

APPENDIX A

STATEMENT OF WORK

Addendum Number One

January 13, 2010



**Integrated Behavioral Health
Information System**

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1 Capitalized terms used in this Appendix A without definition herein shall have the meanings given to
2 such terms in the body of Appendix E (Sample Agreement), Appendix D (Maintenance and Support
3 Services) or Appendix F (Glossary).

4 **1.0 SCOPE OF WORK**

5 Without limiting the more detailed descriptions set forth in the subsequent sections of this
6 Statement of Work and otherwise in the Agreement, Contractor's Work hereunder shall include
7 the following, in each case in full accordance with the Agreement, this Statement of Work and
8 otherwise with the Specifications:

9 1.1 Contractor shall perform and provide all services, products and other Work to install,
10 set-up, configure, integrate, train County Staff to use, and otherwise deploy and
11 implement Contractor's Application Software as set forth in Appendix B.5 (System
12 Software Response). Any proposed assignment or utilization of County Staff for any
13 Work hereunder must be pre-approved in writing by County's Project Manager in his or
14 her reasonable discretion.

15 1.2 Contractor shall perform, complete and deliver all Tasks, Deliverables, goods, services
16 and other Work as set forth below or in any attached or referenced document, in full
17 compliance with this Statement of Work. Such Tasks and Deliverables shall include
18 without limitation all Custom Programming Modifications, Conversions, Interface
19 development, training, tests, System cutover and System close-out / shut-down
20 services set forth or referenced herein. Also defined in this Statement of Work are
21 those Tasks that involve participation of both Contractor and County. Except to the
22 extent expressly specified as an obligation of County, Contractor shall perform all
23 Tasks and provide all Deliverables set forth herein.

24 1.3 Contractor's Project Manager (and other Contractor staff member's to the extent
25 reasonably requested by County) shall be present at and participate in project related
26 meetings and reviews as set forth herein and as requested by County so as to increase
27 Contractor's understanding of County's business processes and assist Contractor in
28 analyzing, validating and making recommendations which facilitate the completion of
29 project activities. Such recommendations by Contractor shall include, without limitation,
30 recommending practices for business solutions which incorporate County's functional
31 and technical requirements into the System's configuration and recommending System
32 utilization guidelines that increase User productivity and efficiencies.

33 1.4 The System will operate on the approved System Hardware located in two (2)
34 geographical locations, County's Data Center and County's Local Recovery Center as
35 set forth in Task 3.4 (Synchronize for Application and Database Replication) of this
36 Statement of Work.

37 1.5 The Application Software shall provide functionality as set forth in Appendix B
38 (Technical Solution Response) and otherwise in accordance with the Specifications,
39 including but not limited to:



- 40 1.5.1 Clinical functionality to support the delivery of mental health services at DMH
41 Directly Operated Facilities;
- 42 1.5.2 Client accounting, claims processing and administrative functionality to support
43 the Department's role as a provider of mental health services; and
- 44 1.5.3 Administrative claims processing functionality to support the Department's role
45 as a health plan administrator and payor for mental health services delivered
46 via Contract Providers.
- 47 1.6 Contractor shall assist County in implementing a subset of County's programs,
48 services and Interfaces using all Application Software purchased from Contractor for
49 two (2) pilot tests as described in Task 10.0 (System Cutover) of this Statement of
50 Work.
- 51 1.7 Contractor shall provide technical consultative support to the County Staff responsible
52 for System administration and Application Software configuration throughout all System
53 implementation Tasks to support County in its implementation and roll-out of the
54 System. The implementation Tasks may include, but are not limited to, System
55 administration, data Conversion and System cutover.
- 56 1.8 The System will be accepted in accordance with Task 10.3 (Final System Acceptance)
57 only upon successful completion of two (2) pilot tests using a fully functional,
58 completely integrated System and procedural processing package that meets the
59 requirements and legal mandates of County, while addressing all Specifications set
60 forth in the Agreement.
- 61 1.9 **System Deficiencies**
- 62 Defined in this Statement of Work are Tasks and Deliverables which require the
63 installation, configuration and testing of Contractor's System and Contractor's Work to
64 develop Interfaces and Conversion programs for Production Use. Contractor shall
65 provide County with maintenance and support services prior to the commencement of
66 Production Use as described in Paragraph 4.4 (Maintenance and Support Services) of
67 the Agreement. Contractor shall furthermore use corrective measures in accordance
68 with Appendix D (Maintenance and Support Services) to correct errors, malfunctions or
69 problems which result in the System not performing as described in this Section 1.9
70 and the Specifications, requirements and standards set forth in Appendix E (Sample
71 Agreement).
- 72 1.9.1 In all cases prior to Production Use, County's Project Manager or his/her
73 designee, in such person's sole judgment, will determine the priority level of a
74 Deficiency and designate it as Level I or Level II Priority, as defined below for
75 purposes of monitoring timely resolution. Upon Contractor's discovery of
76 Deficiency, Contractor shall in each case, promptly obtain County's priority
77 level, which shall be determined by County's Project Manager or his/her
78 designee.
- 79 A. "Level I Priority" means any non-cosmetic Deficiency.
- 80 B. "Level II Priority" means any cosmetic Deficiency (excluding, for the
81 avoidance of doubt, any Deficiency in appearance which otherwise
82 affects available functionality of the System).



- 83 1.9.2 All Level I Priority Deficiencies shall be corrected in accordance with this
84 Section 1.9 as a condition precedent to the completion and Acceptance of
85 Task 8.0 (System Tests) and Task 9.3 (Conduct Data Conversion Test) of this
86 Statement of Work and prior to Contractor's cutover of the System to
87 Production Use as set forth in Task 10.0 (System Cutover) of this Statement
88 of Work.
- 89 1.9.3 At County's sole discretion, correction of a Deficiency can be deferred if
90 County determines the impact does not impair the next stage of the project or
91 does not impact initiating Task 10.0 (System Cutover). Any such election
92 must be in writing and specifically include the Production Use Priority Level in
93 respect of such Deficiency and the required resolution time and date after
94 which Service Credits in accordance with the normal procedures set forth in
95 Section VI (Service Credits) to Appendix D (Maintenance and Support
96 Services) will begin to accrue.

97 **2.0 DOCUMENT TOOLS AND FORMATTING**

98 Contractor shall comply with County's Project Management Methodology (PMM) and shall
99 document and utilize County's existing project management templates, reporting tools and
100 software to report all Work. Contractor shall deliver all Work in accordance with this Statement
101 of Work as soon as available electronically (in a file format acceptable to County) unless
102 otherwise indicated as follows:

- 103 A. The Detailed Work Plan – using County project management standards in accordance
104 with Task 1.3 (Develop and Present Detailed Work Plan) - must additionally be
105 provided in a hard copy format, if requested by County;
- 106 B. All status reports and other Deliverable documents – in both a hard copy format and an
107 electronic copy delivered via e-mail; and
- 108 C. All System Documentation and Training materials – on a CD/DVD-ROM, in a file format
109 acceptable to County (such acceptable formats including without limitation MS-Office®
110 and Adobe® PDF files), and furthermore accompanied by a hard copy format.

111 **3.0 TASKS AND DELIVERABLES**

112 Contractor's Work hereunder shall include at least the Tasks and Deliverables set forth below,
113 in each case performed in accordance with the requirements set forth in this Statement of
114 Work. The ordering of the Tasks and Deliverables, except where otherwise expressly
115 indicated, is not intended to convey any required sequence of Contractor's performance, and it
116 is expected that Contractor, in its proposal and Detailed Work Plan, will order and intersperse
117 the performance and delivery of these Tasks and Deliverables so as to most efficiently and
118 effectively deploy the System in accordance with County's requirements and Specifications.
119 Some Tasks and Deliverables may be performed in phases or multiple times for different
120 aspects or parts of the System implementation and this scheduling of Work shall in each case
121 be set forth in Contractor's proposal and in detail in the Detailed Work Plan.



122 **TASK 1.0 – PROJECT PLANNING**

123 **Task 1.1 – Project Planning**

124 Throughout the Term of the Agreement, under the direction of County’s Project Director,
125 Contractor shall work collaboratively with County’s Project Manager during the planning and
126 development of County’s IBHIS project work plan. Contractor’s planning (and implementation
127 Work) as set forth in the Detailed Work Plan and otherwise shall include all project activities for
128 the application delivery, configuration, integration, testing, training, Conversion, System
129 cutover, pilot tests and System close-out phases of the project.

130 The results from any planning and strategy meetings between County Staff and Contractor
131 shall be documented by Contractor, who shall provide such reports to County’s Project
132 Manager within five (5) Working Days of said meetings.

133 **DELIVERABLE 1.1 – PROJECT PLANNING**

134 Contractor shall deliver the planning results from all meetings between County Staff and
135 Contractor to County’s Project Manager in accordance with Task 1.1 (Project Planning).

136 **Task 1.2 – Contractor Staff**

137 Contractor shall create and submit a detailed staffing plan with a description of the primary
138 roles and responsibilities of Contractor’s project staff members and provide a project team
139 organization hierarchical box structure depicting Contractor’s implementation project team and
140 reporting relationships.

141 Consultant shall identify work space and equipment needs for Contractor’s project staff
142 requiring access to County’s work space and network computers at the capacity of a full time
143 staff equivalent. County shall make reasonable accommodations, as determined by County in
144 its sole discretion, for Contractor’s project staff with regards to work space and network
145 computers.

146 Consultant shall submit for County’s review and written approval, resumes of proposed
147 Consultant personnel for primary project team roles which describe experience and
148 qualifications to perform all services and Work to which they will be assigned. Resumes shall
149 not exceed three (3) pages per staff member, shall describe staff’s experience for the role
150 assigned and at a minimum shall include:

- 151 A. The proposed role;
- 152 B. Work experience, including dates (i.e., month and year) of employment;
- 153 C. Relevant education and training, including dates, institution name(s) and location(s);
154 professional certifications and college degrees; and
- 155 D. References for a minimum of three (3) projects which contain the company’s name; the
156 contact’s name, position, title and current phone number; the project name, with a brief
157 description of the project and staff member’s specific assignment, role and
158 responsibilities.



159 Contractor will not be responsible for the performance of County personnel. However,
160 Contractor shall manage Contractor staff and address Contractor staffing and personnel
161 matters in a timely manner. Contractor shall coordinate with County's Project Manager to
162 ensure that all Tasks, Deliverables, goods, services and other Work are performed in a timely
163 manner. County may request Contractor to remove specific Contractor personnel at any time
164 when the County determines Contractor personnel do not fulfill the requirements of the Work
165 in accordance with Paragraph 3.3 (Approval of Contractor's Staff) of the Agreement.

166 **DELIVERABLE 1.2 – CONTRACTOR STAFF**

167 Contractor shall submit a detailed staffing plan, resumes and references of proposed
168 Contractor personnel; and a project team organization hierarchical box structure; and shall
169 identify work space and equipment needs for Contractor's project staff requiring access at the
170 capacity of a full time staff equivalent in accordance with Task 1.2 (Contractor Staff).

171 **Task 1.3 – Develop and Present Detailed Work Plan**

172 Contractor shall develop and electronically submit the Detailed Work Plan using the most
173 recent version of Microsoft® Project currently used in the Department in accordance with
174 Paragraph 4.6 (Delivery and Acceptance of Detailed Work Plan) of the Agreement. Chief
175 Information Office Bureau (CIOB) plans to use Microsoft® Enterprise Project Management
176 Server (EPMS) for the IBHIS project Detailed Work Plan and unless otherwise instructed in
177 County's sole discretion, Contractor shall use EPMS when updating the Detailed Work Plan.

178 The Detailed Work Plan shall include, without limitation, the following elements:

- 179 A. Project Milestones and Key Deliverables;
- 180 B. Statement of Work Tasks and Deliverables and the detailed lower level Tasks which
181 will comprise each Task set forth in this Statement of Work;
- 182 C. Sequencing and linking of key dependencies between Tasks;
- 183 D. Contractor resource assignment and suggested County assignment, to include in each
184 case the quantity and type of resources and distinguishing between suggested County
185 and designated Contractor resources for all Tasks and Deliverables;
- 186 E. Duration to complete Tasks in eight (8) hour Working Day increments; and
- 187 F. Baseline start and end dates.

188 **DELIVERABLE 1.3 – DETAILED WORK PLAN – Key Deliverable**

189 Contractor shall submit a Detailed Work Plan in accordance with Task 1.3 (Develop and
190 Present Detailed Work Plan) for County's review and approval.



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TASK 2.0 – PROJECT STATUS REPORTS

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Commencing from the Effective Date through Final System Acceptance, Contractor's Project Manager shall evaluate project results and provide written status reports to County's Project Manager in the format described in Appendix A.2 (Project Status Report) to this Statement of Work on a monthly basis by the thirtieth (30th) Working Day of each calendar month for the previous month's activities. The status reports shall compare actual progress to-date against Contractor's Detailed Work Plan approved by County and report any start date and end date variances. Contractor's Project Manager shall furthermore meet in person at least weekly with County's Project Manager and be prepared to discuss the content of the monthly report and any changes in project status, and it is anticipated that meetings between Contractor's Project Manager and County's Project Manager may occasionally be required more frequently in relation to IBHIS project activities.

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Contractor's progress on all Tasks and Deliverables set forth in the Detailed Work Plan shall be tracked using the most recent version of Microsoft® Project currently used in the Department and shall include:

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- A. Actual start and end dates;
- B. Start date and end date variances; and
- C. A separate notation of County's review and Acceptance of each Deliverable.

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A hardcopy of this progress against the Detailed Work Plan shall be attached to each Project Status Report prepared by Contractor. Contractor shall report at the weekly status meetings and be prepared to discuss in detail any project risks or issues identified as part of the quality assurance process. As part of project management, County may conduct a proactive vendor independent review of the project's progress and quality to ensure that County realizes the maximum benefit from the System.

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DELIVERABLE 2.0 – PROJECT STATUS REPORTS

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Contractor's Project Manager shall prepare Project Status Reports in accordance with Task 2.0 (Project Status Reports) not less than monthly. At not less than weekly status meetings with Contractor's Project Manager, Contractor shall discuss the report, as well as any changes since the last report, and discuss progress against the Detailed Work Plan provided with the Project Status Reports.

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The first Project Status Report shall be presented to County's Project Manager twenty (20) Working Days following the Effective Date.



223 **TASK 3.0 – VERIFY SYSTEM HARDWARE, DELIVER AND LOAD SOFTWARE**

224 **Task 3.1 – Verify System Hardware Specifications**

225 The Department utilizes an existing data center through a contract service agreement with
226 Internal Services Department (ISD). The System will operate on the approved System
227 Hardware located in two (2) geographical locations, County’s Data Center and County’s Local
228 Recovery Center.

229 Prior to Contractor loading Baseline Application Software and within seven (7) Working Days
230 of notification from County, Contractor shall verify at County’s Data Center and at County’s
231 Local Recovery Center that hardware installed by County and operating system software and
232 Database Management System (DBMS) configured by County, and DBMS administrative
233 accounts created by County meet Contractor’s Specifications as specified in Appendix B.4
234 (System Hardware Response).

235 **DELIVERABLE 3.1 – VERIFY SYSTEM HARDWARE SPECIFICATIONS**

236 Contractor shall verify and provide to County written confirmation that hardware, operating
237 system software and DBMS software and administrative accounts meet Contractor’s
238 Specifications in accordance with Task 3.1 (Verify System Hardware Specifications).

239 **Task 3.2 – Deliver Application Software and Documentation**

240 Contractor shall deliver to County all System Components identified in the Agreement,
241 including all applicable System Software and Documentation, within twenty (20) Working Days
242 of the Effective Date, with the exception of Custom Programming Modifications to be
243 developed later in the Term. Furthermore, such Documentation shall fully contain all System
244 Software functionality and data definitions, and all such Documentation files shall be in the
245 format of on-line help. Contractor shall provide in writing a list confirming all such System
246 Components delivered.

247 **DELIVERABLE 3.2 - APPLICATION SOFTWARE DELIVERY**

248 Contractor shall deliver to County all System Components other than Custom Programming
249 Modifications in accordance with Task 3.2 (Deliver Application Software and Documentation)
250 and shall certify in writing and provide to County a list of all such System Components
251 delivered.

252 **Task 3.3 – Load Baseline Application Software**

253 Contractor shall load Baseline Application Software and configure to operate with County
254 specified TCP/IP ports using the RSA SecurID for access from outside the DMH network,
255 configure to communicate with, and otherwise utilize, the DBMS at County’s Data Center and
256 County’s Local Recovery Center. Contractor shall configure baseline as to create all of the
257 production, training and testing environments at County’s Data Center, and County’s Local
258 Recovery Center. Prior to configuration of synchronized Application Software and DBMS
259 replication activities between County’s Data Center and County’s Local Recovery Center in
260 accordance with Task 3.4 (Synchronize for Application and Database Replication), Contractor
261 shall (a) minimally configure Baseline Application Software so as to test and successfully



262 demonstrate to County’s Project Manager the connectivity of the application to the DBMS, (b)
263 test and successfully demonstrate integration of third party plug-ins, and (c) test and
264 successfully demonstrate User authentication through RSA SecurID at County’s Data Center
265 and County’s Local Recovery Center. Contractor shall correct all detected Deficiencies in
266 accordance with Section 1.9 (System Deficiencies) as set forth in this Statement of Work.

267 **DELIVERABLE 3.3 – LOAD BASELINE APPLICATION SOFTWARE – Key Deliverable**

268 Baseline Application Software shall be loaded, configured, tested and successfully
269 demonstrated by Contractor as operational at County’s Data Center and County’s Local
270 Recovery Center and Contractor shall create all of the production, training and testing
271 environments at County’s Data Center and County’s Local Recovery Center in accordance
272 with Task 3.3 (Load Baseline Application Software). Contractor shall correct all detected
273 Deficiencies in accordance with Section 1.9 (System Deficiencies).

274 **Task 3.4 – Synchronize for Application and Database Replication**

275 After consulting with County and receiving the approval of County’s Project Manager on the
276 proposed synchronization architecture, Contractor shall configure Baseline Application
277 Software and DBMS for synchronized application and database replication, based upon the
278 Contractor’s application design and County’s business continuity requirements as set forth in
279 Appendix B (Technical Solution Response). This configuration shall include but not be limited
280 to designing, building and testing the replication process to confirm full functionality.

281 Contractor shall fully test and certify in writing that System recovery functionality is operational.
282 Furthermore, Contractor shall confirm successful recovery functionality in situations including
283 but not limited by: (a) removal from the network of the County Data Center System Hardware;
284 (b) removal of power from the County Data Center System Hardware; and (c) reboot of the
285 County Data Center System Hardware; in each case followed by restoring the System to
286 normal operation at both System Hardware sites and full and successful resynchronization
287 (collectively, the “Business Continuity Tests”).

288 Contractor shall document its procedures and the performance of testing and all applicable
289 results and certify in writing at the conclusion of each testing that: (a) County’s Data Center
290 and County’s Local Recovery Center is configured to recover such that if the County’s Data
291 Center experiences a failure, County’s Local Recovery Center will operate and provide full
292 System Software functionality to all Users; (b) that databases for both sites are synchronized;
293 (c) the integrity of data between both sites collectively perform according to all Specifications,
294 requirements and standards set forth in Appendix B (Technical Solution Response) and this
295 Statement of Work; and (d) County’s Data Center and County’s Local Recovery Center
296 collectively otherwise maintain business continuity during any failure of County’s Data Center
297 in accordance with the Agreement. Contractor shall correct all detected Deficiencies in
298 accordance with Section 1.9 (System Deficiencies) of this Statement of Work.

299 Contractor shall thereafter conduct Business Continuity Tests upon the written request of
300 County’s Project Director throughout System implementation until such time as County
301 provides Final System Acceptance.



302 Contractor shall furthermore develop and provide to County a comprehensive, verifiable
303 automated process to run, which shall validate that (a) recovery was successful, (b)
304 functionality has been restored, and (c) data integrity preserved.

305 Contractor and County shall identify, establish, test and document a secure method to access
306 the System remotely in order to perform Maintenance and Support Services as described in
307 Section II.B.(1) to Appendix D (Maintenance and Support Services).

308 **DELIVERABLE 3.4 – SYNCHRONIZE FOR APPLICATION AND DATABASE**
309 **REPLICATION – Key Deliverable**

310 Contractor shall provide an automated business continuity validation process, establish a
311 documented secure method to remotely access the System, configure, test and provide written
312 procedures and test results which successfully demonstrate that Baseline Application Software
313 and DBMS are fully synchronized and otherwise configured for recovery between County's
314 Data Center and County's Local Recovery Center in accordance with Task 3.4 (Synchronize
315 for Application and Database Replication). Contractor shall correct all detected Deficiencies in
316 accordance with Section 1.9 (System Deficiencies).

317 **TASK 4.0 - SYSTEM TRAINING**

318 **Task 4.1 – Develop Training Plan**

319 Prior to initiating training of County Staff, Contractor shall develop a training plan for County's
320 approval which shall include training on all aspects of the System for six (6) specific and
321 distinct classes of County Staff identified in Item B in this Task 4.1. In developing the training
322 plan, Contractor shall employ a training methodology that ensures the training requirements
323 and training materials are effectively used throughout all instances of training.

324 A. Contractor shall develop a training plan which includes, without limitation:

325 Approach

- 326 (1) Contractor's approach for training, testing, and assessing distinct classes of
327 trainees, based on their respective role-specific System implementation and
328 System support responsibilities as described in Task 4.2 (Conduct Training);
- 329 (2) Contractor's plan and approach for providing on-the-job training for System
330 administration trainees in accordance with Item A(2) of Task 4.2 (Conduct
331 Training);
- 332 (3) Contractor's plan and approach for providing on-the-job training for application
333 trainer trainees in accordance with Item F(2) of Task 4.2 (Conduct Training);
- 334 (4) Contractor's approach for training on security features relative to each trainee's
335 respective implementation and support responsibilities;
- 336 (5) Contractor's approach for providing functionality, operation and troubleshooting
337 training on peripheral hardware, elected by County as specified in Section 4.2
338 (Required Peripheral Hardware) of Appendix B.4 (System Hardware
339 Response);

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- 341 Training Schedule
- 342 (6) Contractor's timeline and detailed training schedule which includes dates and
343 times for conducting training. Contractor's timeline must comply with the
344 following timing requirements:
- 345 (a) System administration training occurs prior to Task 3.3 (Load Baseline
346 Application Software);
- 347 (b) Database administration training occurs prior to Task 5.0 (Configure
348 System);
- 349 (c) Interface development training occurs prior to Task 6.0 (Integration);
- 350 (d) Report/query writer training occurs prior to Task 8.0 (System Tests);
- 351 (e) Application Software configuration training occurs prior to Task 5.0
352 (Configure System); and
- 353 (f) Application trainer training occurs on thirty (30) Working Days notice.
- 354 (7) Contractor's schedule for providing on-the-job training during County Working
355 Day(s), for System administration trainees and application trainer trainees in
356 accordance with Task 4.2 (Conduct Training);
- 357 Training Materials, Testing and Assessment
- 358 (8) Contractor's list and description of all training materials and Documentation to
359 be distributed based on the type of training to be provided;
- 360 (9) Contractor's provision for testing all trainees in proportion to the training
361 received;
- 362 (10) Contractor's submission of all scored test results and the test score average for
363 each class within five (5) Working Days of completion for each session;
- 364 (11) Where appropriate and as a result of low test scores, Contractor's provision to
365 repeat training for each distinct class of trainee's described in Task 4.2
366 (Conduct Training);
- 367 (12) Contractor's post-training assessment as described in Item F(2) of Task 4.2
368 (Conduct Training) of all application trainer staff, which shall objectively
369 measure the application trainer's proficiency based on demonstrated ability to
370 train Users (e.g., end-user training) submitted within five (5) Working Days of
371 the completion of each session;
- 372 County's Training Environment
- 373 (13) Contractor's creation of User training data in County's training environment for
374 training conducted at County site, unless elected otherwise by County;



- 375 Recommendations
- 376 (14) Contractor's recommendation for the training environment to be used by
377 Contractor for training County Staff identified in Item B of this Task 4.1 County
378 shall make reasonable accommodations, as determined by County in its sole
379 discretion;
- 380 (15) Contractor's recommendation for the number and type of County Staff required
381 to support the implementation of the System (e.g., super-users) in each of the
382 following operational classifications:
- 383 • Administrative Managers
 - 384 • Central Office Managers
 - 385 • Clinic Operations
 - 386 • Clinicians
 - 387 • Medical Records Technician
 - 388 • Psychiatrists
- 389 (16) Contractor's recommendations to County for determining its approach to
390 training Users during System roll-out; and
- 391 (17) Contractor's recommendations to County for annual, additional and ongoing
392 training specific to each distinct class of trainees, which shall include seminars,
393 web casts, conferences and Contractor or customer-based User groups,
394 identifying dates and locations where known.
- 395 B. As a requirement of the training plan, Contractor shall train no less than the following
396 distinct classes and numbers of County Staff:
- 397 (1) Two (2) System administration trainees, for all applicable aspects of System
398 administration, security and operations;
 - 399 (2) Three (3) database administration trainees, for all applicable aspects of
400 database administration;
 - 401 (3) Two (2) Interface development trainees, for all applicable aspects of Interface
402 development, implementation and deployment;
 - 403 (4) Six (6) report/query writer trainees, for all applicable aspects of report and
404 query writing;
 - 405 (5) Twenty (20) application configuration trainees, for all applicable aspects of both
406 initial application configuration and on-going Application Software support; and
 - 407 (6) Twenty-seven (27) application trainer trainees, utilizing a train-the-trainer
408 approach for all aspects of training County Staff on the Application Software
409 (e.g., end-user training).

410 **DELIVERABLE 4.1 – TRAINING PLAN**

411 Contractor shall develop and deliver to County a training plan for County's review and
412 approval, in accordance with Task 4.1 (Develop Training Plan).



413 **Task 4.2 – Conduct Training**

414 Upon County’s approval of training plan, Contractor shall conduct training sessions utilizing
415 training materials and Documentation as set forth in Task 4.3 (Training Materials and
416 Documentation) and at minimum, without limitation, deliver the following:

417 A. System administration training:

418 (1) Contractor shall provide comprehensive hands-on classroom training on all
419 administrative System functionality including, but not limited to, activities
420 specific to the support and maintenance of operating systems, servers,
421 Interfaces, hardware peripherals and security, as appropriate, and necessary
422 for the trainee to obtain a detailed working knowledge and competency of the
423 System’s capabilities with respect to their respective responsibilities.

424 (2) In addition to classroom training, Contractor shall provide on-the-job training to
425 two (2) County Staff on the operation, support and maintenance of the System
426 and throughout all applicable System implementation activities. Such training
427 must be sufficient for the System administration trainees to achieve a proficient
428 level of understanding to immediately operate the System under the guidance
429 and technical support of Contractor at the beginning of the implementation.
430 Further, as a result of the training, such trainees must have the competency to
431 operate the System at System cutover. As part of on-the-job training,
432 Contractor shall allow System administration trainees to shadow Contractor’s
433 technical System administration staff throughout Work set forth in Task 3.0
434 (Verify System Hardware, Deliver and Load Software), Task 9.4 (Conduct
435 Conversion) and make any other necessary provisions to enhance and support
436 trainees’ understanding and exposure to System administration.

437 B. Database administration training:

438 Contractor shall provide comprehensive hands-on classroom training on all database
439 administration, including, but not limited to, resulting in the trainees’ complete
440 understanding of the System’s database organization and structure. Upon completion
441 of such training, trainee shall obtain a detailed working knowledge of the System’s
442 database infrastructure, database design and database administration tools, System
443 tables, key fields, indexes, and appropriate table links, triggers, constraints, and stored
444 procedures as it pertains to their specific responsibilities to provide database
445 administration for the System.

446 C. Interface development training:

447 Contractor shall provide comprehensive hands-on classroom training for Interface
448 development, including, but not limited to, activities specific to the development,
449 support, and maintenance of Interfaces to and from the System. Upon completion of
450 such training, trainee shall obtain a detailed working knowledge and understanding of
451 the System’s capabilities, including, but not limited to, the development and
452 configuration of standard data Interfaces (e.g., HL7, X.12 and XML), Interface
453 administration utilities and tools to view the status of on-line Interfaces, start and stop
454 existing Interfaces, re-load unprocessed batches, and bring newly developed
455 Interfaces on-line.



- 456 As part of the classroom training, Contractor shall provide live Interfaces and
457 classroom case study assignments for each trainee to use to achieve competency as it
458 pertains to their specific responsibilities to monitor and support System Interfaces.
- 459 D. Report and query writer training:
- 460 Contractor shall provide comprehensive hands-on classroom report and query writing
461 training for trainees to obtain a detailed working knowledge of the System's report and
462 query writing tools and capabilities and include training activities which provide an
463 understanding of the System architecture and data dictionaries. Upon completion of
464 such training, trainee shall have achieved the competency necessary to develop,
465 maintain, and distribute standard and ad-hoc reports. Such training shall include
466 without limitation, the use of report and query writing tools, on-line or importable
467 graphics, distribution of reports for specific User groups, data export capabilities, and
468 the query application and System tables against external data sources.
- 469 E. Application configuration training:
- 470 Contractor shall provide comprehensive hands-on classroom training including, but not
471 limited to activities specific to configuring all Components of the Application Software.
472 Upon completion of such training, trainee shall have obtained a detailed working
473 knowledge of the Application Software configuration settings and capabilities so as to
474 achieve competency as it pertains trainees-specific implementation responsibilities to
475 analyze, configure, test, roll-out and support Components of the Application Software.
476 Contractor shall provide training activities and case study scenarios relating to the
477 System configuration options and settings that allow trainees to configure Components
478 of the System and analyze the results.
- 479 F. Application trainer training:
- 480 (1) Contractor shall provide comprehensive hands-on classroom training on all
481 Components of the System as appropriate, in order for the trainee to achieve a
482 proficient level of understanding of the System and expertise as a trainer as a
483 prerequisite to training County Staff (e.g., end-users). Contractor shall provide
484 trainees with instruction on how to train Users, how to use scenarios, exercises,
485 User surveys and other tools to assess subject mastery, and how to address
486 questions and issues raised in the classroom. Contractor's instruction shall
487 include other information as reasonably required by County to prepare County's
488 trainer to train Users prior to System cutover. Contractor shall create User
489 training data in County's training environment unless elected otherwise by
490 County.
- 491 (2) In addition to classroom training, Contractor shall participate in User training
492 classes conducted by County's trainers and provide guidance, technical
493 support, instruction and a written assessment for no less than four (4) User
494 training classes, (two (2) for each pilot test), as to each trainer's demonstrated
495 ability to train Users.



496 **DELIVERABLE 4.2 – TRAINING – Key Deliverable**

497 Contractor shall train distinct classes of trainees, deliver training materials and Documentation
498 and User training data, unless elected otherwise by County in accordance with Task 4.2
499 (Conduct Training) and deliver to County test results; class score averages and application
500 trainer assessments in accordance with Task 4.1 (Develop Training Plan).

501 **Task 4.3 – Training Materials and Documentation**

502 A. Contractor shall provide System training materials for each trainee specific to each
503 distinct class of training in accordance with Section 2.0 (Document Tools and
504 Formatting) of this Statement of Work and shall include without limitation:

- 505 (1) Training session agendas and sign-in sheets;
- 506 (2) Lesson plans which describe the objective of each session;
- 507 (3) Time allocations for each System Component;
- 508 (4) Navigation guide through System Components and functions as they occur
509 during training; and
- 510 (5) Training exercises which include problem scenarios for County Staff to perform
511 a self assessment of subject mastery prior to testing.

512 B. Contractor shall provide Documentation for each trainee in accordance with Section
513 2.0 (Document Tools and Formatting) of this Statement of Work which shall include
514 without limitation:

- 515 (1) An orientation to the System including the interdependency of data between
516 Components;
- 517 (2) Descriptions of System Software functionality that include screen prints, step-
518 by-step instructions on how to navigate through the System and how to use
519 each function, and a description of all reports associated with each System
520 Component;
- 521 (3) Instructions on how to access and use online help;
- 522 (4) Quick reference guides; and
- 523 (5) Instructions on how to troubleshoot System error messages and respond to
524 System notifications.

525 Such documentation shall be organized in such a manner so that County Staff can
526 readily locate, identify, understand and use the information as an aid in the completion
527 of their respective System implementation tasks and responsibilities.

528 C. In addition, Contractor shall provide training materials in accordance with Section 2.0
529 (Document Tools and Formatting) of the Statement of Work to be used as the basis for
530 developing training materials for County Staff (e.g., end-user training). Such training
531 materials shall include without limitation a list of System Components with suggested
532 training time allocated per Component, tests with answer sheets for each System
533 Component and training surveys which measure training efficiency in relation to the
534 subject matter.



535 D. In addition, Contractor shall materially contribute to the development of User training
536 materials to be used in classroom; videoconferencing and web based training settings
537 to the extent reasonably requested by County.

538 **DELIVERABLE 4.3 – TRAINING MATERIALS**

539 Contractor shall deliver System training materials and Documentation to each trainee; and
540 training materials and content to be used as a basis to develop training materials to County's
541 Project Manager in accordance with Task 4.3 (Training Materials and Documentation).

542 **TASK 5.0 – CONFIGURE SYSTEM**

543 Contractor shall provide consultative guidance and recommended practices and business
544 solutions to support County's configuration and definition of System settings to meet all State
545 clinical documentation, billing, claiming and reporting requirements. Contractor shall review
546 System configuration settings prior to testing to ensure the efficiency and effectiveness of
547 clinical and business operations in meeting all Specifications, requirements and standards set
548 forth in Appendix B (Technical Solution Response) of this Agreement and federal and state
549 mandates for an Electronic Health Record (EHR).

550 If County elects to acquire peripheral hardware recommended by Contractor as set forth in
551 Contractor's response in Section 4.2 (Required Peripheral Hardware) of Appendix B.4 (System
552 Hardware Response), Contractor shall configure such recommended peripheral hardware and
553 demonstrate the successful operation of the peripheral hardware to County's Project Manager.
554 Contractor shall provide County with operational Documentation, including without limitation,
555 System Hardware set-up and basic troubleshooting.

556 Contractor shall correct all System Hardware and peripheral hardware configuration
557 Deficiencies in accordance with Section 1.9 (System Deficiencies) of this Statement of Work.

558 **DELIVERABLE 5.0 – CONFIGURE SYSTEM**

559 Contractor shall correct all detected Deficiencies in accordance with Section 1.9 (System
560 Deficiencies) and confirm in writing that the System, including peripheral hardware elected by
561 County, is configured and operational for module testing in accordance with Task 5.0
562 (Configure System). Contractor shall provide operational Documentation on all peripheral
563 hardware elected by County.

564 **TASK 6.0 – INTEGRATION**

565 **Task 6.1 – Pre-Defined Interfaces**

566 **Task 6.1.1 – Develop Checkwrite File Interface**

567 Contractor shall develop, test and implement the Interfaces with the Auditor-Controller's
568 eCAPS financial system as specified in Appendix A.1 (Auditor-Controller eCAPS Interfaces) to
569 this Statement of Work. County Staff shall monitor and support System Interfaces with regards
570 to their specific responsibilities and in accordance with Task 4.0 (System Training).



571 Contractor shall correct all detected Deficiencies in accordance with Section 1.9 (System
572 Deficiencies).

573 **Task 6.1.2 – Develop Standard Interfaces**

574 Contractor shall develop, test and provide the required standard Interfaces described in
575 Appendix B (Technical Solution Response), including without limitation Interfaces for the
576 SDMH and Medicare Fiscal Intermediary. County Staff shall monitor and support System
577 Interfaces with regards to their specific responsibilities and in accordance with Task 4.0
578 (System Training). Contractor shall correct all detected Deficiencies in accordance with
579 Section 1.9 (System Deficiencies).

580 **Task 6.1.3 – Develop Credentialing Interfaces**

581 Contractor shall develop, test and implement clinical staff and practitioner Interfaces to the
582 DMH Credentialing System following the HL7 standard. County Staff shall monitor and
583 support System Interfaces with regards to their specific responsibilities and in accordance with
584 Task 4.0 (System Training). Contractor shall correct all detected Deficiencies in accordance
585 with Section 1.9 (System Deficiencies).

586 **DELIVERABLE 6.1 – INTEGRATION – Key Deliverable**

587 Contractor shall develop, test, install and otherwise fully implement each Interface set forth in
588 Appendix A.1 (Auditor-Controller eCAPS Interfaces) and Appendix B (Technical Solution
589 Response) to this RFP. Contractor shall correct all detected Deficiencies in accordance with
590 Section 1.9 (System Deficiencies).

591 **TASK 7.0 – DEVELOP CUSTOM PROGRAMMING MODIFICATIONS**

592 Contractor shall, upon the written request by County's Project Director, or his/her designee,
593 develop and provide Custom Programming Modifications in accordance with Paragraph 1.4.30
594 (Custom Programming Modifications) of the Agreement.

595 **DELIVERABLE 7.0 – CUSTOM PROGRAMMING MODIFICATIONS**

596 Contractor shall deliver Custom Programming Modifications in accordance with Task 7.0
597 (Develop Custom Programming Modifications).

598 **TASK 8.0 – SYSTEM TESTS**

599 Upon the completion of a successful delivery, installation and configuration of the requisite
600 System Components, both Contractor and County shall perform System Tests as provided in
601 this Task 8.0 (hereinafter also separately or cumulatively "System Test(s)") in the testing
602 environment, unless otherwise specified by County. All System Tests shall be repeated until
603 successfully completed in accordance with System Test Acceptance criteria as defined in Task
604 8.1 (Develop System Test Plan). Contractor shall correct all detected Deficiencies in
605 accordance with Section 1.9 (System Deficiencies) of this Statement of Work.



606 **Task 8.1 – Develop System Test Plan**

607 After consulting with County and receiving the approval of County’s Project Manager on
608 Contractor’s proposed test strategy, Contractor shall develop a corresponding test plan
609 (hereinafter “System Test Plan”) for all System Tests. Contractor shall deliver the System Test
610 Plan to County for County’s review and approval. The System Test Plan shall include without
611 limitation defining assumptions, testing scope, approach, the use of automated test tools,
612 regression testing, System Test Acceptance criteria, testing schedules and assignment of
613 responsibilities and resource requirements.

614 **DELIVERABLE 8.1 – SYSTEM TEST PLAN**

615 Contractor shall develop and deliver to County a System Test Plan for County’s review and
616 approval, in accordance with Task 8.1 (Develop System Test Plan).

617 **Task 8.2 – Conduct Module Tests**

618 Prior to County conducting reporting tool tests and integration tests, Contractor shall create
619 module test scripts in an electronic file format acceptable to County and create System test
620 data in County’s test environment that will allow County to test the Components of the
621 Application Software separately. Contractor shall ensure that test scripts include validation of
622 standard reports and test scripts are designed to validate that Application Software meets all
623 Specifications set forth in Appendix B (Technical Solutions Response) except to the extent
624 requirements are otherwise to be tested under Task 8.4 (Conduct System Integration Test).
625 Contractor shall correct all detected Deficiencies in accordance with Section 1.9 (System
626 Deficiencies) of this Statement of Work.

627 Contractor shall, within ten (10) Working Days of County’s successful completion of the
628 module testing as determined by County in its sole discretion, provide a written report in a
629 format approved by County, of all Deficiencies detected as a direct result of module testing.

630 **DELIVERABLE 8.2 – MODULE TESTS**

631 Contractor shall deliver test scripts and create test data in County’s test environment in
632 accordance with Task 8.2 (Conduct Module Tests). Contractor shall correct all detected
633 Deficiencies in accordance with Section 1.9 (System Deficiencies) and deliver a written report
634 of all Deficiencies detected as a direct result of module testing in accordance with Task 8.2
635 (Conduct Module Tests).

636 **Task 8.3 – Conduct Reporting Tool Tests**

637 County shall test all report development tools as appropriate, to ensure that they meet the
638 requisite requirements set forth in Appendix B (Technical Solution Response). Contractor
639 shall correct all detected Deficiencies in accordance with Section 1.9 (System Deficiencies) of
640 this Statement of Work.

641 Contractor shall, within ten (10) Working Days of County’s successful completion of the
642 reporting tool testing as determined by County in its sole discretion, provide a written report in
643 a format approved by County, of all Deficiencies detected as a direct result of reporting tool
644 testing.



645 **DELIVERABLE 8.3 - REPORTING TOOL TESTS**

646 Contractor shall correct all detected Deficiencies in accordance with Section 1.9 (System
647 Deficiencies) and deliver a written report of all Deficiencies detected as a direct result of
648 reporting tool testing in accordance with Task 8.3 (Conduct Reporting Tool Tests).

649 **Task 8.4 – Conduct System Integration Test**

650 Ninety (90) Working Days prior to County conducting System integration tests, Contractor shall
651 provide County with a schematic which depicts both data flow and data processing through the
652 System for each Component to facilitate County’s development of test scenarios. County shall
653 conduct the System integration test, which is a systematic approach to the testing of System
654 Hardware, Application Software, County’s business policies and workflow procedures and all
655 existing Interfaces prior to Production Use. A complete and comprehensive System integration
656 test must successfully perform all functional requirements, technical requirements and
657 Interfaces and shall include all combinations of input, output and error conditions. Contractor
658 shall correct all detected Deficiencies in accordance with Section 1.9 (System Deficiencies) of
659 this Statement of Work and provide consultative technical support and instruction to County
660 Staff during County’s development and execution of test scenarios.

661 Contractor shall, within ten (10) Working Days of County’s successful completion of System
662 integration testing as determined by County in its sole discretion, provide a written report in a
663 format approved by County, of all Deficiencies detected as a direct result of System integration
664 testing.

665 **DELIVERABLE 8.4 - SYSTEM INTEGRATION TEST**

666 Contractor shall deliver a complete System data flow and data processing schematic for the
667 System to be used by County to complete a comprehensive System integration test which
668 must successfully perform all functional requirements, technical requirements and Interfaces
669 and shall include all combinations of input, output and error conditions. Contractor shall
670 correct all detected Deficiencies in accordance with Section 1.9 (System Deficiencies) and
671 deliver a written report of all Deficiencies detected as a direct result of System integration
672 testing in accordance with Task 8.4 (Conduct System Integration Test).

673 **Task 8.5 – Conduct System Performance Test**

674 County and Contractor shall conduct System Performance Test in the production environment
675 in accordance with the System Test Plan approved by County to benchmark System
676 performance and to determine and resolve any performance Deficiencies until such point as
677 the System successfully meets the System Performance Requirements, including Response
678 Time, identified in Appendix D (Maintenance and Support Services). Contractor shall employ
679 software that will simulate multiple Users and various activities occurring simultaneously in
680 order to accurately evaluate the System’s performance under moderate and rated-maximum
681 load conditions. Contractor shall track the performance of the System under such conditions
682 and correct all detected Deficiencies in accordance with Section 1.9 (System Deficiencies) of
683 this Statement of Work.



684 Contractor shall perform Business Continuity Tests as set forth in Task 3.4 (Synchronize for
685 Application and Database Replication) of this Statement of Work to perform recovery testing
686 as part of the performance test.

687 Contractor shall, within ten (10) Working Days of successful completion of System
688 performance testing as determined by County in its sole discretion, report to County in a
689 written format approved by County, its System performance test results which shall include a
690 report of all Deficiencies detected as a direct result of System performance testing.

691 **DELIVERABLE 8.5 – SYSTEM PERFORMANCE TEST – Key Deliverable**

692 Contractor shall test System performance and recovery using software provided by Contractor
693 which simulates multiple Users and various activities occurring simultaneously and correct all
694 detected Deficiencies in accordance with Section 1.9 (System Deficiencies). Contractor shall
695 deliver a written test results report and include a report of all Deficiencies detected as a direct
696 result of System performance testing in accordance with Task 8.5 (Conduct System
697 Performance Test).

698 **TASK 9.0 – DATA CONVERSION**

699 **Task 9.1 – Develop Data Conversion Plan**

700 County anticipates the Conversion of approximately 260,000 active clients and 280,000 client
701 treatment episodes from the legacy IS. Contractor shall provide, for County’s review and
702 approval, a proposed data Conversion strategy for: (a) data clean up prior to Conversion; (b)
703 the Conversion of all active client identification, demographic and benefit data; (c) the
704 Conversion of all client treatment episodes for the twelve (12) months prior to cutover to
705 Production Use; and (d) the validation of converted data.

706 County shall deliver to Contractor for Conversion two (2) sets of data extracted from the
707 Department’s existing IS of: (a) all active client identification, demographic and benefit data;
708 and (b) all client treatment episodes for the twelve (12) months prior to cutover. County shall
709 exercise reasonable efforts to complete data clean up prior to data Conversion and shall
710 exercise reasonable efforts to resolve as many data issues as possible prior to data
711 Conversion; however, County makes no representations or warranties whatsoever concerning
712 the quality or scope of data issues resolved by County prior to the data Conversion. County
713 Staff shall assist Contractor with regards to their specific responsibilities to support System
714 Conversion activities.

715 Contractor shall upon County’s approval of Contractor’s strategy, develop a Conversion plan
716 (hereinafter “Data Conversion Plan”) for County’s review and approval that provides a data
717 Conversion process which allows for the maximum reliance on an automated approach with
718 minimum disruption to the existing legacy system and ongoing operations; however,
719 Contractor should identify areas where manual replacement of data is recommended in lieu of
720 automation. The Data Conversion Plan at minimum shall include without limitation all
721 Components listed below:

- 722 A. Objectives;
- 723 B. Assumptions;



- 724 C. Scope;
- 725 D. Approach (e.g., sample record size, representative data, increasing volume of
726 converted data, conversion process, number of final conversion files);
- 727 E. Schedule;
- 728 F. Responsibilities and resource requirements;
- 729 G. Identification of pre-Conversion requirements (e.g., data definitions and mapping, field
730 formatting, code Conversion);
- 731 H. Data clean-up process, to include definition of methods to be employed to add records
732 to the database if they did not convert successfully;
- 733 I. Data Conversion process flow diagram;
- 734 J. Development of program code in accordance with Task 9.2 (Develop Data Conversion
735 Programs);
- 736 K. Development of Contractor's test plans, to include test scripts, regression testing, test
737 outcome Acceptance criteria, specific sample records to be monitored and controls to
738 ensure all records were either successfully converted or identified for exception
739 processing;
- 740 L. Iterative results review and resolution of exceptions;
- 741 M. Data Conversion/client migration cutover plan;
- 742 N. Acceptance criteria, to include a percentage threshold of not less than ninety-nine
743 percent (99%) exception-free conversion; and
- 744 O. Contingency plan.

745 **DELIVERABLE 9.1 – DATA CONVERSION PLAN**

746 Contractor shall deliver for County's approval a Data Conversion strategy and Data
747 Conversion Plan developed in accordance with Task 9.1 (Develop Data Conversion Plan).

748 **Task 9.2 – Develop Data Conversion Programs**

749 Contractor shall develop System Software for performing the Conversion and deliver to County
750 a Data Conversion process flow diagram in accordance with the County's approved Data
751 Conversion Plan.

752 **DELIVERABLE 9.2 – DATA CONVERSION PROGRAMS – Key Deliverable**

753 Contractor shall develop Conversion System Software and deliver to County a Data
754 Conversion process flow diagram in accordance with Task 9.2 (Develop Data Conversion
755 Programs).

756 **Task 9.3 – Conduct Data Conversion Test**

757 Contractor shall conduct Conversion testing of a full data Conversion in County's testing
758 environment and correct all detected Deficiencies in accordance with Section 1.9 (System
759 Deficiencies) of this Statement of Work prior to release to County. All Conversion tests shall be
760 repeated until such point as the Conversion successfully meets the test outcome Acceptance



761 criteria as defined in the County's approved Data Conversion Plan. Within ten (10) Working
762 Days of its successful completion of Conversion testing as determined by County in its sole
763 discretion, Contractor shall report to County in a written format approved by County, its
764 Conversion test results and identify Conversion timing, errors by type and volume, decision
765 points for County's consideration as a result of Conversion outcomes which shall include a
766 report all Deficiencies detected as a direct result of Conversion testing.

767 **DELIVERABLE 9.3 – DATA CONVERSION TEST – Key Deliverable**

768 Contractor shall conduct and successfully complete the Conversion testing, and correct all
769 detected Deficiencies in accordance with Section 1.9 (System Deficiencies). Contractor shall
770 deliver a written Conversion test results report and include a report of all Deficiencies detected
771 as a direct result of Conversion testing in accordance with Task 9.3 (Conduct Data Conversion
772 Test).

773 **Task 9.4 – Conduct Conversion**

774 Contractor shall convert all active clients and all client treatment episodes from the legacy IS in
775 accordance with the County-approved Data Conversion Plan and correct all detected
776 Deficiencies in accordance with Section 1.9 (System Deficiencies).

777 Pursuant to Task 10.2 (Pilot Tests), Contractor shall deliver to County complete and tested
778 System Software, free of all Deficiencies in accordance with Section 1.9 (System Deficiencies)
779 of this Statement of Work, for Conversion that will allow County to convert and migrate data
780 from the existing IS system to Contractor's System. Contractor shall transition its Conversion
781 procedures and programs to designated County Staff, provide instruction and respond to
782 requests for assistance to ensure that program code can be operated by County Staff.
783 Contractor shall provide technical User Documentation to support and assist County Staff in
784 operating Conversion procedures and programs, including the analysis and resolution of
785 Conversion problems.

786 **DELIVERABLE 9.4 – CONVERSION – Key Deliverable**

787 Contractor shall convert active clients and client treatment episodes from the legacy IS in
788 compliance with the Acceptance criteria defined in Task 9.1 (Develop Data Conversion Plan),
789 correct all detected Deficiencies in accordance with Section 1.9 (System Deficiencies) and
790 deliver to County complete and tested System Software for Conversion, procedures for
791 Conversion and technical User Documentation to County in accordance with Task 9.4
792 (Conduct Conversion).

793 **TASK 10.0 – SYSTEM CUTOVER**

794 Upon the successful completion of all applicable System configuration, integration, Custom
795 Programming Modifications, data Conversion, trainer training and initial User training,
796 Contractor shall consult with County and receive the approval of County's Project Manager
797 prior to cutover of the System for Production Use. Upon cutover, the System Software shall
798 be implemented in the production environment on the System Hardware.

799 System cutover shall include without limitation preparation for and placing into Production Use
800 all Application Software purchased from Contractor, all Custom Programming Modifications, all



801 Conversions, Contract Provider access to client information through a secure web-enabled
802 portal, and all Interfaces set forth in Task 6.0 (Integration) of this Statement of Work.

803 System cutover shall include two (2) pilot tests to ensure that prior to a complete System roll-
804 out all aspects of the System are operational in the production environment as set forth in the
805 Specifications. Contractor shall lead the first pilot and County shall lead the second pilot.
806 Each pilot test shall include Business Continuity Tests as set forth in Task 3.4 (Synchronize for
807 Application and Database Replication) of this Statement of Work.

808 The first pilot test (Pilot 1) shall represent a subset of DMH directly operated programs in both
809 field and clinic based settings. Authorizations, claims submission and processing and
810 administration shall also be tested for both Directly Operated Facilities and Contract Providers.
811 Contract Providers shall access selected information in the System through a secure web-
812 enabled portal and shall submit claims and other business and clinical transactions to the
813 System using Electronic Data Interchange (EDI).

814 The second pilot test (Pilot 2) shall use the same model as described for Pilot 1, but County
815 shall validate the effectiveness of the procedures for adding service delivery sites and
816 programs to the System and the continued compliance of the System with Response Time
817 Requirements prior to County's deployment of the System.

818 **Task 10.1 – Develop System Cutover Plan**

819 Contractor shall develop a System cutover strategy plan (hereinafter "System Cutover Plan")
820 for County's review and approval which shall address the continuation and coordination of
821 care and service delivery from the existing IS during System cutover and throughout System
822 roll-out. The coordination of care for service delivery shall include but not be limited to
823 continued access to all relevant client information, including identification and treatment
824 information, and the continuation of County's data exchange with other County departments
825 and agencies. The System Cutover Plan shall at minimum, include but not be limited to:

- 826 A. Cutover criteria;
- 827 B. Assumptions;
- 828 C. Approach (e.g., representative data and process to be used);
- 829 D. Responsibilities and resource requirements;
- 830 E. Cutover schedule;
- 831 F. Any additional/necessary details regarding Production Use Deficiency reporting and
832 resolution as set forth in Appendix D (Maintenance and Support Services);
- 833 G. Cutover contingency fall-back strategy;
- 834 H. Business Continuity Tests;
- 835 I. Validation of compliance with Response Time Requirements;
- 836 J. Post cutover assessment following the first pilot test; and



837 K. Identification of System or environmental modifications as applicable (e.g., adjustments
838 to operating system and Application Software settings, workflow, policies, forms,
839 training materials, Interfaces, migration, hardware, etc.).

840 **DELIVERABLE 10.1 – SYSTEM CUTOVER PLAN**

841 Contractor shall deliver for County approval a System Cutover Plan developed in accordance
842 with Task 10.1 (Develop System Cutover Plan).

843 **Task 10.2 – Pilot Tests**

844 A. Contractor shall, without limitation:

845 (1) Reassign immediately prior to commencement of Production Use, any
846 outstanding Level II Priority Deficiencies as described in Section 1.9.1 to a new
847 Deficiency Priority Level in accordance with Section II.D(3) of Appendix D
848 (Maintenance and Support Services). In addition, if in accordance with Section
849 1.9.3, County elects to permit deferred resolution of any Level I Priority
850 Deficiencies (as described in Section 1.9.1) until after cutover to Production
851 Use, such ongoing Deficiencies shall also receive a new Deficiency Priority
852 Level in accordance with Section II.D(3) of Appendix D (Maintenance and
853 Support Services);

854 (2) Assign to be on site at County for a period of no less than five (5) Working Days
855 to provide Deficiency resolution during each pilot test, no less than four (4)
856 Contractor technical staff members who have at a minimum previously and fully
857 participated at County’s site in System configuration, integration, Conversion
858 and testing Tasks including, without limitation providing on-the-job System
859 administration training and performing Contractor’s Tasks defined in the System
860 Cutover Plan. This period may also be extended as mutually agreed upon by
861 County and Contractor or if at the County’s discretion Deficiencies of a Level I
862 or Level II Priority are not resolved;

863 (3) Successfully demonstrate compliance of the System with Response Time
864 Requirements in Production Use for each pilot test;

865 (4) Successfully complete Business Continuity Tests for each pilot test;

866 (5) Monitor the System during Pilot 1 test for a minimum of eighty (80) Working
867 Days and serve County in a consultative role to resolve workflow, operational,
868 configuration and other issues, and otherwise ensure completion of two (2)
869 successful consecutive monthly claims cycles following System cutover to
870 Production Use; and

871 (6) Following the completion of Pilot 1 test, monitor the System during Pilot 2 test
872 for a period of forty (40) Working Days, validate the effectiveness of the
873 procedures for adding service delivery sites and programs to the System,
874 provide updated System cutover procedures to County in writing and serve
875 County in a consultative role to resolve workflow, operational, configuration and
876 other issues, and otherwise ensure completion of one (1) additional successful
877 monthly claim cycle.

878 B. A successful consecutive monthly claim(s) cycle shall mean for the purpose of
879 completion of both Pilot 1 and Pilot 2 tests, satisfaction of all of the following conditions:



- 880 (1) The System operates in accordance with the Specifications and without a
881 Deficiency of Level I Priority or Level II Priority in each case (as defined in
882 Appendix D (Maintenance and Support Services)) for:
- 883 (a) Forty (40) Working Days during Pilot 1 test; and
884 (b) Twenty (20) Working Days during Pilot 2 test.
- 885 (2) During the period identified in condition (a) and (b) immediately above, claims,
886 including Contract Provider claims, are submitted for all payors, including
887 Medi-Cal claims submitted to the SDMH and Medicare claims submitted to the
888 Medicare Fiscal Intermediary, for which services were delivered during each
889 pilot test;
- 890 (3) Claims submitted under condition (B) immediately above are accepted by both
891 the SDMH with an approval rate at or above ninety percent (90%) and by the
892 Medicare Fiscal Intermediary with an approval rate at or above eight-five
893 percent (85%) for services delivered during each pilot test;
- 894 (4) The remittance advice records for each month's claims received are properly
895 posted in the System; and
- 896 (5) The Checkwrite file is successfully transmitted to and accepted by the A-C.

897 **DELIVERABLE 10.2 – PILOT TESTS**

898 Contractor shall reassign any outstanding pre-production Deficiencies and correct all
899 Production Use Level I and Level II Priority Deficiencies in accordance with Appendix D
900 (Maintenance and Support Services) and complete all cutover and test activities in accordance
901 with Task 10.2 (Pilot Tests) and as defined in the System Cutover Plan.

902 **Task 10.3 – Final System Acceptance**

903 Contractor shall receive Final System Acceptance following the successful completion of two
904 (2) pilot tests as set forth in Task 10.2 (Pilot Tests) and all other Tasks set forth in this
905 Statement of Work.

- 906 A. In the event that Final System Acceptance is not achieved within two hundred and fifty
907 (250) Working Days of the commencement of Production Use, Contractor shall:
- 908 (1) Provide a written proposed solution and schedule that will satisfy all
909 Specifications, subject to the written approval of County's Project Director; and
- 910 (2) Upon County's Project Director's Acceptance of the proposed plan developed
911 per part (A) immediately above, implement the proposed solution, resolving all
912 Level I and Level II Priority Deficiencies (as defined in Appendix D
913 (Maintenance and Support Services)), until such time as County provides Final
914 System Acceptance.
- 915 B. Contractor shall analyze implementation results, document its evaluation of the
916 functioning of the System and assess the success and shortcomings of the System
917 implementation efforts following the completion of the second pilot test. Within twenty
918 (20) Working Days of Final System Acceptance, Contractor shall prepare and submit to
919 County a Post Implementation Evaluation Report (PIER), which shall evaluate the



- 920 System implementation and cutover process and shall at a minimum include the
921 following:
- 922 (1) Comparisons/analyses of actual versus planned completion of project Tasks;
 - 923 (2) Anticipated versus actual resources required;
 - 924 (3) Business and systems lessons learned;
 - 925 (4) Pitfalls to avoid in the future;
 - 926 (5) User feedback;
 - 927 (6) Best practice business guidelines that increase User efficiencies;
 - 928 (7) Operational suggestions which aid County in conducting subsequent roll-outs;
 - 929 (8) Suggested guidelines or tools for installing future phases and Enhancements
930 specific to County's operational environment; and
 - 931 (9) Suggested system release methodologies for future Enhancements specific to
932 County's operational environment.

933 **DELIVERABLE 10.3 – FINAL SYSTEM ACCEPTANCE – Key Deliverable**

934 Contractor shall prepare the PIER in accordance with Task 10.3 (Final System Acceptance)
935 and deliver to County within twenty (20) Working Days of Final System Acceptance.

936 **TASK 11.0 – SYSTEM CLOSE-OUT / SHUT-DOWN**

937 County may elect to receive transition services hereunder (as further set forth in this Task
938 11.0, the "Transition Services") by providing written notice (a "Transition Services Election") to
939 Contractor. Such notice may be given at any time in connection with a notice of termination
940 prior to the natural expiration of the Term, or may otherwise be provided not less than one
941 hundred twenty (120) days prior to the natural expiration hereof. Upon receipt of the Transition
942 Services Election, Contractor shall perform Transition Services that will facilitate a smooth
943 shut-down of the System and/or transition to another system, as further set forth below.

944 Contractor shall ensure that during the shut-down of the System and/or transition to any
945 replacement system(s), Department clinical programs are not interrupted from delivering
946 services and billing for services. At termination, the Department must have a useable copy of
947 all System data, which shall be provided by Contractor in a format and media to be determined
948 by County. Contractor, with assistance from County, will develop a transition plan (hereinafter
949 "System Transition Plan") that will address all aspects of the shut-down and/or transition to a
950 new system, including both data transfer and claims run-out services, and will detail the
951 activities of each party, including timelines, to successfully shut-down the System and
952 transition to any applicable replacement system(s).

953 Furthermore, the Department must be able to meet any audit requests from State and Federal
954 regulators, and Contractor shall upon written request of County's Project Director, or his/her
955 designee, provide any required Transition Services including any necessary services and
956 required Work to meet audit requests to facilitate County's response to such an audit.



957 All Transition Services provided pursuant to this Task 11.0 shall be performed as Other
958 Professional Services, and Contractor shall invoice County for such Transition Services in
959 accordance with Section III.C (Professional Services: Fixed Price Professional Services) of
960 Appendix C (Price and Schedule of Payments).

961 **DELIVERABLE 11.1 – CLOSE-OUT PLAN**

962 Contractor will deliver to County a System Transition Plan which facilitates a smooth
963 transition/shut-down, transfer of all data, any applicable claims run-out services, any services
964 in connection with any audits requested as of the plan date, and all other Transition Services,
965 in accordance with Task 11.0 (System Close-Out/Shut-Down).

966 **DELIVERABLE 11.2 – DATA FILES**

967 Contractor will extract all data in the System and provide it to County in a format specified in
968 the System Transition Plan prior to termination of this Agreement.

969 **DELIVERABLE 11.3 – CLAIMS RUN-OUT SERVICES**

970 If applicable, Contractor will be asked to provide Work to support a full claims cycle run-out
971 period for providers not to exceed one (1) year.

972 **DELIVERABLE 11.4 – AUDIT REQUESTS**

973 If applicable, Contractor will be asked to provide Work to support County's response to audit
974 requests from State or Federal regulators.