Supplement 1:

Ohio Teacher and Principal Evaluation Credentialing System

Scope of Work

Table of Contents

1. Ohio Teacher and Principal Credentialing System Vision and Strategy

The State of Ohio intends to implement innovative capabilities to better manage credentialing practices across State education institutions.

The State seeks a cloud-based, managed service Solution (referred to from hereon as "Solution") that meets the State's requirements by providing innovation and industry best practices. Also, the State has strong interest in Software as a Service (SaaS) as a delivery model that must be adaptive to accommodate the different needs of education institutions and legislative requirements (current and future) governing ODE.

1.1 Strategy

The State has established a strategy for transforming the credentialing process. This strategy has two goals with desired outcomes that the State requires to be achieved as a result of this Project. For each of the strategic goals, examples are provided of Key Performance Indicators (KPIs) that the State plans to measure.

Strategic goal 1: Best Value Focus

Increase efficiency for education – Increase efficiency through reengineering, modernizing and standardizing practices.

- KPI – Ease of transition from old credentialing system.
- KPI – Highly configurable system for ODE System Administrators

Strategic goal 2: Effective Training Tools

Utilization of a pool of practice and training videos/questions so that there are no repeating materials from a previous test. Quality of training is consistent and not repetitive.

1.2 Key Solution Functionality Elements

The Solution must not only address the functionalities and processes described in this document and the RFP but also bring specific capabilities that provide the following high-level functions to ODE:

- Develop a System for Teacher and Principal Evaluators to be Credentialed (including Recredentialing);
- Develop Training Materials;
- System Maintenance;
- User Support;
- Training Deployment; and
- Reporting.

Detailed requirements on these and other functionality elements are provided in the Functional Requirements section.

Offeror Note: Proposals must address all aspects of the proposed solution including team, technology, services and State technology components available for use and must clearly illustrate throughout the response how the State's Vision, Strategy and Key Functionalities are achieved.

2. Project Guiding Principles and Requirements

Contractors are required to follow these guiding principles and requirements in the performance of the work contained in this RFP and any resultant contract.

2.1 User Experience

The Solution must provide a user experience that is simple, direct and effective. Characteristics of this experience must include, at a minimum:

- Solution must be configured such that the user is automatically tracked and resumes where they had last logged out or exited their credentialing;
- Intuitive navigation that guides users to the appropriate Solution component with as few clicks as possible;
- Dashboard functionality that informs users and supports users viewing their credentials, scores and training status; and
- Functionality optimized for mobile/tablet access and use.

2.2 Contractor Best Practices and Roadmap

The State is seeking a best value opportunity and offerors should consider best practices. Proposed Solutions must demonstrate creativity, innovation, benefits and outcomes brought to the State.

Throughout the term of the Contract, the Contractor must present new tools, services, methodologies, business processes or any other best practices to the State for consideration of adoption that demonstrates a commitment to continuous improvement. In addition, the Contractor must constantly assess and recommend opportunities to reduce costs associated with any aspect of the Contract, including Project implementation and Managed Services. The State is not obligated to accept and implement any recommendations.

As an example of Contractor Best Practices, the offeror must provide a copy of its current 3-year Product Roadmap and describe in detail how it demonstrates continuous improvement for the State.

2.3 Innovations and Value-Added Services

In addition to the stated requirements, the State seeks creative innovations and value-added services not contemplated in the scope of work contained in the RFP. In responding to this section, offerors must provide a detailed narrative that describes any additional proposed innovations and value-added services as well as the benefits and outcomes the State would realize. Offerors must be prepared to demonstrate these benefits and outcomes.

Offerors must indicate if any of the innovations or value-added services are at an additional cost and identify those in the Cost Summary.

2.4 Customizations/Extensions

The State expects the Solution to be an Out of the Box, configurable Solution. The State does realize that some of the expected innovations and functional requirements may necessitate customizations/extensions to an existing Solution. However, any such customizations/extensions provided for the State's solution must become part of the offeror's base product(s) and adhere to the following:

- The offeror must advise the State of any Out of the Box or configured functionality that could be used in lieu of customizations/extensions to meet State requirements and identify any necessary changes to State requirements, processes, policies and, if applicable, revised code;
- No customizations/extensions may introduce a performance issue, bottleneck or processing delay in the implemented solution;

- No customizations/extensions may invalidate, negate or minimize any warranty or maintenance requirement as agreed to between the State and current third-party providers that support the current State Systems in Section 4;
- No customizations/extensions may be constructed in such a manner as to confound, add complexity to, or technical burdens that would impact the maintenance, upgrade or new releases of the Solution; and
- The offeror must advise the State of any Organizational Change Management (OCM) impacts that will result from proposed customizations/extensions.

While the State expects customizations/extensions to be completed during the Project implementation period, release of any customizations/extensions that extend beyond the implementation period must be identified on the offeror's Product Roadmap submitted with its Proposal.

2.5 Document Convention: Deliverable Identification

All items in this Supplement that are marked with the sequentially numbered red identifier (e.g., Deliverable 000) will be considered formal deliverables inclusive of the elements of the deliverable. The Contractor must engage the State early with development of formal deliverables. The State reserves the right to require the Contractor to provide drafts of deliverables for State review prior to submission. The elements of each deliverable may include a Work Product, designated with (WP), which requires State review prior to submission of the formal deliverable.

The offeror must note that the State is concerned with the delivery of positive and successful implementation results. While meeting deadlines for completing milestones and deliverables are important and should not be missed, the State is interested in outcomes of the project activities that provides an acceptable level of quality, meets customer expectations, gains effective functionality and positive experience for the State users of the new Solution.

3. Functional Requirements

The following functional requirements must be addressed by the offeror, and as Contractor, designed and implemented in the work with the solution operated as a managed service. Offerors must propose a solution that addresses the requirements contained in the RFP and this Supplement.

Proposed solutions may rely on third party software components or other partnerships to provide a complete solution. **The State encourages the industry to look for partnerships that will bring an innovative, integrated, and comprehensive Solution to the State.** The tools proposed must be implemented to integrate at the data, process and function level with other tools and existing systems as identified in the requirements of this Supplement and the RFP.

For purposes of this RFP and all requirements, the following definitions apply:

Integration - The rules, formats and functions required to pass data, commands, events, or messages in real time between two or more systems and components. This is commonly done at an individual transaction level;

Interface - Data exchange in a batch processing mode between different application systems or components. This is commonly done as a set of transactions;

Convert: The process by which electronic or non-electronic files or records are modified to correspond to a new format, typically an electronic format; and

Migrate – The process of transferring data between computer storage types or systems which in some cases may require to convert file or record formats.

3.1 Response Format and Suggested Illustrations of Capabilities

Supplement 3 includes a variety of State narrative and matrix requirements pertaining to Technical and Contractor requirements pertinent to the work. Offerors are to indicate as part of their responses how (i.e., "**Approach**" in Supplement 3) and the relative Contractor complexity and effort required to accomplishing the requirement in its entirely (i.e., "**Level of Complexity**" in the table below). Offeror inline responses in Supplement 1 must reflect, and not conflict with, the responses provided in the completed matrices.

The matrices are organized as to the method of achieving the State's requirements as follows: (Offerors should complete all applicable columns.)

Approach Terminology	Description
Proposed Tool/Solution	Offerors are to include the name and major version number of the Proposed Tool/Solution to address the requirement (e.g., Acme Corporation® WidgetMaster™ v12.1).
Out of the Box	Offerors are to select this approach if delivering this functionality requires limited or little configuration and complexity is very low. Out of the Box items are not affected by system updates and upgrades.
Configuration Item	Offerors are to select this approach if delivering this requirement entails moderate to significant configuration and/or complexity is moderate to very high. Configuration items are not affected by system updates and upgrades. Offerors are to indicate the estimated work effort (e.g. design, test, implement, etc.) by selecting the appropriate level of complexity.
Customization/Extension	Offerors are to select this approach, if delivering this requirement entails development/programming effort. Offerors must state whether or not these customizations/extensions are in use elsewhere with another client. Offerors are to indicate, the estimated work effort (e.g. design, test, implement, etc.) by selecting the appropriate level of complexity. If offerors select this item, they must provide details in the *Comments* column.
Integration/Interface	Offerors are to select this approach, if delivering this requirement entails an integration/interface effort. Offerors must state whether or not these Integrations/Interfaces are affected by system updates and upgrades. Offerors are to indicate, the estimated work effort (e.g. design, test, implement, etc.) by selecting the appropriate level of complexity. If offerors select this item, they must provide details regarding the Integration/Interface in the *Comments* column.
Other / Third Party Solution Components	Offerors are to select this approach, if delivering this requirement entails Other/ Third Party Solution Components. Offerors must state whether or not these Solution Components are affected by system updates and upgrades. Offerors are to indicate, the estimated work effort (e.g. design, test, implement, etc.) by selecting the appropriate level of complexity. If offerors select this item, they must provide details regarding the Solution Components in the *Comments* column.

Innovation/Business Process	Offerors are to select this approach, when their solution provides an innovative, alternate approach or requires additional business processes to fulfill the requirement or if the offeror would suggest a change in business processes to fulfill the requirement in its entirety. If this approach is selected, offerors must provide details regarding the Innovation/Business Process in the *Comments* column. Details regarding approach must also include an estimate of the State's level of effort.

The following are the values to be provided regarding the relative **level of effort complexity** indication for each requirement:

Level of Complexity	Description
Low	Accomplish the requirement with less than 40 hours
Medium	Accomplish the requirement within 41- 180 hours
High	Accomplish the requirement within 181- 500 hours
Extreme	Accomplish the requirement with over 500 hours

Offeror Comments Column

Offerors must highlight their approaches in the comment field and provide insights to the State as to benefits or limitations as well as rationale to the Approach and Level(s) of Effort. Offerors must include text-oriented verbiage in this column to offer the State a complete solution as required. Simply repeating the requirement and agreeing to comply is an unacceptable response and may cause the Proposal to be rejected.

Offeror Note: Multiple FTEs are permitted to perform responsibilities to complete the State's requirements, all hours in the above table represent total estimated work effort of the Contractor, regardless of actual Contractor staffing model.

3.2 Summary Overview

The State intends to start the Credentialing system with a fully functional production ready system. The objective is to prove the merits of the future solution architecture as well as the platform for the complete Credentialing solution.

Planning, Delivery, Management and Organization of Requirements

As a response to this RFP, the offeror will be required to submit a proposal that addresses the Solution, with each section containing a specific approach, methodology, project plan, and pricing. The Contractor must successfully deliver the complete solution using the new platform.

In addition, the State requires the offeror to propose a detailed project plan, a delivery approach and project management. These key elements will be required for a complete response to this RFP. Further details on Project Planning, Delivery, and Management can be found in this document.

The offeror's proposal must include a plan for outlining the methodology for and implementation of a Solution which establishes credentialing and calibration of evaluators for both teachers and principals.

Project Staffing and Team Organization

The State requires the offeror to employ an effective and efficient staffing and team structure for delivering the Solution. As part of the response, the State requires a full and detailed description of the offeror's staffing approach for development and delivery of the Solution.

3.2.1 Deliverables and Activities

Deliverables and activities have been identified as the minimum required and the State requires them to be completed.

The deliverables and activities identified by the State have been grouped into 3 main categories and subcategories:

Scope and Planning

- Project Initiation
- Scope and Architecture
- Technical Planning
- Operational Execution

Development and Monitoring

- Design
- Configure
- Test
- Develop Training and Materials
- Project Reporting

Deployment and Transition

- Production Deployment and Stabilization
- Knowledge Transfer
- Solution Support

3.2.2 Required Activities

The activities outlined below are based on the activity groups hierarchy identified above. Each group of activities will produce at least one defined deliverable, or more as indicated.

3.2.3 Scope and Planning: Project Initiation

- Conduct project kick-off meeting (one-time event).
- Create a detailed Project Plan, including the following components:
  - Project Schedule and Work Breakdown Structure (in Microsoft Project format)
  - Project Scope Management Plan
  - Project Schedule Management Plan
  - Project Cost Management Plan
  - Project Risk Management Plan
  - Project Communication Management Plan
  - Project Quality Management Plan
  - Project Change Management Plan
- Define project execution approach, prepare and conduct project meetings.
- Create project status reports, and documentation templates adhering to the ODE policies.
- Initiate Production Acceptance Criteria (PAC) process.
- Provide planned checkpoint review dates.
- Ensure that all work plans are agreed to by the State from project commencement.

Deliverable 1 **Project Kickoff Presentation**
Deliverable 2 **Detailed Project Plan**

3.2.4 Scope and Planning: Scope and Architecture

- Conduct scope discussions in consultation with state and technical teams.
- Confirm and elaborate upon User Interface & Customer Management requirements in scope, to be confirmed by the State.
- Confirm and elaborate upon Agency Integration & APIs requirements in scope, to be confirmed by the State
- Finalize scope and schedule with the technical teams

Deliverable 3 **Scope Document, to include at a minimum**

- Define future state business processes.
- Define solution architectural components.
- Define security and controls relevant to the Solution architecture and solution components, to establish common 'Integrated Risk and Control Framework'

Deliverable 4 **Design Document that includes the overall solution inclusive of architectural, functional, technical, integration and operational aspects of the System**

3.2.5 Scope and Planning: Technical Planning

- Define infrastructure plan and setup development, test, UAT and performance test environments. As defined in this document, for solution and solution components (e.g. application, middleware)
- Define project development, coding, configuration, naming convention and documentation standards.
- Configure and enable foundational application objects and enable COTS capabilities (e.g. Authentication, Authorization, Application Management, and Administration Management). In the Sandbox and Development environments of application and middleware systems.

Deliverable 5 **Technical Plan to include all hardware, software and other elements required to support the design, development, testing, deployment, and operation of the system**

3.2.6 Scope and Planning: Operational Execution

- Be responsible for overall completion
- Evaluate State and Contractor lessons learned and adjust project plan and agency/compliance area onboarding approach, as agreed upon by the State.
- Define and develop the system integration and performance testing strategy.
- Define production deployment, post-production and stabilization support strategy.
- Work with the State leadership to ensure that the Project is staffed appropriately, throughout the implementation lifecycle
- Ensure that all efforts have an effective version control mechanism for all documents within the Project document library that will be maintained on a State-approved site.
- Complete status reporting adhering to State policies which will be made available to the Contractor upon commencement of the Project.
- Collaborate with state resources to ensure appropriate cross-team communication and delivery.

- Conduct kick-off meeting to discuss high level project plan with State technical teams.
- Conduct scope discussions with State and technical teams
- Validate and update User Interface & Customer Management in-scope requirements, to be confirmed by the State.
- Validate and update Agency Integration & APIs in-scope requirements, to be confirmed by the State.
- Execute project plan and manage Contractor project work team, as per operational controls and detailed expectations defined in this document.
- Requirements related to Disaster Recovery Environments and Backup and Restore Operations will be defined by the Contractor.

Deliverable 6 **Testing, Deployment, and Release Plan – that is sufficient to validate the overall completeness, accuracy and quality of the solution as it relates to the system development activities and as applicable to live production use within the state.**

Deliverable 7 **Disaster Recovery Plan – sufficient to ensure that the system contains features and capabilities as required to meet the State's disaster recovery requirements as to replicate all technical elements of the system inclusive of code, data and configuration values to an alternate location as to resume operations.**

3.2.7 Development and Monitoring: Design

- Define application functionalities to enable efficient business journey for all user groups and implement standardized application approach.
- Validate requirements for in-scope capabilities and review as-is business processes as applicable to the scope.
- Design to-be business processes (process mappings) as applicable to the scope.
- Create Functional Design Document (FDD) for Application & Application Components & other related components as applicable to the scope.
- Create Technical Design Document (TDD) for Application & Application Components & other related components as applicable to the scope.

Deliverable 8 **Functional and Technical Design Documents inclusive of all functionality contained in the User Interface and Customer Management Requirements Matrix, and Agency Interface and APIs Matrix.**

3.2.8 Development and Monitoring: Configure

- Configure solution capabilities as applicable to the scope.
- Configure solution requirements as applicable to the scope.
- Leverage pre-built requirements as applicable to the scope.
- Augment pre-built requirements as applicable to the scope.
- Complete configuring, as applicable to the scope.
- Requirements related to Project and Phase Completion are defined in this document.

Deliverable 9 **Configuration Completion Document for State approval that represents completion of the Configure phase and all requirements and delivery artifacts as well as documentation as required in this Supplement.**

Deliverable 10 **Version Control Management, an approval document that represents that version control mechanisms are installed, functional and that all development activities (that are subject to version control) are managed by the environment.**

3.2.9 Development and Monitoring: Test

- Create Solution Testing Plan detailing Unit, System, User Acceptance, Performance, and Disaster Recovery testing as applicable to the scope.
- Conduct Unit, System, User Acceptance, Performance, and Disaster Recovery testing
- Support user acceptance testing of in-scope business processes and business scenarios that will be used for the user acceptance testing.
- Identify all defects identified during all phases of testing and deploy code fix and get State's approval on outcomes.
- Complete Defect Resolution, and Test Results.
- Ensure all the requirements defined in this document are met.

Deliverable 11 **Testing Plan, a document that details the software testing strategy, processes, standards, and guidelines for each type of testing to be conducted.**

Deliverable 12 **Test Phase Acceptance for State approval that documents outcomes of all phases of testing, represents completion of the test phase and all requirements and delivery artifacts as well as documentation as required in this Supplement.**

3.2.10 Development and Monitoring: Develop Training and Materials Plan

Develop, at a minimum, the following plan as part of the Project:

- Design, develop, and produce learning materials and resources (including but not limited to handbooks, workbooks, videos, calibration materials) for evaluators and trainers of evaluators. Transition complications should be minimized by preserving process and procedures where possible. These materials must include a set of aligned tools, protocols, and processes for performance evaluation training in-person and online training venues;
- Provide a series of videos for use in training teacher evaluators to include four (4) adjudicated videos aligned to Ohio standards and the Ohio evaluation system not to exceed thirty (30) minutes in length each of classroom teaching, two (2) videos not to exceed ten (10) minutes in length each of a pre-conference meeting between the evaluator and teacher being evaluated, and two (2) videos not to exceed ten (10) minutes in length each of a post-conference meeting between the evaluator and the teacher being evaluated;
- Provide a set of videos for use in training principal evaluators to include two (2) pre-conference videos not to exceed ten (10) minutes in length each of an evaluator and a principal to be evaluated and two (2) post-conference videos not to exceed ten (10) minutes in length each of an evaluator and principal after an evaluation;
- Provide module-based training materials for each training event in Word and PDF as well as any format appropriate for electronic posting on the ODE website, its other electronic platforms, and hardcopy distribution and must include appropriate high-resolution images. All tools, trainings and materials must be compliant with the Americans with Disabilities Act and accessible in compliance with Section 508 Law (http://criterion508.com/WebAccessibility), which gives disabled employees and members of the public access to information that is comparable to access available to others;

- Develop an intensive multi-day training for state trainers. One for teacher evaluations and another for principal evaluations, for broader dissemination among Ohio's evaluators and present the training in conjunction with ODE staff;
- Develop a three (3) day training for initial credentialing and a two (2) day bridge training for OTES with the bridge training focused on transitioning evaluators to the revised OTES system;
- Develop a two (2) day training for initial credentialing and a one (1) day bridge training for OPES with the bridge training to focus on transitioning principal evaluators to the revised OPES system;
- Develop an online re-credentialing pathway for recertifying both teacher and principal evaluators as well as provide a proposal for an additional, alternative re-credentialing pathway that the Department may choose to pursue and require the Contractor to develop if approved;
- Develop a set of twelve (12) videos adjudicated and aligned to Ohio standards and the Ohio evaluation system of classroom teaching not to exceed 30 minutes in length each for use on the initial credentialing test for OTES. Three (3) of those videos must be of elementary classroom teaching. Another three (3) videos must be of teaching in a middle school classroom and three (3) videos must be in a high school classroom setting; and the final three in non-core academic subjects; and
- Design implementation support and rollout to the field/LEAs alongside ODE staff and program specialist personnel.

Notes (applicable to 3.2.10 Develop Training and Materials Plan):

The terminology used in all modules, videos, and products for this project must be specific to Ohio and reflective of terminology found in Ohio Revised Code and Ohio Administrative Code, Ohio Standards for the Teaching Profession, Ohio Standards for Principals, and language within the Ohio evaluation system for teachers and administrators.

The Contractor must adjust all project materials based on feedback from the 2018-2019 and 2019-2020 school years and relevant stakeholders.

All modules, videos, and products developed throughout this project will be the sole property of the Ohio Department of Education and must be available in an electronic format that can be loaded into ODE's learning management The Contractor must meet bi-weekly with ODE officials via conference call with two (2) in-person meetings annually.

The Contractor must maintain an accurate list of credentialed evaluators available to be uploaded nightly to the ODE's credentialing system and provide relevant reports on system usage and non-personally identifiable user-specific progress, to the Department (i.e. pass rate, areas of rubric focus, login time, etc.)

Deliverable 13 **Training and Materials Plan**

3.2.11 Development and Monitoring: Project Reporting

Contractor staff must be available to participate in project-related meetings as scheduled by the State. The Contractor's management approach to the Work must adhere to the following meeting and reporting requirements:

- Immediate Reporting: Immediately report any staffing changes.
- Attend Status Meetings: Contractor staff team members must attend status meetings, which will follow an agreed upon agenda and allow the Contractor and the State to discuss any issues that concern them.
- Status Reports: The Contractor must provide written status reports at least one full business day before each status meeting. The Contractor's proposed format and level of detail for the status report is subject to the State's approval.

- Monthly Status Reports: The Contractor must submit a written monthly status report by the fifth business day following the end of each month. At a minimum, monthly status reports must contain the following:

  - A description of the overall completion status of the Work in terms of the approved Work Plan (schedule and cost);
  - Updated Work schedule;
  - The plans for activities scheduled for the next month;
  - The status of any Deliverables;
  - Time ahead or behind schedule for applicable tasks;
  - A risk analysis of actual and perceived problems; and
  - Strategic changes to the Work Plan, if any.

Deliverable 14 Weekly Status Reports
Deliverable 15 Monthly Status Reports

3.2.12 Deployment and Transition: Production Deployment and Stabilization

- Build and execute production deployment and stabilization support plan.
- Ensure requirements defined in 'Production Deployment Phase Requirements' of this document, are met.
- Ensure production deployment readiness and go-live readiness checklist is in place and approved by the State.
- Receive State approval for production deployment.
- Execute go-live production deployment as defined in the scope.
- Post go-live execute against stabilization support plan.
- Support the solution from initiation through full delivery (all end users will adopt Solution) and State final acceptance of the Complete Solution.

Deliverable 16 **Deployment and Stabilization Support Plan, a detailed view of the implementation methodology as it relates to delivering the system to the State and supporting post-deployment stabilization.**

Deliverable 17 **April 2020 Online OTES/OPES credentialing and system available for Users**
The Contractor must have available an online credentialing system for both the OTES and OPES systems consisting of practice modules, calibration videos, and credentialing assessments as outlined throughout the RFP. Support services will be in place for customer service and overall ease of transition to the new systems

Deliverable 18 **Deployment Acceptance for State approval that represents completion of the production deployment requirements as required in this Supplement.**

Deliverable 19 **Post-Implementation Stabilization Acceptance for State approval that represents completion of all phase requirements and successful production operations as required in this Supplement.**

3.2.13 Deployment and Transition: Knowledge Transfer

- Create a comprehensive Training Plan as applicable to the scope.
- Development of application wide user Training and Help Contents.

- Execute knowledge transfer to State employees and/or state designated representative, as applicable to the scope of the project.
- All training must be conducted in the Columbus Metropolitan area.
- Ensure all the requirements identified in this document for Knowledge Transfer are met.

Deliverable 20 **Training Plan, a plan describing the types of training and audience for each type of training, the training materials, a list of topics to be covered for each type of training, and the training methodology and means for evaluation of training effectiveness.**

Deliverable 21 **Deliver an intensive multi-day training for state trainers. One for teacher evaluations and another for principal evaluations, for broader dissemination among Ohio's evaluators and present the training in conjunction with ODE staff.**

Deliverable 22 **Deliver a three (3) day training for initial credentialing and a two (2) day bridge training for OTES with the bridge training focused on transitioning evaluators to the revised OTES system.**

Deliverable 23 **Deliver a two (2) day training for initial credentialing and a one (1) day bridge training for OPES with the bridge training to focus on transitioning principal evaluators to the revised OPES system.**

Deliverable 24 **Deliver knowledge transfer execution and acceptance for State approval that represents completion of the Knowledge Transfer and Training requirements.**

List of Reports Required

The required reports are included in the appendix and must be generated in standard formats, such as Word, Excel and PDF. The reports must be available on an ad hoc basis.

3.2.14 Solution Support

The Contractor will be required to support the solution from the initiation phase, through full delivery and State final acceptance of the Complete Solution. The Contractor must provide support that results in effective issue and problem management and meets the Service Levels established in this Contract. Upon State Final acceptance of the Complete Solution, the warranty will commence. Please see Attachment Four for further detail regarding the warranty. However, the State will require the Contractor to perform Knowledge Transfer throughout delivery of the Complete Solution.

3.3 Teacher and Principal Evaluation Credentialing System

The State has organized the overall Solution into one (1) system that will support Teacher and Principal Evaluation Credentialing.

These functions and capabilities, as well as detailed requirements must be responded to inline in this document and in Supplement 3.

Inline Narrative

Offerors must provide a detailed narrative response that describes overall Solution component that will meet the objectives and requirements of System. The State suggests that offerors illustrate the rationale, merits, completeness, innovation, capabilities and limitations of all Solution components including: technical, software elements, process elements, services, integrations and other operating considerations as part of their narrative responses to this RFP.

The State further encourages offerors to provide screen captures, diagrams, graphics or other information of relevant elements of their solution to illustrate to the State the degree of compliance with State requirements wherever possible and within the page limit(s) of this Supplement as required by the RFP.

4. Project Management

4.1.1 Offeror Project Manager Requirements:

The Contractor must provide one full-time, experienced Project Manager for the Work. The Contractor must employ the proposed Project Manager as a regular, full-time employee on the Proposal submission date and throughout the term of the Contract, including all renewals of it. The Project Manager will be responsible for ensuring that the project comes in on time, within budget and meets all requirements. The offeror must include the proposed project manager's name and biographical information/resume, including any relevant credentials held, as part of the response.

Project Manager responsibilities include, at a minimum, the following:

Contractor Role	Responsibilities
Project Manager	▪ The Contractor Project Manager (PM) provides Project oversight for the Contractor team through completion of the Project. ▪ Works with the State Project Managers to create and manage the Project Plan and Schedule ▪ Manages the Contractor Project Team Members ▪ Manages overall quality and timeliness of the Project deliverables and services ▪ Assures the quality of the processes used to manage and create Project deliverables ▪ Manages Project issues and risks ▪ Acts as the Point of escalation for Project issues ▪ Collaborates with State PM and manages project-specific communications such as risk decisions

4.1.2 Project Management Requirements: Key Tasks

The following table and subsequent key tasks tables throughout this Supplement contain at a minimum, the list of tasks, activities and responsibilities for the State and Contractor. For purposes of the Project, "**Perform**" means that the party assigned the task has the duty and ultimate responsibility to take all appropriate steps to complete or facilitate the identified task unless otherwise provided for between the parties, subject to the Supporting party completing its interdependent responsibilities. The term, "**Support**" means that the party has the duty and responsibility to provide ancillary support or assistance which may be necessary to enable the party providing the "Perform" task to complete that task unless otherwise provided for by the parties. The Contractor's Project Manager is responsible for the coordination and delivery of the Project and must obtain state approval on all integrated project plans and deliverables. Additional key project management tasks include, at a minimum, the following:

Key Tasks	State	Contractor
Ensure project is appropriately staffed	Support	Perform
Risk Assessment, Tracking and Mitigation	Support	Perform
Apply standard, modern project management principles (e.g. PMI® knowledge areas)	Support	Perform
Establish the activities, processes, and procedures for ensuring a quality product upon the conclusion of the project	Support	Perform
Implement and maintain a mutually agreed upon project management tool that provides access to all project team members, approved project stakeholders and participants	Support	Perform
Exercise effective change control	Support	Perform
Manage specific task areas to ensure appropriate cross-team communication and delivery	Support	Perform
Collaborate among specific Project dependencies to ensure appropriate cross-Project communication and delivery	Perform	Support
Conduct project meetings, including weekly status meetings and project check points	Support	Perform
Produce weekly project status reports in a form approved by the state and provide it at least I business day in advance of the meeting.	Support	Perform
Adhere to prompt reporting of project issues or changes, including staffing changes	Perform	Perform
Maintain Project document library and collaboration pages and version control	Support	Perform
Ensure documentation of the solutions developed, particularly functional solutions, integrations, and interfaces, in accordance with State-approved standard, professional methods	Support	Perform
At the conclusion of the project, or upon request of the State, ensure that the State is provided a readable, comprehensive backup of the document and project libraries	Support	Perform

4.1.3 Project Management Tool

The Contractor will utilize ODE standard tools and templates to facilitate and automate wherever possible project management task scheduling and tracking, risk, issues, and decision tracking, and all other project management related activities.

4.1.4 State Project Manager Support

It is important for the offeror to recognize the importance of effective project management for this Project. The Project comprises an internal team of State resources as active participants in the project. These resources include at minimum one (1) State Project Manager who manages the State-side project work, monitors the contractual agreement with the Contractor and assists the Contractor in obtaining appropriate resources, assists the Contractor in understanding and managing the effects of dependent projects and provides feedback at key points in the Project progress.

. The State Project Manager will perform the following:

- Serve as an advocate for the State's Business Sponsor(s) throughout the Project to ensure that the proposed solution meets the State's business requirements.
- Oversee all aspects of the deployment of the new system within the State including business process alignment with the State's future state, enterprise readiness and organizational change management and managing user acceptance testing.
- Coordinating with ODE as required for any technical work required in terms of other State systems for replacement, data conversion and interfaces.

4.2 Offeror Project Team Requirements

4.2.1 Key Project Team Roles and Responsibilities

While the State will allow the offeror to propose the roles it feels necessary to perform the work associated with this project, the State believes the following Contractor roles and responsibilities are critical to the success of the Project. The offeror, as part of its proposal, is required to identify its key positions and may also include other designated positions for support of the Project. At a minimum, the offeror's staffing plan must include names and biographical resumes for all Key Roles and positions, including the project manager.

Contractor Project Team Role	Project Team Role Description and Responsibilities
Functional Lead(s)	▪ Works with the Contractor's and the State's Project Manager and teams to identify, project, coordinate, and implement tasks, risks, issues, time estimates, and all other relevant Project activities through completion of the Project in all areas of the Contractor's solution functionality ▪ Coordinates functional requirements reviews, validation, and mapping to the Contractor's Solution functionalities ▪ Coordinates systems functionality testing, and verifies traceability to the originating requirements ▪ Coordinates systems integration testing, and verifies integration accuracy ▪ Coordinates systems custom development testing, and verifies custom development and functionality accuracy ▪ Leads the Contractor's efforts in all functional areas of the Solution ▪ Manages the overall quality and timeliness of deliverables in the impacted functional areas ▪ Serves as an expert resource to mitigate or resolve Project issues and risks

Contractor Project Team Role	Project Team Role Description and Responsibilities
Technical Lead(s)	▪ Works with the Contractor's and the State's Project Manager and teams to identify, project, coordinate, and implement system's technical related tasks, risks, issues, time estimates, and all other relevant Project activities through completion of the Project in all areas of the Contractor's solution functionality ▪ Coordinates technical requirements reviews, validation, and mapping to the Contractor's solution technical specifications ▪ Manage design, development, testing and deployment of system interfaces, data conversions, workflows and other custom objects (RICEF-W) ▪ Leads the Contractor's efforts in all technical areas of the Solution ▪ Manages the overall quality and timeliness of deliverables in the impacted technical areas ▪ Serves as an expert resource to mitigate or resolve Project issues and risks ▪ Manage technical team resources including technical architecture, database administration and infrastructure management supporting the Project ▪ Plan for and manage Performance Testing activities
Training Lead	▪ Create and manage the Training Strategy, which includes the State's approved approaches for communication, readiness, and training ▪ Create and manage the Training Communication Strategy ▪ Approve and oversee the execution of the Training Needs Analysis, Training Strategy, Training Materials, Training Deployment Plan, and Knowledge Transfer Plan ▪ Work with the Project Manager, key leaders and project teams to integrate training activities into the overall Project Plan ▪ Coordinate development of all training communications and training materials ▪ Report training readiness status to Project Manager ▪ Ensure that leading training practices are implemented ▪ Conduct presentations and participate in meetings, as appropriate. ▪ Resolve or escalate issues that are raised by the Training Team
Operations Lead	▪ Manage daily operations of the Contract staff ▪ Work with State Personnel, network Contractors, and be responsible for enforcing the defined service levels for the Project ▪ Prioritize new project work ▪ Handle ongoing production maintenance and production support activities ▪ Manage dispute resolution ▪ Monitor issues and provide root-cause analysis for any unforeseen outages or system issues that occur ▪ Must be available for all project meetings ▪ Must be available by phone during regular business hours ▪ Must be available onsite at the State's facilities within 24-hour notice by the State

4.2.2 Project Staffing and Time Requirement

The offeror's Staffing Plan and Time Commitment response must include the following information:

- An organizational chart including any subcontractors and key management and administrative personnel assigned to this project;
- A contingency plan that shows the ability to add more staff if needed to ensure meeting the Project's due date(s);
- The number of people onsite at State location(s) at any given time to allow the State to plan for the appropriate workspace;
- A statement and a chart that clearly indicates the time commitment, inclusive of the Project Manager and the offeror's proposed team members for this Work during each stage of the Project and the System Life Cycle;
- A statement indicating to what extent, if any, the candidates may work on other projects or assignments that are not related to the State during the term of the Contract; and
- The offeror or subcontractor must commit technical and support staff toward meeting the customer service needs resulting from the proposed Scope of Work.

The State may reject any Proposal that commits the proposed Project Manager or any proposed Key Project Personnel to other projects during the term of the Project, if the State believes that any such commitment may be detrimental to the offeror's performance.

Resumes must be provided for all Key Project personnel in order to supplement the descriptive narrative provided by the offeror regarding their proposed project team.

The resume, not to exceed 2 pages, must include:

- Candidate's Name
- Proposed role on this Project
- Education
- Professional Licenses/Certifications/Memberships
- List of completed projects that are comparable to this Project or required similar skills based on the candidate's assigned role and responsibilities in the Project, including the following details:
    - Project title and description;
    - Beginning and ending dates;
    - Client/company name for which the work was performed;
    - Client contact information for references; and
    - Detailed description of the person's role/responsibility on the project.

4.3 Project Support – State Team Requirements

The Project is comprised of an internal team of state resources as active participants. The offeror should assume that the State has limited full-time resources available and plan accordingly for appropriate staffing.

Many of the State participants on this Project will be made available part time. As their time is limited, advance notice is expected for all State required support. However, the State understands that its participation is critical to ensure the goals of the project are accomplished. To help the State better plan to have the right resources available in the right quantities at the right time, the offeror must include the following in its response to this RFP:

- Nature and extent of State support required in terms of staff roles, percentage of time available;
- Assistance from State staff and the experience and qualification levels required to successfully accomplish the goals of the project;
- Desired State participation by module, including the staff role, estimated effort and duration; and
- Other support requirements.

The State may not be able or willing to provide the additional support the offeror lists in this part of its Proposal. The offeror therefore must indicate whether its request for additional support is a requirement for its performance. If any part of the list is a requirement, the State may reject the offeror's Proposal, if the State is unable and unwilling to meet the requirements.

5. Managed Services

The Contractor will be responsible for providing the overall delivery of Managed Services described in this RFP.

The Contractor must follow proven quality assurance processes and procedures for the delivery of services to the State.

The offeror should note that Managed Services and Operational Support responsibilities will begin with the initial release of functionality into the Production environment.

5.1 Technology, Process, and Services Optimization

The Contractor must review the current environment inclusive of operating processes, hardware, network, software, infrastructure, security, back-up and other ancillary technical components that comprise the solution no less frequently than quarterly and maintain a Technology, Process and Service Optimization plan with the State. As part of the overall operational responsibility for the existing environments, the Contractor's plan must demonstrate that it will meet service levels, operational performance, technical and personnel (both State and Contractor) capacity to ensure that the State is provided a high level of service value, operational reliability and stability as well as best use of the resources that comprise and operate the solution. The State expects the underlying technology to be kept current during the full term of the Contract.

The Contractor must keep the State informed of all new releases of the Solution and identify new features and functionalities developed for other clients. If a new release contains new features and functionalities, the State reserves the right to enable or disable such features and functions as part of any separate Project-related enhancement service.

5.2 Steady-State Run Services

The Contractor must manage, operate, maintain and provide on-going support of the Solution, as implemented and deployed by the Contractor, during the term of the Contract.

From time to time the State may have exception processing requirements referred to in this RFP as either a Peak Period or Black-out Period during which time no changes will be permitted to operational systems that may introduce unintended slow-downs, service interruptions or diminished service levels. During these periods the Contractor is expressly prohibited from making any changes to a production environment without State approval with the exception of those changes as required to affect the restoration of service in a declared emergency or outage condition.

Run Service notification requirements include, at a minimum:

- Establish and maintain an emergency notification process to notify key State staff of pending problem areas, for example virus or malware infection, to escalate problems.
- Provide a periodic status notification to the State for service outages of mission critical systems as required by the Service Level.

5.2.1 Technical Incident / Problem / Change (IPC, ITIL) Management

Consistent with an ITIL service delivery model and as appropriate to driving a high-quality service, the Contractor must:

- Provide a point of contact for technical IPCs.
- Implement and manage procedures for proactively monitoring, logging, tracking, escalating, reviewing, and reporting (historical and predictive) of IPCs, as set forth in a State of Ohio specific technical operations manual or other supporting documents.
- With the State, implement a process that establishes, to the extent reasonably possible, end-to-end responsibility and ownership of IPCs in a manner that helps reduce redundant contacts and helps eliminate the need for the Users to describe the IPC multiple times to different Contractor or State personnel.

- Categorize and document the relative importance of each IPC according to the severity levels as set forth by the State.
- Monitor and manage each IPC, including IPCs associated with changes, and report on the status of resolution efforts until it is corrected or resolved, and an authorized User confirms such resolution, as set forth in a Run Book or other supporting documents.
- Perform trend analysis at the State's request, and no less frequently on a quarterly basis when not otherwise requested, on the volume and nature of IPCs in order to identify possible areas for improvement.
- Implement measures to help avoid unnecessary recurrence of IPCs, by performing root cause analysis and event correlation.
- To the extent an IPC is due to errors or defects within an in-scope environment, supported server or in-scope software element licensed by a third Party to the State, assist the State by referring such IPC to the appropriate third-Party entity for resolution and coordinating with the third-Party contractor as appropriate to help minimize the State role in problem management.
- Ensure that all IPC tickets handled by the Contractor have sufficient detail as to understand the incident/problem or change requested, have timing to allow reporting as to start, stop and duration, include details as to the root cause and resolution to the problem and be structured in the Help Desk software to serve as the basis of applicable SLA reporting and service improvement statistical analysis; and
- Assist the State with review and maintenance of outstanding IPCs, to include prioritization.

5.2.2 Help Desk Services

The offeror must propose to the State, and the Contractor must design, implement and thereafter manage the following Help Desk functions.

The Contractor must provide Tier 1 and Tier 2 help desk services for users and Tier 3 level support services for all users in conjunction with the State and dependent upon subject matter.

The Contractor's contact center must be fully staffed for help desk services with an adequate number of trained, qualified live technicians, help desk tools and other elements to answer and respond to telephone calls, e-mails, chat sessions and other communications for all service impacting issues. The Contractor Tier 1 and Tier 2 help desk will provide the first line of support for suppliers and must respond to user needs, queries, issues and inquiries and to the extent possible, resolve them with limited involvement from the State. In general, the Contractor's Tier 1 and Tier 2 help desk staff must address common login/password, troubleshoot, "How to" scenarios and basic Solution-related issues that do not require an intimate understanding of the solution or State law, rules, policies and procedures that drive the solution.

To the extent that the Contractor Tier 1 and Tier 2 help desk staff is unable to resolve questions or issues from the user community, the Contractor must provide Tier 3 help desk functions as a service to the Tier 1 and Tier 2 help desk. The Contractor's Tier 3 help desk support must be geared toward resolving more involved questions and issues regarding the Solution or system use. The State will be responsible for providing Tier 3 help desk support to address questions and issues regarding law, rules, policies and procedures associated with the Solution.

The Contractor Tier 1 Help desk services must be provided Monday through Friday, 7:00 a.m. through 6:00 p.m. (Columbus, Ohio local time), excluding State-observed holidays. The Contractor must establish and maintain a dedicated toll-free phone service and email for Help desk support to all users. The State may require that the email address be from a State domain.

To provide the required Help desk services, the Contractor must:

a) Utilize a logging system and record all issues received including, at a minimum, name, organization and issue. Issues will be tracked in the system and standard reports will be provided to the State monthly to communicate, at a minimum, call volumes, common issues and frequency, and other such metrics that will give insight to the State on system use, problems and potential actions that may be needed to make the system effective for users. The system must be integrated with the State's ServiceNow ticketing system to provide the State a consolidated view of all issues for tracking and oversight.

b) Provide best-in-class customer service to the State and its users and maintain a continual effort at increasing the quality of customer service, which will be measured using the associated Service Levels identified in this Supplement and by random audits by the State, which will be measured by the State-approved customer surveys and random audits by the State.

c) Use an appropriate, up-to-date, and fully-featured automated call-answering and call-routing system that has an automated phone tree system that is topic based and automatically routes callers to the appropriate place for support. The phone system will seamlessly route callers to State resources when necessary.

d) Generate a trouble ticket. Multiple calls for a single issue must be added to a master ticket.

e) Manage and track issues and requests received via call, chat, email or ticket-based methods provided as part of the Service through the full life cycle management of all issues and service requests by employing and implementing procedures for proactive monitoring, logging, tracking, escalation, review, and reporting (historical and predictive) of issues to ensure consistent support to all customers.

f) With the State, implement a process that establishes, to the extent reasonably possible, end-to-end responsibility and ownership of issues in a manner that helps reduce redundant contacts and helps eliminate the need for the Users to describe the issue multiple times to different Contractor personnel.

g) Maintain ownership of the trouble ticket until closure, including when tickets are escalated to the State for resolution, serving as the coordination point for all inquiries. Help desk analysts must follow-up with users, referral sources, etc., to ensure timely and complete solutions are provided to the user and recorded.

h) Manage all issues opened by the user community to maximize the end to end customer experience.

i) Categorize and document the relative importance of each issue according to the severity levels. The State reserves the right to stipulate the business and non-technical categories by solution component that will be used for logging and tracking issues.

j) Respond and resolve incoming, reported and assigned issues in a manner that meets all applicable Service Levels.

k) Generate an “issue confirmation receipt email” to acknowledge to the end users that an issue report has been received. The issue confirmation receipt contains the ticket number along with the end use reporting the issue (e.g., name, telephone number, etc.).

l) Provide the user with instructions and tools to quickly troubleshoot, diagnose, and resolve the issue.

m) Provide process expertise, assistance and guidance for system walkthroughs and resolve issues where users are unable to utilize the system as designed and implemented.

n) Delegate, assign, or escalate trouble tickets that cannot be resolved on the first attempt.

o) Escalate customer issues appropriately within the Contractor’s organization before such issues are, if appropriate, routed to a State contact person.

p) With the State, establish and implement escalation procedures for any Supplier disputes that require State input, expertise or resolution to make sure that the Help Desk can recognize risk specific situations and have appropriate procedures to escalate them quickly to the right place at the State.

q) Provide status updates as requested by users regarding any particular help desk issue or trouble ticket.

r) If the Tier 1 Help desk cannot for any reason address or otherwise resolve an issue with the system, the Tier 1 help desk must delegate or assign tickets to the appropriate Tier 2/3 party, Contractor or State. Relevant SLAs for processing including issue resolution of Tier 2 and 3 Help desk issues apply for resolutions under the Contractor’s control.

s) Maintain a State contact list for escalation of Tier 2 and 3 issues referred to the State that cannot be resolved by the Tier 1 Help desk.

t) Maintain a procedure for dealing with services that are not supported or for which support requirements are not known.

u) Implement a policy of internal Contractor operational escalation of unresolved issues.

v) Implement measures to help avoid unnecessary recurrence of issues, by performing root cause analysis and event correlation.

w) Provide the State with “Read Only” access to the Contractor’s help desk logging system and data pertaining to services provided to the State including issue tracking, reporting and any other State specific information.

x) Utilize the Contractor’s help desk platform and any Contractor tools, and enhancing processes or methods, to proactively perform issue management, with the objectives of automating the issue management process.

Additionally, the Contractor must provide the following “Self-Service” functions for Solution users:

a) A secure way for users to obtain their User ID and reset passwords via a Web-based tool requiring no interaction with Help desk personnel (in accordance with State’s Policies and Procedures including those relating to security);

b) A Web-based knowledge database, the content of which will be maintained by Contractor, that will provide general “How-To” help for the use and execution of standard processes and general “How-To” help for the use of State-specific elements of the Service, including Ohio standards, policies, processes and templates. Also, the State must have the ability to update and maintain State-specific content in the “How-To” database, as well as approve any State-specific content that the Contractor intends to use;

c) A searchable frequently asked questions (FAQs) list, the content of which will be maintained by Contractor, that documents common issues and resolutions based on actual data gleaned from use of the Service. Also, the State must have the ability to provide State-specific content to the Contractor, as well as approve any State-specific content that the Contractor intends to use: and

d) A Help Desk Website which will provide access to Help Desk contact information and instructions, to on-line help (e.g. on-line chat), links to State-specific Help topics and information, and other self-help tools, and FAQs.

The offeror must propose a RACI chart that depicts the Contractor and State Help desk responsibilities for the help desk and Self-Service functions listed above.

5.2.2.1 Help Desk Reporting and Analysis

The Contractor must provide the following Help Desk reporting and analysis services.

a) The Contractor must establish appropriate metrics, capture and analyze State data from its service management systems and provide appropriate reporting capabilities. Regarding the report capability, the Contractor must provide informative reports, on a monthly basis unless otherwise specified by the State.

At a minimum, metrics for reports must include current month and prior three months for the following:

1. Total Calls (ACD)
2. Total Emails
3. Total Calls Abandoned (ACD)
4. Live Call Answer Rate
5. Average Call Wait time (ACD)
6. Total New Issues
7. Total Issues Closed/Resolved by Tier Level
8. Total Issues Reopened
9. Total Open/Unclosed Issues
10. Total Issues that were escalated to Tier levels 2 and 3
11. Total Issues that were escalated to the State
12. Total New Issues by Category
13. Total New Issues by Organization (e.g. Agency name, Co-op Name, University, Suppliers as a Group)
14. Total Unclosed Issues by Category
15. Total Unclosed Issues by Organization
16. Average Issue Resolution Time
17. Customer Satisfaction Rate

b) The Contractor must provide issue analysis, issue tracking, and trend analysis reports.

c) The Contractor must conduct user satisfaction surveys with each closed issue/ticket and provide details on how the satisfaction surveys are performed.

d) The Contractor must analyze and provide the State with results of monthly user satisfaction surveys that are based on a sample size of actual calls and any other customer satisfaction surveys specific to the Help desk services that the State may request periodically.

e) The Contractor must optimize help desk operations and service, to include tools, staffing, mix of resource skillsets etc., as necessary to meet or exceed Service Level requirements. The Contractor's optimizations efforts must commence 90 days following State acceptance of the first production release and continue with each subsequent production release.

f) The Contractor must provide the State access to all technical IPC and business issue tracking data from all facilities where the Services are performed and allowing the State to monitor and view the ticket status on an ongoing basis.

5.2.3 Conduct Managed Services Checkpoint Meetings

After the completion of the project Period 1, the State and Contractor will meet at least monthly to jointly review the Contractor team and certain Key Contractor Management and State Facing positions (collectively "Key Personnel"), including the Contractor Account Representative.

Based on the State's experience with similar managed services relationships with a variety of leading vendors, the State feels strongly that the Contractor team (as a team and as individuals) should be regularly reviewed with regard to several key requirements including, but not limited to:

- Support of State initiatives including Agency adoption of the solution;
- Attainment of high customer satisfaction in Stakeholder communities and by extension and importantly end-user communities;
- Creation of a highly integrated, collaborative and mutually supportive delivery of Services under this Contract to the State through the formation of an "integrated team" culture; and
- Incorporation of industry-leading and Contractor best practices in the build and run of the solution while seeking opportunities for continuous refinement and improvement of areas that are directly within the Contractor's scope, those areas where the Contractor has a reliance on the State and third parties, and areas in the common interest of driving Service efficiency, quality and timeliness (e.g., Value).

As part of the Managed Services Checkpoint unless otherwise mutually agreed, the State and Contractor will meet to review the Contractor's performance (as a team and as individuals) in support of these requirements stated above and agree to make changes to the number, nature, mix or named Key Personnel as required to improve and enhance the Contractor's position in supporting the State's attainment of these requirements.

Should, for whatever reason, the State determine based on documented or observed performance that a member (or members) of the Contractor's Key Personnel is operating in a manner inconsistent with these requirements, the State will request a meeting with the Contractor to address localized or endemic failures to meet these goals. Upon receiving this feedback, the Contractor must develop and implement a plan to either realign the performance of the Key personnel in question or replace them promptly should the situation dictate in accordance with the provisions of Attachment Four pertaining to Replacement Personnel.

Should for whatever reason the State request the replacement of any member of the Contractor Staff, the Contractor must implement the change according to the Replacement Personnel provision unless both Parties mutually agree to an alternate schedule.

5.2.4 Data Archive and Purge Considerations

The Contractor Archive and Purge processes must be executed in accordance with the relevant State document retention schedules (http://apps.das.ohio.gov/rims/General/General.asp).

5.2.5 Break/Fix Support

The Contractor must:

a) Track, monitor and provide remediation for in scope solution defects and issues;

a) Identify any defects or issues being resolved for other Contractor clients;

b) Identify and implement required system or configuration changes to address solution defects;

c) Maintain solution documentation (technical specifications and testing documentation) as well as a compendium of common problems, root causes and remedy to aid in the identification and remediation of underlying system issues;

d) Test changes to confirm resolution of defects;

e) Identify, specify and system test as applicable third Party supplied patches and fixes for third Party supplied packaged systems software (including OS, BIOS, microcode, patches, service packs and similar), as well as new releases;

f) Support the State in performing applicable acceptance testing or review of any changes arising as a result of break/fix or patch/release; and

g) Ensure compliance with any new State legislation mandate, State security mandated patches, or system levels and system enhancement turnaround time required. Given the nature of the security mandate the Contractor must report to the State in writing any risks or issues that the Contractor becomes aware of in providing service to the State. For example, patches designed to address immediate or active security issues may be scheduled for a near-real-time release, where other less pressing releases may be implemented during a scheduled maintenance or outage period.

5.2.6 Solution Support

For the solution, inclusive of all performance, technical, integration and functional aspects, the Contractor must:

a) Maintain the performance, availability and stability of the Solution. The Contractor must schedule its implementation of changes so as not to unreasonably interrupt State business operations.

b) Contractor will make no changes that would materially alter the functionality of the systems used to provide the Services or materially degrade the performance or SLAs as established of the Services, without first obtaining State approval. In the case of an emergency, and in keeping with State security policies in effect, the Contractor may make temporary changes at any time and without State approval, to the extent such changes are necessary, in the Contractor's judgment, (i) to maintain the continuity of the Services, (ii) to correct an event or occurrence that would substantially prevent, hinder or delay the operation of State critical business functions; and (iii) to prevent damage to the Contractor's network. The Contractor will promptly notify the State of all such temporary changes. At the conclusion of the emergency the Contractor will restore any changes to the pre-emergency state, and if the change is deemed necessary for normal operation of the system, a corresponding change request must be initiated for State review and approval. The Contractor must review and perform a root-cause analysis of any deviation from any scheduled or failed changes.

c) Prior to using any software or equipment to provide the Services, Contractor must perform all necessary testing to verify that the item has been properly installed, is operating substantially in conformance to its specifications, and is performing its intended functions in a reliable manner in keeping with the defined Service Levels in effect at the time of the change.

d) Reasonably accommodate the State testing, review and approval processes prior to promoting these Solution components in the production environment.

e) For all Production and Non-Production environments (including environments that support systems development, testing, training, demo, QA and otherwise) monitor those environments, apply patches, and administer the system logs.

f) Upon the creation of any environment for State use, the Contractor must (unless excused in writing by the State) include these environments in regularly scheduled backup, maintenance, update/upgrade, patching, monitoring/reporting functions prior to productive use by the State and until the use of this environment is no longer required by the State.

g) Identify to the State any issues that may adversely impact the State in-scope environment and operational requirements and that require analysis of the technical components of the system, including the applications, databases, ancillary and systems software and hardware.

h) Conduct post-mortem reviews with the State for corrections to performance, functional, integration or technical issues with in-scope environments or operations and incorporate resulting changes into ongoing continuous improvement initiatives.

i) Perform technical activities including but not limited to: system code/object migrations, patch implementations, testing, performance tuning, log administration, data copies and exports, integrations and scheduled reporting/ETLs, and responsibility for issue resolution such that migrations into production will be executed at agreed periodic intervals and other production changes will be scheduled during the maintenance window. The Contractor must follow a mutually agreed, formalized and published methodology for migrations into production.

j) Application and system software/hardware upgrades for in-scope services must not impair the Contractor's ability to meet the Service Levels.

k) Monitor system use/capacity, forecast capacity and review the State growth plans during quarterly service review meetings, and if requested due to an unforeseen requirement, participate in the required number of ad-hoc reviews coinciding with these new requirements and infrastructure needs to correctly plan for capacity – periodic capacity increases as well as burst requirements.

l) Monitor all third-party software vendors and vendor services for proactive notification of all applicable patches and updates. When new impacting items are released they must be tested by the Contractor in its protected test environments, and jointly scheduled with the State for installation during the next scheduled maintenance window. A priority update window may be required in advance of schedule if a patch or fix is deemed to be critical or security related.

m) Manage the security functions related to the solution including administrative access and passwords and the related security controls to maintain the integrity of the solution, based on the Contractor's standard security processes.

5.3 Master Release Calendar

The Contractor will develop, and thereafter maintain and publish on a monthly basis a Master Release Calendar that includes a schedule (with dates) of:

- Major Scheduled Releases, Upgrades, Updates and Enhancements
- Implementation of Minor Enhancements
- Scheduled Maintenance Windows and Planned Outages
- Infrastructure Related Upgrades, Updates, Patches and Enhancements
- Major and Minor Project Key Dates (i.e., Start, SDLC Gate Completion, Production Release, Completion) whether Contractor delivered or otherwise
- Major Processing Events such as fiscal year end processing to close out open purchase orders
- Audit and SSAE-18 Key Dates
- Other pertinent dates that require end-user notification or coordination

5.4 Disaster Recovery and Business Continuity Plan

The Contractor will have a Disaster Recovery and Business Continuity Plan (Plan) for the Solution. The Plan will document the sequence of events to follow in the circumstance that an internal or external interruption impacts Services provided to the user community that may arise as a result of failure of one of more Solution components that comprise the Solution infrastructure, hardware, software, interfaces, networks, Contractor's data center facility, power and the like.

The Plan will be developed in consultation with the State and in adherence to the State IT policies.

The activities of the Plan are intended to reduce or minimize downtime of critical equipment, interruption of employee work schedules, and financial exposures for the State and Contractor.

The Plan also documents a sequence of communication events to follow during an internal or external infrastructure failure or natural disaster (act of nature).

In order to minimize downtime, once notification is received that a disruption is imminent, the Plan will be activated.

5.4.1 Annual Disaster Recovery and Business Continuity Rehearsal and Testing

The Contractor will establish joint test objectives with the State designed to verify that the Solution will be available within the agreed upon timeframes contained in the mutually agreed to Plan.

The Contractor will schedule, rehearse and test components of the Plan relating to the in-scope Solution components at least annually in cooperation with the State, its designees, any testing and recovery providers and relevant State Third Party vendors.

All disaster recovery and business continuity services must be designed and implemented to allow for the State and Contractor to continue to operate and manage the Services during periodic disaster recovery and business continuity tests.

The Contractor must notify the State as soon as practicable upon becoming aware of a disaster or service interruption.

The Contractor must coordinate with the State to support the mutually agreed to Plan. In such regard, the Contractor must:

- Perform necessary migrations of the software code and data as required to reinstate the in-scope Solution components so that they are functional at a backup location provided by the Contractor in accordance with the procedures set forth in this Contract;
- Coordinate with the State to support the reinstatement of the in-scope Solution components at such backup location;
- Maintain provision of the services for unaffected areas;
- Conduct a meeting with the State for the purpose of developing plans to mitigate the adverse impact of future occurrences following any disaster, service interruption or test;
- Maintain compliance with the disaster recovery and business continuity policies, standards, and procedures contained in the mutually agreed to Plan to the extent applicable to the in-scope Solution components; and
- Provide documented results, remediation and feedback procedures contained in the mutually agreed to Plan and allow for State participation and review of the testing process.

5.5 SSAE18 Type II Reporting

Once every calendar year, the State may conduct an annual Statement of Auditing Standards (SSAE 18Type II) audit covering at least the preceding period for the Contractor’s service organization.

To the extent such reports are pertinent to the Contractor Services, the Contractor will support and make available all delivery artifacts including reports, security profiles, logs, tickets, documentation, work products, deliverables and other items as reasonably requested.

The audit will be a multi-customer SSAE 18 Type II audit covering the common processes controlled and performed by the Contractor in administering the services to the State. A copy of each of the resulting audit reports will be delivered to the State and made available to the Contractor for those items pertinent to the Contractor in understanding, addressing and resolving any identified issues, concerns and/or weaknesses within 45 days following the conclusion of the SSAE 18 Type II audit.

It is the sole obligation of the Contractor to remedy any issues, material weaknesses, or other items arising from these audits as they pertain to services or capabilities provided by the Contractor to the State throughout the term of the Contract at no cost to the State.

For items that arise as a result of State policies, procedures and activities and after mutual agreement by both Parties on the underlying cause and remedial activity requirements and plan, the State may agree to the required changes to the Services delivery model to remediate issues discovered under a SSAE 18 Type II audit.

5.6 Transition Assistance Services

The Contractor must provide Transition Assistance Services to the State, or at the State's request to the State's designee to allow contracted services to continue without interruption or adverse effect and to facilitate the orderly transition to a new service provider.

Transition Assistance Services must commence as follows:

- No less than six (6) months prior to expiration of this Contract or on such earlier date as the State may request; or
- Upon notice of termination/partial termination; or
- Upon notice of non-renewal of this Contract.

For a period of up to three (3) months following the effective date of expiration, termination or non-renewal, at the State's request, the Contractor will continue to provide Transition Assistance Services.

Upon State request, the Contractor must provide Transition Assistance Services that include, at a minimum:

- Provide assistance, cooperation and information as is reasonably necessary to help enable a smooth transition of the applicable Services to the State or its designated service provider.
- Provide information as the State may reasonably request relating to the number and function of each of the Contractor personnel performing the Services.
- Transfer State-owned data, information, deliverables, work products, documentation, etc.
- Identify any dependencies on the new service provider necessary for the Contractor to perform the Transition Assistance Services.
- Assist the State in the identification of significant potential risk factors relating to the transition.
- Assist the State in designing plans and contingencies to help mitigate identified risks.
- Submit a Transition Plan, for approval by the State, which includes a timeline for successfully completing the Transition Assistance Services.
- A schedule and plan for Contractor's return to the State of (i) the State service locations then occupied by Contractor (if any), and (ii) the State Confidential Information, the State Data, documents, records, files, tapes and disks in Contractor's possession.

The Contractor must provide a single point of contact who will be responsible for Contractor's overall performance of the Transition Assistance Services.

6. Service Levels

This section sets forth the performance specifications for the Service Level Agreements (SLA) to be established between the Contractor and the State that are applicable to the Solution components and Managed Services elements. It contains the tables and descriptions that provide the State's framework, requirements relating to service level commitments, and the implications of meeting versus failing to meet the requirements and objectives, as applicable.

The mechanism set out herein will be implemented to manage the Contractor's performance against each Service Level and to monitor the overall performance of the Contractor in delivery of the Service.

The Contractor will be required to comply with the following performance management and reporting mechanisms for all Services within the scope of this RFP and will provide these reports to the State no less frequently than monthly basis:

- **Service Level Specific Performance** – Agreed upon specific Service Levels to measure the performance of specific Services or Service Elements. Service Levels are linked to Service Credits or Monetary Credits due to the State or to incent Contractor performance.

6.1 Service Level Specific Performance Credits

Each Service Level (SL) will be measured using a "Green-Yellow-Red" traffic light mechanism (the "Individual SL GYR State"), with "Green" representing the highest level of performance and "Red" representing the lowest level of performance. A Performance Credit will be due to the State in the event a specific Individual SLA GYR State falls in the "Red" state. At the discretion of the State, if a specific individual GRY state falls in the "Yellow" state, a Performance Credit may be due. The amount of the Performance Credit for each SLA will be based on the Individual SLA GYR State. Further, the amounts of the Performance Credits will, in certain cases, increase where they are imposed in consecutive months.

Set forth below is a table summarizing the monthly Performance Credits for each SLA. All amounts set forth below that are contained in a row pertaining to the "Yellow" or "Red" GYR State, represent Performance Credit amounts.

Consecutive Failures - SLA Performance Credits												
Individual SL GYR State	1st Measure Period	2nd Measure Period	3rd Measure Period	4th Measure Period	5th Measure Period	6th Measure Period	7th Measure Period	8th Measure Period	9th Measure Period	10th Measure Period	11th Measure Period	12th Measure Period
Red	A =1.71% of MSC	A + 50% of A	A + 100% of A	A + 150% of A	A + 200% of A	A + 250% of A	A + 300% of A	A + 350% of A	A + 400% of A	A + 450% of A	A + 500% of A	A + 550% of A
Yellow	B = 0.855% of MSC	B + 50% of B	B + 100% of B	B + 150% of B	B + 200% of B	B + 250% of B	B + 300% of B	B + 350% of B	B + 400% of B	B + 450% of B	B + 500% of B	B + 550% of B
Green	None	None	None	None	None	None	None	None	None	None	None	None

The Contractor agrees that in each month of the Contract, on a per SLA basis, 15% of the monthly Service charges (MSC) associated with the Contract will be at risk. MSCs are the charges for the Services provided during a given month. The MSC associated with the Contract will be at risk for failure to meet the Service Levels set forth in the Contract. When the Contractor fails to meet multiple Service Levels due to an event, the Contractor will not be required to provide a Performance Credit for each failed Service Level. However, when multiple failures occur within the same measurement period the Contractor must apply the Service Level with the highest Performance Credit due to the State. Moreover, in the event of consecutive failure to meet the same Service Level, the Consecutive Failures table above will apply.

On a quarterly basis, there will be a "true-up" at which time the total amount of Performance Credits, as Monetary Credits and Service Credits, will be calculated (the "Net Amounts"). The Monetary Credits Net Amount may be used by the State as a set off against any current or future fees owed by the State to the Contractor. The Service Credits Net Amount will be accumulated and can be used to set off the costs for any future work and/or out-of-scope service requested by the State. The State may, at any time, require any portion of the accumulated Service Credits Net

Amount to be converted to Monetary Credits. It will be at the State's discretion whether a Performance Credit will be accepted in the form of a Service Credit or Monetary Credit.

The Contractor will not be liable for any failed Service Level caused by circumstances beyond its control, and that could not be avoided or mitigated through the exercise of prudence and ordinary care, provided that the Contractor immediately notifies the State in writing and takes all steps necessary to minimize the effect of such circumstances and resumes its performance of the Services in accordance with the SLAs as soon as possible.

6.2 Overall Contract Performance

In addition to the service specific performance credits, on a monthly basis, an overall SL score (the "Overall SL Score") will be determined, by assigning points to each SL based on its Individual SL GYR State. The matrix set forth below describes the methodology for computing the Overall SL Score:

Individual SLAs GYR State	Performance Multiple
Green	0
Yellow	1
Red	4

The Overall SL score is calculated by multiplying the number of SLAs in each GYR State by the Performance Multiples above. For example, if all SLAs are Green except for two SLAs in a Red GYR State, the Overall SL Score would be the equivalent of 8 (4 x 2 Red SLAs).

Based on the Overall SL Score exceeding a threshold of fifteen (15), mandatory escalation procedures outlined in this RFP will be initiated to restore acceptable Service Levels.

If a successful resolution is not reached, then **the State may terminate the Contract for cause if:**

The overall SL score reaches a threshold over a period of 3 consecutive months with the equivalent of 50% of the service levels in a red state; and the Contractor fails to cure the affected Service Levels within 60 calendar days of receipt of the State's written notice of intent to terminate; **OR**

The equivalent of 75% of the service levels in total are not performing to a green state over a six (6) month period.

The Overall Contract Performance will not constitute the State's exclusive remedy to resolving issues related to the Contractor's performance. The State retains the right to terminate for Overall Contract Performance under the terms of this Contract.

6.3 Contractor Service Levels Management

The Contractor must implement and utilize measurement and monitoring tools and metrics as well as standard reporting procedures to measure, monitor and report the Contractor's performance of the Services against the applicable Service Level Specific Performance plus the Overall Performance Score. The Contractor must provide the State with access to the Contractor's on-line databases containing up-to-date information regarding the status of service problems, service requests and user inquiries. The Contractor also will provide the State with information and access to the measurement and monitoring reports and procedures utilized by the Contractor for purposes of audit verification. The State will not be required to pay for such measurement and monitoring tools or the resource utilization associated with their use.

Within one month after Contract Award, the Contractor must provide to the State proposed Service Level report formats, for State approval. In addition, from time to time, the State may identify a number of additional Service Level reports to be generated by the Contractor and delivered to the State on an ad hoc or periodic basis. Generally, the Contractor tools provide a number of standard reports and the capability to provide real-time ad hoc queries by the State. A number of additional or other periodic reports (i.e., those other than the standard ones included in the tools) mean a number that can be provided incidentally without major commitment of resources or disruption of the efficient performance of the services. Such additional reports will be electronically generated by the Contractor, provided as part of the Services and at no additional charge to the State. To the extent possible, all reports will be provided to the State on-line in web-enabled format and the information contained therein will be capable of being displayed graphically.

6.4 Monthly Service Level Report

On a monthly basis, the Contractor will provide a written report (the "Monthly Service Level Report") to the State which includes the following information: (i) the Contractor's quantitative performance for each Service Level; (ii) each Individual SL GYR State; (iii) the Overall SL Score; (iv) the amount of any monthly Performance Credit for each Service Level; (v) the year-to-date total Performance Credit balance for each Service Level and overall; (vi) a "Root-Cause Analysis" and corrective action plan with respect to any Service Levels where the Individual SL GYR State was not "Green" during the preceding month; and (vi) trend or statistical analysis with respect to each Service Level as requested by the State . The Monthly Service Level Report must always include the values listed for the current month and prior 5 months and it will be due no later than the tenth (10th) calendar day of the following month.

Failure to report performance for any SL or not providing root cause analysis information for any SL with a non-Green Individual SL GYR State may result in the State considering the overall performance of the Contractor to be in a Red State for that reporting period.

6.5 Escalation for Repetitive Service Level Failures

The State may escalate repetitive service level failure to the Contractor's executive sponsor, the Contractor's Managing Director / Lead Public Sector Partner for Public Sector, or the equivalent position.

6.6 Service Levels Requirements: Project Implementation & Managed Services

The Contractor must meet the Service Level Commitment for each Service Level set forth in the sections below. The offerors must include a statement at the beginning of the section indicating that the offeror has read, understands and agrees to the requirements contained in this section.

6.6.1 *Project Implementation Service Levels*

The following Service Level Agreements will be effective during the Project implementation and are detailed in the tables below:

1. Deliverable and Work Product Submission Acceptance;
2. UAT Severity 1 Issues Resolution – Mean Time to Repair;
3. UAT Severity 2 Issues Resolution – Mean Time to Repair;
4. UAT Severity 3 Issues Resolution – Mean Time to Repair;
5. UAT Environment Availability;
6. UAT Readiness; and
7. UAT Issue Resolution Quality - Recidivism Rate.

Project Implementation Service Level Agreement: Deliverable and Work Product Submission Acceptance						
Acceptance of Contractor deliverables and work products based on the timeliness and quality of submissions. The Contractor must provide deliverables and work products to the State in keeping with agreed levels of completeness, content quality, content topic coverage, delivery schedule, and otherwise achieve the agreed purpose of the deliverable between the State and the Contractor. The basis for rejection of a deliverable or work product will be that it is late or of poor quality. The deliverables and work products contained in this RFP and general on-going contracted services will represent the minimum set of expected deliverables and work products. Notwithstanding the State review and approval cycles, this SL will commence upon Project initiation and will prevail until contract completion.						
Measurement Period	**Data Source**	**Collection Frequency**	**SL Formula**	**SL Measure GYR State**		
Monthly, During Project	Weekly Project Report	Weekly	% Submission Acceptance (Expressed as %) = Total Submissions Accepted (Deliverables + Work Products) divided by Total Submissions (Deliverables + Work Products)	**> 85%**	**> 80% and <= 85%**	**<= 80%**

Project Implementation Service Level Agreement: UAT Severity 1 Issues Resolution – Mean Time to Repair

Prompt resolution of Solution issues identified as part of Contractor System/Unit Testing and/or User Acceptance Testing (UAT).

This Service Level begins upon first migration of Solution functionality into the User Acceptance environment.

The State shall, in consultation with the Contractor, determine the Severity of each issue identified during UAT. Formal declaration of the Severity of each UAT issue to the Contractor will be made by the State Project Manager.

Prioritization: An Issue shall be categorized as "Severity 1" if the issue will prevent the State from authorizing Production migration of the associated functionality or module.

Measurement: Issue "Time to Repair" will be measured from the time the State reports the issue as Severity 1 to the point in time the Contractor provides either a resolution or workaround to the State for verification and acceptance. In the case where the resolution or workaround is determined by the State to be unacceptable the tracking of the "Time to Repair" will recommence at the time the State reports the unacceptability.

In the case of a workaround, the State may accept the workaround as a short-term solution, allowing the functionality to move to Production, but still need the issue resolved at a lower Severity. In these circumstances, the State will consider the associated Severity 1 issue resolved and the Contractor will establish a new issue at the State determined Severity for management and tracking.

The "Mean Time to Repair" for the reporting month will be measured by assessing the elapsed time in business days (expressed as a decimal number, to two positions after the decimal point, that reflects the hours and minutes) of all resolved Severity 1 UAT issues to determine the statistical mean.

Measurement Period	Data Source	Collection Frequency	SL Formula	SL Measure GYR State		
Reporting Month	Monthly Service Report	Per Issue	Mean Time to Repair (Severity 1 Issues) = (Total elapsed business days for all resolved Severity 1 Issues) divided by (Total number of all resolved Severity 1 Issues)	**<= 3 days**	**> 3 days and <= 5 days**	**> 5 days**

Project Implementation Service Level Agreement: UAT Severity 2 Issues Resolution – Mean Time to Repair

Prompt resolution of Solution issues identified as part of Contractor System/Unit Testing and/or User Acceptance Testing (UAT).

This Service Level begins upon first migration of Solution functionality into the User Acceptance environment.

The State shall, in consultation with the Contractor, determine the Severity of each issue identified during UAT. Formal declaration of the Severity of each UAT issue to the Contractor will be made by the State Project Manager.

Prioritization: An issue shall be categorized as "Severity 2" if the issue will prevent the State from authorizing Production access to the associated functionality.

Typical characteristics of Severity 2 issues are situations that require restricted functionality access in a tightly controlled user environment to limit the risk of prohibited execution of productive work for a group(s) or individual performing a critical business function. Examples include, but are not limited to:

- Basic transactions can be completed, but extended use of the functionality has high likelihood of encountering problems completing transactions or may cause data/information inaccuracies.
- Complicated workarounds are required to use the functionality, increasing the likelihood of user error and/or confusion.
- Agency specific configuration cannot be sufficiently completed to permit deployment.
- Supplier access to Solicitations restricts ability to submit questions.
- Extended use of the functionality has high likelihood of causing non-compliance with policy.

Measurement: Issue "Time to Repair" will be measured from the time the State reports the issue as Severity 2 to the point in time the Contractor provides either a resolution or workaround to the State for verification and acceptance. In the case where the resolution or workaround is determined by the State to be unacceptable the tracking of the "Time to Repair" will recommence at the time the State reports the unacceptability.

In the case of a workaround, the State may accept the workaround as a short-term solution, allowing the functionality to move to Production, but still need the issue resolved at a lower Severity. In these circumstances, the State will consider the associated Severity 2 issue resolved and the Contractor will establish a new issue at the State determined Severity for management and tracking.

The "Mean Time to Repair" for the reporting month will be measured by assessing the elapsed time in business days (expressed as a decimal number, to two positions after the decimal point, that reflects the hours and minutes) of all resolved Severity 2 UAT issues to determine the statistical mean.

Measurement Period	Data Source	Collection Frequency	SL Formula	SL Measure GYR State		
Reporting Month	Monthly Service Report	Per Issue	Mean Time to Repair (Severity 2 Issues) = (Total elapsed business days for all resolved Severity 2 Issues) divided by (Total number of all resolved Severity 2 Issues)	**<= 5 days**	**> 5 days and <= 7 days**	**> 7 days**

Project Implementation Service Level Agreement: UAT Severity 3 Issues Resolution – Mean Time to Repair

Prompt resolution of Solution issues identified as part of Contractor System/Unit Testing and/or User Acceptance Testing (UAT).

This Service Level begins upon first migration of Solution functionality into the User Acceptance environment.

The State shall, in consultation with the Contractor, determine the Severity of each issue identified during UAT. Formal declaration of the Severity of each UAT issue to the Contractor will be made by the State Project Manager.

Prioritization: An Issue shall be categorized as "Severity 3" if the issue will result in the State limiting Agency and/or Supplier use of or access to components/features of the associated functionality.

Typical characteristics of Severity 3 issues are situations that would have adverse effect on the rollout, adoption and training of the functionality. Examples include, but are not limited to:
- Transactions can be completed but access to the component/feature will cause transaction errors.
- Processing transactions produces system on-screen messages that are inaccurate or are not understandable.
- Workarounds are not available to permit use a specific component/feature of the functionality.
- Workarounds are sufficiently complicated that functionality component/feature access has to be limited Agency staff.
- Supplier use will result in significant number of support calls.

Measurement: Issue "Time to Repair" will be measured from the time the State reports the issue as Severity 3 to the point in time the Contractor provides either a resolution or workaround to the State for verification and acceptance. In the case where the resolution or workaround is determined by the State to be unacceptable the tracking of the "Time to Repair" will recommence at the time the State reports the unacceptability.

In the case of a workaround, the State may accept the workaround as a short-term solution, allowing the functionality to move to Production, but still need the issue resolved at a lower Severity. In these circumstances, the State will consider the associated Severity 3 issue resolved and the Contractor will establish a new issue at the State determined Severity for management and tracking.

The "Mean Time to Repair" for the reporting month will be measured by assessing the elapsed time in business days (expressed as a decimal number, to two positions after the decimal point, that reflects the hours and minutes) of all resolved Severity 3 UAT issues to determine the statistical mean.

Measurement Period	Data Source	Collection Frequency	SL Formula	SL Measure GYR State		
Reporting Month	Monthly Service Report	Per Issue	Mean Time to Repair (Severity 3 Issues) = (Total elapsed business days for all resolved Severity 3 Issues) divided by (Total number of all resolved Severity 3 Issues)	**<= 8 days**	**> 8 days and <= 10 days**	**> 10 days**

Project Implementation Service Level Agreement: UAT Environment Availability

Solution UAT Environment is available to State users for scheduled UAT activities.

UAT Environment availability means access to the UAT functionality being tested is enabled; log-in is permitted from the local user LAN and test scripts can be executed. While access is dependent on State provided infrastructure and Third Party software availability the expectation is that the Contractor will implement State approved operational processes, instrumentation, monitoring and controls that validate availability of Solution to State testers.

Measurement: This Service Level will be calculated for those Service Elements that are directly in the Contractor's scope and will be measured from the end-user community desktop to the ability to process transactions to the Solution database. If, in determination of the root cause of an "unavailable" condition, the State LAN, WAN and Data Center outages, or the outage of State provided Infrastructure is the cause of the condition, the Contractor shall be excused from those outages that arise from such a condition, unless the outage is a direct result of a Contractor created situation.

Measurement Period	Data Source	Collection Frequency	SL Formula	SL Measure GYR State		
Reporting Month	Monthly Service Report	Continuous, 24 hours a day	UAT Environment Availability (Expressed as %) = (Total Environment Scheduled Uptime – Total Environment Unscheduled Outages) divided by (Total Application Scheduled Uptime)	**>= 95.0%**	**< 95.0% and > 90.0%**	**<= 90.0%**

Project Implementation Service Level Agreement: UAT Readiness

Solution User Acceptance Test preparations are complete for scheduled UAT activities.

UAT Readiness means that Test Scripts are provided to the State on time and that the functionality to be tested is migrated to the UAT environment on time.

Measurement: Monitoring compliance will be determined by tracking the following key performance indicators (KPIs):
- Submission of Test Scripts: the number of business days prior to the scheduled migration date of the associated UAT release that test scripts are submitted to the State. The baseline is 10 business days.
- On-time Migration of UAT functionality: the number of business days after the scheduled UAT release migration date that the release is actually migrated.

Measurement Period	Data Source	Collection Frequency	SL Formula	SL Measure GYR State		
Reporting Month	Monthly Service Report	Each UAT release migration	UAT Readiness (Expressed in Business Days) = the greater value of the following two calculations: 10 - (UAT Release Scheduled Date - Test Script Submission Date) OR (Actual UAT Release Migration Date - Scheduled UAT Release Migration Date)	**<= 1 day**	**> 1 day and <= 3 days**	**> 3 days**

Project Implementation Service Levels: UAT Issue Resolution Quality - Recidivism Rate						
Resolved Severity 1, 2 and 3 UAT issues affecting the Solution do not reoccur or cause other issues as a result of the resolution to the root cause of the Issue. Monitoring compliance will be determined by tracking the following key performance indicator (KPI): - Issue Recidivism tracking: the number of closed Severity 1, 2 or 3 issues that reoccur and the number of new issues caused by resolution of a Severity 1, 2 and 3 issue. **Measurement:** Recidivism Rate will assess the number of recidivism occurrences in a month to the number of corresponding Severity 1, 2 and 3 issues in the same month.						
Measurement Period	**Data Source**	**Collection Frequency**	**SL Formula**	**SL Measure GYR State**		
Calendar Quarter	Issue Management System Report	Per Issue	Recidivism Rate (Expressed as %) = Total Number of Recidivism Occurrences divided by Total number of Resolved Severity 1, 2 and 3 Issues	**<= 1%**	**> 1% and <= 3%**	**>3%**

6.6.2 Business & Managed Services Service Levels

The following Service Level Agreements will be effective at the initial deployment of functionality and are detailed in the tables below:

1. Issue Resolution – Mean Time to Repair (Severity 1 Issues)
2. Issue Resolution – Mean Time to Repair (Severity 2 Issues)
3. Issue Resolution – Mean Time to Repair (Severity 3 Issues)
4. Issue Resolution Quality - Recidivism Rate
5. Service Availability – Solution Component/Application Availability
6. Solution Performance and Responsiveness
7. Security Compliance
8. Service Request Responsiveness

Business & Managed Services Service Levels: Issue Resolution – Mean Time to Repair (Severity 1 Issues)

Prompt resolution of Solution Severity 1 issues that impact State processing and processes.

This Service Level begins upon completion of agreed production acceptance criteria and a measurement period as documented in the transition to production plan.

The State shall, in consultation with the Contractor, determine the Severity of each issue. Formal declaration of the Severity of each issue to the Contractor will be made by the State Project Manager.

Prioritization: An Issue shall be categorized as a "Severity 1 Issue" if the issue is characterized by the following attributes.
The Issue:
- renders a business critical System, Service, Software, Equipment or network component un-Available, substantially un-Available or seriously impacts normal business operations, in each case prohibiting the execution of productive work, or
- affects either a group or groups of people, or a single individual performing a critical business function, or
- causes violation of policy, regulation or law thereby placing the action at risk of audit and/or legal action.

Measurement: Issue "Time to Repair" will be measured from the time the State reports the issue as Severity 1 to the point in time the Contractor provides either a resolution or workaround to the State for verification and acceptance. In the case where the resolution or workaround is determined by the State to be unacceptable the tracking of the "Time to Repair" will recommence at the time the State reports the unacceptability.

In the case of a workaround, the State may accept the workaround as a short-term solution, allowing the resolution to move to Production, but still need the issue resolved at a lower Severity. In these circumstances, the State will consider the associated Severity 1 issue resolved and the Contractor will establish a new issue at the State determined Severity for management and tracking.

The "Mean Time to Repair" for the reporting month will be measured by assessing the elapsed time (expressed as a decimal number, to two positions after the decimal point, that reflects the hours and minutes) of all resolved Severity 1 issues to determine the statistical mean.

Measurement Period	Data Source	Collection Frequency	SL Formula	SL Measure GYR State		
Reporting Month	Monthly Service Report	Per Issue	Mean Time to Repair (Severity 1 Issues) (Expressed in hours) = (Total elapsed time for all resolved Severity 1 Issues) divided by (Total number of all resolved Severity 1 Issues)	**<= 24 hours**	**> 24 hours and <= 48 hours**	**> 48 hours**

Business & Managed Services Service Levels: Issue Resolution – Mean Time to Repair (Severity 2 Issues)

Prompt resolution of Solution Severity 2 issues that impact State processing and processes.

This Service Level begins upon completion of agreed production acceptance criteria and a measurement period as documented in the transition to production plan.

The State shall, in consultation with the Contractor, determine the Severity of each issue. Formal declaration of the Severity of each issue to the Contractor will be made by the State Project Manager.

Prioritization: An Issue shall be categorized as a "Severity 2 Issue" if the issue is characterized by the following attributes.
The Issue:
- does not render a business critical System, Service, Software, Equipment or network component un-Available, substantially un-Available but a function or functions are not Available, substantially un-Available or functioning as it/they should, and
- affects either a group or groups of people, or a single individual performing a critical business function.

Measurement: In the case of a workaround, the State may accept the workaround as a short-term solution, allowing the resolution to move to Production, but still need the issue resolved at a lower Severity. In these circumstances, the State will consider the associated Severity 1 issue resolved and the Contractor will establish a new issue at the State determined Severity for management and tracking.

The "Mean Time to Repair" for the reporting month will be measured by assessing the elapsed time (expressed as a decimal number, to two positions after the decimal point, that reflects the hours and minutes) of all resolved Severity 2 issues to determine the statistical mean.

Measurement Period	Data Source	Collection Frequency	SL Formula	SL Measure GYR State		
Reporting Month	Monthly Service Report	Per Issue	Mean Time to Repair (Severity 2 Issues) (Expressed in hours) = (Total elapsed time for all resolved Severity 2 Issues) divided by (Total number of all resolved Severity 2 Issues)	**<= 48 hours**	**> 48 hours and <= 72 hours**	**> 72 hours**

Business & Managed Services Service Levels: Issue Resolution – Mean Time to Repair (Severity 3 Issues)

Prompt resolution of Solution Severity 3 issues that impact State processing and processes.

This Service Level begins upon completion of agreed production acceptance criteria and a measurement period as documented in the transition to production plan.

The State shall, in consultation with the Contractor, determine the Severity of each issue. Formal declaration of the Severity of each issue to the Contractor will be made by the State Project Manager.

Prioritization: An Issue shall be categorized as a "Severity 3 Issue" if the issue is characterized by the following attributes.
The Issue:
- causes a group of people or single individual to be unable to access or use a System, Service, Software, Equipment or network component or a key feature thereof, and
- a reasonable workaround is not available, but
- does not prohibit the execution of productive work.

Measurement: Issue "Time to Repair" will be measured from the time the State reports the issue as Severity 3 to the point in time the Contractor provides either a resolution or workaround to the State for verification and acceptance. In the case where the resolution or workaround is determined by the State to be unacceptable the tracking of the "Time to Repair" will recommence at the time the State reports the unacceptability.

In the case of a workaround, the State may accept the workaround as a short-term solution, allowing the resolution to move to Production, but still need the issue resolved at a lower Severity. In these circumstances, the State will consider the associated Severity 1 issue resolved and the Contractor will establish a new issue at the State determined Severity for management and tracking.

The "Mean Time to Repair" for the reporting month will be measured by assessing the elapsed time in business days (expressed as a decimal number, to two positions after the decimal point, that reflects the hours and minutes) of all resolved Severity 3 issues to determine the statistical mean.

Measurement Period	Data Source	Collection Frequency	SL Formula	SL Measure GYR State		
Reporting Month	Monthly Service Report	Per Issue	Mean Time to Repair (Severity 3 Issues) (Expressed in business days) = (Total elapsed time for all resolved Severity 3 Issues) divided by (Total number of all resolved Severity 3 Issues)	**<= 5 days**	**> 5 days and <=10 days**	**> 10 days**

Business & Managed Services Service Levels: Issue Resolution Quality - Recidivism Rate

Resolved Severity 1, 2 and 3 Production issues affecting the Solution do not reoccur or cause other issues as a result of the resolution to the root cause of the Issue.

Monitoring compliance will be determined by tracking the following key performance indicator (KPI):
- Issue Recidivism tracking: the number of closed Severity 1 or 2 issues that reoccur and the number of new issues caused by resolution of a Severity 1, 2 or 3 issue.

Measurement: Recidivism Rate will assess the number of recidivism occurrences in a month to the number of corresponding Severity 1, 2 and 3 issues in the same month.

Measurement Period	Data Source	Collection Frequency	SL Formula	SL Measure GYR State		
Calendar Quarter	Issue Management System Report	Per Issue	Recidivism Rate (Expressed as %) = Total Number of Recidivism Occurrences divided by Total number of Resolved Severity 1, 2 and 3 Issues	**<= 0.5%**	**> 0.5% and <= 1.0%**	**> 1.0%**

Business & Managed Services Service Levels: Service Availability – Solution Component/Application Availability

All Solution components are Available to All State Users for All Business Functions to Support Critical Processes.

This Service Level begins upon completion of agreed production acceptance criteria and a measurement period as documented in the transition to production plan.

Definition: Solution Component/Application Availability means access to each Solution component in the production system is enabled such that users can log-in and business transactions can be executed. While access is dependent on State provided infrastructure, the expectation is that the Contractor will implement operational processes, instrumentation, monitoring and controls that validate availability of Solution components to the State end-users and Suppliers in a manner that distinguishes State infrastructure from Contractor in-scope Solution components.

This SLA will be calculated for those Solution Components/Applications and Service Elements that are directly in the Contractor's scope and will be measured from the end-user community desktop to the ability to process transactions to the Solution database. If, in determination of the root cause of an "unavailable" condition is due to the State LAN, WAN and Data Center outages, or the outage of State provided Infrastructure, the Contractor shall be excused from those outages that arise from such a condition, unless the outage is a direct result of a Contractor created situation.

Measurement Period	Data Source	Collection Frequency	SL Formula	SL Measure GYR State		
Reporting Month	Monthly Service Report	Continuous, 24 hours a day	Application Availability (Expressed as %) = (Total Component/Application Scheduled Uptime – Total Application Unscheduled Outages) divided by (Total Application Scheduled Uptime)	**Production Environment >= 99.0%**	**Production Environment < 99.0% and >= 97.9%**	**Production Environment < 97.9%**

Business & Managed Services Service Levels: Solution Performance and Responsiveness

The Solution performs within expected norms, the end user experience is high performance and responsive and scheduled jobs, processes and reports execute within the established job schedule.

This Service Level begins upon completion of agreed production acceptance criteria and a measurement period as documented in the transition to production plan.

Definition: Solution Performance and Responsiveness will be based upon an end-to-end service class performance baseline (e.g., network time, application/session response time, system time, and network return time) performed by the Contractor during the transition or as mutually agreed will perform for key service elements for a statistically valid sample of: 3 common transactions in each Solution component.

Should the Contractor wish to accept State defined benchmarks in lieu the aforementioned baselining, these values shall serve as the “Performance Baseline” for this Service Level.

Thereafter, the Contractor will perform automated testing on a daily basis for online transaction elements or provide objective evidence from system generated statistics, and provide run-time statistics for scheduled/batch system jobs and scheduled report and compare these to the Performance Baseline.

Two percent deviation values from the Performance Baseline will be calculated:
1) Percent Variation Online Transactions, and
2) Percent Variation Batch/Scheduled Operations.

The higher variation (i.e., online or batch) shall be used in the SL formula for both the numerator and denominator.

Measurement Period	Data Source	Collection Frequency	SL Formula	SL Measure GYR State		
Reporting Month	Monthly Service Report	Continuous, 24 hours a day and Schedule Job/Report Performance	Solution Performance and Responsiveness (Expressed as %) = Observed (Online or Batch Scheduled) Performance divided by Baseline (Online or Batch) Performance	**<= 100%**	**< 100% and >= 95%**	**< 95%**

Business & Managed Services Service Levels: Service Request Responsiveness

Prompt response to Service Requests for adds, modifications and deletions within specified timeframe according to urgency or critical nature of the request.

This Service Level begins upon completion of agreed production acceptance criteria and a measurement period as documented in the transition to production plan.

Formal submission of Service Requests will be made by the State Project Manager or designee.

Priority 1: Adds, modifications or deletions that are critical to the operation and decision-making elements of the solution
Priority 2: Adds, modifications or deletions that are semi-critical to the operation and decision-making elements of the solution
Priority 3: Adds, modifications or deletions that are not critical to the operation of the solution to the operation and decision-making elements of the solution

Measurement: Service Request Elapsed Time will be will be measured from the time the State submits a Service Request to the point in time the Contractor demonstrates completion of the request. This elapsed time will be expressed in business days as a decimal number, to two positions after the decimal point, that reflects the hours and minutes expended to meet the request.

Measurement Period	Data Source	Collection Frequency	SL Formula	SL Measure GYR State		
Daily, Accounting Month	Monthly Service Report	Per Issue	Mean Time to Complete Response (Expressed in business days) = (Total elapsed time for all completed Priority X requests) divided by (Total Number of completed Priority X Requests)	**Priority 1: <= 2 days** **Priority 2: <= 4 days** **Priority 3: <= 6 days**	**Priority 1: >2 days and <= 3 days** **Priority 2: >4 days and <= 6 days** **Priority 3: >6 days and <= 8 days**	**Priority 1: > 3 days** **Priority 2: > 6 days** **Priority 3: > 8 days**

6.6.3 Help Desk Service Levels

The following Service Level Agreements will be effective at the initial deployment of functionality and are detailed in the tables below:

1. Service Desk Availability
2. Call Time to Answer
3. First Contact Resolution Rate
4. Issues Closure Rate
5. Customer Satisfaction

Help Desk Service Levels: Service Desk Availability						
The percentage of time that the service desk environment is available for normal business operations (includes Interactive Voice Response [IVR] or Automated Call Distribution [ACD]). The Contractor must maintain a contact center environment in good operating condition so that standard/normal organization activities can take place within defined time frames. The Service Level for Service Desk Availability is 99.70% based on a standard 11-hour business operation day. Contractor shall measure Service Desk Available Time daily based on elapsed time from first ACD login to last ACD logout times. "Mean Service Desk Availability" will be the statistical mean of the daily times for the month.						
Measurement Period	**Data Source**	**Collection Frequency**	**SL Formula**	**SL Measure GYR State**		
Accounting Month	Monthly Project Report	Per Issue	Service Desk Availability (Expressed as %) = (Mean Service Desk Availability hours) divided by 11 hours	**>= 99.7%**	**> 99% and <= 99.7%**	**<= 99%**

Help Desk Service Levels: Call Time to Answer				
The percentage of calls live answered during the service activity definition time frame, while providing ACD front-end director activity. Based on the number of seconds it takes any user from the organization to connect with the service provider's contact center representative. The Service Level standard will be 90% of calls will be answered less than 30 seconds by a person after call is front-end-directed by automatic call distribution (ACD) system.				
Measurement Period	**Data Source**	**Collection Frequency**	**SL Formula**	**SL Measure GYR State**

Accounting Month	Monthly Project Report	Per Issue	Call time to Answer (Expressed as %) = (Number of calls answered in less than 30 seconds) divided by (Total Number of calls)	**>= 90% calls**	**>= 85% calls and < 90% calls**	**< 85% calls**

Help Desk Service Levels: First Contact Resolution Rate

The percentage of issues resolved by the first Help Desk person to receive the issue, either as a call or email contact.

80% of calls are resolved on the first call, with no related rework.

Measurement Period	Data Source	Collection Frequency	SL Formula	SL Measure GYR State		
Accounting Month	Monthly Project Report	Per Issue	First Call Resolution Rate (Expressed as %) = (Number of issues resolved on the first contact) divided by (Total Calls)	**>= 80% calls**	**>= 70% calls and < 80% calls**	**< 70% calls**

Help Desk Service Levels: Issues Closure Rate

Measures the productivity of the service provided across all end users and customers.

The Issues Closure Rate measure will be based on tracking the number of issues opened and closed in the reporting month.

Measurement Period	Data Source	Collection Frequency	SL Formula	SL Measure GYR State		
Daily, Accounting Month	Monthly Project Report	Per Issue	Issues Closure Rate (Expressed as %) = (Total Number of Closed Issues) divided by (Total Number of Open Issues)	**>= 90%**	**< 90% and >= 80%**	**< 80%**

Help Desk Service Levels: Customer Satisfaction

Measures the performance of the service provided to end user or customer. Used to identify end user's opinion of service performance. The results are used to identify and resolve any issues and problems. Resulting actions should improve end-user/management satisfaction. The Contractor must ensure 80% "very satisfied" or "satisfied" rating for ticket surveys.

The customer satisfaction process will not start until six months after the initial production release.

The Contractor must measure customer satisfaction on a daily basis by sending a customer satisfaction survey to the end user/customer for every closed issue. Survey results will be compiled and averaged each month. The Service Level is 80% (4.0 out of a 5.0 scale).

Measurement Period	Data Source	Collection Frequency	SL Formula	SL Measure GYR State		
Daily, Accounting Month	Monthly Project Report	Per Issue	Customer Satisfaction (Expressed as %) = (Sum of individual Survey scores) divided by (Total Number of responses)	**>= 80%**	**>= 75% and < 80%**	**< 75%**

7. Deliverable Summary