IBM	z/VM	6.1	Mainframe	Mainframe
21.	IBM	z/Linux	SELS 11 SP1	Mainframe	Mainframe
22.	Moodle	MOODLE Course Management	1.9.10+	N/A	N/A
23.	NEOTYS	NEO Load with Flash & AMF extension	3.2.5		2500VU 5 Designer
24.	Novell	Novell Access Manager	3.1.4 – 27		
25.	Novell	Novell eDirectory	8.8.6		
26.	Novell	Novell Gateway Agent	3.1.4 - 27		
27.	Novell	Novell Identity Manager	4.0.1		

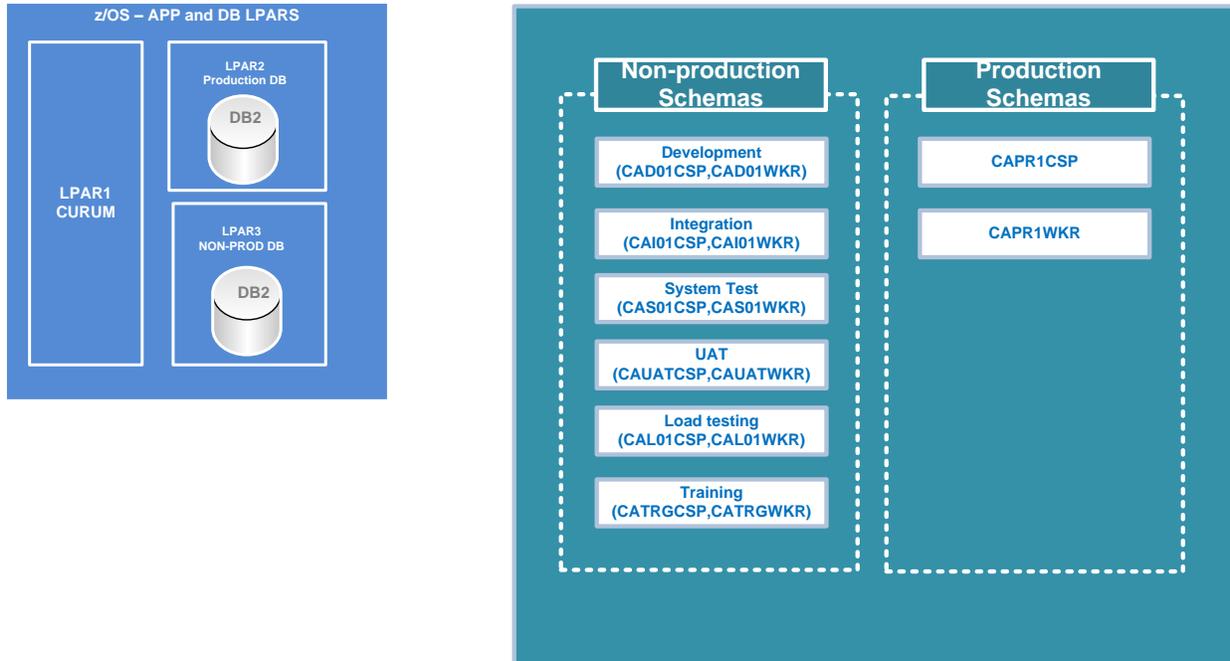
## Workstation Software

The following table provides the list of workstation software currently used by CAFÉ.

Vendor	Software Name	Version	# of Licenses
<b>Adobe</b>	Captivate	5.0	3
<b>Adobe</b>	Flash Builder Pro	4.6	5
<b>Adobe</b>	Flex SDK	4.1.0.16076	12
<b>Adobe</b>	RoboHelp	9.0	2
<b>Altova</b>	XMLSpy	2011 R2SP1	10
<b>Apache</b>	Another Neat Tool (ANT)	1.8.2	Open
<b>Apache</b>	Log4J	1.2.16	Open
<b>CA</b>	ERWin	4.1.4.4224	2
<b>Corticon</b>	Studio	5.5.2	5
<b>Eviware</b>	SOAP UI	3.6.1	40
<b>Freedom Scientific</b>	JAWS	12.0	2 Licenses
<b>Freedom Scientific</b>	JAWS for Windows Screen Reading Software	11	1
<b>HP</b>	Fortify 360	3.0	
<b>HP</b>	CenZic HailStorm	9	Existing
<b>IBM</b>	DB2 Enterprise	10	5
<b>IBM</b>	Rational Application Developer	8.0.2	6 – Concurrent
<b>IBM</b>	Rational Application Developer	8.0.2	36 – Seat
<b>IBM</b>	Rational ClearCase Client	7.1.2.02	50
<b>IBM</b>	Rational ClearCase Remote Client	7.1.2.02	25
<b>IBM</b>	Rational ClearQuest Client	7.1.2.02	60
<b>IBM</b>	Rational HATS Studio	7.5	
<b>IBM</b>	Rational Requisite Pro Client	7.1.2.02	25
<b>IBM</b>	Rational Software Architect	8.0.2	5 – Concurrent
<b>IBM</b>	Rational Software De	8.0.2	0
<b>iWay</b>	Designer	7.7.05	1 version of 5
<b>iWay</b>	Developer Studio	7.7.05	15
	Eclipse CheckStyle Plugin	5.3.0	Open
	Fast4J	0.2	Open
	Fiddler	Fiddler2	Open
	JDOM	1.1.1	Open
	JUnit	4.8.2	Open
	WinSCP	4.3.2	Open
	WireShark	1.4.6	Open
<b>QUEST</b>	JProbe	8.3	10
<b>QUEST</b>	TOAD for DB2 – LUW and Mainframe (z/OS)	4.5	2
<b>Scooter Software</b>	Beyond Compare	3.2.4	4
<b>Sun</b>	Java JDK	1.6	Open
<b>Sun</b>	Java Doc	1.6	Open

## Database Configuration

The database for CAFÉ application resides on IBM mainframe Z/OS, DB2 V10. The database environments maintained by CAFÉ are listed below. Additional schemas have also been added for Department of Education for their CAFÉ system for the Child Care program



## CAFE Database Environment

The CAFÉ DBA will work with the Application development manager to come up with the necessary database changes and deploy them on specified environments as needed.

**ATTACHMENT VII: REFERENCE QUESTIONNAIRE**

The following questionnaire is to be completed by Proposer. Proposer may complete their name and forward to the reference responder with instructions to complete and deliver directly to the State RFP Coordinator by the proposal due date.

**Reference Response Questionnaire**  
**Due Date is \_\_\_\_\_**

You have been requested to serve as a reference for an upcoming project by:

Proposer's Name: \_\_\_\_\_

Please complete the following questions and mail or e-mail directly to:

Dana Maxfield  
Office of Technology Services  
P.O. Box 94095  
Baton Rouge, LA 70804-9095

E-mail: [OTS.VPM@La.Gov](mailto:OTS.VPM@La.Gov)

Telephone: 225-219-4387 if you have questions concerning this questionnaire.

Reference Organization Name:

\_\_\_\_\_

Person Responding To This Request for Reference Information:

Signature: \_\_\_\_\_

Name and Title: \_\_\_\_\_

Telephone: \_\_\_\_\_ Email: \_\_\_\_\_

Date Reference Form Completed: \_\_\_\_\_

Type of Products/Services/Work provided by Proposer:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

When were Products/Services/Work provided and approximate dollar values?

\_\_\_\_\_  
\_\_\_\_\_

Note: Complete the questions on following pages for the products or services or work described above.

### Reference Satisfaction Factors

Scoring System: 0=Not Applicable, 1=Very Dissatisfied, 2=Dissatisfied, 3=Satisfied, 4=Very Satisfied

Score	Factor:
	A. The Proposer's Project Management Staff was knowledgeable, skilled, trustworthy, and balanced in terms of being task-oriented and person-oriented. Comments:
	B. The Proposer's Project line-level program subject matter expert staff was knowledgeable, skilled, trustworthy, and balanced in terms of being task-oriented and person-oriented. Comments:
	C. The Proposer's Project line-level technical staff was knowledgeable, skilled, trustworthy, and balanced in terms of being task-oriented and person-oriented. Comments:
	D. The Proposer lived up to the expectations, commitments and representations made during the procurement process. Comments:
	E. The Proposer demonstrated the ability to promptly negotiate an equitable contract within the terms and conditions that were important to us and was acceptable. Comments:
	F. The Proposer adhered to the terms of the contract and scope of work without undeserved complaint or unnecessary pressure. Comments:
	G. The Proposer was responsive and solution-oriented when there were issues or problems with the contract, timeline, scope or deliverables. Comments:
	H. The Proposer adhered to a sound project management methodology, using a comprehensive set of tools, processes and templates. Comments:

	I. The Proposer utilized an appropriate mix of needed staff onsite and offsite and invested an appropriate number of staff-hours to meet the demands and requirements of the project. Proposer brought in additional staff or needed expertise when needed. Comments:
	J. The Proposer was willing to sacrifice, accommodate and not “knit-pick” when conditions seemed warranted and “go-the-extra-mile” when necessary. Comments:
	K. The Proposer created a work environment that was collaborative, constructive and cooperative as opposed to adversarial, uncomfortable and confrontational. Comments:
	L. The Proposer was able to deliver a stable, reliable product/service that we use and value. Comments:
	M. In retrospect the Proposer is one that we are glad we worked with. Comments:
	N. In the future the Proposer is one that we would like to work with again. Comments:
	O. What other advice or general observations would you like to pass along to Louisiana as we evaluate this Proposer?

**Please provide the following:**

Original (proposed) price from this vendor      \$ \_\_\_\_\_

Actual delivered price      \$ \_\_\_\_\_

Original (proposed) date of completion      \_\_\_\_\_

Actual date of completion      \_\_\_\_\_

## Reference Response Questionnaire Continued

If there were changes to the price or schedule, what was the cause of change?

How was user satisfaction measured?

How satisfied are the users?

Feel free to attach any documentation (e.g. commendation correspondence, warning correspondence, sample work product, lessons learned, QA or audit findings, etc.) that may provide additional insight into Proposer's performance.

## **ATTACHMENT VIII: INFORMATION SERVICES CURRENT INFRASTRUCTURE**

### **Current Infrastructure**

The following describes the current infrastructure in use by Department of Children and Family Services (DCFS) and the current infrastructure in use at the Division of Administration (DOA). The LASES must be compatible with and interface with this infrastructure. As DCFS consolidates offices and deploys a more mobile workforce through the expanded use of laptops, the number of computers will vary.

### **Computer Center Coverage:**

The Division of Administration, Office of Technology Services is a 24/7 computer operation providing services to the Department of Children and Family Services (DCFS), the Department of Health and Hospitals (DHH), Disability Determination Services(DDS) and the Department of Education (DOE). All data center equipment, with the exception of printer and file services, is located at a remote site within the Division of Administration's Information Services Building Computer Center.

OTS supports over 50 application systems for DCFS, DHH, and DOE. OTS supports a network connecting 167 offices across the state and provides on-line services to approximately 10,000 devices, either through LANET or directly to numerous other state and federal agencies and to selected contractors providing services to DCFS.

OTS operates its current enterprise framework application (Cúram) on an IBM 2827-604 mainframe (24x7) over a TCP/IP network in a z/OS IBM Operating environment with IBM DB2 Version 10 or higher as the database and IBM Web Sphere Version 6 using such products like Web Sphere Business Integrator and MQ Series as the middleware connector for web-based system to legacy-based system messaging. Mainframe legacy systems are based on an ADABAS platform and coded in Natural with Shadow as the middleware connector for several of their web-based applications. The CAFÉ Systems also operates on this mainframe along with the legacy systems. CAFÉ is available to customers, providers, and staff 24/7 except for maintenance activities; and the legacy systems are generally available to users 12 hours a day 5 days a week. These legacy systems can be made available to staff on an exception basis after hours. The disaster recovery mainframe is an IBM 2098 E10 located on the LSU Baton Rouge campus. Several of the legacy Mainframe applications also have or are in the process of developing several JAVA/DB2 web applications most of which use JBOSS instead of Web Sphere. SUSE Linux operates on DCFS Kiosk pc's.

### **OPERATIONS RECAP (monthly):**

• Batched Jobs Processed	20,000
• Checks Printed	45,000
• Total Cartridge Library	15,800
• Mainframe Printer Print Images	19,225,000
• Mail Items	2,300,000

**Operating Environment – DCFS:  
Mainframes**

**OTS**

**Information Services Building**

2827–604 – SN: 007597 (3403 MIPS/419 MSU'S) - (1136 GB)

- ACP5 (z/OS 1.13) DCFS Curam ACESS Production
- ACT5 (z/OS 1.13) DCFS Curam ACESS Test/UAT/Development
- DFSP (z/OS 1.13) DCFS Curam Disaster Food Stamps Production
- DFST (z/OS 1.13) DCFS Curam Disaster Food Stamps  
Development/Test/UAT
- CDEV (z/OS 1.13) DCFS CAFÉ Development/Test/UAT
- CPRD (z/OS 1.13) DCFS CAFÉ Production
- LEG2 (z/OS 1.13) DCFS Legacy DB2
- CPAC (z/OS 1.13) DCFS Legacy Production
- TEST (z/OS 1.13) DCFS Legacy Test
- IFL – CVDEV01 DCFS CAFÉ Development/Test 1
- IFL – CVDEV02 DCFS CAFÉ Development/Test 2
- IFL – CVPRD01 DCFS CAFÉ Production 1
- IFL – CVPRD02 DCFS CAFÉ Production 2
- IFL – OVSBX01 DCFS Systems Sandbox

2818-J02 - SN: 00A397 (178 MIPS / 22 MSU'S) – (24GB)

- CAP1 DCFS ASG/Mobius penalty lpar
- DOA6 DOA TDSz lpar

**LSU Frey Computer Center**

2098 – A01/Z05 – serial number: 952B4 (26 MIPS Active/2760 MIPS Max) DR  
Inactive

**Tape I/O Subsystem:**

The tape I/O environment consists of:

(2) – Storagetek Robotic Silos and cartridge systems:

- (1) 9310 Automated Cartridge System located at the ISB complex
- (6) 9490 Timberline Transports
- (4) 9840 transports
- Each transport is connected via an Escon fiber link. The drives are capable of reading 18 and 36 track-recorded media. The transports only write in the more efficient 36-track mode.
- (1) 9310 Automated Cartridge System located at the LSU complex
- (8) 9490 Timberline Transports
- (18) 9840 transports. The 9840 devices require specially designed Cartridges that are numerically separate from our regular pool of cartridges. This silo system is located in an offsite Data Center on the campus of Louisiana State University and is connected via five (5) Escon Fiber Link Channels. This silo is primarily used for offsite backups and Disaster Recovery.

**Virtual Tape:**

1 – Storagetek Virtual Storage Manager (VSM).

- 180GB of disk buffer capacity and adds sixty-four (64) 3490-E virtual tape drives to our operating environment.
- Utilizes the STK 9840 tape drive technology for the migration and recall of virtual volumes.

**DASD I/O Subsystem:**

- 1 – DS8100 Model 2107 DASD (40 Terabytes) – Information Services Building
- 1 – DS8100 Model 2107 DASD (40 Terabytes) - LSU

**Print Operations:**

- 1 – IBM Infoprint 4000
- 1 – IBM Infoprint 4000 with MICR

**Teleprocessing:**

There are approximately 6,500 devices in the DCFS communications network. DOA/OTS DCFS also supports approximately 4000 devices in the DHH network. The network is built on 7 backbone sites, including the LSU disaster site. Backbone sites are connected to each other via multiple T1 links and to end user sites via single T1 links.

DCFS supports 167 Ethernet LANs. DCFS supports Ethernet LANS at all 7 POP sites.

Connectivity to the mainframe is primarily a direct connection using TN3270. DCFS communicates with other entities via traditional SNA/SNI (using Enterprise Extender, TCP/IP), FTP, SFTP, Connect Direct, Cyberfusion, Tumbleweed and various tn3270 solutions; primarily Attachmate's Reflection. DCFS connects to the Internet via the LANET 16 megabyte Ethernet Switched connection and Microsoft's Internet Explorer. Secured access is also available through Cisco's Virtual Private Network (VPN).

**PC's and Workstations:**

DCFS has deployed the following Dell computers:

**Desktops – Quantity - 1,350**

- I5 or Equivalent with Intel VPro Factory Provisioning
- Dual Monitor Support with cables for each
- Ram: 4GB DDR3
- Hard drive: 250 GB Hard Disk Drive 7200rpm (compatible with Zenworks encryption)
- Optical device: DVD RW
- Operating system: Windows 7 Pro 64 bit
- Connectivity: Intel Gigabit Ethernet
- USB full size keyboard
- Enhanced Optical USB Mouse
- 4 USB 3.0 Ports
- Green Compliance, Energy Star EPEAT Gold
- Computrace or equivalent installed at factory
- Absolute Manager installed at factory
- Security Chip enabled
- Integrated video Card with dedicated video memory to support dual monitors

**Uninterruptible Power Supply (UPS) / Battery:**

- Powers nine Power Distribution Units (PDUs) throughout the building
- Automatic transfer to battery on interruptions
- Four cabinets each holding forty 12 volt batteries (up to an hour of backup power)
- Batteries individually tested twice a year

- Shower required by OSHA

## DCFS Installed Software

<b>Vendor</b>	<b>Application</b>	<b>Version</b>	<b>Description</b>
<b><u>Absolute</u></b>	<u>Computrace Web</u>	8.0	Laptop security and tracking
<b><u>Accord</u></b>	<u>Chase Viewer</u>	7.01	Check image archival software
<b><u>ACF / Children's Bureau</u></b>	<u>NCANDS Validation System</u>	FFY 2006	National Child Abuse and Neglect Data System
<b><u>Achievement Technologies</u></b>	<u>EWMS</u>	3.5	Employability and Work Maturity Skills tutor
<b><u>ACL</u></b>	<u>ACL for Windows</u>	7.2.1	Audit analysis and fraud detection software
<b><u>ACF / Children's Bureau</u></b>	<u>AFCARS</u>	2009	Adoption and Foster Care Analysis and Reporting
<b><u>Adobe</u></b>	<u>Acrobat Reader</u>	11.0.0	Viewer for PDF documents
<b><u>Adobe</u></b>	<u>Acrobat Professional</u>	11.0.0	PDF creation and editing software
<b><u>Adobe</u></b>	<u>Flash Player</u>	19.0.0	Player for flash-based animation
<b><u>Adobe</u></b>	<u>InDesign CS2</u>	4.0.0	Web design platform (multi-product suite)
<b><u>Adobe</u></b>	<u>LiveCycle Designer</u>	8.2 & 11 SP1	Editable forms generation software
<b><u>Adobe</u></b>	<u>LiveCycle Workflow</u>	8.2 & 11 SP1	Editable forms generation software
<b><u>Adobe</u></b>	<u>Photoshop Elements</u>	5.0	Photo editing software
<b><u>Adobe</u></b>	<u>RoboHelp Office</u>	X5	Help tutorial and knowledge base publisher
<b><u>Adobe</u></b>	<u>Shockwave Player</u>	10.1	Player for shockwave-based animation
<b><u>Adobe</u></b>	<u>SVG Viewer</u>	3.0.3	Viewer for scalable vector graphics
<b><u>Ahead</u></b>	<u>Nero Ultra</u>	7.01	CD and DVD burning software
<b><u>AMS</u></b>	<u>1099-etc</u>	D-2.0	1099 and W-2 tax form filing software
<b><u>Apache</u></b>	<u>ANT</u>	1.6.2	
<b><u>Aquire</u></b>	<u>OrgPublisher</u>	7.1	
<b><u>ASG</u></b>	<u>DocuAnalyzer</u>	6.01	

<b>Vendor</b>	<b>Application</b>	<b>Version</b>	<b>Description</b>
<b>ASG</b>	DocumentDirect	4.2.3	
<b>ASG</b>	Zena Client	3.2.1.249	
<b>Attachmate</b>	Reflections	12.1.312	
<b>Avery</b>	Wizard for MS Word 2003	2.10	
<b>Bank One</b>	The One Net	Web	
<b>BMC</b>	Remedy Action Request System	5.01	
<b>Business Objects</b>	Crystal Reports Viewer	9.2	
<b>Cisco</b>	Access Control Server		
<b>Cisco</b>	VPN Client	5.0.0	
<b>Citrix</b>	Presentation Server Client	9.150	
<b>Core FTP</b>	Core FTP LE	2.0.1531	
<b>Corel</b>	WordPerfect Office	X3	
<b>Cúram</b>	Cúram GISS	4.4	
<b>Cyberlink</b>	PowerDVD	5.7	
<b>Daemon Tools</b>	Daemon Tools	4.03	
<b>DataDirect / Neon Systems</b>	Shadow Client	6.1.1	
<b>DataDirect / Neon Systems</b>	Shadow Studio	1.2.1	
<b>DESI</b>	DESI Lite	2.76	
<b>Dymo</b>	Dymo Label Software	7.5	
<b>ESRI</b>	ArcGIS ArcReader	9.1	
<b>EWA</b>	Phoenix	5.0	
<b>EWA</b>	Phoenix Tutorial Maker	1.0	
<b>Helios</b>	TextPad	5.0	
<b>IBI</b>	WebFocus Developer Studio	7.7.05	
<b>IBI</b>	WebFocus iWay Data Migrator	7.7.05	
<b>IBM</b>	DB2 Enterprise Edition	10.0	
<b>IBM</b>	IBM Java	1.4.2	
<b>IBM</b>	InfoPrint Manager	4.2	

<b>Vendor</b>	<b>Application</b>	<b>Version</b>	<b>Description</b>
<b>InCircuit</b>	Protégé	Web	
<b>Intekron</b>	Easy Street	Web	
<b>JPMorganChase</b>	EBT Browser Admin		
<b>LDNR</b>	Budget Manager	1.0	
<b>LDOC</b>	CAJUN		
<b>Macrovision</b>	AdminStudio Professional	8.5	
<b>Macrovision</b>	InstallScript	11.5	
<b>MeadCo</b>	ScriptX	6.1.432	
<b>Microsoft</b>	Access	2010	
<b>Microsoft</b>	Excel	2010	
<b>Microsoft</b>	IEMenu ActiveX	4.71	
<b>Microsoft</b>	Internet Explorer	11.0.96	
<b>Microsoft</b>	OneNote	2010	
<b>Microsoft</b>	Orca	2.0	
<b>Microsoft</b>	Outlook	2010	
<b>Microsoft</b>	PowerPoint	2010	
<b>Microsoft</b>	Project	2010	
<b>Microsoft</b>	Publisher	2010	
<b>Microsoft</b>	SQL Query Analyzer	8.0	
<b>GenuitecMy Eclipse</b>	MyEclipse	7.5	
<b>IBM</b>	Personal Communications	6.0	
<b>IBM</b>	Rational Application Developer	7.5 and 9.1	
<b>IBM</b>	Rational Build Forge Agent	8.0.2	
<b>IBM</b>	Rational ClearCase	8.0.1.7	Versioned Software Development Management
<b>IBM</b>	Rational ClearQuest	8.0.1.7	
<b>IBM</b>	Rational RequisitePro	7.1.4.7	
<b>Microsoft</b>	SQL Profiler	8.0	
<b>Microsoft</b>	Virtual PC	2004	
<b>Microsoft</b>	Visio	2010	
<b>Microsoft</b>	Windows Media Player	10	
<b>Microsoft</b>	Word	2010	

<b>Vendor</b>	<b>Application</b>	<b>Version</b>	<b>Description</b>
<b>Mozilla</b>	Firefox	31	
<b>NCMEC</b>	Locator Online	6.8	
<b>Novell</b>	ConsoleOne	1.36h	
<b>Novell</b>			
<b>Novell</b>			
<b>Novell</b>	iFolder	3	
<b>Novell</b>	iPrint Client	4.30	
<b>Novell</b>	Netware Administrator	5.1.9f	
<b>Novell</b>	OpenOffice.org	2.0.1	
<b>Novell</b>	OpenOffice.org Base	2.0.1	
<b>Novell</b>	OpenOffice.org Calc	2.0.1	
<b>Novell</b>	OpenOffice.org Draw	2.0.1	
<b>Novell</b>	OpenOffice.org Impress	2.0.1	
<b>Novell</b>	OpenOffice.org Math	2.0.1	
<b>Novell</b>	OpenOffice.org Writer	2.0.1	
<b>Nuance/ScanSoft</b>	Dragon Naturally Speaking	9.0.1	
<b>Olympus</b>	Digital Recorder Light		
<b>Olympus</b>	DSS Player	6.3.1	
<b>Oracle</b>	OLEDDB	8.1.7	
<b>PureEdge</b>	ICS Viewer for Grants.gov	6.0.2	
<b>PuTTY</b>	PuTTY	0.62	
<b>Red Egg Software</b>	ieSpell	2.1.1	
<b>Research In Motion</b>	Blackberry Desktop Manager	4.1.6	
<b>SAI</b>	IMS		
<b>SAI</b>	IMS Bank Recon		
<b>SAP</b>	SAP Logon Pad	6.20	
<b>Seagate</b>	Smart Viewer	1.0	
<b>ShoreTel</b>	ShoreWare Call Manager	6.1	
<b>Software AG</b>	Entire Connect	4.2.1	
<b>SPSS</b>	SPSS	15.0	

<b>Vendor</b>	<b>Application</b>	<b>Version</b>	<b>Description</b>
<b>Steelray</b>	Steelray Project Viewer	5.2.21.29	
<b>Stylus Studio</b>	XML Enterprise Suite	2008	
<b>Sun</b>	Java J2RE SE	1.42_06	
<b>Sun</b>	Java SDK	1.42_06	
<b>Syntellec</b>	Teloquent Interchange Agent	6.1.0	
<b>Syntellec</b>	Teloquent Preview Agent	6.5	
<b>Sysinternals</b>	BGInfo	4.05	
<b>Sysinternals</b>	PsKill	1.10	
<b>VMWare</b>	VMWare Server	1.04	
<b>VMWare</b>	VMWare Workstation	5.5	
<b>VMWare</b>	VMWare Player	1.0	
<b>Thompson West</b>	WestLaw	Web	
<b>Thompson West</b>	WestMate	7.38	
<b>WareCentral</b>	PrintKey	2000 v5.10	
<b>WatchFire</b>	WebQA	4.0	
<b>WinZip</b>	WinZip	11.1	
<b>WS_FTP</b>	FTP Client for Windows	3.00	

Division of Administration – Technical Environment

As of July 2016

LOCAL AREA NETWORK SOFTWARE	
Server Operating System	Windows Server 2008 R2 & Window Server 2012
Web Server	IIS 7.0
Email/Collaboration	Exchange 2010 SP3, Microsoft Lync 2010
Electronic Mail/Scheduler	Microsoft Outlook 2007, 2010, 2013
Database	<p>SQL Server 2008                      MySQL Community Server 5.6                      Domino v7, v8                      Oracle 8i, 9i, 10g, 11g, &amp; 12c</p> <p>Middleware &amp; system components:</p> <ul style="list-style-type: none"> <li>• Oracle                             <ul style="list-style-type: none"> <li>○ Active Data Guard</li> <li>○ Advanced Compression</li> <li>○ Advanced Security</li> <li>○ Application Express</li> <li>○ Data Masking</li> <li>○ Database Diagnostics &amp; Configuration</li> <li>○ Database Vault</li> <li>○ Enterprise Manager</li> <li>○ GoldenGate</li> <li>○ In-Memory Database Cache</li> <li>○ OLAP</li> <li>○ Partitioning</li> <li>○ Performance Tuning</li> <li>○ Provisioning &amp; Patch Automation Pack</li> <li>○ Real Application Clusters (RAC)</li> <li>○ RMAN, DBCA, DUA, NetCA, OUI</li> <li>○ SQL*Plus, SQL*Loader, Developer</li> <li>○ Warehouse Builder</li> </ul> </li> </ul>
Communications	TCP/IP v4
Middleware	DB2Connect, SQL Server 2008
Server Defrag	DiskKeeper 12, V-Locity 4.0
Antivirus	Symantec Endpoint Protection 12.1.3
Server Backup\Recovery	CommVault 10.0 R2, SP 14

<b>LOCAL AREA NETWORK HARDWARE</b>	
Minimum Network Server	Intel Xeon CPU 4 GB RAM 2 146 GB hard drives, RAID1 1 and 10 Gb connectivity Rack Mounted
Other Common Server Components or Technologies Utilized	SAN Connectivity SAN Storage VMWare Microsoft Clustering Dell Nutanix
Miscellaneous Peripheral Hardware	CD-ROM, DVD-ROM, External USB Drive UPS Scanners JetDirect printer sharing devices

<b>MID-RANGE SOFTWARE</b>	
System Control Programs	IBM AIX 7.2 or > SUSE Linux Enterprise Server, CentOS Linux, VMware ESXi
Teleprocessing Software	Korn shell Bourne Again shell
Programming Languages	ANSI-C, PERL, ksh, bash, awk, expect
ERP Software	SAP R/3
Resource Administration	SMIT (AIX tool) YaSt (Linux tool) Yum
Database and Supporting Software	DB2 LUW v 9.1, 9.7, 10.1, and 10.5 IBM Data Studio 4.1 CommVault 10.0 R2, SP 14

<b>MID-RANGE HARDWARE</b>	
Enterprise Mid-Range Hardware	IBM pSeries P8XX Cisco UCS B200 M3
PC Server Hardware	Intel Xeon CPU 4 GB RAM 2 146 GB hard drives, RAID1 GbE connectivity Rack Mounted

<b>STORAGE AREA NETWORK</b>	
Software	Panagon IS Shared User License V 3.x Panagon Web Services 3.x Panagon Workgroup IS V 3.6 EMC Control Center Navisphere V 6.26.22.0.50 Dell Compellent Enterprise Manager
Hardware	1 PV51F – 8 Port Fiber Channel Switch 1 STK 9714 DLT Library 5 DLT 7000 Drives 100 Slots 1 HP 2200 MX Optical Jukebox 1 Dell PowerVault 660F 14 – 36 GB Drives 1 Dell PowerVault 224S 14 – 36 GB Drives 1 Dell 6450 Sequel/Image Server 2 - 36 GB Drives, 2 GB memory 10 Dell Exchange Clustered Blade Servers using Fiber connected SAN  Onsite 1 Dell/EMC CX3-80 1 EMC VNX SAN/NAS Array 2 Dell Compellent Arrays 4 EMC RecoverPoint Appliances for replication 2 Brocade DCX4 Director Switches 2 Brocade Silkworm 4020 Switches 2 Brocade Silkworm 4100 Switches 1 IBM DS4800  Remote / located at DPS 1 Dell/EMC CX3-80 1 EMC VNX SAN/NAS Array 6 Brocade Silkworm 4100 Switches 2 Dell Compellent Arrays 1 IBM DS4800 1 IBM DS5300

<b>MAINFRAME SOFTWARE</b>	
System Control Programs	z/OS V2.2 z/VM V6 Linux – Red Hat, Suse
Teleprocessing Software	ACF/VTAM TSO / ISPF TCP/IP for MVS CICS V3.2 Websphere MQ Websphere Application Server
Text Manipulation	PMF, PSF, OGL, PPFA, ISPF
Programming Languages	HLASM C PL1 MVS COBOL Language Environment JAVA
Resource Administration	CAFC DFDSS

	DSF RMF SMF RMM TDSz
Database and Supporting Software	DB2 V10 DB2 Administration Tool DB2 Table Editor DB2 Automation Tool DB2 Log Analysis Tool DB2 Utilities Suite CA-Insight Performance Monitor CA-Detector CA-Subsystem Analyzer ESAI BCV4 CDB/Auto-Online for SAP CDB/Auto-Online Reorg CDB/Auto-Online Unload CDB/Auto-Load CDB/Automation CDB/Real Time Utility Manager CDB/Auto-Restore CDB/Auto-Online Copy Shadow zDirect Information Builders – Web Focus/Data Migrator Adabas/Natural
Other Software	Abend-Aid IPCS DFSORT File Aid DFSMS MVS/Quickref BUNDL ZEKE, ZEBB EREP Book Manager SDSF XPEDITER/TSO, XPEDITER/CICS FDRPAS FATSCOPY TDMF
Performance Monitoring	Mainview for z/OS and CICS
Statistical/Graphics Packages	SAS / MXG GDDM / PGF

MAINFRAME HARDWARE	
CPU	IBM 2818-J02 processor with 24 GB storage IBM 2827-604 processor with 1100 GB storage and 8 IFL's
DASD	1 IBM DS8870 at ISB 1 IBM DS8800 at ISB 1 IBM DS8800 at LSU 2 IBM DS6800 at ISB 2 IBM DS6800 at DPS
Magnetic Tape Onsite	2 IBM 3584 Tape Library with 4 3592 tape drives 2 IBM 7740 Virtual Tape Library attached to 3584 tape library 1 IBM 7720 Virtual Tape Library
Magnetic Tape LSU/DPS/Remote	1 IBM 3494 Tape Library with 16 3592 tape drives 1 IBM 3584 Tape Library with 4 3592 tape drives 1 IBM 7740 Virtual Tape Library attached to 3494 tape library 1 IBM 7740 Virtual Tape Library attached to 3584 tape library 2 IBM 7720 Virtual Tape Libraries
Printers	1 XEROX Laser Printer

### POLICY 5.1 and System Development Life Cycle (SDLC)

It is the policy of the Department of Children and Family (DCFS), Division of Management and Finance (DMF), Section of Information Services (IS) to provide computer support to all offices within the DCFS. This involves coordination with Customer Agencies on new and revised programs to incorporate computer processes to implement, control, and manage their federal and state client historical, statistical, and financial information.

The DCFS/DMF/IS Section works with the agencies (Executive Division, Division of Management & Finance, Division of Programs, Division of Operations, and Division of Economic Stability) of the DCFS to provide application system development and maintenance activities. Based on industry standards and best practices, the DCFS/DMF/IS Section has adopted the System Development Life Cycle (SDLC) to support the system development activities.

It is the purpose of this policy to identify the documentation and tools that define the SDLC for the IS Section including: processes, activities, roles and responsibilities, workflows, work products, and support documents necessary to complete the application system requirements definition, design, development, testing, implementation, enhancement, and maintenance services.

This policy applies to those DCFS and OTS employees who are responsible for program and application integration. The policy is limited to the development, definition, and deployment of processes that enhance the IS SDLC and the [IS SDLC Manual](#) (the main phases of the SDLC are defined in this policy) and the tools utilized to support those processes. Exceptions to this policy are noted in this policy.

#### Definitions/Acronyms

**Applications Support Unit:** The unit within the Information Services (IS) Section responsible for the design, development, testing, implementation and maintenance of the automated systems that support the business of the Department of Children and Family Services (DCFS).

**CR (Customer Representative):** The person(s) that operates as a liaison between the Customer Agency and the Applications Support Unit. For all program related applications the CR will be the System Research and Analysis Unit. For non-program related applications the CR may be the customer or a member of the Applications Support Unit.

**Customer Agency:** Representatives from the DCFS Divisions/Bureaus/Sections.

**DCFS:** Department of Children and Family Services.

**DCFS Agencies:** Customer Agency budget units within the DCFS (i.e. Executive Division, Division of Management & Finance, Division of Operations, Division of Programs, and Division of Economic Stability).

**IS (Information Services):** The Division of Administration/ Office of Technology Services that provides system design, development, and support for the DCFS Agencies.

**DMF:** Division of Management and Finance.

**Project Leader:** The person in the Application Support Unit responsible for the supervision and oversight of the Application's Support Unit staff for an IS project.

**Rational ClearQuest:** An IBM Rational software tool utilized by DCFS and OTS to assist in the tracking of key dates, approvals, and milestones related to applications development efforts, as well as the ability to prioritize those work efforts. The tool was customized by OTS and DCFS to allow tracking throughout the System Development Life Cycle (SDLC). This tool is a client-server based application. It is desirable that this tool always be in sync with the current Applications SDLC Manual to insure the tracking of all appropriate dates, approvals, and milestones. File folder structures are utilized to allow storage of additional documents or attachments for a related work effort that constitute further system documentation beyond that stored in Rational RequisitePro. The data entered into Rational ClearQuest interfaces with the Cost Allocation Billing and Tracking System (BATS) each night. This allows for tracking the hours charged to each User Request entered into ClearQuest and the tracking of status changes to the User Request to be reported in the Cost Allocation Reports. This process also interfaces with the BATS system so that we can get the cost of each project. For work tasks that are considered maintenance (no production code changes involved) the details of the work are put into ClearQuest weekly and matched up with the hours charged in TARP.

**Rational Quality Manager:** An IBM Rational software tool utilized by DCFS and OTS to assist with testing. This tool is a client-server based application. The application assists with test planning, workflow control, tracking and metrics reporting capable of quantifying how project decisions and deliverables impact and align with business objectives.

**Rational RequisitePro:** An IBM Rational software tool utilized by DCFS and OTS to assist in requirements management. This tool is a client-server based application. The application enables the identification of requirements within Business Requirements Documents (BRDs), User Requirements Documents (URDs), and Technical Design Documents (TDDs), and subsequently development of the corresponding Requirement Traceability Matrices (RTMs) views. File folder structures are utilized to allow storage of the work products, BRDs, URDs, TDDs, RTM views, and Supplemental Notice/Form documents when required by the Customer Agency. **Requisite Pro** is used for steps 2 and 3 of the SDLC process to get the requirements from the Business Requirements Document (BRD), The User Requirements Document (URD) and the Technical Design Document (TDD).

**Rational Toolset:** IBM has a suite of Rational software products. The Quality Assurance Office (QAO) currently utilizes Rational RequisitePro and Rational ClearQuest as quality assurance tools for the Legacy Systems. For the Transformation Project the Rational Quality Manager (RQM) tool has been added to further document the testing of the requirements identified in the RequisitePro requirements.

**System Development Activities:** Include the following: modification to existing functionality for existing systems; addition of new functionality to existing systems; and creation of new systems. These activities may be initiated for various reasons such as, but not limited to, DCFS Secretary or executive staff

mandates; federal or state government legislation; federal or state government mandates; production problems; and research inquiries.

**System Development Life Cycle:** An organized, structured methodology for designing, developing, testing, implementing, and continuing support of a system. It is defined by interrelated phases characterized by predefined tasks, roles and responsibilities and work products. The purpose of an SDLC is to provide a structured framework against which system development activities occur. Employing a structured framework facilitates coordination, control and management of all system development efforts, including the development of new systems and enhancements to existing systems.

**Rational ClearCase Unified Change Management (UCM)** is used in steps 3 through 6 of the SDLC process to track the code changes and approvals. **Rational BuildForge** is used to automate and track the deployment of code.

**Rational Quality Manager (RQM)** is used in steps 4 and 5 of the SDLC process to show that the requirements have been tested and approved.

### **Roles and Responsibilities**

The Quality Assurance Office (QAO) has a mission to facilitate the delivery of all the IS Organization's products and services in the most timely, efficient, and cost-effective manner with the highest feasible quality output of those products and services. This should occur indirectly as a by-product of the efforts of the QAO, not as a result of any direct involvement of the QAO.

The means to accomplish this goal requires:

- the development, implementation, and enforcement of IS standard work processes;
- senior management responsiveness to state and federal mandates;
- senior management responsiveness to state and federal legislation;
- proper project management oversight;
- the development and monitoring of quality assurance checkpoints, metrics, and benchmarks within project life cycles;
- the development/implementation/reaction to customer service and quality satisfaction surveys; and
- the use of automated tools to insure the quality of our final results.

All inquiries to this policy may be directed to the RFP Coordinator.

### **System Development Life Cycle (SDLC) Overview**

The SDLC is an organized, structured methodology for designing, developing, testing, implementing, and continuing support of a system. It is defined by interrelated phases characterized by predefined tasks, roles and responsibilities and work products. The purpose of a SDLC is to provide a structured framework against which system development activities occur. Employing a structured framework facilitates coordination, control and management of all system development efforts, including the development of new systems and enhancements to existing systems.

The SDLC's main focus centers around the provision of quality services and products that will successfully fulfill Customer Agency business needs. It is achieved by the definition and documentation of business, functional, and technical requirements including appropriate:

- planning and tracking of the requirements;
- design for the requirements;
- development of the requirements;
- testing of the requirements;
- deployment/implementation of the requirements; and
- maintenance and support of the requirements.

## System Development Life Cycle Diagram

The diagram below demonstrates the sequential phases of the SDLC methodology. Although the diagram implies that the phases of the life cycle are linear, in reality, the phases tend to overlap.

### System Development Life Cycle

Step/Phase	Process
1	Planning and Tracking
2	Business Modeling
3	Analysis and Design
4	Development and Unit Test
5	System Test
6	User Acceptance Test
7	Implementation
8	Maintenance and Support

The phases defined for the SDLC methodology for the Applications systems area include:

- **Planning and Tracking:** The establishment of plans for performing and managing the tasks and activities related to the development effort. This phase spans the entire life cycle.
- **Business Modeling:** Identification and assessment of business/Customer Agency requirements. Business requirements specify the high-level capability of the system that is necessary to deliver a benefit to the customer community.
- **Analysis and Design:** Analysis of business requirements and translation into functional and technical requirements. Functional requirements specify what the system must be able to do to deliver a benefit to the customer community and technical requirements specify how this will be achieved by the system.
- **Development and Unit Test:** Creation and/or modification of components for a new or modified system and detection of defects via testing of individual components.
- **System Test:** Verification that the new or modified components perform correctly as a complete system and do not adversely affect existing modules.
- **User Acceptance Test:** Demonstration that the new or modified system complies with the customer's expectations and design objectives.
- **Implementation:** Installation of an enhanced or new system. New procedures are implemented and the system is fully operational with appropriate staff training.

- Maintenance and Support: Identification and resolution of issues with the system on an on-going basis.

The SDLC places a strong emphasis on documentation, especially in the early phases. Documentation provides communication and understanding between all groups during the development effort and it serves as a historical record of the development effort at given points in time. This is important for future development efforts, cross training of system staff, and audit purposes.

## IS SDLC Manual

The [IS SDLC Manual](#) serves as the defining document for DCFS Policy 5-1. All roles and responsibilities, processes, and procedures associated with the design and development, maintenance, and enhancement of systems is contained in the [IS SDLC Manual](#). The [IS SDLC Manual](#), [SDLC Tools and Templates](#), [SDLC Support Forms](#), and [SDLC User Guides](#) are found on the DCFS Intranet at the [Quality Assurance Office](#) website accessed via the Information Services button.

The defined toolset to support the IS SDLC and Policy 5-1 is the Rational Toolset. These Rational Tools support the utilization of the IS SDLC.

The IS Section [Quality Assurance Office](#) (QAO) is responsible for supporting the continued build-out and development of this structured methodology.

## II. PROCEDURES

The [Quality Assurance Office](#) (QAO) encourages, acknowledges and supports continued quality practice modifications to the DCFS SDLC. Some of the potential drivers to these modifications are:

- Recommendations to follow industry best practices;
- Recommendations to streamline processes;
- Recommendations to enhance reviews and other checkpoints throughout the process to insure quality development and deployment; and
- Recommendations to further document processes, tools, and templates utilized.

The following processes are used to update the [IS SDLC Manual](#):

For all **cosmetic changes** to the document (i.e. glossary items; document formatting issues; template formatting issues; document and template consistency issues; etc.), the IS Section QAO will:

- Complete the changes and
- Immediately publish and/or republish as necessary the [IS SDLC Manual](#) and any supporting documents.

For all **minor changes** to the document (i.e. minor workflow process changes; minor template revisions; etc.), the IS Section QAO will:

- Complete the changes;
- Submit a summary of changes email to the Customer Agency and the IS Section for a five-day review and comment period based on the summary and attached documents;
- Assess any objections or suggestions received for incorporation and work with the impacted party to resolve these objections or suggestions; and
- Immediately publish and/or republish as necessary the [IS SDLC Manual](#) and any supporting documents.

For all **major changes** to the document (i.e. new SDLC phase implementations; areas that affect roles and responsibilities; additional template requirements; etc.), the IS Section QAO will:

- Work with a focus group of DCFS and OTS staff, to define the processes, procedures, and tools for the new SDLC phase implementation and/or for the major enhancements to the existing processes, procedures, and tools;
- Submit a summary of changes e-mail to the Customer Agency and the IS Section for a two-week review and comment period based on the summary and attached documents;
- Make the selected changes based on the comments and feedback provided; and
- Immediately publish and/or republish as necessary the [IS SDLC Manual](#) and any supporting documents.

### **Exceptions to this Policy**

The following areas are exempt from operating under this policy:

- A DCFS Customer Agency may define through a Memorandum of Understanding (MOU) between an Agency Head and the DOA/OTS Project Management Office the governing process that will support the System Development Life Cycle for their Agency, or certain programs within their Agency. In instances where this occurs, the MOU will serve as the guiding policy, referencing any changes to roles and responsibilities defined in the [IS SDLC Manual](#). All undefined exception areas will follow DCFS Policy 5-1 and the [IS SDLC Manual](#).
- In instances where a contract has defined a different SDLC process for utilization by a contractor, these contract defined processes will govern the work efforts where defined. All undefined exception areas will follow DCFS Policy 5-1 and the [IS SDLC Manual](#).

The DOA/OTS Project Management Office may exempt IS staff from certain governing processes.

### **III. FORMS AND INSTRUCTIONS**

[SDLC Support Forms](#)

### **IV. REFERENCES**

[DCFS IS SDLC Manual](#)

**ATTACHMENT IX: DRAFT CONTRACT**

**STATE OF LOUISIANA**

**CONTRACT**

On this \_\_\_\_ day of \_\_\_\_\_, 20\_\_, the (*Agency Name*), hereinafter sometimes referred to as the "State", and (*Contractor's name and legal address including zip code*), hereinafter sometimes referred to as the "Contractor", do hereby enter into a contract under the following terms and conditions.

**1.0 SCOPE OF SERVICES**

Contractor hereby agrees to furnish services to State as specified in section 3.0

**1.1 CONCISE DESCRIPTION OF SERVICES**

The Contractor shall provide significant Information Technology services for the Department of Children and Family Services. These services will be specifically related to the maintenance and development of the Louisiana Automated Support Enforcement System (LASES) and web development projects for the Office of Child Support Enforcement. These services will be provided as described in the Department of Children and Family Services RFP dated , Question and Response dated and detailed in the Contractor response to the RFP dated

**1.2 COMPLETE DESCRIPTION OF SERVICES**

**A full description of the scope of services is contained in the following Attachments which are made a part of this contract:**

- Attachment I - Scope of Services
- Attachment II - Hardware/Software Environment
- Attachment III - Contractor Personnel and Other Resources
- Attachment IV - State Furnished Resources
- Attachment V - Insurance Requirements for Contractors

**2.0 ADMINISTRATIVE REQUIREMENTS**

**2.1 TERM OF CONTRACT**

This contract shall begin on \_\_\_\_\_ and shall end on \_\_\_\_\_. State has the right to extend this contract up to a total of three years with the concurrence of the Contractor.

**2.2 WARRANTIES**

Contractor shall indemnify State against any loss or expense arising out of any breach of any specified Warranty.

A. Period of Coverage. The Warranty period for software and system components covered under this Contract will begin on the date of acceptance or date of first productive use, whichever occurs later, and will terminate (***spell-out***) (***n***) months thereafter.

B. Free from Defects. Contractor warrants that the software changes developed hereunder shall be free from defect in design and implementation and will continue to meet the specifications agreed to by the State and Contractor and Contractor will, without additional charge to the State, correct any such defect and make such additions, modifications, or adjustments to the system as may be necessary to operate as specified in the Deliverables accepted by the State.

C. Software Standards Compliance. Contractor warrants that all software and other products delivered hereunder will comply with State standards and/or guidelines for resource names, programming languages, and documentation as referenced in the RFP. All design and coding specifications must be approved by the State in writing before actual programming and related development activities can begin. Software design and coding must follow documented State, LASES and CAFÉ' standards and conventions. Contractor must be especially cognizant that LASES operates under federal and State requirements and all software must be compliant with those requirements. Although it is not anticipated that the immediate work encompasses implementing new compliance functionality, care must be taken that enhancements and maintenance initiatives do not bring the system out of compliance.

D. Software Performance. Specific operating performance characteristics of the software developed and/or installed hereunder are warranted by the Contractor as stated in Attachment I – Scope of Services.

E. Original Development. Contractor warrants that all materials produced hereunder will be of original development by Contractor, and will be specifically developed for the fulfillment of this contract. In the event the Contractor elects to use or incorporate in the materials to be produced any components of a system already existing, Contractor shall first notify the State, which after whatever investigation the State may elect to make, may direct the Contractor not to use or incorporate any such components. If the State does not object, Contractor may use or incorporate such components at Contractor's expense and shall furnish written consent of the party owning the same to the State in all events. Such components shall be warranted as set forth herein (except for originality) by the Contractor and the Contractor will arrange to transfer title or the perpetual license for the use of such components to the State for purposes of the contract.

F. No Surreptitious Code Warranty. Contractor warrants that software provided hereunder will be free from any "Self-Help Code". "Self-Help Code" means any back door, time bomb, or drop dead device or other routine designed to disable a computer program with the passage of time or under the positive control of a person or party other than the State. Excluded from this prohibition are identified and State-authorized features designed for purposes of maintenance or technical support. "Unauthorized Code" means any virus, Trojan horse, worm or other software routine or component designed to permit unauthorized access to disable, erase, or otherwise harm software, equipment, or data, or to perform any other such actions. "Unauthorized Code" does not include "Self-Help Code".

### **2.3 INDEMNIFICATION AND LIMITATION OF LIABILITY**

Neither party shall be liable for any delay or failure in performance beyond its control resulting from acts of God or force majeure. The parties shall use reasonable efforts to eliminate or minimize the effect of such events upon performance of their respective duties under Contract.

Contractor shall be fully liable for the actions of its agents, employees, partners or subcontractors and shall fully indemnify and hold harmless the State and its Authorized Users from suits, actions, damages and costs of every name and description relating to personal injury and damage to real or personal tangible property caused by Contractor, its agents, employees, partners or subcontractors, without limitation; provided, however, that the Contractor shall not indemnify for that portion of any claim, loss or damage arising hereunder due to the negligent act or failure to act of the State. If applicable, Contractor will indemnify, defend and hold the State and its Authorized Users harmless, without limitation, from and against any and all damages, expenses (including reasonable attorneys' fees), claims, judgments, liabilities and costs which may be finally assessed against the State in any action for infringement of a United States Letter Patent with respect to the Products furnished, or of any copyright, trademark, trade secret or intellectual property right, provided that the State shall give the Contractor: (i) prompt written notice of any action, claim or threat of infringement suit, or other suit, (ii) the opportunity to take over, settle or defend such action, claim or suit at Contractor's sole expense, and (iii) assistance in the defense of any such action at the expense of Contractor. Where a dispute or claim arises relative to a real or anticipated infringement, the State or its Authorized Users may require Contractor, at its sole expense, to submit such information

and documentation, including formal patent attorney opinions, as the Commissioner of Administration shall require.

The Contractor shall not be obligated to indemnify that portion of a claim or dispute based upon: i) Authorized User's unauthorized modification or alteration of a Product, Material or Service; ii) Authorized User's use of the Product in combination with other products not furnished by Contractor; iii) Authorized User's use in other than the specified operating conditions and environment.

In addition to the foregoing, if the use of any item(s) or part(s) thereof shall be enjoined for any reason or if Contractor believes that it may be enjoined, Contractor shall have the right, at its own expense and sole discretion as the Authorized User's exclusive remedy to take action in the following order of precedence: (i) to procure for the State the right to continue using such item(s) or part (s) thereof, as applicable; (ii) to modify the component so that it becomes non-infringing equipment of at least equal quality and performance; or (iii) to replace said item(s) or part(s) thereof, as applicable, with non-infringing components of at least equal quality and performance, or (iv) if none of the foregoing is commercially reasonable, then provide monetary compensation to the State up to the dollar amount of the Contract.

For all other claims against the Contractor where liability is not otherwise set forth in the Contract as being "without limitation", and regardless of the basis on which the claim is made, Contractor's liability for direct damages, shall be the greater of \$100,000, the dollar amount of the Contract, or two (2) times the charges rendered by the Contractor under the Contract. Unless otherwise specifically enumerated herein or in the work order mutually agreed between the parties, neither party shall be liable to the other for special, indirect or consequential damages, including lost data or records (unless the Contractor is required to back-up the data or records as part of the work plan), even if the party has been advised of the possibility of such damages. Neither party shall be liable for lost profits, lost revenue or lost institutional operating savings.

The State and Authorized User may, in addition to other remedies available to them at law or equity and upon notice to the Contractor, retain such monies from amounts due Contractor, or may proceed against the performance and payment bond, if any, as may be necessary to satisfy any claim for damages, penalties, costs and the like asserted by or against them.

## **2.4 STAFF INSURANCE**

Contractor shall procure and maintain for the duration of the contract insurance against claims for injuries to persons or damages to property which may arise from or in connection with the performance of the work hereunder by the Contractor, his agents, representatives, employees or subcontractors. The cost of such insurance shall be included in the total contract amount included in RFP Attachment II – Cost Summary. For insurance requirements, refer to Attachment V of this Contract.

## **2.5 LICENSES AND PERMITS**

Contractor shall secure and maintain all licenses and permits, and pay inspection fees required to do the work required to complete this contract.

## **2.6 SECURITY**

Contractor's personnel will always comply with all security regulations in effect at the State's premises, and externally for materials belonging to the State or to the project. Contractor is responsible for reporting any breach of security to the State promptly.

## **2.7 TAXES**

Contractor is responsible for payment of all applicable taxes from the funds to be received under this contract. Contractor's federal tax identification number is \_\_\_\_\_.

## **2.8 CONFIDENTIALITY**

All financial, statistical, personal, technical and other data and information relating to the State's operations which are designated confidential by the State and made available to the Contractor in order to carry out this Contract, or which becomes available to the Contractor in carrying out this contract, shall be protected by the Contractor from unauthorized use and disclosure through the observance of the same or more effective procedural requirements as are applicable to the State. Contractor shall not be required to keep confidential any data or information which is or becomes publicly available, is already rightfully in the Contractor's possession, is independently developed by the Contractor outside the scope of this Contract, or is rightfully obtained from third parties.

### **The following IRS Contract Language must be included in all DCFS Child Support Enforcement Contracts:**

#### **IRS CONTRACT LANGUAGE FOR TECHNOLOGY SERVICES**

##### **I. PERFORMANCE**

In performance of this contract, the contractor agrees to comply with and assume responsibility for compliance by his or her employees with the following requirements:

- (1) All work will be done under the supervision of the contractor or the contractor's employees.
- (2) Any return or return information made available in any format shall be used only for the purpose of carrying out the provisions of this contract. Information contained in such material will be treated as confidential and will not be divulged or made known in any manner to any person except as may be necessary in the performance of this contract. Disclosure to anyone other than an officer or employee of the contractor will be prohibited.
- (3) All returns and return information will be accounted for upon receipt and properly stored before, during, and after processing. In addition, all related output will be given the same level of protection as required for the source material.
- (4) The contractor certifies that the data processed during the performance of this contract will be completely purged from all data storage components of his or her computer facility, and no output will be retained by the contractor at the time the work is completed. If immediate purging of all data storage components is not possible, the contractor certifies that any IRS data remaining in any storage component will be safeguarded to prevent unauthorized disclosures.
- (5) Any spoilage or any intermediate hard copy printout that may result during the processing of IRS data will be given to the agency or his or her designee. When this is not possible, the contractor will be responsible for the destruction of the spoilage or any intermediate hard copy printouts, and will provide the agency or his or her designee with a statement containing the date of destruction, description of material destroyed, and the method used.
- (6) All computer systems receiving, processing, storing, or transmitting Federal tax information must meet the requirements defined in IRS Publication 1075. To meet functional and assurance requirements, the security features of the environment must provide for the managerial, operational, and technical controls. All security features must be available and activated to protect against unauthorized use of and access to Federal tax information.
- (7) No work involving Federal tax information furnished under this contract will be subcontracted without prior written approval of the IRS.
- (8) The contractor will maintain a list of employees authorized access. Such list will be provided to the agency and, upon request, to the IRS reviewing office.

(9) The agency will have the right to void the contract if the contractor fails to provide the safeguards described above.

(10) (Include any additional safeguards that may be appropriate.)

## **II. CRIMINAL/CIVIL SANCTIONS:**

(1) Each officer or employee of any person to whom returns or return information is or may be disclosed will be notified in writing by such person that returns or return information disclosed to such officer or employee can be used only for a purpose and to the extent authorized herein, and that further disclosure of any such returns or return information for a purpose or to an extent unauthorized herein constitutes a felony punishable upon conviction by a fine of as much as \$5,000 or imprisonment for as long as 5 years, or both, together with the costs of prosecution. Such person shall also notify each such officer and employee that any such unauthorized further disclosure of returns or return information may also result in an award of civil damages against the officer or employee in an amount not less than \$1,000 with respect to each instance of unauthorized disclosure. These penalties are prescribed by IRC sections 7213 and 7431 and set forth at 26 CFR 301.6103(n)-1.

(2) Each officer or employee of any person to whom returns or return information is or may be disclosed shall be notified in writing by such person that any return or return information made available in any format shall be used only for the purpose of carrying out the provisions of this contract. Information contained in such material shall be treated as confidential and shall not be divulged or made known in any manner to any person except as may be necessary in the performance of the contract. Inspection by or disclosure to anyone without an official need to know constitutes a criminal misdemeanor punishable upon conviction by a fine of as much as \$1,000 or imprisonment for as long as 1 year, or both, together with the costs of prosecution. Such person shall also notify each such officer and employee that any such unauthorized inspection or disclosure of returns or return information may also result in an award of civil damages against the officer or employee [United States for Federal employees] in an amount equal to the sum of the greater of \$1,000 for each act of unauthorized inspection or disclosure with respect to which such defendant is found liable or the sum of the actual damages sustained by the plaintiff as a result of such unauthorized inspection or disclosure plus in the case of a willful inspection or disclosure which is the result of gross negligence, punitive damages, plus the costs of the action. These penalties are prescribed by IRC section 7213A and 7431.

(3) Additionally, it is incumbent upon the contractor to inform its officers and employees of the penalties for improper disclosure imposed by the Privacy Act of 1974, 5 U.S.C. 552a. Specifically, 5 U.S.C. 552a(i)(1), which is made applicable to contractors by 5 U.S.C. 552a(m)(1), provides that any officer or employee of a contractor, who by virtue of his/her employment or official position, has possession of or access to agency records which contain individually identifiable information, the disclosure of which is prohibited by the Privacy Act or regulations established there under, and who knowing that disclosure of the specific material is prohibited, willfully discloses the material in any manner to any person or agency not entitled to receive it, shall be guilty of a misdemeanor and fined not more than \$5,000.

(4) Granting a contractor access to FTI must be preceded by certifying that each individual understands the agency's security policy and procedures for safeguarding IRS information. Contractors must maintain their authorization to access FTI through annual recertification. The initial certification and recertification must be documented and placed in the agency's files for review. As part of the certification and at least annually afterwards, contractors should be advised of the provisions of IRC Sections 7431, 7213, and 7213A (see Exhibit 6, *IRC Sec. 7431 Civil Damages for Unauthorized Disclosure of Returns and Return Information* and Exhibit 5, *IRC Sec. 7213 Unauthorized Disclosure of Information*). The training provided before the initial certification and annually thereafter must also cover the incident response policy and procedure for reporting unauthorized disclosures and data breaches. (See Section 10) For both the initial certification and the annual certification, the contractor should sign, either with ink or electronic signature, a confidentiality statement certifying their understanding of the security requirements.

### **III. INSPECTION:**

The IRS and the Agency shall have the right to send its officers and employees into the offices and plants of the contractor for inspection of the facilities and operations provided for the performance of any work under this contract. On the basis of such inspection, specific measures may be required in cases where the contractor is found to be noncompliant with contract safeguards.

### **3.0 TECHNICAL REQUIREMENTS**

#### **3.1 STATEMENT OF WORK**

Contractor will perform services according to the terms of this Contract and according to the Scope of Services in Attachment I of this contract.

#### **3.2 CONFIGURATION REQUIREMENTS**

All software installed shall be designed and configured by the Contractor to operate within the State's hardware, software, and networking environments as specified in Attachment II of this Contract - Hardware/Software Environment.

#### **3.3 PROJECT MANAGEMENT**

Contractor shall provide, at a minimum, the following project management functions:

- Provide Project Management - Contractor will provide day-to-day project management using best management practices for all tasks and activities necessary to complete the tasks identified in Attachment I, Scope of Services, Tasks and Services.
- Provide Project Work Plan - Contractor shall develop and maintain a Project Work Plan, which breaks down the work to be performed into manageable phases, activities and tasks as appropriate. The work plan will identify: activities/tasks to be performed, project personnel requirements (both State and Contractor), estimated workdays/personnel hours to complete, expected start and completion dates. Scheduled completion dates for each deliverable shall specifically be included. Written concurrence of both parties will be required to amend the Work Plan. The Project Work Plan shall be approved by the State before project payments are made.
- Provide Project Progress Reports - Contractor shall submit monthly progress reports signed by the Contractor's Project Manager to the State, no later than 10 business days after the close of each month. Each progress report shall describe the status of the Contractor's performance since the preceding report, including the work orders delivered, descriptions of problems encountered with a plan for resolving them, the work to be accomplished in the coming reporting period, and identifying issues requiring management attention, particularly those which may affect the scope of services, the project budget, or the deliverables to be provided by the Contractor. Each report shall identify activities by reference to specific LASES Work Order numbers.
- Provide Time Sheets – The Contractor shall submit time sheets to the State Project Director monthly indicating effort expended and work performed by each member of its or its subcontractors' staff, participating in this contract. Time sheets shall, at a minimum, identify the name of the individual performing the work and the number of hours worked during the period by LASES Work Order.
- Provide Issue Control. Contractor will develop and implement with State approval, procedures and forms to monitor the identification and resolution of key project issues and problems.

### **3.4 QUALITY ASSURANCE REVIEWS**

State reserves the right to conduct Quality Assurance Reviews at appropriate checkpoints throughout the project. Contractor will facilitate the review process by making staff and information available as requested by the reviewers at no additional cost to the State.

### **3.5 CONTRACTOR RESOURCES**

Contractor agrees to provide the following Contract related resources:

A. Project Manager. Contractor shall provide a project manager to provide day-to-day management of project tasks and activities, coordination of Contractor support and administrative activities, and for supervision of Contractor employees. The project manager shall possess the technical and functional skills and knowledge to direct all aspects of the project. The State also requires that the Project Manager has experience in at least one of the technologies used by the DCFS.

B. Key Personnel. Contractor shall assign staff who possess the knowledge, skills, and abilities to successfully perform assigned tasks. Individuals to be assigned by the Contractor are listed in Attachment III Contractor Personnel and Other Resources of this Contract.

C. Personnel Changes. Contractor's Project Manager and other key personnel assigned to this Contract may not be replaced without the written consent of the State. Such consent shall not be unreasonably withheld or delayed provided an equally qualified replacement is offered. In the event that any State or Contractor personnel become unavailable due to resignation, illness or other factors, excluding assignment to project outside this contract, outside of the State's or Contractor's reasonable control, as the case may be, the State or the Contractor, as the case may be, shall be responsible for providing an equally qualified replacement in time to avoid delays to the work plan.

D. Other Resources. Contractor will provide other resources as specified in Attachment III Contractor Personnel and Other Resources of this Contract.

### **3.6 STATE PROJECT MANAGER AND STATE PROJECT DIRECTOR**

OTS shall appoint a State Project Manager and a State Project Director. The State Project Manager and State Project Director are identified in Attachment IV – State Furnished Resources in this Contract.

Notwithstanding the Contractor's responsibility for total management during the performance of this Contract, the assigned State Project Director for this Contract will provide day-to-day oversight and will assign and approve LWO's for the activities conducted hereunder.

Invoices should be submitted to the State Project Director for review and submission to the State Project Manager.

### **3.7 STATE FURNISHED RESOURCES**

State will make available to the Contractor for use in fulfillment of this contract those resources described in Attachment IV State Furnished Resources of this Contract.

### **3.8 STATE STANDARDS AND GUIDELINES**

Contractor shall comply with State standards and guidelines related to systems development, installation, software distribution, security, networking, and usage of State resources described in Attachment II of this Contract.

### **3.9 ELECTRONICALLY FORMATTED INFORMATION**

Where applicable, State shall be provided all documents in electronic format, as well as hard-copy. Electronic media prepared by the Contractor for use by the State will be compatible with the State's comparable desktop application (e.g., spreadsheets, word processing documents). Conversion of files, if necessary, will be Contractor's responsibility. Conversely, as required, Contractor must accept and be able to process electronic documents and files created by the State's current desktop applications as described in Attachment II of this Contract.

### **4.0 ACCEPTANCE OF DELIVERABLES**

Contract deliverables will be submitted, reviewed, and accepted according to the following procedure:

A. General. Except where this Contract provides different criteria, work will be accepted if it has been performed in accordance with the applicable specifications for Contractor's work in Attachment I - Scope of Services, the Request for Proposals, the Contractor's Proposal, and/or as subsequently modified in State-approved design documents developed within this Project, and in the accepted final documentation.

B. Submittal and Initial Review. Upon written notification by Contractor that a Deliverable is completed and available for review and acceptance, the State Project Director will use best efforts to review the Deliverable within five (5) business days after the Deliverable is presented to the State Project Director, but in no event later than ten (10) business days after the Deliverable is presented to the State Project Director. Within the applicable period, the State Project Director will direct the appropriate review process, coordinate any review outside the Project team, and present results to any user committees and/or Steering Committee for approval, as needed. The initial review process will be comprehensive with a view toward identifying all items which must be modified or added to enable a Deliverable to be approved. A failure to deliver all or any essential part of a Deliverable shall be cause for non-acceptance.

C. Notification of Acceptance or Rejection. If no notification is delivered to Contractor within the applicable period, the Deliverable will be considered approved. If State disapproves a Deliverable, State will notify Contractor in writing of such disapproval, and will specify those items, which, if modified or added, will cause the Deliverable to be approved.

D. Resubmitting Corrected Deliverables. With respect to such Deliverables, Contractor will resubmit the Deliverable with requested modifications and the State Project Director will review such modifications within five (5) business days. If no notification is delivered to Contractor within those five (5) business days, the Deliverable is considered approved. If the State disapproves that Deliverable, the State will notify Contractor in writing of any additional deficiencies which result from such modifications and Contractor will resubmit the Deliverable with the requested modifications. The parties agree to repeat this process as required until all such identified deficiencies are corrected or a determination of breach or default is made. The payment by the State for each activity is contingent upon correction of all such deficiencies and acceptance by the State.

E. Payment of Retainage Based on Acceptance. Payment of all retainage will be contingent on satisfactory performance. In the invoice period following withholding of retainage, all retainage will be paid except for work that has been deemed to be unsatisfactory.

### **5.0 COMPENSATION AND MAXIMUM AMOUNT OF CONTRACT**

In consideration of the services required by this contract, State hereby agrees to pay to the Contractor up to the maximum amount of funds available for expenditure under this contract. This contract is for a period of 12 months. The State has the option to renew this contract for two (2) additional twelve-month periods with the concurrence of the Contractor. The total amount for the first year of this contract shall be \$ \_\_\_\_\_, the second year \$ \_\_\_\_\_, and the third year \$ \_\_\_\_\_.

The maximum amount of funds available for expenditure for the possible three years of this contract shall not exceed \$\_\_\_\_\_. Optional Contract amounts available for subsequent years are contingent upon funding.

Reference Attachment III – Contractor Personnel and Other Resources of this Contract for the hourly rate per contractor position. The contractor shall provide cost estimates as required in the Scope of Work. The amount invoiced shall not exceed the amount approved by the State Project Director for any given LWO and its amendments. Payment will be made on approval of the State Project Director or his designee.

## **5.1 PAYMENT FOR SERVICES**

The Contract resulting from this Request for Proposal shall be compensated on a firm fixed price basis with progress payments upon completion of all deliverables within a series of tasks. Payments, less retainage, will be made upon successful completion and after review and written approval by the State of the tasks and deliverables. All completed work and deliverables shall be in conformity with the Request for Proposal specifications and commonly accepted industry standards.

The Contractor may invoice the agency monthly, only for number of hours of completed work. The Agency shall pay the Contractor based upon number of hours of work completed within the month on an approved LASES WORK ORDER (LWO). The total amount billed shall not exceed the amount approved for a given LWO. A monthly retainage of 10% will be withheld by the State to be paid once the State Project Director has accepted the applicable LWO. The final invoice for each LWO will be submitted 30 days after successful completion of the LWO. Payments will be made by the Agency within approximately thirty (30) days after receipt of invoice, and approval by the Agency.

## **5.2 PENALTIES FOR NON-PERFORMANCE**

If Contractor is found to be deficient in its delivery of timely and effective service as described in Attachment I – Scope of Services, the State will notify contractor in writing detailing such deficiencies. Contractor shall have a period of seven (7) days to correct all deficiencies to the satisfaction of the State.

If, at the end of the seven (7) days after notification of deficiencies, Contractor has not corrected the deficiencies to the satisfaction of the State, the State may, at its sole discretion and without further notice, withhold 10% of the total monthly fee as liquidated damages. If the deficiency is corrected within the initial seven (7) days corrective action period there will be no penalty.

In the future the Contractor fails to comply again for the same deficiency, the ten percent (10%) penalty shall be imposed again without the benefit of the seven (7) day corrective action period. The penalty is removed when the Contractor is in compliance.

Any amount withheld as liquidated damages shall be forfeited by the Contractor

## **6.0 TERMINATION**

### **6.1 TERMINATION FOR CAUSE**

State may terminate this Contract for cause based upon the failure of Contractor to comply with the terms and/or conditions of the Contract; provided that the State shall give the Contractor written notice specifying the Contractor's failure. If within thirty (30) days after receipt of such notice, the Contractor shall not have either corrected such failure or, in the case of failure which cannot be corrected in thirty (30) days, begun in good faith to correct said failure and thereafter proceeded diligently to complete such correction, then the State may, at its option, place the Contractor in default and the Contract shall terminate on the date specified in such notice. Contractor may exercise any rights available to it under Louisiana law to terminate for cause upon the failure of the State to comply with the terms and conditions of this contract; provided that the Contractor shall give the State written notice specifying the State's failure and a reasonable opportunity for the state to cure the defect.

## **6.2 TERMINATION FOR CONVENIENCE**

State may terminate the Contract at any time without penalty by giving thirty (30) days written notice to the Contractor of such termination or negotiating with the Contractor an effective date thereof. Contractor shall be entitled to payment for deliverables in progress, to the extent work has been performed satisfactorily.

## **7.0 REMEDIES FOR DEFAULT**

Any claim or controversy arising out of the contract shall be resolved by the provisions of LSA - R.S. 39:1672.2 – 1672.4.

## **8.0 AVAILABILITY OF FUNDS**

The continuation of this contract is contingent upon the appropriation of funds by the legislature to fulfill the requirements of the contract. If the legislature fails to appropriate sufficient monies to provide for the continuation of the contract, or if such appropriation is reduced by the veto of the Governor or by any means provided in the appropriations act to prevent the total appropriation for the year from exceeding revenues for that year, or for any other lawful purpose, and the effect of such reduction is to provide insufficient monies for the continuation of the contract, the contract shall terminate on the date of the beginning of the first fiscal year for which funds have not been appropriated. Such termination shall be without penalty or expense to the State except for payments which have been earned prior to the termination.

## **9.0 OWNERSHIP OF PRODUCT**

Upon completion of this contract, or if terminated earlier, all software, data files, documentation, records, worksheets, or any other materials related to this contract shall become the property of State. All such software, records, worksheets, or materials shall be delivered to the State within thirty days of the completion or termination of this contract.

The State and Contractor shall also guarantee the Federal Government a Royalty-free, nonexclusive and irrevocable license to reproduce, publish, or otherwise use and to authorize others to use for government purposes (Reference: 45CFR95.617, Sec. 95.17(b) Federal License).

## **10.0 NONASSIGNABILITY**

No contractor shall assign any interest in this contract by assignment, transfer, or novation, without prior written consent of the State. This provision shall not be construed to prohibit the contractor from assigning his bank, trust company, or other financial institution any money due or to become due from approved contracts without such prior written consent. Notice of any such assignment or transfer shall be furnished promptly to the State and the Office of State Procurement.

## **11.0 RIGHT TO AUDIT**

Contractor grants to the Office of the Legislative Auditor, Inspector General's Office, the Federal Government, and any other duly authorized agencies of the State where appropriate the right to inspect and review all books and records pertaining to services rendered under this contract. Contractor shall comply with federal and/or state laws authorizing an audit of Contractor's operation as a whole, or of specific program activities.

## **12.0 RECORD RETENTION**

Contractor agrees to retain all books, records, and other documents relevant to this contract and the funds expended hereunder for at least three years after project acceptance, or as required by applicable Federal law, if Federal funds are used to fund this contract.

### **13.0 RECORD OWNERSHIP**

All records, reports, documents, or other material related to any contract resulting from this RFP and/or obtained or prepared by Contractor in connection with the performance of the services contracted for herein shall become the property of the State, and shall, upon request, be returned by Contractor to State, at Contractor's expense, at termination or expiration of this contract.

The State and Contractor shall also guarantee the Federal Government a Royalty-free, nonexclusive and irrevocable license to reproduce, publish, or otherwise use and to authorize others to use for government purposes (Reference: 45CFR95.617, Sec. 95.17(b) Federal License).

### **14.0 AMENDMENTS IN WRITING**

Any alteration, variation, modification, or waiver of provisions of this contract shall be valid only when they have been reduced to writing, duly signed. No amendment shall be valid until it has been executed by all parties and approved by the Director of the Office of State Procurement, Division of Administration.

### **15.0 FUND USE (Federal Clause)**

Contractor agrees not to use funds received for services rendered under this Contract to urge any elector to vote for or against any candidate or proposition on an election ballot nor shall such funds be used to lobby for or against any proposition or matter having the effect of law being considered by the Louisiana Legislature or any local governing authority. This provision shall not prevent the normal dissemination of factual information relative to a proposition on any election ballot or a proposition or matter having the effect of law being considered by the Louisiana Legislature or any local governing authority.

### **16.0 NON-DISCRIMINATION (Federal Clause)**

Contractor agrees to abide by the requirements of the following as applicable: Title VI of the Civil Rights Act of 1964 and Title VII of the Civil Rights Act of 1964, as amended by the Equal Employment Opportunity Act of 1972, Federal Executive Order 11246 as amended, the Rehabilitation Act of 1973, as amended, the Vietnam Era Veteran's Readjustment Assistance Act of 1974, Title IX of the Education Amendments of 1972, the Age Discrimination Act of 1975, the Fair Housing Act of 1968 as amended, and Contractor agrees to abide by the requirements of the Americans with Disabilities Act of 1990.

Contractor agrees not to discriminate in its employment practices, and will render services under this contract without regard to race, color, religion, sex, sexual orientation, gender identity, national origin, veteran status, political affiliation, disability, or age in any matter relating to employment. Any act of discrimination committed by Contractor, or failure to comply with these statutory obligations when applicable shall be grounds for termination of this contract.

### **17.0 ANTI-KICKBACK CLAUSE (Federal Clause)**

Contractor agrees to adhere to the mandate dictated by the Copeland "Anti-Kickback" Act which provides that each Contractor or sub grantee shall be prohibited from inducing, by any means, any person employed in the completion of work, to give up any part of the compensation to which he is otherwise entitled.

### **18.0 CLEAN AIR ACT (Federal Clause)**

Contractor agrees to adhere to the provisions which require compliance with all applicable standards, orders or requirements issued under Section 306 of the Clean Air Act which prohibits the use under nonexempt Federal contracts, grants or loans of facilities included on the EPA list of Violating Facilities.

## **19.0 ENERGY POLICY AND CONSERVATION ACT (Federal Clause)**

Contractor recognizes the mandatory standards and policies relating to energy efficiency with are contained in the State energy conservation plan issued in compliance with the Energy Policy and Conservation Act (P.L. 94-163).

## **20.0 CLEAN WATER ACT (Federal Clause)**

Contractor agrees to adhere to all applicable standards, orders, or requirements issued under Section 508 of the Clean Water Act which prohibits the use under nonexempt Federal contracts, grants, or loans of facilities included on the EPA List of Violating Facilities.

## **22.0 ANTI-LOBBYING AND DEBARMENT ACT (Federal Clause)**

The Contractor will be expected to comply with Federal statutes required in the Anti-Lobbying Act and the Debarment Act.

## **23.0 HEADINGS**

Descriptive headings in this contract are for convenience only and shall not affect the construction or meaning of contractual language.

## **24.0 FORCE MAJEURE**

The Contractor or State of Louisiana shall be exempted from performance under the contract for any period that the Contractor or State of Louisiana is prevented from performing any services in whole or in part as a result of an act of God, strike, war, civil disturbance, epidemic or court order, provided the Contractor or State of Louisiana has prudently and promptly acted to make any and all corrective steps that the Contractor or State of Louisiana can promptly perform. Subject to this provision, such non-performance shall not be considered cause or grounds for termination for the contract.

## **25.0 GOVERNING LAW**

All activities associated with this contract shall be interpreted under Louisiana Law. All proposals and contracts submitted are subject to provisions of the laws of the State of Louisiana including but not limited to L.R.S. 39:1498-1528; executive orders; standard terms and conditions; special terms and conditions; and specifications listed in this RFP.

## **26.0 ENTIRE AGREEMENT AND ORDER OF PRECEDENCE**

This contract, (together with the Request for Proposals and addenda issued thereto by the State, the proposal submitted by the Contractor in response to the State's Request for Proposals, and any exhibits specifically incorporated herein by reference) constitutes the entire agreement between the parties with respect to the subject matter.

This contract shall, to the extent possible, be construed to give effect to all provisions contained therein: however, where provisions are in conflict, first priority shall be given to the provisions of the contract, excluding the Request for Proposals and the Proposal; second priority shall be given to the provisions of the Request for Proposals and amendments thereto; and third priority shall be given to the provisions of the Proposal.

[Signatures on following page.]

THUS DONE AND SIGNED on the date(s) noted below

\_\_\_\_\_  
CONTRACTOR'S SIGNATURE

\_\_\_\_\_  
DATE

**00-0000000**

Federal Taxpayer Identification Number or  
Social Security Number of Contractor

\_\_\_\_\_  
STATE'S SIGNATURE

\_\_\_\_\_  
DATE

## **ATTACHMENT I - SCOPE OF SERVICES (Draft Contract)**

### **1.0 INTRODUCTION**

The purpose of this RFP is to acquire the services of a contractor to provide Information Technology services for the child support program. The selected contractor will augment State programming resources maintain and to implement enhancements and modifications to child support automated systems which include but are not limited to the LASES mainframe system (Adabas/Natural), LASESWeb system (JAVA and Shadow), LASES Adhoc Report System (DB2), Document Generation System (Adobe), Child Support Payment and Information/client messaging (SQL), Casino Intercept (SQL), Escrow Balancing (DB2), State and Federal Reporting, Child Support Performance Measures, etc.

### **2.0 DESCRIPTION OF SERVICES/TASKS**

Tasks and Services

The Contractor shall perform the services/tasks identified in the RFP, Attachment I, Scope of Services.

### **3.0 SCHEDULE REQUIREMENTS**

Project start date will be dependent on approval of contract by Office of State Procurement.

### **4.0 PERFORMANCE MEASURES AND MONITORING PLAN**

The Contractor shall abide by the requirements as stipulated in the RFP, Attachment I, Scope of Services, 3.0.

### **5.0 DELIVERABLES**

Contractor agrees to provide the following deliverables within the time frames specified in the LASES Work Order and described in Tasks and Services.

**ATTACHMENT II (Draft Contract)**

**HARDWARE/SOFTWARE ENVIRONMENT**

**1.0 HARDWARE AND OPERATING SYSTEM SOFTWARE**

Refer to RFP, Attachment VI, CAFÉ' System Technical Documentation and Attachment VIII, IS Current Infrastructure, Policy 5.1/SDLC.

**ATTACHMENT III (Draft Contract)  
CONTRACTOR PERSONNEL AND OTHER RESOURCES**

**1.0 CONTRACTOR PERSONNEL**

The State, at its option, may interview and approve each contract employee proposed for these services. The State reserves the right to request that the contractor replace any contract personnel after assignment if it is determined that: (a) technician does not demonstrate adequate technical skills to perform assigned duties within the project schedule, (b) technician does not possess the necessary human relations skills to work effectively with the users, or (c) technician makes excessive errors which negatively impacts the operation of the software. The contractor will have two (2) weeks to provide a replacement from date of notification and any personnel replaced must have equal or greater level of certifications.

In the event that an employee assigned to the DCFS contract is absent in a scheduled event (training or vacation), the contractor must supply a replacement person with equal or greater certification levels. In the event of an illness, the contractor must supply a replacement person with equal or greater certification levels. Failure to comply within two (2) working days to furnish replacements will result in a per hour deduction on the monthly invoice.

Substitution of Personnel: If, during the term of the contract, the Contractor or subcontractor cannot provide the personnel as proposed and requests a substitution, that substitution will meet or exceed the requirements stated herein. A detailed resume of qualifications and justification must be submitted to the State for approval prior to any personnel substitution. It must be acknowledged by the Contractor that every reasonable attempt must be made to assign the personnel listed in the Contractor's proposal.

The following individuals are assigned to the project, on a full time basis (unless otherwise indicated), and in the capacities set forth below:

Name/Company Responsibilities/Classification Rate Expected Duration

...  
...  
...  
...

*[List here all personnel, including subcontractors, who will be assigned to the project. Personnel who will be assigned at a future date may be listed by job classification. Contract may also specify qualifications for each unnamed person.]*

**2.0 PC WORKSTATIONS**

Contractor will provide its own workstations, any workstation resident software and maintenance thereof.

**3.0 NETWORK CONNECTIVITY**

Any Contractor-provided workstations or devices to be connected to the State's network, must comply with State network and security standards. Contractor must provide the hardware components, operating system, and software licenses necessary to function as part of the State network. All hardware and software must be reviewed before it is used on the Local Area Network, and may be made operable on the Local Area Network with written approval of the State.

**ATTACHMENT IV (Draft Contract)  
STATE FURNISHED RESOURCES**

Any resources of the State furnished to the Contractor shall be used only for the performance of this Contract. State will make available to the Contractor, for Contractor's use in fulfillment of this contract, resources as described below:

**1.0 PROJECT DIRECTOR**

The State Project Manager appointed by the State as described in Section 3.6 is the Statewide Chief Information Officer or his designee, who is the principal point of contract for this contract on behalf of the State.

The State Project Director appointed by the State as described in Section 3.6 of the contract is \_\_\_\_\_ who is the primary day-to-day point of contact for this contract on behalf of the State.

**2.0 TECHNICAL STAFF**

State will provide (#) technical employees to be manpower loaded at no more than ##% of normal work hours. The level of effort required and time frames will be documented in a memorandum based upon the work plan. Reasonable access to other technical specialists on a limited basis will be coordinated through the State Project Director.

**3.0 FUNCTIONAL STAFF**

State will provide xxx (#) functional employees to be manpower loaded at no more than ##% of normal work hours. The level of effort required and time frames will be documented in a memorandum based upon the work plan. Reasonable access to other functional personnel on a limited basis will be coordinated through the State Project Director

**4.0 OFFICE FACILITIES**

State will provide reasonable and normal office space, clerical support, local telephone service, and limited usage of copiers.

**5.0 COMPUTER FACILITIES**

State will make available use of computer facilities at reasonable times and in reasonable time increments to support system development, test, and installation activities. Special facility requirements, such as stress testing or conversion, shall be addressed in the appropriate planning documents or documented by the Contractor in a memorandum.

## **ATTACHMENT V (Draft Contract)**

### **INSURANCE REQUIREMENTS FOR CONTRACTORS**

#### **1.0 MINIMUM SCOPE OF INSURANCE**

Coverage shall be at least as broad as:

1. Insurance Services Office form number GL 0002 (Ed. 1/73) covering Comprehensive General Liability and Insurance Services Office form number GL 0404 covering Broad Form Comprehensive General Liability; or Insurance Services Office Commercial General Liability coverage ("occurrence" form CG 001). "Claims Made" form is unacceptable. The "occurrence form" shall not have a "sunset clause".
2. Insurance Services Office form number CA 0001 (Ed 1/78) covering Automobile Liability and endorsement CA 0025 or CA 0001 12 90. The policy shall provide coverage for owned, hired, and non-owned coverage. If an automobile is to be utilized in the execution of this contract, and the contractor does not own a vehicle, then proof of hired and non-owned coverage is sufficient.
3. Workers' Compensation insurance as required by the Labor Code of the State of Louisiana, including Employers Liability insurance.

#### **2.0 MINIMUM LIMITS OF INSURANCE**

Contractor shall maintain limits no less than:

1. Commercial General Liability: \$1,000,000 combined single limit per occurrence for bodily injury, personal injury and property damage.
2. Automobile Liability: \$1,000,000 combined single limit per accident, for bodily injury and property damage.
3. Workers Compensation and Employers Liability: Workers' Compensation limits as required by the Labor Code of the State of Louisiana and Employers Liability coverage. Exception: Employers liability limit is to be \$1,000,000 when work is to be over water and involves maritime exposure.

#### **3.0 DEDUCTIBLES AND SELF-INSURED RETENTIONS**

Any deductibles or self-insured retentions must be declared to and approved by the Agency. At the option of the Agency, either: the insurer shall reduce or eliminate such deductibles or self-insured retentions as respects the Agency, its officers, officials, employees and volunteers; or the Contractor shall procure a bond guaranteeing payment of losses and related investigations, claim administration and defense expenses.

#### **4.0 OTHER INSURANCE PROVISIONS**

The policies are to contain, or be endorsed to contain, the following provisions:

1. General Liability and Automobile Liability Coverages
  - a. The Agency, its officials, employees, Boards and Commissions and volunteers are to be added as "additional insureds" as respects liability arising out of activities performed by or on behalf of the Contractor; products and completed operations of the Contractor, premises owned, occupied or used by the Contractor. The coverage shall contain no special limitations on the scope of protection afforded to the Agency, its officers, officials, employees or volunteers. It is understood that the business auto policy under "Who is an Insured" automatically provides liability coverage in favor of the State of Louisiana.

b. Any failure to comply with reporting provision of the policy shall not affect coverage provided to the Agency, its officers, officials, employees Boards and Commissions or volunteers.

c. The Contractor's insurance shall apply separately to each insured against whom claim is made or suit is brought, except with respect to the limits of the insurer's liability.

## 2. Workers' Compensation and Employers Liability Coverage

The insurer shall agree to waive all rights of subrogation against the Agency, its officers, officials, employees and volunteers for losses arising from work performed by the Contractor for the Agency.

## 3. All Coverages

Each insurance policy required by this clause shall be endorsed to state that coverage shall not be suspended, voided, canceled by either party, or reduced in coverage or in limits except after thirty (30) days' prior written notice by certified mail, return receipt requested, has been given to the Agency.

## 5.0 ACCEPTABILITY OF INSURERS

Insurance is to be placed with insurers with a Best's rating of A-:VI or higher. This rating requirement may be waived for workers' compensation coverage only.

## 6.0 VERIFICATION OF COVERAGE

Contractor shall furnish the Agency with certificates of insurance affecting coverage required by this clause. The certificates for each insurance policy are to be signed by a person authorized by that insurer to bind coverage on its behalf. The certificates are to be received and approved by the Agency before work commences. The Agency reserves the right to require complete, certified copies of all required insurance policies, at any time.

## 7.0 SUBCONTRACTORS

Contractor shall include all subcontractors as insureds under its policies or shall furnish separate certificates for each subcontractor. All coverages for subcontractors shall be subject to all of the requirements state herein.

## 8.0 INDEMNIFICATION

The contractor shall protect, defend, indemnify, save and hold harmless the State of Louisiana, all state departments, agencies, boards and commissions, its officers, agents, servants and employees, including volunteers, from and against any and all claims, demands, expense and liability arising out of injury or death to any person or the damage, loss or destruction of any property which may occur or in any way grow out of any act or omission of the successful proposer, its agents, servants, and employees and any and all costs, expense and/or attorney fees incurred by the successful proposer as a result of any claim, demands, and/or causes of action except those for claims, demands, and/or causes of action arising out of the negligence of the State, its agents, representatives and/or employees. The contractor agrees to investigate, handle, respond to, provide defense for and defend any such claims, demand or suit at its sole expense and agrees to bear all other costs and expenses related thereto, even if it is groundless, false or fraudulent.

## Environment Integrity List

### 1. Data integrity

#### Remedy:

- If there is persistent data cleanup then a work effort needs to be created to fix the problem causing the data to be corrupt. Manual fixes to the data by OTS staff should be used sparingly. Manual data fixes that are not tested can cause additional data corruption. Testing a data fix takes both the Applications and Systems Units time.
- The list of data fixes will be tracked by a user request on an Excel spreadsheet. This data is already being captured weekly in the ClearQuest Maintenance Details for OTS applications staff.
- The number of hours being charged to data corrections will be reviewed to see if an online or batch correction needs to be made to prevent the data fixes. Persistent data fixes will lead to a user request being generated to create an online data fix screen so that the designated end user can safely make the data correction.

**Justification:** In order to follow the National Institute of Standards and Technology (NIST) standards of risk management data corrections by the Applications staff should be done sparingly and should not be routine. The number of data corrections also prevents Applications staff from working on enhancements to the system and is preventing the correct management of the system.

### 2. Nightly batch and interface integrity

#### Remedy:

- If there are persistent job abends then a work effort needs to be created to fix the problem causing the abend.
- Interface jobs should have a header record with counts of records being read in or sent out. All data coming in should be validated for accuracy before processing the data.
- The list of abends will be tracked by a user request on an Excel spreadsheet. This list will contain the hours charged to nightly batch fixes and the details of the fix. This data is already being captured weekly in the ClearQuest Maintenance Details for state Applications staff.

**Justification:** In order to follow the National Institute of Standards and Technology (NIST) standards of risk management nightly job corrections by the Applications staff should be done sparingly and should not be routine. Frequent use of the nightly support to fix problems leads to mistakes and is discouraged. The proper

staff is not available to do SDLC testing and when a fix takes several hours it leads to wearing out the staff. This impacts the Applications and Technical Support staff. The number of nightly job corrections also prevents Applications staff from working on enhancements to the system and is preventing the correct management of the system.

### 3. Code integrity in all environments (Natural and JAVA)

#### Remedy:

- All code should match production with the exception of
  - a. Code is being modified for an identified work effort connected to a user request.
  - b. "X" programs - one time runs.
- When code changes based off of work being done for a user request then the change should be applied to all environments once the user request has received signoff. The code change and the environment progression should be tracked in an Excel spreadsheet until the requested change is in all environments. The list of code changed should match the code change identified in the Technical Design Document (TDD).
- Periodically the code in lower environments should be compared to production code to make sure that the codes in all environments match production except where an identified user request is being worked.

**Justification:** The reason for this is that in addition to it being an integrity issue if the environments do not match there is a large number of hours being used to manually run cycles. There are also a large number of hours being charged to data fixes. If the test environments do not match production then the test is compromised and this may be leading to the data errors. The environments should promote clean test and clean cycle runs.

### 4. JCL integrity (ZEKE and ZENA)

#### Remedy:

- When JCL is changed based off of work being done for a user request then the change should be applied to all environments once the user request has received signoff. The JCL/Process change and environment progression should be tracked in an Excel spreadsheet until the requested change is in all environments. The list of jobs to be changed should match the jobs identified in the Technical Design Document (TDD).
- A packet needs to be created for all jobs scheduled in ZEKE and ZENA.
- Periodically the jobs in the lower environments should be compared to production jobs to make sure that the jobs in all

environments match production except where an identified user request is being worked.

**Justification:** The reason for this is that in addition to it being an integrity issue if the environments do not match there is a large number of hours being used to manually run cycles. There are also a large number of hours being charged to data fixes. If the test environments do not match production then the test is compromised and this may be leading to the data errors. The environments should promote clean test and clean cycle runs.

## 5. Database change integrity

### Remedy:

- All database changes should match production. The only exception is database changes related to a work effort connected to an active user request.
- All database changes and environment progression will be tracked in an Excel spreadsheet until the requested change is in all environments. The list of database changes should match the database changes identified in the Technical Design Document (TDD).
- Database reloads should be limited and tracked against the Excel spreadsheet to make sure that the reload will not cause database changes from another project to be overridden.
- If it is determined that the database reload will wipe out database changes then permission must be granted by the QAO, Applications manager and Systems Unit manager. This is to ensure that a better alternative could not be found. For example, if there is code in UAT that is not being tested then an effort should be put forth to finish the UAT testing before starting a new work effort. If this is not done then code will have to be done in two deployment streams each time a change is made. This jeopardizes the integrity of the project and causes many manual tasks to be performed by Technical Support, Applications, and the Systems Unit.
- A work effort needs to be created to assure that the database fields match in all environments. In ADABAS this can be done using the SYSAOS command.
- All database changes must be approved by OTS Applications Management.

**Justification:** The reason for this is that in addition to it being an integrity issue if the environments do not match there have been reports from the DBA unit of extra work due to loading and reloading test environments. This may also account for a large number of hours being used to manually run cycles. There are also a large

number of hours being charged to data fixes. If the testing environments do not match production then the test is compromised and this may be leading to the data errors. The clean environments should make for clean test and clean cycle runs.

## 6. N2O Events integrity (Natural)

### Remedy:

- All N2O events must be tracked by a user request on an Excel spreadsheet. The list of code to deploy should match the code change identified in the Technical Design Document (TDD).
- The code must be deployed from development, system test, UAT, and then prod for all activities associated with the user request. The exception being the "X" programs. The timing of the train and load environments are agreed upon by the Applications and Systems Unit. If there is more than one Dev and UAT environment the change must be moved to the official Dev and UAT environment before going to production.
- A work effort needs to be in place to close out all N2O events not associated to an active user request.

**Justification:** The reason for this is to ensure that all code associated with a user request gets deployed. There are some systems with excessive N2O events and they do not follow the SDLC flow like all other OTS/DCFS systems. An effort has been put forth to change this and it is believed that SDLC standards are now being followed. Recently the use of LESTBY has been taken away and an effort will be put forth to eliminate the UTIL library. These two libraries violate the SDLC and audit requirements. In addition to being an integrity issue if checkouts are not followed to production there have been reports from the DBA unit of extra work due to corrupt N2O checkouts. This may also account for a large number of hours being used to manually run cycles. There are also a large number of hours being charged to data fixes. If the testing environments do not match production then the test is compromised and this may be leading to the data errors. The clean environments should make for clean test and cycle runs.

## 7. BuildForge deploy stream creation integrity (JAVA)

### Remedy:

- All build events must be tracked by a user request on an Excel spreadsheet. The list of code to deploy should match the code change identified in the Technical Design Document (TDD).
- The creation of each new deploy stream must be associated with an active user request. Once the code is deployed to production the work effort is considered complete. If changes are needed

then the SDLC process will start over with a new user request number.

- If there is a need for multiple active deploy streams there must be permission granted by the QAO, Applications manager and Systems Unit manager. This is to ensure that a better alternative could not be found. For example, if there is code in UAT that is not being tested then an effort should be put forth to finish the UAT testing before starting a new work effort. If this is not done then code will have to be done in two places each time a change is made. This jeopardizes the integrity of the project and causes many manual tasks to be performed by Technical Support, Applications, and the Systems Unit.
- The code must be deployed from development, system test, UAT, and then prod for all activities associated with the user request. The exception being the "X" programs. The timing of the train and load environments are agreed upon by the Applications and Systems Unit. If there is more than one Dev and UAT environment the change must be moved to the official Dev and UAT environment before going to production.
- A work effort needs to be put in place to close out all build events not associated to an active user request.

**Justification:** The reason for this is to ensure all code associated with a user request gets deployed correctly. In addition to being an integrity issue if checkouts are not followed to production it will cause extra work from the Rational staff to fix with failed deployments. If code is not moved this may also account for a large number of hours being used to manually run cycles. There are also a large number of hours being charged to data fixes. If the testing environments do not match production then the test is compromised and this may be leading to the data errors. The clean environments should make for clean test and cycle runs.

**8. Test cycle runs integrity (Currently it takes several hours of Applications staff time to run LASES UAT cycles. What is expected to happen is that the cycle will run without intervention.**

**Remedy:**

- If steps 1 – 5 are done there should not be abends due to the correct code and JCL being in place. The possible exception being that the code change that is being tested does not work.
- There is a problem with datasets being deleted. These datasets need to be identified and the ZEKE JCL needs to be changed to keep the test JCL in System Managed Storage (SMS).
- If abends are still happening then the QAO and Applications need to identify a remedy to the issues before the work effort is moved to production.

**Justification:** To not allow the promotion to production cycle runs that will cause production abends.

## 9. UAT integrity

### Remedy:

- When a project has been approved by the agency it should be followed through from beginning to end. There are many steps that take place to assure that the end result is achieved accurately. This starts with meetings with the users to determine what is needed, the URD and TDD creation, the UAT Plan creation, the development and systems test process and finally the UAT process. Once the code is in UAT the project should be completed.

**Justification:** Any interruption to the process leads to hours wasted reestablishing where all the parties are in the SDLC process. When code sits for a long time in UAT the process almost has to start from the beginning with all parties determining if items are still needed, did something get moved to production using a different user request number. Test in the UAT area are compromised because they are testing against an environment that does not match production. In this case emphasis should be made to management to complete the UAT effort before moving on to other projects.

## 10. Multiple environment integrity

- Great emphasis should be put on using the SDLC environment flow and limiting the system environments to the environments needed for the SDLC process.
- An ongoing work effort is in place to get the environments back in line with the SDCL flow.

**Justification:** There is a lot of work involved in providing support on the environments provided to each system. When multiple environments are created that circumvent the SDLC process this is costly to all parties, Technical Support, Applications, and the Systems Unit. The reason for this is that changes in these environments need to be manually tracked by all parties. Investigating problems in these environments is very time consuming. Creating and maintaining these environments takes a lot of OTS and DCFS resources and expense for the hardware and software.

## 11. Deploy Frequency

- Before a deployment of code is made a review should be done to make sure that no other code will need to be deployed in the near

term. A large work effort goes into deploying code and therefore combining work efforts should be considered. Normally when code is deployed the users need to be shut out of the online systems. Most deployments are done in off hours so the full support team is not available. All deployments involve Applications staff and many involve Technical Support staff.

**Justification:** The amount of time that it takes to document the work effort and show that all of the requirements have been met should be considered. For example if another change is needed in two days then a consideration should be made to updating the requirements on the current project instead of going through the whole documenting process again in a new work effort.

## **12. Emergency Production Fix**

- If there is a need to apply an emergency production fix the QAO, OTS Applications Manager, and the Systems Unit will need to be consulted to assure that all parties are included on the decision on how the production fix will be implemented. Depending on the urgency this may include changing code directly on the server or database, it may mean testing data in a temporary environment designated by the OTS Applications Manager. An example of this is the CAFÉ Sandbox environment.
- Code changes in this category do not follow the full SDLC process, are discouraged, and used as a last resort.

## **13. Hourly Tracking for Change Justifications**

- Hours need to be tracked on each user request. This is necessary to show the results of planned work, but more importantly to show when there are problems that cause excessive unexpected hours worked. OTS Applications needs to show the hours charged to data fixes, abends, production problems that occur on code recently moved to production, and production problems found from normal use of the system. The OTS Applications State staff use the DCFS TARP system to track these hours. Contractors need to provide an equivalent break down on the hours each week. The contract monitor will need to consult with the OTS Applications Manager for a sample of the spreadsheet to use to track hours.