

GOVERNMENT OF THE DISTRICT OF COLUMBIA

Child and Family Services Agency



CONTRACTS AND PROCUREMENT

**NOTICE OF
REQUEST FOR INFORMATION (RFI)
FOR
COMPREHENSIVE CHILD WELFARE
INFORMATION SYSTEM (CCWIS)**

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SECTION A: INTRODUCTION

A.1 PURPOSE

The District of Columbia (“District”), Child and Family Services Agency (“CFSA”) issues this Request for Information (RFI). This RFI offers the opportunity for interested organizations to provide comments and questions regarding the draft specification language for the design, development, and implementation of a Comprehensive Child Welfare Information System (CCWIS).

THIS IS A REQUEST FOR INFORMATION ONLY. This RFI is issued solely for information and planning purposes. This RFI is not a formal solicitation and does not create any obligation on the part of the District to acquire any products or services.

Submission of comments and/or questions in response to this RFI is completely voluntary; and, any and all costs associated with any submission will not be reimbursed by the District.

Although the terms "Response" and "Request for Proposal" (RFP) may be used in this RFI, under no circumstance will respondent's comments and questions submitted be treated as anything other than information sharing. The comments and questions submitted in responses to this RFI will not be returned. Not submitting questions and comments for this RFI does not preclude participation in any future solicitation, if one is issued.

In addition, CFSA will keep confidential all submissions from respondents. CFSA will acknowledge receipt of submissions of questions and clarification requests but will not engage in a dialogue.

A.2 BACKGROUND

This RFI seeks to inform the vendor community of CFSA's interest in soliciting for contractor(s) to provide a modern, modular, and complete comprehensive child welfare system. The system will be made to streamline CFSA's business processes and workflows, integrate with systems and data repositories, and present an intuitive, secure, reliable and accurate user interface supporting case, client and family-centric view of the state of their care wherever our staff, clients, and community need access to the information that serves and protects our children and families in need.

A.3 OBJECTIVES

The objective of this RFI is to solicit from industry experts and other informed parties' identification of any missing or unclear specifications or requirements

for the new CCWIS defined in this document. CFSA is seeking questions and comments from respondents with knowledge of CCWIS, District Government, Child and Welfare environments and software development services. The District intends to use the questions and comments in the responses to improve the requirements that may be included in a future RFP and that resultant contract.

By submitting a response to this RFI, the respondent agrees that the District may use any of the information that it receives in connection with the response in any future CCWIS-related solicitation or system and that such use shall not entitle the respondent to compensation or favor in any form. Further, such use of submitted information by the District shall not be subject to any copyright or license restrictions held by the respondent that submitted it.

With respect to this RFI, the District requests that respondents review the entirety of this RFI and its addend for clarity of language and scope. In particular, the District is most interested in questions and comments on:

1. SECTION B: Specifications/Work Statement
2. SECTION C: Project Expectations of the Vendor
3. SECTION D: Deliverables
4. SECTION E: Special Contract Requirements
5. SECTION F: Contract Clauses
6. SECTION G: Insurance
7. SECTION H: Attachments
 - a. J.10 CFSA Architecture Summary
 - b. J.11 Functional Requirements
 - c. J.12 Technical Requirements
 - d. J.19 CFSA As-Is Business Process Flows 1.0

Please reference the document structure (Section, Heading, and line items if available) on a per comment basis. Additional instructions for this RFI are in Section 0 Instructions.

****END SECTION A****

SECTION B: SPECIFICATIONS/WORK STATEMENT

B.1 SCOPE

B.1.1 The District of Columbia (“District”), child and family services agency (“CFSA”) is seeking a contractor to design, develop, and implement a comprehensive child welfare information system (CCWIS). The CCWIS shall be a modern, modular, and complete child welfare system made to streamline CFSA’s business processes and workflows, integrate with systems and data repositories, and present an intuitive, secure, reliable and accurate user interface supporting case, client and family-centric view of the state of their care wherever our staff, clients, and community need access to the information that serves and protects our children and families in need.

B.1.2 The contractor shall provide an information system that meets the business and system requirements contained within this RFP. The contractor shall work with CFSA to establish to-be processes that will be developed into the new system. The contractor may include software as a service (SAAS), platform as a service (PAAS), commercial-off-the-shelf (COTS) products or a hybrid solution. However, any and every cots product is subject to prior approval by the administration for children and families. The district also may consider a transfer system from another state government via authorized vendor, as long as it complies with federal and state open data standards.

B.1.3 The Contractor shall use architectural and design principles that are compliant with CCWIS regulations, the US Department of Health and Human Services, the Administration for Child and Families and other federal and District requirements.

B.2 APPLICABLE DOCUMENTS

The Contractor shall operate under requirements and achieve outcomes as established in this Request for Response and scope of work, and as set forth by relevant current, amended, or future federal and local legislation, regulations, policies or court orders including but not limited to:

Item No.	Document	Date
B.2.1	CFSA 2016 Annual Public Report	2016
B.2.2	CFSA Four Pillars Scorecard	2018
B.2.3	CFSA Older Youth Services Policy	2014
B.2.4	CFSA Online Policy Manual	2017
B.2.5	Child and Family Services Improvement and Innovation Act (H.R. 2883)	2011

Item No.	Document	Date
B.2.6	DC Language Access Act Municipal Regulations	2014
B.2.7	Federal Child Welfare Policy Manual	2017
B.2.8	HIPAA Security Policy	2018
B.2.9	LaShawn A. v. Bowser Implementation and Exit Plan (LaShawn Exit Standards)	2010
B.2.10	Mandated Reporter Training	2008
B.2.11	Mandated Reporters	2015
B.2.12	National Youth in Transition Database (NYTD)	2012
B.2.13	Older Youth Benchmarks	2018
B.2.14	Preventing Sex Trafficking and Strengthening Families Act (P.L.113-183)	2014
B.2.15	Title 29 DC Municipal Regulations, Chapter 60	2015
B.2.16	Adoption and Safe Families Act of 1997	1997
B.2.17	D.C. Law 13-136. Adoption and Safe Families Amendment Act of 2000	2000
B.2.18	DC Family Court Act of 2001	2001
B.2.19	Fostering Connections to Success and Increasing Adoptions Act of 2008	2008
B.2.20	Indian Child Welfare Act	1978
B.2.21	Timely Interstate Placement of Fostering Children Act of 2006	2006
B.2.22	Superior Court General Rules of the Family Court	2017
B.2.23	DC Superior Court Administrative Order 07-22	2006
B.2.24	CFSA Establishment Act	2001
B.2.25	Patient Protection and Affordability Act	2010
B.2.26	Stephanie Tubbs Jones Child Welfare Services: Title IV-B, Subpart 1 of the Social Security Act	2012
B.2.27	DC Language Access Act Municipal Regulations	2014

Item No.	Document	Date
B.2.28	DC Office of Documents and Administrative Issuances: Chapter 60 Public Welfare	2018
B.2.29	Code of Maryland Regulations	2018
B.2.30	Adoption and Foster Care Analysis and Reporting System (AFCARS)	2012
B.2.31	Bill of Rights for Children and Youth in Foster Care	2013
B.2.32	CFSA 2016 Annual Public Report	2016
B.2.33	Title IV-E Foster Care	2012
B.2.34	The Child in Need of Protection Amendment Act of 2004	2001
B.2.35	Prevention of Child Abuse and Neglect Act of 1977	1977
B.2.36	LaShawn v Barry ... LaShawn v Bowser ... LaShawn Consent Decree	1989
B.2.37	Four Pillars Strategic Framework	2012
B.2.38	DC Code Title 4 Public Care Systems	2019
B.2.39	DC Attendance Accountability Amendment Act	2013
B.2.40	Safe Children and Safe Neighborhoods Educational Neglect Mandatory Reporting Amendment Act of 2010	2010
B.2.41	H.R.253 - Family First Prevention Services Act of 2017	2017

B.3 DEFINITIONS

These terms when used in this contract have the following meanings:

- B.3.1 Assistant Attorney General (AAG) is a CFSA staff member that represent the agency under the direction of the attorney general.
- B.3.2 Administration for Children and Families (ACF) - is a division of the Department of Health and Human Services. ACF promotes the economic and social well-being of children, families, individuals, and communities with leadership and resources for compassionate, effective delivery of human services.
- B.3.3 Automated Clearing House (ACH) is an electronic network for financial transactions in the United States. ACH processes large volumes of credit and debit transactions in batches. ACH credit transfers include direct deposit, payroll and

vendor payments

- B.3.4 Advanced Planning Document (APD) and Advanced Planning Document Update (APDU) are documents created by CFSA and submitted to ACF in order to obtain approval for Federal financial participation in the cost of acquiring automated data processing equipment and services. This CCWIS final rule for replacing existing Child Welfare information systems reduces the submission requirements for lower-risk information technology (IT) projects and procurements and increases oversight over higher-risk IT projects and procurements by making technical changes, conforming changes and substantive revisions in the documentation required to be submitted by States, counties, and territories for approval of their Information Technology plans and acquisition documents.
- B.3.5 Another Planned Permanent Living Arrangement (APPLA), also known as Other planned permanent living arrangement (OPPLA), is where the child welfare agency maintains care and custody of the youth and arranges a living situation in which the youth is expected to remain until adulthood. APPLA or OPPLA is a permanency option only when other options such as reunification, relative placement, adoption, or legal guardianship have been ruled out.
- B.3.6 DC Child and Family Services Administration (CFSA) is the public child welfare agency in the District of Columbia responsible for protecting child victims and those at risk of abuse and neglect and assisting their families
- B.3.7 Child Information Systems Administration (CISA) is a division within CFSA that is responsible for all technology assets for the Agency.
- B.3.8 Child Welfare Contributing Agency (CWCA) is “a public or private entity that, by contract or agreement with the title IV–E agency, provides child abuse and neglect investigations, placements, or child welfare case management (or any combination of these) to children and families.
- B.3.9 Commercial-Off-The-Shelf (COTS) is a formal term for commercial items, including services, available in the commercial marketplace that can be bought and used under government contract.
- B.3.10 Comprehensive Child Welfare Information System (CCWIS) is a case management information system that state and tribal title IV-E agencies may develop to support their child welfare program needs. If a title IV-E agency elects to build a CCWIS, the federal government will provide a more favorable reimbursement than is provided for non-CCWIS systems as long as the system meets federal requirements and is designed to support social workers’ needs to organize and record quality case information about the children and families receiving child welfare services. CCWIS systems will replace existing S/TACWIS systems.
- B.3.11 Child Protective Services (CPS) is a division of CFSA that investigates reports of neglect and abuse.

- B.3.12 Child Protective Services Family Assessment (CPSFA) is A specific pathway that results from a hotline call where no immediate threat to a child's well-being and/or safety is communicated. The pathway refers to a family assessment (not legally required) to identify plans to assist the family and avoid formal investigations.
- B.3.13 Child Protective Services Investigation (CPSI) is a specific pathway that results from a hotline call where an immediate threat to the child's well-being and safety is present and a formal investigation is needed.
- B.3.14 District of Columbia (District, DC) refers to the Government of the District of Columbia.
- B.3.15 Family Educational Rights and Privacy Act of 1974 (FEPR) is the federal law that protects the privacy of student education records. The law applies to all schools that receive funds under an applicable program of the U.S. Department of Education. FEPR regulations apply to educational records obtained from the State Education Agency for the purpose of supporting a family and child in the care of CFSA, as well as for de-identified data used for longitudinal analysis.
- B.3.16 Financial Management System (FMS) - is software that an organization uses to oversee and govern its income, expenses, and assets with the objectives of maximizing profits and ensuring sustainability. For the DC Government, the software is System of Accounting and Reporting (SOAR).
- B.3.17 The Health Insurance Portability and Accountability Act of 1996 (HIPAA) is the federal regulation that protects health insurance coverage for workers and their families when they change or lose their jobs. Title II of HIPAA, known as the Administrative Simplification (AS) provisions, requires the establishment of national standards for electronic health care transactions and national identifiers for providers, health insurance plans, and employers. The Administrative Simplification provisions also address the security and privacy of health data. The standards are meant to improve the efficiency and effectiveness of the nation's health care system by encouraging the widespread use of electronic data interchange in the U.S. health care system.
- B.3.18 Individuals with Disabilities Education Act (IDEA) is the federal law that makes available a free appropriate public education to eligible children with disabilities throughout the nation and ensures special education and related services to those children. The IDEA governs how states and public agencies provide early intervention, special education, and related services to more than 6.5 million eligible infants, toddlers, children, and youth with disabilities.
- B.3.19 Interstate Compact on the Placement of Children (ICPC) is a contract among all 50 U.S. states, the District of Columbia and the Virgin Islands providing for protection and support services for children moved between U.S. states for birth parent unification or reunification when the court has jurisdiction over the child. The ICPC ensures that the sending agency or individual does not lose jurisdiction over the child once the child moves to the receiving state. An ICPC case is closed when a child is adopted, reaches the age of majority, or becomes self-supporting

or when the appropriate authorities in the sending state and receiving state agree that the ICPC case can be closed.

- B.3.20 National Institute of Standards and Technology (NIST) is a measurement standards laboratory, and a non-regulatory agency of the United States Department of Commerce. Its mission is to promote innovation and industrial competitiveness. Within the context of this document, NIST sets security standards for public technology projects.
- B.3.21 Personally Identifiable Information (PII) is defined as any information that can be used on its own or with other information to identify, contact, or locate a single person, or to identify an individual in context.
- B.3.22 Project Management Office (PMO) is a group or department within a business, agency or enterprise that defines and maintains standards for project management within the organization. The PMO strives to standardize and introduce economies of repetition in the execution of projects.
- B.3.23 Service Level Agreement (SLA) is a commitment between a service provider and a client. Particular aspects of the service – quality, availability, and responsibilities – are agreed between the service provider and the service user.
- B.3.24 Service Oriented Architecture (SOA) is a software design and software architecture design pattern based on structured collections of discrete software modules, known as services, that collectively provide the complete functionality of a large software application.
- B.3.25 Statewide or Tribal Automated Child Welfare Information System (S/TACWIS) is the common name for federally legislated information systems states developed and implemented to support child welfare activities. The software's requirements are outline in legislation of the same name that required and defined a large function-based application that all social workers would use to track and manage their child welfare caseloads.
- B.3.26 Subject Matter Experts (SMEs) is a person who is an authority in a particular area or topic.
- B.3.27 Supplemental Nutrition Assistance Program (SNAP) provides financial assistance for purchasing food to low- and no-income people living in the U.S. It is a federal aid program, administered by the U.S. Department of Agriculture, though benefits are distributed by individual U.S. states.
- B.3.28 Supervisory Social Worker (SSW) oversees a team of social workers within CSFA and monitors service delivery for staff compliance with statutory guidelines, regulations and CFSA policies and procedures.
- B.3.29 System of Care (SOC) is a term for a spectrum of effective, community-based services and supports for children and youth with or at risk for mental health or other challenges and their families, that is organized into a coordinated network,

builds meaningful partnerships with families and youth, and address their cultural and linguistic needs, in order to help them to function better at home, in school, in the community, and throughout life.

- B.3.30 Temporary Assistance for Needy Families (TANF) Program helps move recipients into work and turn welfare into a program of temporary assistance. Individuals receiving assistance through TANF are categorically eligible to receive paid meal services.
- B.3.31 Title IV-B is the Federal Welfare Program Title IV-B that governs the provision of child welfare services that can be used for prevention of and response to child abuse and neglect. Protect and promote the welfare of all children. It does so by funding services and programs which:
1. Prevent the neglect, abuse, or exploitation of children;
 2. Support at-risk families through services which allow children, where appropriate, to remain with their families or return to their families in a timely manner;
 3. Promote the national goals of safety, permanence and well-being of children in foster care and adoptive families;
 4. Provide training, professional development and support to ensure a well-qualified workforce; and
 5. Promote and support adoption.
- B.3.32 Title IV-E - The Federal Foster Care Program helps to provide safe and stable out-of-home care for children until the children are safely returned home, placed permanently with adoptive families or placed in other planned arrangements for permanency. Name is reference to the federal code section that authorizes it.
- B.4 **BACKGROUND**
- B.4.1 **Mission**
- CFSA is the District of Columbia's public child welfare agency responsible for investigating child abuse and neglect and providing services to child and youth victims and those at risk of abuse and neglect and their families in the District. CFSA's primary mission is to improve the safety, permanence, and well-being of abused and neglected children/youth and to help strengthen their families. CFSA believes children thrive within family settings and with continuity and support in the most normalizing environment possible.
- CFSA is firmly committed to children, youth and families receiving the highest quality services and supports no matter where they are placed. As a result, the District is now seeking a Contractor that will be required to provide services to pregnant and parenting youth and their child(ren) served by the District's foster care system regardless of their assessed level of need. The goal is that through one Contractor the District will accomplish more consistent practice, standardization of process and better permanency outcomes for children and their families.

The District is subject to exit standards as defined in the LaShawn Implementation and Exit Plan (IEP) entered pursuant to a Court Order mandating that the District offer children and families appropriate services to support child safety, permanence and well-being. The services contemplated by this RFP are essential to meeting that mandate.

On June 2, 2016, Administration for Children and Families (ACF) published a final rule for the Comprehensive Child Welfare Information Systems (CCWIS). The rule was designed to allow state administrations to upgrade their Statewide or Tribal Automated Child Welfare Information System (S/TACWIS), as originally mandated in 1993.

B.4.2 Four Pillars Strategic Framework

B.4.2.1 In 2012 CFSA developed a strategic framework – the “Four Pillars” – and CFSA’s work is grounded in this values-based foundation to support strategies that achieve specific outcomes. The Four Pillars include:

1. **Front Door:** Children/youth deserve to grow up with their families and should be removed from their birth homes only as the last resort. Child welfare gets involved only when families cannot or will not take care of children/youth themselves. When we must remove a child/youth for safety, we seek to place with relatives first.
2. **Temporary Safe Haven:** Foster care is a necessary interim place for children/youth to live while we work to get them back to a permanent home as quickly as possible. Planning for a safe exit begins as soon as a child/youth enters the system. If a relative caregiver cannot be identified immediately, continued exploration and engagement of kin takes place throughout the child’s/youth’s experience in foster care.
3. **Well Being:** Every child/youth has a right to a nurturing environment that supports healthy growth and development, good physical and mental health, and academic achievement. Institutions do not make good parents, but when we must bring children/youth into care for their safety, we give them excellent support.
4. **Exit to Permanence:** Every child/youth exits foster care as quickly as possible to a safe, well-supported family environment or life-long connection. Older youth have the skills they need to succeed as adults.

B.4.3 Core Values

- a. All children and youth have the right to be safe.
- b. Families have the right to be understood, valued, encouraged, and empowered. Families always have a voice in decisions that affect them.
- c. Community partnerships are essential to keeping children and youth safe.
- d. Child welfare practice and services draw use a strengths-based approach to help

- children, youth, and families achieve positive outcomes.
- e. Children and youth deserve normalized opportunities to grow, develop, be physically and mentally healthy, learn, and prepare for successful adulthood.
 - f. Children and youth have an urgent need to achieve permanence as quickly as possible with a family that loves them unconditionally.
 - g. Children, youth, and families deserve understanding and respect within the context of their history, traditions, and culture.
 - h. Best practices and continuous quality improvement throughout the child welfare system support making a positive difference in the lives of those CFSA serves.
 - i. First placement is the best placement, with a preference for kin, and placement with siblings.
 - j. Keep siblings together and preserve ties to family, school and community.
 - k. Youth and family voices are critical components in their case planning.

B.4.4 Philosophical Statement on Permanency

- B.4.4.1 CFSA believes that children thrive when raised in their family of origin. We separate children from their parents only when there are no other supports that might allow the child to remain safely in the home. If we have to remove a child, we look for kinship supports first to keep the child within the extended family. When those options are not available, we ensure that children are placed in safe, nurturing foster homes. We believe that every child deserves to grow up in a safe and stable environment with loving, caring adults. If a child cannot be reunified with their birth family, it is our responsibility to find a permanent, caring home for them through adoption or guardianship.

B.4.5 Trauma-Informed Practice

- B.4.5.1 CFSA works from the premise that all children and youth in out-of-home care have experienced, at a minimum, the trauma of separation from family and community. CFSA has adopted Trauma Systems Therapy (TST) as a core component of its practice in order to build a trauma-informed system.

- B.4.6 CFSA is the local child welfare agency, not the child welfare system. CFSA has significant relationships and service delivery partnerships with other District health and human service agencies to provide services in support of strengthening families and protecting children and youth.

B.4.7 Geographic Landscape

- B.4.7.1 The District of Columbia is an urban jurisdiction comprised of eight wards within 68.3 square miles and of a population of over 680,000 residents. Families involved with CFSA reside in neighborhoods with the highest concentrations of poverty – 79 percent living in Wards 7 and 8 – with the majority being from Ward 8. In FY 2016, 89 children from Ward 8 were removed from their homes and 64 were removed from Ward 7.

B.4.7.2

The DC Office of Planning and DC Kids Count have more information about the District's wards and neighborhoods at <https://planning.dc.gov/page/wards-district-columbia> and <https://www.dactionforchildren.org/our-issues/dc-kids-count/2015-ward-snapshots>.

**** END SECTION B ****

SECTION C: Project Expectations of the Vendor

The Contractor must provide the services defined in this section. The processes to meet these requirements must be articulated clearly in the Response, along with the sub completed Attachments J 11, J 12, J 20 respectively, the Functional, Technical and Reporting requirements.

C.1.1 Service Requirements

C.1.2 The following sections describe the services to be performed by the Contractor as they design, build, test, and deploy the CCWIS System in an iterative and incremental manner. The scope of the Contractor's work includes more than just software development services, as additional activities are required to maintain the CCWIS System once in production and enable a successful transition to a District maintenance organization. The activities described below align to the SECTION B: in Section B and Attachment J 21 CFSA CCWIS Pricing Worksheet.

C.2 Project Management

C.2.1 Project Management Plan

C.2.2 The Contractor will have its own project management team. The Contractor shall describe the mechanism by which its team will work with the CFSA Project Management Office (PMO), so that the required project management functions can be performed in a collaborative manner. Those functions will be detailed in the Project Management Plan (PMP) in the table in Attachment J 21 CFSA CCWIS Pricing Worksheet. The PMP will serve as a guide and framework for running the CCWIS project, and will include sections that address the following project management functions:

- 1) Adherence to a documented, proven software system development methodology for use in phased delivery of systems requirements,
- 2) Schedule management processes, including procedures for maintaining the project work plan and updating actual hours worked, as well as estimate to complete (ETC) effort or other similar approaches to monitor the progress of the project.,
- 3) Communication processes, including formal status reporting procedures and schedules,
- 4) Risk and issue identification, tracking, reporting, and resolution procedures,
- 5) Requirements elicitation and documentation, including Business and System Process Modeling, Prototyping, Use Cases, Functional Requirements documentation, and Requirements Traceability Matrix (RTM),

- 6) Change control procedures that links to the Requirements Traceability Matrix and includes a process for documenting changes in scope and potential impacts,
- 7) Sub-Contractor management processes,
- 8) Personnel management functions, including roll-on and roll-off processes,
- 9) Quality management,
- 10) Configuration management,
- 11) Staff Management Plan.

C.2.3 The table in Attachment J 21 CFSA CCWIS Pricing Worksheet is the list of required deliverables pertaining to the Project Planning phase. It is expected that once delivered and accepted, the documents will be updated regularly, as needed, and accessible by CFSA's PMO at any time. Additionally, the Project Plan phase deliverables shall be updated as and included as part of the acceptance for the design phase of each module or set of modules.

C.2.4 **Project Schedule and Road Map**

C.2.4.1 The Contractor shall submit a detailed project schedule, including a detailed areas of the desired CCWIS System within an iterative development process. The purpose of the project schedule is to identify delivery dates, to detail work activities, and to facilitate the District's monitoring of the Contractor's progress based on milestones and key dates. The project schedule should be dependency driven so that changes to upfront activities have an appropriate impact on downstream activities. At a minimum the project schedule should include:

1. Key dates for project milestones and submission/acceptance of deliverables,
2. Work Breakdown Structure, showing activity, task, and subtasks to be performed during each phase of the project. WBS tasks detail should be developed at an appropriate level to track the project's progress, but not impede delivery of milestones or be overly cumbersome to manage, and
3. Durations, budgeted effort, dependencies, assigned resource(s), and location (if different than primary project site) for the lowest-level of subtasks

C.2.4.2 As part of the Project Planning phase, the Contractor shall develop a product road map and project schedule. CFSA expects that each module of the System will be developed and deployed in a phased approach and multiple releases of the System and modules roll up to major milestones and capabilities identified in the price schedule in Section A and Attachment J 21 CFSA CCWIS Pricing Worksheet.

C.2.4.3 To support understanding of CFSA's needs, a notional timeline is shared. This figure illustrates envisioned work streams, the timing of phases and deliverables, and the broad scope of the activities by the District's Fiscal Year (FY). Figure 1 presents an iterative and incremental approach to scheduling the delivery (e.g. Minimum Viable Product).

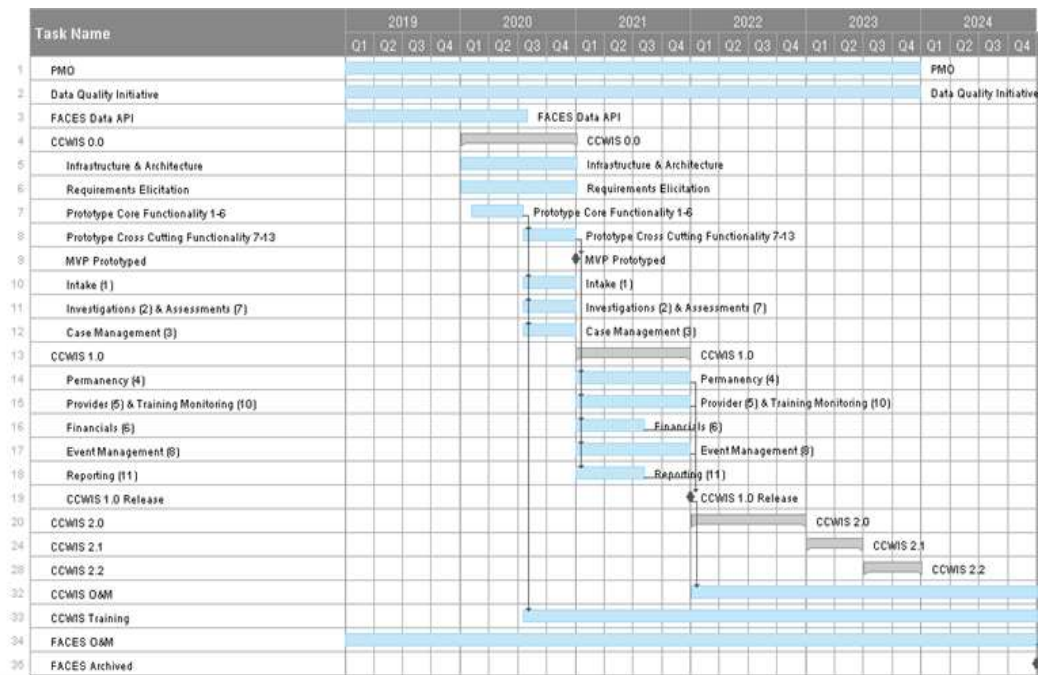


Figure 1 Notional CCWIS Timeline using MVP approach

- C.2.4.4 The notional timeline is not prescriptive rather it is a grouping and sequencing of major modules of the To-Be System. However, it is expected that the Contractor shall develop and deliver an updated product road map during the Project Planning phase that reflects the Contractors understanding of the project against the milestones CFSA has committed to achieving.
- C.2.4.5 The Contractor shall present the project schedule to CFSA importable into modern project management tools, as part of the technical Response. The first year of the draft project schedule must be reviewed and finalized during the first month of the project with the PMO. Additional project road map and schedule finalization is to occur within the first year of the contract under the Project Planning phase.
- C.2.5 Mobilize Team**
- C.2.5.1 Upon award, the selected Contractor shall begin the staffing process for the initial stages of the project. It is understood that Contractor resources will “ramp up” as the project moves forward, and that a smaller team may be on the ground day one. The Staff Management Plan (SMP) must account for resource needs at each stage of the project, starting with Requirements Elicitation and Documentation and ending with Transition (in which maintenance and operations are transferred to District staff).
- C.2.5.2 The Contractor shall identify dedicated and forward-looking individuals who possess both a deep and a broad understanding of the federal programs that are to be included in the solution, case management processes, federal claims processing and financial systems integration, and federal and local monitoring requirements under the District and federal guidelines. Refer to Section D.2 Organization and Staffing Requirements for further details on the resources required by the Contractor for the CCWIS System.
- C.2.6 Project Management Office (PMO)**
- C.2.6.1 Figure 2 represents the current governance structure for the CCWIS System Project and how the Contractor will be integrated into this structure. The District will instruct the Contractor if this governance structure evolves.

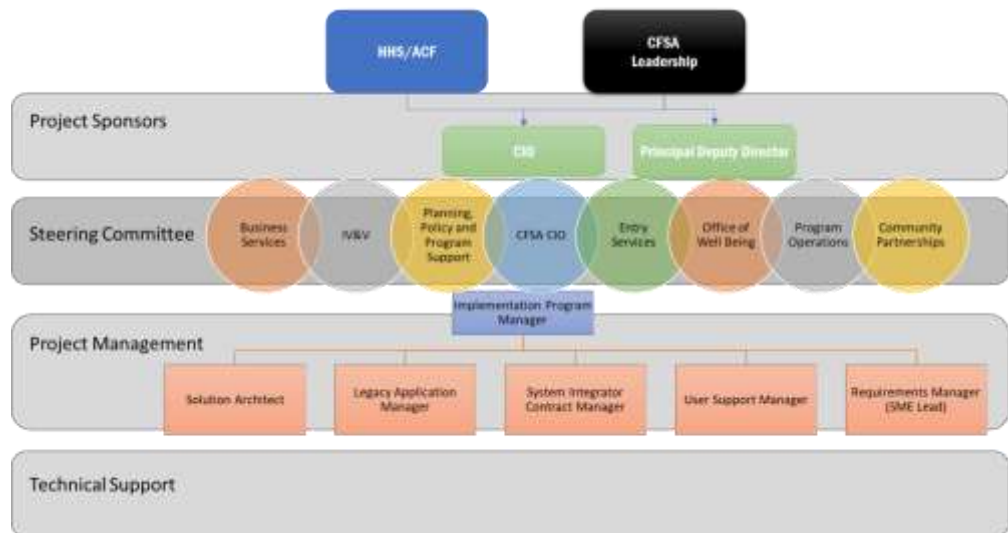


Figure 2 Organizational Structure

- C.2.6.2 CFSA has established a Program Management Office (PMO) managed by District staff. The Project Leader reports to the Project Sponsor, who is the Chief Information Officer for CFSA
- C.2.6.3 Implementing the CCWIS System will be one of the initiatives overseen by CFSA CIO, so the Contractor shall work closely with the existing PMO to manage the delivery.
- C.2.6.4 In addition to support provided by the CFSA PMO, the District will make subject matter experts (SMEs) available to provide content knowledge from a functional, business and technical perspective.
- C.2.7 Project Communication**

- C.2.7.1 CFSA places a high value and strong emphasis on timely, useful, and effective communications. CFSA believes that effective communication and transparency to all stakeholders are key factors in achieving success. The Contractor shall employ an approach to communication that is open, accurate, direct, and in the best interest of the CCWIS Project, CFSA, and the District, and describe that approach in the Communications Plan (CP).
- C.2.7.2 At the direction of CFSA, the Contractor shall assist the CFSA CIO and other internal communications staff with announcements, press releases, and other communications to stakeholders, including the public, and support the development of materials and/or presentations to the CFSA Executive Team, the Deputy Mayor for Health and Human Services, the Office of the Mayor, and the like.
- C.2.7.3 As part of the effective and open communication approach, the Contractor shall provide its strategy for communicating and working collaboratively with its Sub-Contractors to meet the project objectives, as part of the Communications Plan.

C.3 Requirements Management

- C.3.1.1 The Contractor will be responsible for performing business process analysis and re-engineering, requirements elaboration, and functional and system requirements definition.
- C.3.1.2 The Contractor shall describe the requirements artifacts to be produced, requirement types (including attributes), the requirements management process, and the metrics and tools to be used for measuring, reporting, and controlling changes to the requirements.
- C.3.1.3 In appendices Functional Requirements (Attachment J 11), Technical Requirements (Attachment J 12) and CFSA As-Is Business Process Flows (Attachment J 19), CFSA describes the high-level business processes and major functional components of the System. These sets of requirements shall form the foundation of the Requirements Traceability matrix.
- C.3.2 Change Control (for Attachment J 11; J 12; J 19)**

- C.3.2.1 The District recognizes that changes to the high-level features and functions described in the Functional Requirements (Attachment J 11), Technical Requirements (Attachment J 12) and CFSA As-Is Business Process Flows (Attachment J 19) are likely and may be due to a variety of unforeseen factors. Modifications to these requirements may occur due to updated federal regulations, technology changes, revised process definitions and flows, updates to the project budget, or other unforeseen needs.
- C.3.2.2 As part of change control management, the Contractor must document and implement a formal change control process in a Change Control Plan (CCP). The Contractor must inform the CCWIS project manager of any potential changes as soon as is reasonably possible to discuss, analyze, and document the impact of the change and determine direction and next steps. The assessment of the change must include specific impacts to both schedule and costs.
- C.3.2.3 As part of the Requirements Elicitation and Documentation, the Contractor must review and document modifications from the Attachment documents and trace each modification through the Requirements Traceability Matrix. Modifications after the Requirements Elicitation and Documentation phase may occur but must go through the formal change control management process outlined in the Change Control Plan.
- C.3.2.4 Proposed changes may be requested by the project manager, or any member of the project team. If changes result in a Change Order or modifications to cost, any such changes must be formally modified by the OCP's Contract Modification Process.
- C.3.2.5 If modifications do not result in a Change Order or modification of cost, the agreed to modifications shall not be required to be formally modified through OCP's Contract Modification Process.
- C.3.2.6 Decisions regarding changes will be determined jointly by CFSA and Contractor PMO and project managers. In the event that a decision cannot be determined, the CFSA CIO and the project Contract Administrator will make the final decision for modifications to the Appendices requirements.
- C.3.2.7 It is important to note that this document reflects current knowledge. Guidelines regarding the management and implementation of the Programs undergo periodic changes as required by the ACF or District of Columbia. Contractors must be prepared to adapt and respond to changes that arise from federal and local updates, future regulations, and associated policy decisions on behalf of the District. Such changes shall not be considered a change in the overall scope of work.

C.3.2.8 The Contractor is advised that while the programs' legislation, regulations, and policy statements are published and known (see D.2) for a complete list), these guiding documents and program policies are continually updated and modified. The Contractor must fully take into account all requirements, service level agreements, risks, and contingencies that are necessary for CFSA to have a fully operational CCWIS and must be nimble enough to incorporate changes required as regulations and guidance are updated.

C.4 Quality Management

C.4.1 The Contractor shall develop and implement an approach to managing the overall quality of the CCWIS System and implementation. The approach should be proactive, with a focus on preventing problems rather than allowing problems to occur and then devoting valuable resources to their correction. The quality management approach should address adherence to project standards, templates, processes, and procedures. Project members must be alerted to any changes that affect general work procedures, templates, or standards, and the Contractor shall implement those changes in a timely manner. Metrics for measuring quality from both project management and system perspectives should be defined. System defects or deficiencies should be specifically addressed. As the Contractor addresses issues and concerns, solutions shall be shared and process improvements instituted so that similar situations can be avoided in the future. The quality management methodology also should address user satisfaction as the solution progresses through the project phases.

C.4.2 The Contractor shall meet various quality assurance requirements, including but not limited to the following:

C.4.2.1 The Contractor shall deliver and execute the Quality Management Plan (QMP) as part of the Project Management Plan.

C.4.3 The Contractor shall present interim in-process reviews and support technical quality audits.

C.4.4 The Contractor shall provide all testing and quality control processes necessary to ensure products and services meet the requirements of the QMP, including but not limited to:

1. Defining, creating, managing, updating/reloading, and administering test data sufficient to ensure successful results for all test activities.
2. Develop a comprehensive test plan and test cases, and provide reports, which reflect the state of testing, test results, and identified defects.
3. "Hardware" tests to include but not be limited to load balancers, fail-over systems, and any changes, upgrades to hardware, or patches applied.

C.4.5 The Contractor shall conduct the following verification and tests as appropriate for the system components specified in 0 System Requirements:

1. Unit Testing

2. Integration Testing
3. Regression Testing
4. Functional Testing
5. Performance/Stress Testing
6. “Hardware” Testing (to include but not limited to load balancers and failover systems)
7. Information Security/Vulnerability Testing
8. Accessibility & Usability Testing
9. User Acceptance Testing
10. Release Dry Run
11. Post Release Validation

C.4.6 Achieving project objectives involve a cooperative working relationship between the Contractor, CFSA CCWIS team, project sponsors, Program partners, and quality assurance personnel. The Contractor shall work collaboratively with these stakeholders to identify trends and potential problems and to formulate recommendations and solutions, both independently and jointly. CFSA expects these stakeholders to conduct a variety of assessments, some on a periodic basis and others targeting specific performance, quality, or other issues. The Contractor shall provide requested information and access to data required to complete these assessments and include stakeholders in meetings and communications regarding both actual and potential issues, problems, and trends.

C.5 Risk and Issue Management

C.5.1.1 The Contractor shall use a robust, proven approach to risk identification, assessment, prioritization, monitoring, and mitigation that proactively raises awareness of risk areas and protects the interests of the project. This approach must be clearly documented, understood, and accessible by all CFSA staff through the Risk Management Plan (RMP).

C.5.1.2 The Risk Management Plan must outline the following steps summarized regarding how risks associated with the CFSA System Project will be managed:

1. Risks are identified from several different sources to include project controls, schedule analysis, requirements, design, testing, project meetings, federal guidelines, specifics of federal services, etc. and captured in the risk log.
2. Risks will be analyzed based on the type of item, probability, impact, and other factors and then quantified based on probability of occurrence.
3. Risks are prioritized and ranked.
4. Risks that require escalation will be identified and escalated using the escalation process.
5. To mitigate risks that have emerged, appropriate responses will need to be defined, planned, and implemented.
6. Risks and associated actions will be monitored.
7. Resolved risks will be closed in the risk log.

- C.5.1.3 The Contractor shall provide a risk management tool that, at a minimum, documents the description of the risk, type of risk (schedule, budget, operational, program/policy, technology, development, implementation, etc.), whether it is within the control of the project, probability, impact, level of control, overall risk exposure, priority, dependencies and plans for mitigation, team/staff assignments, response strategy, status, and action plans.
- C.5.1.4 The risk management tool must be accessible by all CFSA Staff involved in the project. The Contractor shall provide training on the use of the issue management tool to all CFSA Staff involved in the project prior to the acceptance of the Risk Management Plan. Risk reports generated from the Contractor's tool will become a part of the Contractor's Weekly and Monthly Status Reports. CFSA currently uses Wrike to capture risks.
- C.5.1.5 While the Risk Management Plan is primarily focused on mitigating negative impacts, the team also shall identify, evaluate, and potentially pursue opportunities that provide sufficient benefit.
- C.5.1.6 The Contractor shall clearly describe its approach for managing the critical risk associated with meeting funding-related deadline to deliver the solution in the RMP. The Contractor shall describe in detail its contingency plan, highlighting the key trigger events and/or dates that invoke the implementation of the contingency plan, impacts (i.e., monetary or otherwise) to CFSA, and remedies.

C.5.2 Governance Support

- C.5.2.1 The Contractor's Project Management responsibilities include creating and transitioning governance plans for specific technical aspects of the CCWIS System. The CCWIS will create capabilities for CFSA that have not been utilized previously, and as such, new governance processes will be necessary.

C.5.2.2 Organizational Change Management

- C.5.2.2.1 Organizational Change Management responsibilities will be shared amongst the Contractor's PMO and the CFSA's PMO. The Contractor, however, shall be expected to provide the overall Change Management strategy. The Contractor shall describe its approach to acclimate CFSA and other Systems users to the CCWIS System. The approach must outline activities necessary during all phases of the project.
- C.5.2.2.2 The Contractor shall be responsible for developing an Organizational Change Management Plan (CMP) (Attachment J 21 CFSA CCWIS Pricing Worksheet), which will:
1. Define the overall change enablement strategy.
 2. Address the impacts of the CCWIS System on all user groups (0.).
 3. Outline and reference both Training and Implementation Plans.

4. Provide guidance beginning at the start of the project to enable the CFSA to support the deployment as necessary.
5. Describe various governance roles and responsibilities needed to successfully support the deployment.

C.6 Requirements Elicitation and Documentation

- C.6.1.1 During this phase of the Project and for each release, the Contractor shall review the requirements (as included in Attachment J 10 CFSA Architecture Summary, J 11 - Functional Requirements; Attachment J 12-Technical Requirements; and Attachment J 19 CFSA As-Is Business Process Flows). From these requirements, the Contractor shall develop As-Is and To-Be Business Process, To-Be System Models, and functional and technical detailed requirements documents (or repository) that flush out the full set of processes and functional requirements of the System.
- C.6.1.2 The Contractor may propose clarifications or modifications to the high-level requirements described in the Appendices during the requirements elicitation phase. The PMO will consider these proposed modifications and work through the Change Control process, as outlined in the Change Control Plan (discussed in D.3.2), with the Contractor to modify and baseline the requirements appropriately. Slight rewording or other minor changes that do not materially change the requirement shall not be required to go through full change control processes.
- C.6.1.3 Similarly, since multiple releases for the System as a whole and for each module are expected, the requirements will be reviewed and confirmed for each module and/or release of the System as described above in Section D.2.1.4 Project Road Map and Schedule, and any changes required will pass through the change control process.
- C.6.1.4 To be responsive to changes and conscientious about managing the impact of change, the Contractor shall develop a Requirements Management Plan (RQP) approach that includes the following key elements of requirements management:
1. Defining assumptions and mapping them to requirements
 2. Enabling requirement tracking and traceability to designs, tests, acceptance test, code, and other deliverables
 3. Forecasting the impact of requirements changes on other materials

C.6.1.5 The Contractor shall provide and maintain a Requirements Traceability System to document and manage requirements throughout the implementation lifecycle. The Contractor also shall maintain the Requirements Traceability Matrix (RTM) to reflect and track the requirements defined in the solicitation as they are modified in this phase and future phases of the project. The RTM will be baselined in conjunction with the preliminary, detailed, and final design reviews conducted by CFSA so that historical snapshots of the requirements will be available for future analysis. Additional updates to the RTM may be required at subsequent CFSA reviews.

C.6.1.6 The Contractor shall use a requirements management tool to manage the RTM and achieve full traceability across design, development, testing, and implementation. The Contractor’s approach, outlined in the Requirements Management Plan, must describe the features and capabilities of the proposed requirements management tool. The Contractor also must describe the type and level of tool access that will be provided to PMO and other oversight resources from requirements analysis through testing and system acceptance. Currently, CFSA uses Atlassian’s Jira software for requirements management.

C.7 Design

C.7.1.1 Under CCWIS regulations, states are encouraged to leverage modern technologies, best practices and platforms to create modular systems tailored to meet the needs of their respective jurisdictions. CFSA is enthusiastic about moving from our current approach by working with the Contractor to align the new System to support CFSA’s organizational structure, clinical practice and operational procedures. The depiction of the future state architecture is represented in Figure 3.

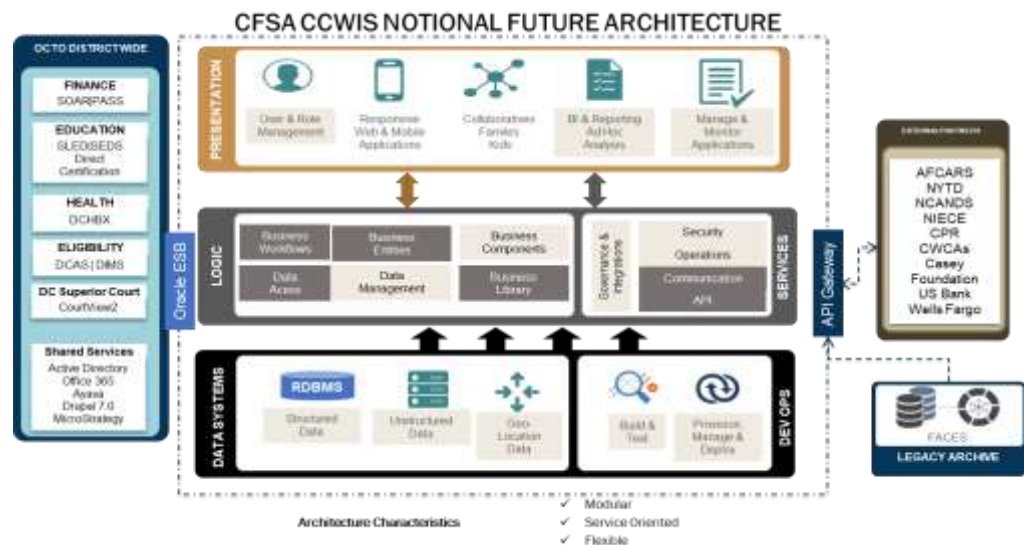


Figure 3 Future State Notional Architecture

C.7.1.2 The Contractor shall elicit, design, develop, test, and deliver a fully integrated CCWIS System that provides a best-in-class user experience that:

1. Guides users to their respective goals
2. Is highly efficient in the number of clicks to action site wide
3. Uses consistent patterns to set user expectations
4. Promotes User Centered and Responsive Design Patterns
5. Emphasizes a Taxonomy where things that belong together stay together
6. Employs modern, architectural best practices for separation of function
7. Promotes transparency and accountability through compliance with federal and District policies and consistency of the application of rules.
8. Is built on an architecture that is scalable, flexible, and modular
9. Supports Continuous Integration and Automated Testing
10. Employs an iterative and incremental model for delivery

C.7.1.3

An initial Dashboard concept shown in Figure 4 reflects long held desires to have fewer pages, fewer clicks, more information, tailored and tailor-able to the particular user based on roles and permissions. The look and feel presented is not a requirement.

C.7.1.4

The CCWIS solution needs to support and be tested against common standards that major browsers (Internet Explorer, Chrome, Firefox and Safari) support.

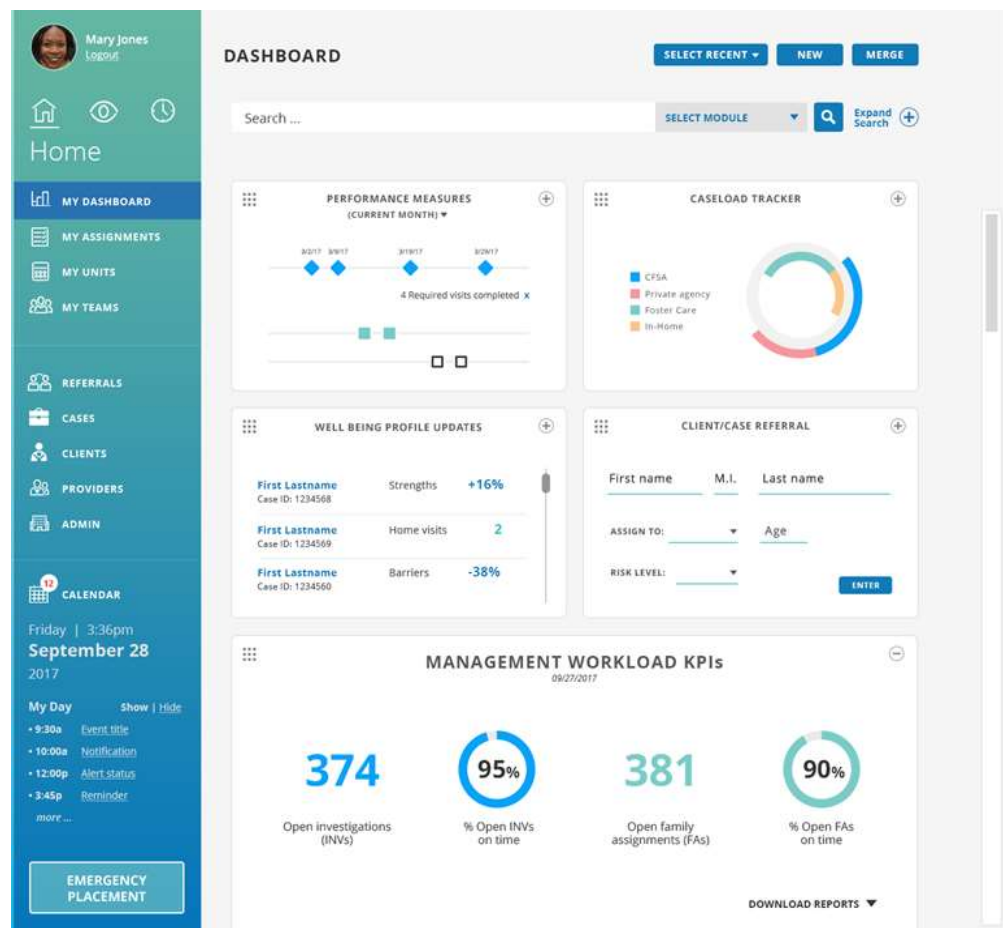


Figure 4 A Conceptual Depiction of an Integrated View

- C.7.1.5 The Contractor shall prepare and deliver the design for the CCWIS System, including the architecture, application, database, and network needs of the CCWIS System.
- C.7.1.6 The Contractor shall perform the General (or Overall System) Design including prototype user experience. The overall system design phase is to provide an end-to-end design of the full system. This phase is a critical component of the project lifecycle because it is the first time the CCWIS System solution will be articulated in detail.
- C.7.1.7 For each module and release, the Contractor will create Detailed Design artifacts that augment and expand upon the initial functional definition during the Project Planning and General Design phase.
- C.7.1.8 CFSA expects that the Project Planning, Requirements Elicitation, and General Design definition will be occurring concurrently during the first year of the contract. CFSA expects that the General Design phase will inform the product road map, schedule, and other artifacts to be delivered during the Planning Phase.
- C.7.1.9 The CCWIS System design will be based on the initial Requirements Elicitation and Documentation phase of the project and updated in a controlled, iterative fashion. CFSA expects a phased approach to the system development. These artifacts will be updated during the requirements confirmation phase for each release. With this in mind, CFSA expects that the Contractor will provide an initial system design document with the following components and each design component may be updated, expanded upon, or refined during each module or release design phase. The design documents should include at least the following components:
1. Visual – screen mock-ups, report and notification layouts, etc. that illustrate how the System looks and feels
 2. Flow – process flows and action diagrams that articulate how the System works for each major role.
 3. Specifications – detailed descriptions of data elements, action buttons, icons, that provide the information needed for coding in the Build phase

C.7.1.10 The Contractor must provide a combined Design effort or split the work into a “General Design” and “Detailed Design.” As is the case in all project phases, any changes to requirements executed via Change Control must be traced through to dependent documents using the RTM.

C.8 Development

C.8.1 This phase involves the actual coding and development of the CCWIS System based on accepted designs. Development includes component (or unit) testing of individual code modules, and assembly testing of connected modules. These test activities are precursors to system testing.

C.8.2 Testing activities may be completed in temporary environments managed by the Contractor in order to avoid the cost of additional hardware. All development environments must be accessible by CFSA project team members. Environments needed for subsequent phases (testing, conversion, training, implementation, and production) must be established and maintained at District facilities or hosted facilities, as proposed.

C.9 Testing

C.9.1 Testing involves verifying and validating that the System performs as expected. In terms of testing the CCWIS System, verification is a confirmation that the end product matches the specifications laid out in the requirements and system design. Validation is a broader check that the CCWIS System meets the needs of users and addresses the overall business needs for the project. Effectively testing the CCWIS System requires a robust planning activity that, like system build, is based on the agreed upon designs.

C.9.2 Test planning involves identification of cases or conditions, as well as data to be used to execute the test. In many cases, later test cycles can leverage converted data (which can serve as a test of conversion processes as well as the System itself). The Contractor must describe their approach to testing in the Test Plan deliverable (Attachment J 21 CFSA CCWIS Pricing Worksheet), which will include overall scope, approach, schedule, resources, environment, and reporting. The test plan must specify processes, tools, and reporting mechanism used for performing:

1. Unit Testing
2. Integration Testing
3. Regression Testing
4. Functional Testing
5. Performance/Stress Testing (include load testing to account for business cycles)
6. Security/Vulnerability Testing
7. Accessibility and Usability Testing
8. User Acceptance Testing
9. Release Dry run
10. Post Release Validation

- C.9.3 The Contractor shall ensure test cases/conditions validate end-to-end functionality, in addition, to state interfaces for functionality and data accuracy. These tests verify and validate that the CCWIS System fulfills all requirements for the release. Formally controlled and focused testing is performed to uncover and prioritize defects in the CCWIS System that must be resolved. Unscripted testing also may be performed during the user acceptance test (UAT) activity. A progression of tests shall be performed during the Test Phase as outlined in the test plan. Independent testing through quality assurance consultants also will be performed.
- C.10 Conversion
- C.10.1 The Contractor shall conduct conversion activities to support the implementation of the CCWIS System. As with the rest of the CCWIS System, data conversion requires planning, design, coding, and testing (mock conversions). The Contractor shall develop a Data Conversion Plan that details the methodology to be followed for each data source or legacy system. The approach must address the individual needs of each system in a manner that considers cost effectiveness and impact on staff and clients. The Data Conversion Plan will provide the schedule, guiding principles, data quality considerations, and conceptual design for the conversion process.
- C.10.2 CFSA will provide an API to the FACES legacy database in order to provide the vendor with the opportunity to pass information onto/from the legacy system for the purposes of incremental implementation of the new CCWIS. The API will allow new services to use existing database and/or new CCWIS database. The intent is to avoid duplicate data entry if and when the two systems are operating in parallel.
- C.10.3 Contractor's responsibilities related to data conversion include:
1. Analysis of legacy systems
 2. Development of the Conversion Plan
 3. Designing, building, and testing conversion protocols
 4. Identify data correction issues for cases that will not convert unless modified in the legacy system
 5. Mock conversions Minimum of 3
 6. Utilize statistical processes such as qualitative and quantitative checks for quality assurance
 7. Conversion execution
- C.10.4 The Contractor shall conduct Conversion Testing (mock conversions) prior to the initiation of any conversion activities in the production environment. The Contractor shall prepare a Conversion Test Results report that includes the test results and performance analysis, the deficiencies encountered, corrective action taken, and re-test results of the conversion work stream.
- C.10.5 In addition to basic Case information, CFSA envisions leveraging federal reports generated off of the ESB data to validate the extracted data sets or identify

deficiencies in the existing FACES.NET data.

C.11 Training

C.11.1 Summary

C.11.1.11 The Contractor shall describe its approach to District-wide training for all CCWIS user groups as referenced in Section D.19 System Roles and Features. Responsibilities include providing training materials, planning and organization, and delivery logistics. Training shall be tailored specifically for each applicable group within the scope of the CCWIS System.

C.11.2 Training Plan

C.11.2.1 The Contractor shall be responsible for developing a Training Plan and for preparing and delivering a broad spectrum of training curricula, materials and programs for CCWIS System users. The CCWIS System Training Plan must describe the overall goals, learning objectives, and activities that are to be performed to develop, conduct, control, and evaluate instruction. Additionally, the Training Plan must address the division of training responsibilities between the Contractor and CFSA's Child Welfare Child Welfare Training Academy. The Training Plan must address both initial and ongoing training activities.

C.11.3 Training Delivery

C.11.3.1 Developing a high-quality training delivery program is critical to ensuring the CCWIS System users, clients, and support staff members are successful in learning and mastering the CCWIS System. Scheduling and delivering that training requires careful planning and diligence, and many factors need to be taken into consideration, such as the CCWIS System implementation schedule, geographical diversity, and the number of courses to be delivered. The Contractor may leverage a train-the-trainer (TTT) approach to training delivery but must articulate the approach to be followed to mitigate the risk of using non-Contractor trainers in the Training Plan. The effectiveness of training is a key Go/No-Go criterion to be considered as part of the release's implementation.

C.11.4 System Training Materials, Job Aides, User Guides, and System Help Files

C.11.4.1 The Contractor shall provide all training materials required for satisfying the training plan (Attachment J 21 CCWIS Pricing Worksheet), which may include:

1. web-based instruction,
2. context-specific online help files,
3. videos,
4. instructor guides,
5. student guides,
6. exercise materials,
7. user quick reference guides,
8. release notes,

9. job aids, and
10. training records.

- C.11.4.2 While training materials are important reference materials, CFSA envisions that the System shall provide context-sensitive information to the user through the System, rather than through separate training, training materials are made available online and on-demand, and that the System is intuitively designed to minimize the need to additional system training.
- C.11.4.3 With built-in context-sensitive tools tips, validations, and workflows, the following section provides additional methods for the Contractor to provide training materials in the support of the system. The additional methods and artifacts that the Contractor shall deliver will be determined during the Requirements Elicitation phase of the project and a final set of deliverables will be documented within the Training Management Plan.
- C.11.4.4 Specific CFSA staff may require specific training in support of their business function. The Contractor shall deliver role and group base training materials aligning to specific business units and/or processes. Additionally, the system shall consider different training materials for external users (such as foster parents and providers). Finally, technical staff supporting the system will require unique training materials and user guides to perform help desk and customer service activities.
- C.11.4.5 The Contractor shall create job aids that explain how a business user is to use the CCWIS System from a business function. Different job aids may exist for different business users.
- C.11.4.6 The Contractor shall create CCWIS System help files for those users who maintain, support, and/or use the System in a day-to-day operations environment. This includes all system operational and support functions and processes for all operational and maintenance facilities, including the Help Desk.
- C.11.4.7 The District and the Contractor shall agree to specific formats during functional design that support the agreed upon training approach. The Contractor shall maintain the documentation to reflect the production release(s) for the duration of the contract. The Contractor must use a documentation methodology to ensure consistency and quality of the training materials.
- C.11.4.8 The Contractor shall provide training plans and training materials to the CFSA for review, feedback, comments, and approval one (1) month prior to delivery of a training session or transition to CFSA training staff.
- C.11.4.9 The Contractor shall provide the updated version of training materials to CFSA within fifteen (15) calendar days of receipt of the identified change(s) or sooner if there is a scheduled training session that shall be impacted.

C.11.4.10 The Contractor shall supply master copies of all training materials, and the Contractor shall provide CFSA with copy and distribution rights to all training materials created for the CCWIS System.

C.12 Deployment

C.12.1 Software Deployment

C.12.1.1 The Contractor shall complete an Implementation Plan. Following the completion of release training and certification that data conversion protocols are ready for production, the Contractor will lead Go-Live activities required to deploy each module or set of modules for the new CCWIS System into the production environment. The Contractor must describe the approach to deployment planning and execution, including the coordination needed across multiple stakeholder groups and technical teams. A key aspect of any system deployment is the Go/No-Go criteria identified and refined for each release, to be continuously reviewed and updated as readiness activities are completed.

C.12.2 CFSA envisions that the project will leverage a best-practice Software Development Life Cycle (SDLC) that will result in multiple software releases, both for the overall System and within each module or set of modules. CFSA expects that each module will require additional releases to a) augment and expand upon modular functionality, b) integrate with future modules of the System and b) to address defects or poorly functioning aspects of the CCWIS System. Contractors may leverage variations of the approach with justification and explanation for the specific approach proposed by the Contractor.

C.12.3 The CCWIS System shall be considered fully deployed once all code resides in a production environment after the successful execution of all test activities across all modules of the System. For the purpose of this project, the roll-out of the software to various business user groups is a separate project phase, Roll-out, and is not required to be complete during the Deployment phase.

C.12.4 The Contractor shall create and deliver call center scripts for the CFSA Help Desk. Scripts shall be created for inbound and outbound customer interactions with the Help Desk for use by customer service representatives. The scripts shall support predictive and branching conversation to help answer inquiries effectively and efficiently. The scripts shall be 508 compliant and written in clear, understandable, and relatable language to maximize the overall customer service experience. The Contractor shall consider integration with the language line and or business process workarounds to incorporate language support.

C.12.5 The Contractor shall make available an additional Help Desk support staff member to assist the CFSA staffed Help Desk with addressing potentially higher than normal Help Desk inquiries.

C.13 Final Business Product and Development Documentation

C.13.1 The Contractor shall provide to CFSA complete, accurate, and timely

documentation of the CCWIS Systems solution delivered for each release, including hardware, software, and data. The Contractor shall provide the CCWIS System Documentation within thirty (30) days following CFSA acceptance of the CCWIS System as a whole. District acceptance will not be given, and the final Business Product Documentation cannot be delivered if portions of the CCWIS System are not functioning properly.

- C.13.2 Following the deployment subtask, the Contractor shall prepare updates to the CCWIS System Documentation to incorporate all changes, corrections, or enhancements to the CCWIS System. Updates to the CCWIS System Documentation shall be delivered to the CFSA within one week of CFSA technical sign off of the change, unless otherwise agreed to by the CFSA.
- C.13.3 One electronic copy of the final version of the CCWIS System Documentation must be provided to CFSA. The Contractor shall be responsible for supplying any hard copies of the CCWIS System Documentation required.
- C.13.4 Contain the following documentation for each component:
1. Component name and numeric identification;
 2. Component narrative, including each function and feature of the component;
 3. Component flow charts, identifying each program, input, output, and file;
 4. Job streams and Script within components identifying programs, input and output, controls, job stream flow, job control language, operating procedures, and error and recovery procedures;
 5. Identification and listing of all Contractor internal control reports;
 6. For all forms, screens, input files and other inputs: input definitions, including names, descriptions, sources, examples, and content definition;
 7. For all screens, reports, output files, and other outputs: output definitions, including names, numbers, sources, destinations, examples, and content definition; file descriptions, and record layouts shall be included for all data;
 8. Listings of edits and audits applied to each input item, including detailed edit logic, affected data, suspense and override data, and corresponding error messages; program documentation;
 9. Detailed pricing logic for all claims or subsidy payments processed by the System;
 10. For all files, including intermediate and work files: file descriptions and record layouts, with reference to file names and numbers; data element names, numbers, number of occurrences, length, and type; record names, numbers, and lengths; and file maintenance data, such as number of records, file space, and so forth;
 11. Lists, by identifying name, of all files, inputs, and outputs with cross-references to the programs in which they are used.
- C.13.5 Contain a data element dictionary which will include, for each data element:
1. A unique data element number
 2. A standard data element name
 3. A narrative description of the data element
 4. A list of data names used to describe the data element

5. A table of values for each data element
6. The source of each data element
7. A list of programs using the data element, describing the use of input, internal, or output
8. List of files containing the data element

- C.13.6 Contain operations run documentation with schedules and dependencies.
- C.13.7 Support CFSA in monitoring activities on an ongoing basis.
- C.14 Roll Out
- C.14.1 Contractor shall design the roll out so that end users are only active in one system at a time, with the exception of read-only views of data.
- C.14.2 CFSA is recommending that formal roll out of the new System once entire end-to-end business processes have been developed and implemented. However, the Contractor shall perform their own analysis of the roll out, case on the Project Planning phase of the project, and provide a recommendation to CFSA as to the most viable roll out approach.
- C.14.3 In lieu of a functional release of the System to end users, the Contractor shall release system modules and functionality into a pre-production environment. The Contractor shall pilot each set of functionalities with limited users to validate the release and identify the next set of priorities for the particular module being released. This will allow the Contractor to release components of the System in an iterative fashion, while minimizing the dependency on sun-setting FACES.NET. The Contractor may propose alternative approaches during the Project Planning phase of the project.
- C.14.4 As mentioned above, the Contractor shall be responsible for analyzing the impacts of a both pre-production and staged roll out approaches and make a determination on the most reasonable approach for system rollout.
- C.14.5 The Contractor shall roll out the product in a manner outlined in the Implementation Plan, based on the analysis listed above. The Contractor shall manage the roll out of the CCWIS System for each Business Process and Unit included in the scope of the project to ensure a successful transition to the CCWIS System.
- C.14.6 The CCWIS System shall not be considered fully implemented until all Business Unit user communities are leveraging the CCWIS System for all program functions provided.
- C.14.7 The Contractor shall plan for a Surge Team during and minimally one (1) month post production release to address user issues and unexpected system deficiencies. The Surge Team price schedule is included in J 21 CFSA CCWIS Pricing Worksheet.

C.15 Post Deployment and Roll-Out Support

C.15.1 Transition

C.15.1.1

The Contractor shall develop and document a Transition Plan detailing how the CCWIS System could be turned over to another Maintenance provider or CFSA at the end of the Contract period, on termination of the Contract, or when such a change is warranted. The Transition Plan shall:

1. Specify tasks and schedule required for turnover.
2. Provide for an orderly and controlled transition to CFSA.
3. Be designed so there is no disruption in services provided.
4. Provide for the transfer to CFSA all appropriate Software and all Documentation, Data, Test Data, and procedures.
5. Provide for the destruction of duplicate Data or materials deemed to be confidential remaining in the Contractor's possession at the end or termination of the Contract.
6. Provide comprehensive turnover training to the District in the operation and maintenance of the CCWIS System.
7. Cooperate fully with CFSA.

C.15.2 Hardware and Software

C.15.2.1

CFSA prefers that the new CCWIS System be delivered in a cloud infrastructure using cloud-based products.

C.15.2.2

The CCWIS System, itself, should ideally be delivered using commercial government, Federal Risk and Authorization Management Program (FedRAMP) certified cloud hosting such as Amazon Web Services; Microsoft Azure; or other, proven, secure, elastic commercially available Infrastructure-as-a-service, Platform-as-a-service, and/or Software-as-a-service cloud offerings.

C.15.2.3

The interfaces, and data exchanges needed to interact with other DC agencies, however, should be built making use of existing District systems and services where possible and practical, before procuring new component solutions and technologies. For example, the District has a significant investment in the Oracle SOA middleware suite and accessing existing Oracle SOA ESB hubs can potentially leverage many of the required integrations for the CCWIS System to access local data sources.

C.15.2.4

CFSA anticipates that the successful vendor will implement a CCWIS data hub for District interfaces, using the District ESB Standard (Oracle SOA), in the Citywide OCTO data center, and that this hub will be the single integration point for accessing data from other agencies on the citywide network. Access to external data sources can be done through cloud-based gateways.

- C.15.2.5 Furthermore, the District's Office of the Chief Technology Officer (OCTO) offers a wide range of services, such as networking, server/application hosting, and security services, which the Contractor should consider leveraging to meet the requirements of the data exchange components of the CCWIS System. A catalog of products and standard baseline prices offered by OCTO are listed in Attachment J 13 – Pricing OCTO for the Contractor's consideration to offer pricing options accordingly.
- C.15.2.6 The Contractor shall strive to make use of existing commercial cloud systems and services where possible for the local data exchange hubs. If the Contractor recommends not to use the commercial cloud services for application hosting, or local hosting/ESB standards offered by OCTO, the Contractor shall clearly indicate why an alternative is superior and, in the District's best interest. The Contractor cannot recommend its own data center or hosting capabilities – only commercially focused entities, as laid out above will be considered as viable commercial cloud service.
- C.15.2.7 The Contractor shall procure, document, and maintain software licenses and license management procedures that meet District requirements and adhere to state defined policies. The Contractor shall develop and maintain inventory of all software licenses. The Contractor shall manage and maintain (e.g., monitor, track status, verify, audit, perform contract compliance, renew, reassign) all software licenses and media through the software.
- C.15.2.8 The Contractor shall coordinate software license and maintenance agreement reviews and warranties, allowing at least 180 days for renewal activities before expiration. The Contractor shall provide the District with reports and recommendations to use in making software acquisition and discontinuance decisions. The Contractor shall provide recommendations to purchase additional license capacity, and shall recommend alternatives, or curtail usage where necessary and appropriate to restore or continue to maintain license compliance.

C.16 Maintenance and Support

C.16.1 Summary

C.16.1.1 Operations Management defines the services to be provided by the Contractor after CCWIS System deployment. These activities begin when the CCWIS System is deployed into production and successfully implemented for all business users. Operations Management ends when maintenance of the CCWIS System is transitioned to CFSA. Operations activities include four types of production system support, described in the sections below:

1. Maintenance Support
2. Warranty Support
3. Enhancement Support

4. IT Help Desk Support

C.16.1.2 The Contractor shall be transparent with the operations of the CCWIS System by reporting verbally, in writing, and through automated tools the operations of the CCWIS System to CFSA.

C.16.1.3 Modifications to the CCWIS System are required to be conducted using strict system change control processes and associated approvals. This applies to both warranty defect repairs and system enhancements. The Contractor shall report all changes to the System through appropriate written status reports and communications.

C.16.1.4 The Contractor shall prepare, document, and practice backups/recoveries and disaster recovery scenarios so that, in case of an emergency, the Contractor will be able to support CFSA appropriately.

C.16.2 Maintenance Support

C.16.2.1 The Contractor shall provide maintenance support as soon as a release is migrated into production. Maintenance activities include regular technical operations of the CCWIS System application, as well as deployment of software patches and upgrades (if appropriate per packaged software maintenance agreements). Other operations activities, including Warranty Support, Enhancement Support, and IT Help Desk Support, take place in parallel to maintenance. Technical operations considered part of Maintenance Support activities include the following:

1. Availability Management: to maintain high system availability. The CCWIS System shall conform to service levels and performance requirements and maintain high reliability and resilience.
2. Configuration Management: and provide detailed approach and procedures for managing the configurations of the CCWIS System, including environment management, build management, release promotions, and network management.
3. Capacity Management: to enable the CCWIS System to fully support the needs of CFSA and providers by conducting system sizing, modeling, capacity planning, resource management, and performance management.
4. Continuity Management: including providing architecture and procedures that support system continuity. Plans shall be put into place to prevent and support system failure and recovery. The Contractor must develop proactive measures to reduce the risk of a disaster and/or mitigate the impact.
5. Performance Management: to provide a structured method and procedures to manage the CCWIS System performance and keep the performance in compliance with the service level and performance requirements.
6. System Change Management: including a standardized method and procedures to efficiently handle the system changes, Configuration modifications, and/or System Software/Equipment updates (when authorized via the Change Control process). The system change management procedures must minimize disruption of production services.

7. Security Management: that supports and provides a highly secure system, with processes and procedures to ensure the integrity of the CCWIS System in compliance with all applicable security controls and regulations.
- C.16.2.2 The Contractor shall provide Maintenance Support until the Warranty Support period expires, twelve (12) months after Go-Live of the last planned release. CFSA may choose to execute option years for additional Maintenance Support services. Because these option years could occur after the expiration of all warranty periods, they include technical operations (as described above) and packaged/COTS/transfer software maintenance only. Post-warranty defect resolution would be treated as enhancement requests, requiring change control authorization and additional payment.
- C.16.2.3 The Contractor shall update and maintain, at no additional cost, all CCWIS System functions in accordance with all Federal and District mandates, legislation, statutes, regulations, and policy memos that go into effect while the Contractor is providing Maintenance Support. In effect, system changes required as a result of new legislation will always be funded as warranty fixes rather than enhancements, regardless of the warranty period for the given release. The Contractor should plan accordingly for this potential effort, which could be comparable to implementing an enhancement (depending on the scope of the legislative change) in terms of design, build, and test hours.
- C.16.2.4 Contractor shall submit copies of all boilerplate agreements, including without limitation software licenses, software maintenance agreements, hardware maintenance agreements, software escrow agreements, standards terms and conditions, and documents related to hosting including hosting agreements, software as a service agreement, platform as a service agreement, or infrastructure as a service agreement.
- C.16.2.5 The Contractor also shall include a product roadmap and release schedule for any packaged/COTS/transfer software proposed as part of the CCWIS System solution. The Contractor must address the required staff personnel from CFSA and their required level of expertise and capabilities for maintenance after the contract period.
- C.16.3 Warranty Support

C.16.3.1 The CCWIS System release(s) shall have a twelve-month Warranty Support period in which the Contractor must resolve production deviations from accepted requirements and designs at no additional cost to the District beyond providing Maintenance Support. Any requested changes to the CCWIS System outside the scope of accepted deliverables will be considered enhancements rather than warranty defects and will require change control approval and cost estimation. An individual or team who are unequivocally capable, understand the architecture and the implementation of that architecture must be available post contract or in the case of transition, for a period of no less than 6 months. A complete and successful release means that all interfaces, reports, custom integration code, 3rd party components and custom developed User Interface code, business logic, data and tests have:

1. Passed the scrutiny of the vendor
2. Verified by CFSA quality assurance and quality control processes managed by our Independent Verification and Validation vendor,
3. User accepted by CFSA users
4. Used in practice for 12 months.

Pre-identified defects prior to release will be handled in the next development cycle, regardless of whether that cycle is a development cycle or a maintenance cycle. Un-identified defects that are found within 12 months post-release, will be addressed at no additional cost to the District.

C.16.3.2 Notwithstanding prior acceptance of deliverables by CFSA, the Contractor shall expressly warrant all delivered programs and documentation as properly functioning and compliant with the terms of the contract. The Contractor shall correct all errors and deficiencies in the CCWIS System and replace incorrect or defective programs and documentation within an agreed upon period from the time of notification from the Contract Administrator of such deficiencies or within such period as may be necessary to make correction(s) using all due diligence and dispatch as agreed upon between CFSA and the Contractor. If the Contractor fails to repair an identified error, deficiency, or defect within such period, the District may, at its sole discretion, act to repair it, and the Contractor expressly agrees to reimburse CFSA for all costs incurred thereby. This warranty shall be in effect throughout twelve (12) months after each production release. Deficiencies properly noted before expiration of the warranty shall be covered regardless of such expiration.

C.16.4 Enhancement Support

- C.16.4.1 Enhancements are defined as system changes requested by CFSA that are not part of the scope of the CCWIS System (as defined by accepted deliverables). Enhancements can be identified during or after the Warranty Support period for a given release. Because they are not part of CCWIS System scope, enhancements require change control approval and additional funding to implement. Funding must be approved via the change control process before work on an enhancement can begin.
- C.16.4.2 The cost of the enhancement should be estimated as part of the change control documentation, which, if approved, will result in new requirements being added to the RTM and new funding to execute the design, build, testing, and deployment of the change. The Contractor shall propose an approach to the design, development, and implementation of approved enhancements that includes the following activities:
1. Process for initiating and approving an enhancement, leveraging the Change Control process
 2. Design, development, testing, and implementation of enhancements to the CCWIS System
 3. A proven system development methodology for use in phased delivery of systems enhancements (i.e., grouping enhancements and other system changes into maintenance releases)
 4. Communicating the disposition of enhancements as part of existing status reporting procedures and schedules
- C.16.4.3 The Contractor shall provide a schedule of rates for enhancement changes to be used as part of the estimating process for change controls. It is expected that hourly rates used for enhancements will have annual cost-of-living adjustments.
- C.16.5 IT Help Desk Support
- C.16.5.1 During the time periods in which the Contractor is providing Maintenance Support services, they also shall be responsible for addressing Help Desk tickets related to the CCWIS System. In terms of Operations Management, IT Help Desk Support involves responding to tickets that are routed to the Contractor while they are under contract to provide Maintenance Support. In general, these will be IT-related tickets that must be resolved by the Contractor's system maintenance team.
- C.16.5.2 Help Desk tickets deemed to be related to an IT issue may be flagged as any one of the following:
1. Warranty defects, to be resolved at no cost if identified during the warranty period
 2. Maintenance defects, which require funding to resolve (because they were identified after the warranty period expired)
 3. Maintenance activities, which are not defects but must be resolved (at no cost) in order to continue normal operations

4. Enhancement requests, which require change control and funding regardless of the time they are identified
5. Changes to Federal/District Mandates, which must be implemented at no cost to CFSA regardless of the warranty timeframe

C.16.5.3 The Contractor shall be responsible for reporting on Service Level Agreements (SLAs) associated with resolution of customer support tickets flagged as one of the above types of IT issues. Help desk documentation and reporting shall include, at a minimum, associated help desk ticket numbers, counts by status (open, closed, etc.), duration to resolve, and resolution date/time.

C.16.6 Knowledge Transfer

C.16.6.1 As requested, or approximately five (5) months prior to the end of the contract or any extension thereof, the Contractor shall begin training the staff of CFSA or its designated agent in the operation of the CCWIS System. Such training shall be completed at least two (2) months prior to the end of the contract or any extension thereof.

C.16.6.2 Prior to the conclusion of the contract, the Contractor shall provide, at no extra charge, assistance computer facilities, systems, and communications facilities in turning over the CCWIS System to CFSA, the District, or its agent.

C.16.6.3 As requested, at such time as CFSA may designate, or approximately three (3) to six (6) months prior to the end of the contract period, the Contractor shall transfer to CFSA or its agent, as needed, a copy of CCWIS System materials, including:

1. Custom scripts to support data feeds/exports to and from other systems
2. Requirements and data structures to support CCWIS System initiatives
3. Detailed documentation on all data feeds, including details on source or target systems including database type, system owners, and contact information for technical support (i.e., if data feed fails)
4. Data transfer format (i.e., file format or insert query SQL etc.)
5. Details on data transfer mechanism (schedule, relevant usernames/passwords, IP addresses, ftp sites, etc.)
6. Details on all scripts, i.e., code/SQL/environment/server login information/path
7. Documentation of all login information used to access all servers, databases, and interfaces
8. Documentation of all instances of all systems (prod, dev/test, prod copy)
9. Documentation of all backup procedures
10. Documentation of all contact information for external support resources (i.e. OCTO; Commercial Cloud providers)
11. Detailed documentation of all operational policies and procedures
12. Documentation of the timeline of support throughout the year
13. Detailed order of execution of all steps, including any standard preparatory tasks such as backups or data verification
14. Details on all scripts/commands executed via server command line, including explanation of all parameters

15. Details on all commands or actions entered through the CCWIS System front end and explanations
16. Details on all scripts used including source code files
17. Details on any commands entered via database interface
18. Documentation of all system customizations in the front-end interface and back-end data model

- C.16.6.4 As requested, or approximately six (6) months prior to the end of the contract or any extension thereof, the Contractor shall provide updates for all reference files, programs, and other documentation as shall be required by CFSA or its agent to run acceptance tests.
- C.16.6.5 At the option of CFSA, the Contractor shall arrange for the removal of CCWIS System hardware and software.
- C.16.6.6 Following turnover of operations, the Contractor shall provide the District with a Transition Results Report that will document completion and results of each step of the Transition Plan.
- C.16.6.7 In order to provide post-turnover support, the Contractor shall provide the services of a systems analyst and a capable, competent, and fully aware technical lead, which have both worked on the CFSA CCWIS System for at least one (1) year. The team shall be required to be on-site for ninety (90) days following contract termination. The individuals proposed by the Contractor must be approved by CFSA. CFSA will provide working space and will assign work to be done on a full-time basis to support post-turnover activity. The Contractor also shall be responsible for, and shall correct, at no cost, any malfunctions which existed in the CCWIS System prior to turnover or which were caused by lack of support at turnover, as may be determined by CFSA.

C.17 System Requirements

C.17.1 Summary System Requirements

The sections to follow describe the set of existing business processes and specific process improvements to be addressed through the project. It is expected that as part of the Project Planning phase of the Contractor shall perform business process analysis of each module, identify opportunities to make processes lean and focused on client value from which the Contractor shall develop functional requirements, use cases, HTML prototypes, and/or other similar artifacts. CFSA envisions an integrated CCWIS System that allows:

- C.17.1.1 The Intake of call to the CFSA Hotline and routing to appropriate response units;
- C.17.1.2 Documentation of the Investigation, family assessment, and RED team determination processes, both in the office and in the field, that include the incident(s), contact or interviews with sphere of influence individuals, determinations and outcomes, and provided services. Additionally, the module will support the Child Protective Registrar functionality.
- C.17.1.3 Comprehensive Case Planning to support integrated views of case, client, and family data, workflow and event-based tools that assist in the management of individual cases, and cross-functional case management capabilities across the provided services.
- C.17.1.4 Permanency and Exit/ Post-Permanency Support management, that allows CFSA and clients to manage the completion of activities that result in a permanent home placement through reunification, adoption, or other exit pathways, access to closed client records to provide temporary services to avoid any new disruptions, and longitudinal data analysis across CFSA and District data sources.
- C.17.1.5 Provider recruitment, licensing, training monitoring, the capture of placement matching data points to facilitate strategic placement and monitoring of active providers across the child welfare spectrum.
- C.17.1.6 Financial Management processes that informs and/or integrates with the District's Enterprise Purchasing and/or Financial Management Systems. Processes include claims processing, payment management, accounting, and contracts and grants management.
- C.17.1.7 Cross-functional Events Management, which creates a central repository of interviews, meetings, assessments, hearings, and other events across all workflows, provides streamlined functionality for scheduling and calendaring functions, and provides central views of events for specific user, case, family, court headings, and/or other user groups and roles.

- C.17.1.8 Comprehensive Assessment Management, which provides streamlined tool set for managing and administering various assessments that may be required for a specific client or case, allows program staff to administer each assessment, and integrate with client, case, and family views across all assessments.
- C.17.1.9 Quality assurance personnel to Monitor, review and formally Audit various sets of data and documents through the system, including but not limited to case and service plans, service records, client documentation, provider records, financial records, and investigation documents.
- C.17.1.10 Integrate with CFSA's Learning Management System, ISpring, and provide Training Monitoring. CFSA envisions that CCWIS will generate training monitoring and compliance reports, tie training completion data both workflow processes and user authorization and provide data to support annual renewal and staff training requirements.
- C.17.1.11 The automated submission of Reports by creating and publishing the required data reports, managing the workflow to review, approval, and submit the data, and integrating to reporting systems.
- C.17.1.12 In addition, a detailed list of system requirements is included in Attachment J 11 - Functional Requirements and Attachment J 12 - Technical Requirements.
- C.17.1.13 CFSA envisions a custom-software solution that will align to CFSA's unique business needs in the most cost-effective strategy available. CFSA also may consider a transfer system from another state government, as long as the solution can be customized for CFSA specific processes and can be updated via configuration rather than programming. The proposed solution may include Custom-Off-The-Shelf (COTS) products as component parts of the solution. However, each COTS product must be pre-approved by ACF and have a defined product roadmap and/or release methodology that will not entail significant re-work by the Contractor or CFSA staff.

C.17.1.14 The Contractor's solutions shall provide users with a single look-and-feel that will be established through the CCWIS System core software. The System shall integrate into CFSA's public facing content management system, Drupal, for publishing content, forms, reports, and/or events, as determined by the CFSA PIO. Public and internally facing system pages and mobile applications may leverage a unique look-and-feel, as approved by the agency PIO and/or other CFSA executive staff. Additionally, the software shall not require the display of private company logos, branding, or other identifiable information. The Contractor must be able to render its solutions to support a uniform presentation layer.

C.18 Regulations

C.18.1 The Contractor's solutions shall meet all of the requirements and guidance contained in the documents released by the ACF regarding all CCWIS-administered child welfare programs. This includes the Legislation, Regulations, and Program Policy outlined on the AFC's website, located at <https://www.acf.hhs.gov/>.

C.18.2 Additionally, the Contractor's solution shall meet all of the requirements and guidance contained in the documents released by the District Government and the Child and Family Services Administration.

Government Organization	Regulation, Guidance, or Statute	URL
Federal	Stephanie Tubbs Jones Child Welfare Services: Title IV-B, Subpart 1 of the Social Security Act	https://www.acf.hhs.gov/cb/resource/title-iv-b-subpart-1-ssa
Federal	Prevention of Child Abuse and Neglect Act of 1977 U.S. Code title 42, chapter 67	https://www.law.cornell.edu/uscode/text/42/chapter-67 http://uscode.house.gov/view.xhtml?path=/prelim@title42/chapter67&edition=prelim
Federal	Adoption and Safe Families Act of 1997	https://www.gpo.gov/fdsys/pkg/BILLS-105hr867enr/pdf/BILLS-105hr867enr.pdf
Federal	Patient Protection and Affordability Act	https://www.congress.gov/bill/111th-congress/house-bill/3590
Federal	Individuals with Disabilities Education Act (IDEA)	https://sites.ed.gov/idea/statuteregulations/

Government Organization	Regulation, Guidance, or Statute	URL
Federal	H.R.253 - Family First Prevention Services Act of 2017	https://www.congress.gov/bill/115th-congress/house-bill/253
Federal	DC Family Court Act of 2001	https://www.congress.gov/107/plaws/publ114/PLAW-107publ114.pdf
Federal	Timely Interstate Placement of Fostering Children Act of 2006	https://www.gpo.gov/fdsys/pkg/PLAW-109publ239/pdf/PLAW-109publ239.pdf
Federal	Preventing Sex Trafficking and Strengthening Families Act	https://www.congress.gov/113/plaws/publ183/PLAW-113publ183.pdf
Federal	Section 504	https://www.greatschools.org/gk/articles/section-504-2/
ACF	Title IV-E Foster Care	https://www.acf.hhs.gov/cb/resource/title-ive-foster-care
ACF	Federal Guidance on the National Youth in Transition Database (NYTD)	https://www.acf.hhs.gov/cb/resource/nytd-guidance
ACF	Fostering Connections to Success and Increasing Adoptions Act of 2008	https://www.acf.hhs.gov/cb/resource/pl-110-351
ACF	Adoption and Foster Care Analysis and Reporting System (AFCARS)	https://www.acf.hhs.gov/cb/resource/afcars-guidance
DC	The Child in Need of Protection Amendment Act of 2004	https://beta.code.dccouncil.us/dc/council/laws/docs/15-341.pdf
DC	DC Code Title 4 Public Care Systems	https://beta.code.dccouncil.us/dc/council/code/titles/4/
DC	DC Attendance Accountability Amendment Act	http://lims.dccouncil.us/Download/29228/B20-0072-SignedAct.pdf http://lims.dccouncil.us/Download/29228/B20-0072-SignedAct.pdf

Government Organization	Regulation, Guidance, or Statute	URL
DC	Safe Children and Safe Neighborhoods Educational Neglect Mandatory Reporting Amendment Act of 2010	https://beta.code.dccouncil.us/dc/council/laws/docs/18-242.pdf
DC	D.C. Law 13-136. Adoption and Safe Families Amendment Act of 2000.	https://beta.code.dccouncil.us/dc/council/laws/13-136.html
DC	CFSA Establishment Act of 2001	https://cfsa.dc.gov/sites/default/files/dc/sites/cfsa/publication/attachments/foster_home.pdf
DC	DCMR Title 29	http://dcregs.dc.gov/Gateway/TitleHome.aspx?TitleNumber=29
DC	Chapter 59	http://dcregs.dc.gov/Gateway/ChapterHome.aspx?ChapterNumber=29-59
DC	Chapter 60	http://dcregs.dc.gov/Gateway/ChapterHome.aspx?ChapterNumber=29-60
DC	Chapter 61	http://dcregs.dc.gov/Gateway/ChapterHome.aspx?ChapterNumber=29-61
DC	Chapter 62	http://dcregs.dc.gov/Gateway/ChapterHome.aspx?ChapterNumber=29-62
DC	Chapter 63	http://dcregs.dc.gov/Gateway/ChapterHome.aspx?ChapterNumber=29-63
DC	Foster Parents Statements of Rights and Responsibilities Amendment Act of 2016	http://lims.dccouncil.us/Download/35271/B21-0603-SignedAct.pdf
CFSA	Bill of Rights for Children and Youth in Foster Care	https://cfsa.dc.gov/page/youth-bill-rights-cfsa
CFSA	CFSA Official Policies	https://cfsa.dc.gov/page/cfsa-online-policy-manual

Government Organization	Regulation, Guidance, or Statute	URL
Courts	LaShawn v Barry ... LaShawn v Bowser ... LaShawn Consent Decree	https://www.clearinghouse.net/detail.php?id=11049&search=source%7Cgeneral%3BspecialCollection%7C18%3Borderby%7CfilingYear%3B https://law.justia.com/cases/federal/appellate-courts/cadc/94-7227/94-7227a-2011-03-24.html
Courts	DC Superior Court Rules Governing Neglect and Abuse Proceeding	https://www.dccourts.gov/superior-court/rules
Courts	Superior Court Rules for Domestic Violence	https://www.dccourts.gov/superior-court/rules
Courts	Superior Court Rules Governing Juvenile Proceedings	https://www.dccourts.gov/superior-court/rules
Courts	Superior Court General Rules of the Family Court	https://www.dccourts.gov/superior-court/rules
Courts	DC Superior Court Administrative Order 07-22	https://www.dccourts.gov/sites/default/files/2017-03/07-22.pdf
Other	Code of Maryland Regulations	http://lib.guides.umd.edu/mdlawresources/COMAR
Other	Interstate Compact on the Placement of Children (ICPC)	http://icpcstatepages.org/DC/info/

- C.18.3 The Contractor shall provide subject matter expertise with regard to all federal and local regulations and shall inform the CFSA PMO, stakeholders and other involved personnel of any modifications to the federal regulations. The Contractor shall ensure that the CCWIS System reflects the latest rules and regulations for all Child Welfare Programs and incorporate any modifications to the regulations into the delivered solution.

C.19 System Roles and Features

- C.19.1 The CCWIS System shall provide full capabilities across the spectrum of user types below to provide the business processes noted in the functional business requirements to follow. The Contractor shall perform a detailed user analysis as part of the Requirements Elicitation phase of the project. At a high level, CCWIS must support the following types of user groups:

1. CFSA Staff and sub-groups
 2. External Service Providers
 3. Parents and family members involved in the care of a child
 4. Resource Parents (both adoptive and foster care)
 5. Child in care (of appropriate age), particularly those pursuing a permanency outcome of Another Planned Permanent Living Arrangement (APPLA).
- C.19.2 The Contactor shall identify the most appropriate access channels and parts of the software most appropriate for distribution to each user type. (Ex: Low- and moderate-income individuals are more likely to have access to a smart phone than a desktop or laptop computer. Solutions for providing access to parents and family members should take into account these types of access channel considerations.)
- C.19.3 The Contractor shall propose an appropriate taxonomy of user group and roles that seeks to minimize the need redundancies in the role or group definition during the Requirements Elicitation phase of the project.
- C.19.4 The CCWIS System shall provide additional administrative roles and functions to administer configurable aspects of the CCWIS System, manage user accounts, update lists and selections, view audit information, and perform any other administrative procedures to ensure a functional, up-to-date CCWIS System.
- C.19.5 External Service Providers can be grouped into four distinct categories:
1. Interstate Providers acting on behalf of CFSA
 2. Foster Care Facilities
 3. Service Providers
 4. Other user groups as identified by CFSA
- C.19.6 During the Requirements Elicitation phase, the Contractor shall verify that all external stakeholder who interact with any steps in the child welfare processes fit into one of these broad categories or if additional categories exist.
- C.19.7 Additionally, the Contractor shall provide a feasibility assessment for each External Service Provider that considers leveraging integration rather than external access, reusability of system code versus new features to be developed, and likelihood of use by the external provider.
- C.19.8 Based on the outcome of the group and role analysis and the feasibility assessment, CFSA and the Contractor shall determine the set of external service providers who will have access to the CCWIS System.
- C.19.9 Parents and Family Members -involved in the care of the child would require single user interface to view of demographic, Case Planning and Management, events, and assessment information, at a minimum.
- C.19.10 Access by parents must be managed with considerations for HIPAA, FEPPRA, and IDEA guidelines for how and who may and may not be authorized to view a specific child's record.

- C.19.11 The System must provide a method to manage authorization and release forms associated with the child and relative or other individual involved in the process. Alternatively, the System must consume and maintain authorization information from other data sources.
- C.19.12 Resource Parents (both adoptive and foster care)- The System shall provide prospective and current resource parents (both for foster care and adoptions) access to a portal that allows them to create, edit, and submit applications and renewals, information on status of care, and invoices.
- C.19.13 The System shall allow access to data for a specific child at appropriate authorization points.
- C.19.14 The System shall provide a method for external users to self-administer their accounts, however, additional authorization may be required, such as document or security question verification (against second sourced data), or CFSA manual verification and authorization.
- C.19.15 Child in care (of appropriate age), particularly those pursuing a permanency outcome of Another Planned Permanent Living Arrangement (APPLA).
- C.19.16 Providing access to children of appropriate ages access to certain resources and functionality in the System may provide additional process and communication improvements for the business.
- C.19.17 For children of appropriate age and permanency outcome, the System should provide these users with access to case planning and permanency features, in order to allow the youth to actively participate with the program and CFSA in a more efficient and relatable fashion for the age group.

C.20 Functional Requirements

C.20.1 Summary

- C.20.1.1 The District has created CCWIS-related process flows that represent the current, high-level business processes of the organization. These process diagrams are located in Attachment J 19 – CFSA As-Is Business Process Flows. The Contractor shall leverage these process flows as the basis their Requirements Elicitation phase(s) and is expected to create To-Be process flows that depict future state processes across the business using lean principals to streamline processes to maximize value to clients with minimum steps.
- C.20.1.2 The CCWIS System shall support various user groups for six core process areas and five crosscutting process areas. Core process areas are defined as major areas of functionality that support the core mission of the agency and the CCWIS System. Crosscutting process areas are defined as processes that interact with multiple core processes or have discrete functionality that can be applied to multiple instances of the functionality.

- C.20.1.3 The core process areas are Intake, Investigations, Case Planning, Permanency and Exit/Post-Permanency Support, Provider Management, and Financial Management. The crosscutting process areas are Events Management, Assessments, Monitoring and Auditing, Training Monitoring, and Reporting (all capital words appearing in this paragraph are defined below).

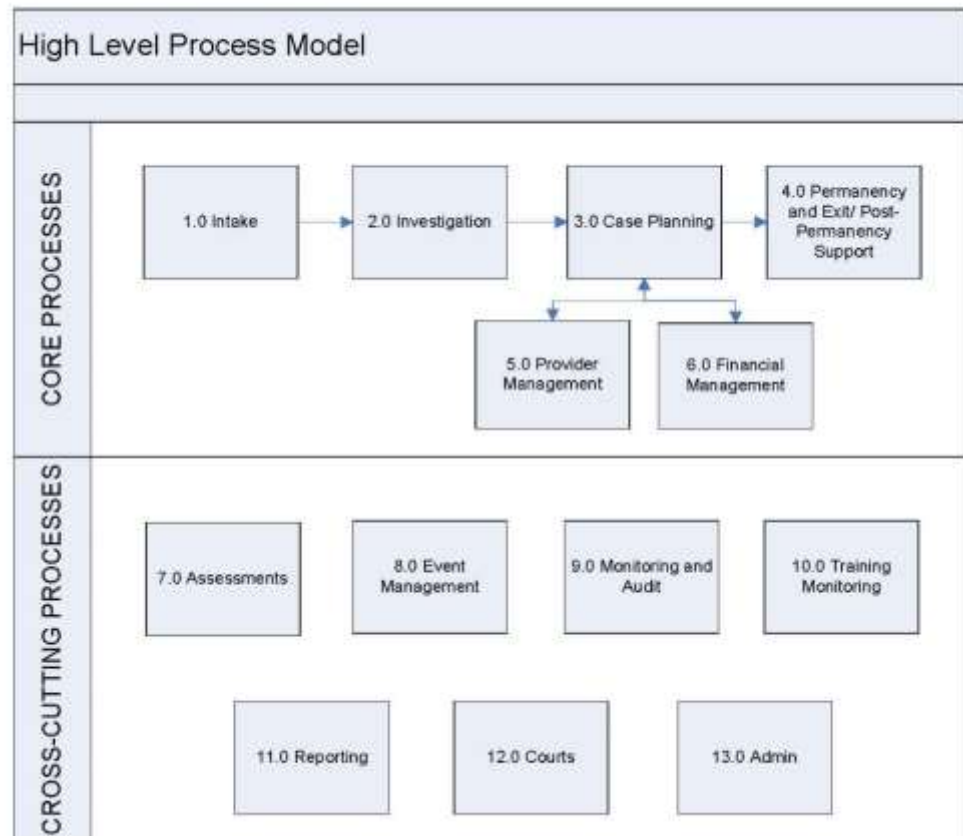


Figure 5 High Level Process Model

C.20.2 General

C.20.2.1 Design Principles

- C.20.2.1.1 The following set of design principles are intended to guide the user interface development, the user experience, the system's architecture and modularity, and the ease of maintenance and management. The set is not intended to be exhaustive. The expectation is that attention to and experience with User Interface, User Experience, and Architectural Patterns of best practices is a core competence of the Awardee. Additional information regarding the functional General Requirements of the System is located in Attachment J 11 Functional Requirements.

1. The System shall be designed with a client-centric, user experience focus and action-driven approach, which provides a cohesive approach to child welfare and case management information systems.
2. The System shall provide a unified look-and-feel to the application, and a consistent look-and-feel within each user community. The design may include different variations of a central design aligned to different user communities.

3. The System shall be designed in a fashion that minimizes the clicks to actions or information for each specific user group, role, and user, and shall not require more than one click to reach functional pages or information.
4. The System shall provide dynamic navigation specific to an individual user's access privileges and user community.
5. The System shall automate the completion of processes, reporting, and forms, as possible, throughout the System.
6. The System shall use data-driven, intelligent forms and option sets in order to ease decision-making and reduce data entry. The System shall restrict content, forms, and drop-down menus to be specific to the needs of the action being performed by the user.
7. The System shall be designed to provide on-screen information and help into the System itself, rather than exclusive reliance on training and related materials, job aides and frequently asked questions pages, or separated help pages or documents. The system shall include intelligent option sets and selectors, tool tips and on-screen content, and intuitive and responsive form validations.
8. Whenever possible, the System shall be designed with centralized components that are reused across user roles, groups, and activities. Additionally, CFSA envisions a central case view that links to all other aspects of the lifecycle of a case, from Intake to Post-Permanency.
9. The System shall provide dynamic navigation, allowing a user to view and access navigation and functionality for which the user is authorized.
10. The System must be accessible via a web-browser and not require any proprietary or third-party software to be downloaded and installed on the user's computer or device.
11. The System shall be built with a responsive design to allow users to access and view information on their mobile device.
12. The Contractor also shall consider separate mobile applications for specific user communities (such as Social Workers, Investigators, Foster Parents, et al.) that leverage mobile specific features, such as geospatial data, direct phone records from the user's phone, image, voice and video capture without local storage on the end user's device, electronic signatures, and other similar features that may not be possible through a responsive design approach.
13. Throughout the System, the presentation of data shall look to maximize existing data from a variety of sources and minimize the amount of data entry required on each screen.
14. Through the Data Management Plan, the system shall establish source data sets and integrate those data sets into the System.
15. The System must provide a way to manage source system data and its application across the system, without requiring additional software development or coding.
16. The System must not restrict the ability of the user to capture alternative data. The System must allow the user to submit the data difference for resolution.
17. The System must provide administrative tools for integration data sets that do not require additional software development or coding to change details between system integration points.
18. The System also must include administrative tools across the System to manage variable data and system features, so that changes to information, which drive repeatable processes and calculations, do not require software or coding to enact

a change, such as administrative rates for monthly subsidy payments.

C.20.3 Workflow

C.20.3.1 Workflow is the series of activities that are necessary to complete a task. Each step in a workflow has a specific step before it and a specific step after it, with the exception of the first step. Initial business process analysis has been performed to support the development of this RFP. The workflows described throughout this document have been articulated to represent the “As-Is” or current state business processes from the main organization’s perspectives. The goal is not to introduce new software to automate existing processes. Rather, the goal is to recognize that processes may be able to be improved – at least from a technical perspective – through business process analysis to represent the future state or “To-Be” process that the awardee will elicit in conjunction with CFSA. Additional information regarding the functional General Requirements of the System is located in Attachment J 11 Functional Requirements and Attachment J 12 Technical Requirements (particularly the Integration Services tab).

1. Workflows may be connected to external systems and/or processes.
2. Workflows shall provide detailed tracking to status, assignments, timelines, and other key data elements.
3. Workflows shall include notification processes that alert users through various communication channels, including dashboards, system notifications, emails, SMS messages, and mobile push notifications.
4. Workflows shall allow both system and user driven assignments to specific workflow steps.
5. The System shall provide dashboards, reports, and other visual representations of workflow related data to support the management and oversight of CFSA activities.
6. The System shall provide administrative tools to allow CISA staff to manage workflow and process changes.
7. The System shall incorporate workflow process variations into the functional elements of the system, rather than requiring administrative changes to the overall workflow. As an example, in some cases, the exact approval flow or required individuals may be identified on a case-by-case basis. In these instances, the system shall allow a user to select the appropriate approvers within the application and workflow framework.

C.20.4 Dashboards

C.20.4.1 A dashboard is a user interface that, somewhat resembling an automobile's dashboard, organizes and presents information – usually from multiple sources in a way that is easy to read. Additional information regarding the functional General Requirements of the System is located in Attachment J 11 Functional Requirements.

1. The System shall provide group, role and user specific dashboards.
2. Dashboards shall provide reusable widget-style reports that can be used across user groups and roles.

3. Dashboards shall be comprised of a variety of information and reports, including, but not limited to task lists, system and user alerts, caseloads and status views, and data and performance reports.
4. Dashboards shall provide drill-down capabilities to allow users to directly access specific reports of functional pages throughout the System.
5. Dashboards shall display only information authorized to be accessed under HIPAA, FERPA, and IDEA data access guidelines.
6. The System shall provide dashboards that are structured specific to different user communities. User specific communities shall leverage the underlying dashboard framework but may require unique dashboard and landing page information for other user communities.
7. The System shall provide administrative tools that will allow CFSA staff to select specific widgets for display on user dashboards, by role and group.

C.20.5 Reporting

C.20.5.1 CFSA is making a distinction between Reporting and Business Intelligence/Data Visualization. Reporting are artifacts of the data collected, ingested, and/or otherwise organized by the system to represent results at a particular moment of time or interval. Business Intelligence and Data Visualization take data (even reports) as input into learning something new or visualizing data.

C.20.5.2 All reports must be built using a COTS solution versus custom HTML. The reports need to be extractable into common formats (.csv, MS Excel, PDF), format-able to support official submissions (e.g. address blocks, footnotes, descriptions of the data); and the reports need to be scalable to changes in data and structure without requiring re-building the report.

C.20.5.3 Additional information regarding the functional General Requirements of the System that impact reporting is located in Attachment J 11 Functional Requirements, J 12 Technical Requirements (particularly the Data Services Tab) and J 20 Reporting.

- 1) The System shall provide an underlying reporting component(s) that provide canned, reusable reports; data visualization tools, and ad hoc reporting capabilities.
- 2) The System shall provide standard reporting tools to allow a user to select report criteria (ex: date ranges, status, users, report specific filters), sort data columns, group data rows, export data sets, provide printer-friendly report formats, and other common report tools.
- 3) Reports shall provide multiple display types, including tables, graphs, charts, time-lapse visualization, relationship diagrams, and map-based views of data.
- 4) The System shall not require, when possible, database calls to apply filters and sort tools to specific data reports and tables.
- 5) The System shall ensure that reporting of summary level data takes into account HIPAA, FERPA, and IDEA standards for data reporting standards.

- C.20.5.4 Within the reporting module, the system shall provide a series of canned reports that align to required reports for the agency. The section is labeled as "reporting", however, within this context is inclusive of all standardized reports created for the purpose of reporting, including Federal and Local Reports, oversight, and/or monitoring of the agency and its business processes. The number, data capture or frequency of both the Reports may change as Federal, Local, Court or other requirements change. These have varying levels of complexity depending on data elements, aggregation and other factors. The offeror shall indicate price of report module based on the definition of complexity levels on Attachment J 21 Pricing included in the required reports in their pricing based on creation of a "High" "Medium" and "Low" complexity levels

Complexity	Definition	Count
High	Incorporation of multiple sub reports; Complex business logic; Specific/mandated multiple format requirements	111
Medium	Incorporation of few sub reports; Moderate complex business logic; Moderate format requirements	70
Low	Little or no aggregation of sub reports; Straightforward business logic; Simple formats;	24

C.20.6 Application Security

- C.20.6.1 Application security is the use of software, hardware, and procedural methods to protect applications from external threats. Additional detail is available in Attachment J 12 Technical Requirements (particularly the Security tab). If the Vendor is proposing a Cloud Infrastructure external to OCTO, the Vendor must complete a Cloud Security Form (see Attachment J 24) as part of the Response.

1. The Contractor shall work with OCTO, via the PMO, to integrate with the District's Active Directory Services to provide single sign-on for internal users, while not restricting the ability to include external users.
2. The System shall use a role-based permission model to allow groups and users access to specific functions and data within the System.
3. The System shall provide data level security tied to each user, in addition to the users group and role.
4. The System must comply with all applicable HIPAA, FERPA, and IDEA requirements for access to specific health and education information for an individual at the field, record, and summary levels.
5. In coordination with OCTO, the System shall provide access to functional pages and secure information to both CFSA and District staff and external user communities without dc.gov domain access.
6. The System shall require alternative authentication and authorization techniques, processes and functional screens for non-DC Government domain users, which may include multi-factor authentication for public web users.
7. The System shall provide administrative tools to both the end user and to CFSA administrators to manage user accounts, and shall include typical user account management features, such as update information, forgot and update password, and system preferences. Changes to all user information shall be tracked and auditable.

In the event cloud infrastructure and solution are being proposed, the vendor must complete the Cloud Security Form in Attachment J24

C.20.7 Intake (Process Model 1.0)

C.20.7.1 Overview

C.20.7.2 Intake is the process by which incidents and observations of concern are reported to CFSA and routed to appropriate response teams, as determined by a Standard Decision-Making Model (SDM).

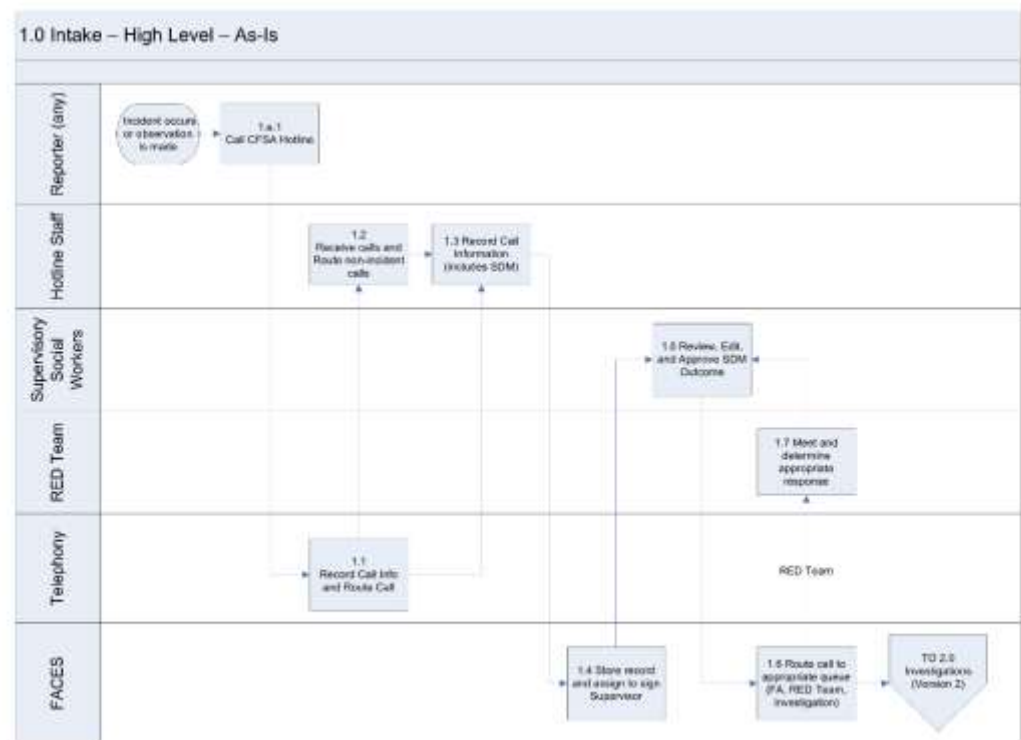


Figure 6 Intake Process

C.20.8 Current Process

C.20.8.1 Hotline (External Process)

C.20.8.1.1 When either of two distinct groups of individuals witness an incident or make concerning observations about a child, the observer calls into the centralized CFSA Hotline. The two distinct groups are mandated reporters (police, fire, educators, et al) and the public in general.

C.20.8.1.2 The central phone number is used for general information, provider information, and other non-reporting questions, in addition to incident and observation reporting.

- C.20.8.1.3 In addition to the primary call-in method, incident reports also may be communicated to the Hotline staff via walk-in/in-person, faxed and emailed reports, or written letters. Hotline staff enters these reports directly into FACES.NET.
- C.20.8.2 Log Call Information (Telephony)
- C.20.8.2.1 The Avaya Call Management System (CMS), otherwise known as Telephony, is part of the DC Citywide Architecture and is hosted by OCTO. Telephony provides three key functions within the CFSA business processes:
- Call Routing
 - Call Data Logging
 - Call Recording
- C.20.8.3 The CMS routes incoming calls to one of a pool of CFSA desk phones, staffed by CFSA Hotline staff.
- C.20.8.4 The CMS logs call data, such as incoming number, receiving number, and call duration. The CMS records the voice call and provides a link to playback the audio file.
- C.20.8.5 *Answer Call and Route Non-Incident Calls*
- C.20.8.5.1 CFSA Hotline staff answer routed calls and determine the reason for the call.
- C.20.8.5.2 CFSA Hotline staff route non-incident reporting calls to other units.
- C.20.8.6 *Record Call Information*
- C.20.8.6.1 CFSA Hotline staff record information from the caller to create an incident record and determine a recommended response.
- C.20.8.6.2 The data collected includes information about the caller, the child/children involved, the adult or involved family information, location of the incident, and information about the observed incident or concern.
- C.20.8.6.3 Telephony makes available call data for the FACES.NET intake form, which allows the user to link the new incident record with the call information and voice recording of the call.
- C.20.8.6.4 The intake form includes the Standard Decision-Making Model (SDM). The form allows the user to select specific information about the incident. The SDM determines the response pathway and time requirements for the incident. The SDM outputs the following response pathways and/or response timelines:
1. Family Assessment (FA)
 - a. 3 Days
 - b. 5 Days

2. Child Protective Services (CPS)
 - a. Immediate
 - b. 24 Hours
3. RED Team
4. Screen Out

C.20.8.7 Store Record and Submit for Approval

C.20.8.7.1 Once a response is determined, the Hotline staff record and save the call record.

C.20.8.7.2 FACES.NET stores the new incident record and assigns the record the Supervisory Social Worker for review and approval.

C.20.8.7.3 It should be noted that the current system only allows a single Supervisory Social Worker to receive the assignments, where in practice, the review and approval process is performed by multiple individuals.

C.20.8.7.4 Currently, incoming accepted calls are placed into a review queue to be picked up by Supervisory Social Workers or the Administrator of Entry Services for review and approval.

C.20.8.7.5 Review, Edit, and Approve SDM Incident Response

C.20.8.7.5.1 A Supervisory Social Worker (SSW) reviews the incident information, including the voice recording, if the incident record requires revisions, the SSW completes the changes in the System. The SSW approves the incident record.

C.20.8.8 Route to Appropriate Response Team

C.20.8.8.1 Once the record is approved, the System updates the record to assign the incident to the Family Assessment or Child Protective Services units.

C.20.8.9 RED Team Review

C.20.8.9.1 If the required response is RED Team, the incident remains as an open incident (i.e. The incident does not progress to Investigations or Family Assessment).

C.20.8.9.2 The RED Team members access and review the incident information.

C.20.8.9.3 The RED Team recommends either Family Assessment, Investigation, Screen Out and documents this information in FACES.NET. The incident record is returned to the SSW to review and approve.

C.20.9 Process Improvement

Area of Improvement: Efficiency and Speed	Determine the best course of action with the most accurate data available.
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C.20.9.1 Routing, Tracking, Integration and Management

1. The Contractor will work with OCTO (who provides telephony and VOIP services to CFSA), via the PMO, to automate the routing of non-incident reporting calls to alternate receiving CFSA staff. (Example: Route calls for provider information to Provider Licensing unit.)
2. The Contractor will work with OCTO, via the PMO, to provide 100% call tracking and reporting information. Reports should document all incoming calls, routing paths of all calls, and additional reporting needs identified by CFSA.
3. The Contractor will work with OCTO, via the PMO, to improve integration with Avaya CMS. Real-time information about the incoming calls should pre-populate the new CCWIS intake form.
4. The Contractor will work with OCTO, via the PMO, to integrate with the District's Active Directory Services to provide single sign-on between the CCWIS and Avaya systems for internal users, while not restricting the ability to include external users.
5. CCWIS, in coordination with the Avaya CMS system, should integrate with the District's Active Directory Services to identify mandated reporters (police, fire, EMS, education, etc.) and pre-populate additional information about the call into the intake form.

C.20.9.2 Data Entry

1. The intake form will provide real-time search fields to allow the Hotline Staff to view caller and child/family histories.
2. The intake form, along with the Child/Family history search, must be improved in a manner that is considerate of the need to log and investigate all reported incidents (i.e., the form should not be so restrictive that incidents related to new children or families is prevented from being captured due to the validations against similar information).
3. The System will leverage additional data sources to uniquely identify children and/or families associated with the call, such as OSSE's Unique Student Identifier and SLED systems, and DOH's DCAS system.

C.20.9.3 Administration and Metrics

1. The System will provide administrative tools that allow the Administrator of Entry Services (or other assigned user role) to administer the Standard Decision-Making Model and resulting workflow steps.
2. The System will link incidents to the resulting workflow processes, user roles, and user groups to pre-populate assignments or assignment option sets.

3. The System will leverage linked client, case, and family information to bypass routing to assign to appropriate personnel within the investigation or case management modules.
4. The CCWIS will fully automate the assignment and routing information and will leverage group and role information, as well as work schedules for users.
5. The System will ensure that calls that require specific response times are assigned to the appropriate personnel who are assigned to respond to calls at specific times.
6. The System will provide notifications to appropriate staff members via email, SMS, system alerts, and/or other communication channel.
7. The System will provide tracking and reporting regarding response times of assigned personnel and other metrics to monitor the assignment and response processes.
8. The CCWIS System will ensure that as much of the review, edit, and approve processes are automated, notifications are sent to appropriate users, and the execution of the revision process is performed in a timely fashion relative to the requirements of response.
9. The System will provide monitoring reports, automated notifications, task list information, and other process support functionality to ensure that all calls are being reported in a timely and accurate fashion.

C.20.9.4 See Attachment J 11 Functional Requirements Tab Intake (1)

C.20.10 Investigations (Process Model 2.0)

C.20.10.1 Overview

C.20.10.1.1 Once a Hotline call has been referred, the Differential Response Unit (DR) will receive the incident for investigation. The Differential Response Unit is comprised of two divisions, Child Protective Services (CPS) and Family Assessment (FA), which respond to incoming incidents based on the information collected during the intake of the call.

C.20.10.1.2 CPS conducts formal investigations; Family Assessments perform an investigation, but a formal determination is not made. The family assessment pathway is specifically designed to address the needs of families who have low to moderate safety concerns. The process centers on a strength-based, family-centered assessment leading to services the family may need to ameliorate any safety concerns and can use without having a traditional CPS investigation.

- C.20.10.1.3 The incoming incidents are routed to the appropriate DR division in accordance with the specific allegations and severity outcome from the SDM, or Investigation Summary.
- C.20.10.1.4 The responding CPS staff members conduct an investigation or family assessment for all allegations in the incident that are referred to CPS, which includes performing interviews, conducting safety and risk assessments, reviewing documents and information about the child from other DC sources, and searching case histories.
- C.20.10.1.5 For incidents that are under formal investigation, the responding CPS investigator will produce an incident report and make a formal determination on each allegation of the incident, categorized as Substantiated, Unfounded, or Inconclusive
- C.20.10.1.6 These determinations drive the next steps for a case. Unfounded or inconclusive cases are referred to private support services offered through the Collaboratives. In these cases, CFSA meets with a geographically-driven Collaborative to formally transfer the case, and subsequently closes the incident/case in FACES.NET.
- C.20.10.1.7 In a portion of cases where the substantiated incidents with a risk rating of high or intensive, the case is referred to DC Superior Court for a formal legal hearing. Cases of this nature typically will be referred to CFSA's Case Management processes for either In Home Services or Out of Home Placements.
- C.20.10.1.8 For incidents referred as Family Assessments, the assigned Family Support Worker (counterpart to the Investigator) will perform the Investigative tasks, including safety and risk assessments and core interviews. However, a formal determination is not produced. The outcome of the Family Assessment is either upgrading the case to a formal Investigation or referral to one of the Collaboratives, in the majority of cases.
- C.20.10.1.9 In addition to these typical response units, CPS also has specialized response units for particular types of reports. These units include, but are not limited to, Educational Neglect Triage Unit, Special Abuse and Institutional. Each unit has its own distinct sub-processes of the Investigation practice. It is expected that the Contractor will document and redesign these processes, as well as creating detailed requirements to support these sub-processes. As a result, these sub-processes will not be further elaborated upon in this document
- C.20.10.1.10 The diagram below shows the current high-level process.

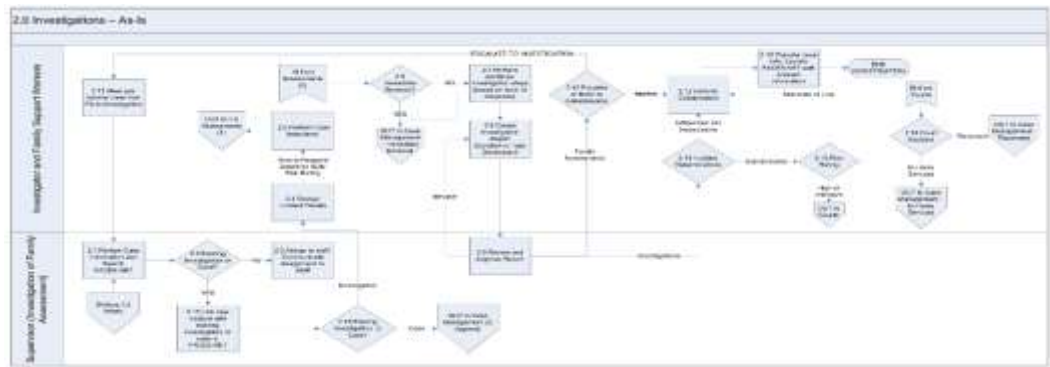


Figure 7 High Level Investigations Process Overview

C.20.10.2 Current Processes

- C.20.10.2.1 Review Case Information and Search FACES.NET for Existing Investigations or Cases
- C.20.10.2.2 Once an incident has been routed to the Child Protective Services division, Supervisory CPS Staff review the incident.
- C.20.10.2.3 The new incident will be routed to either the Family Assessment or Investigation Supervisor. For cases where an immediate Investigation is needed, the Hotline staff will directly contact the on-site supervisor. Since CFSA must respond to incidents 24 hours a day, 7 days a week, the on-site supervisor varies by day and time.
- C.20.10.2.4 In addition to reviewing the hotline call incident information, supervisory staff will search FACES.NET for open investigations and cases. If there is an existing case or investigation, the supervisory social worker will route the new incident to the appropriate investigator or social worker.

C.20.10.3 Assign Case and Communicate Assignment to Investigator

C.20.10.3.1 For all new incidents, the Investigative or Family Assessment Supervisor will assign the incident to an appropriate investigator. In order to ensure that incidents are responded to in a timely fashion, the on-site Supervisor will communicate the details of the new investigation assignment in-person, on the phone, or initial notification through text message.

C.20.10.3.1.1 While basic notifications may be sent out by FACES.NET, the agency does not rely on this functionality for communication. In many cases, the assignment of a case in FACES.NET will be documented after the investigation is underway.

C.20.10.3.1.2 For incident reports with specific characteristics, a specialized response team may be required, such as for child fatalities, institutional abuse, educational neglect, or other types of incidents. In these cases, the specific response unit will be assigned.

C.20.10.3.1.3 For specific cases where older children have been identified as truant, the case is assigned to a specialized truancy officer in coordination with Public Schools, Charter School, and/or Court.

C.20.10.3.2 Review Case Details

C.20.10.3.2.1 The assigned Investigator will review the case details, as entered into FACES.NET. Additionally, the Investigator may perform a search of FACES.NET records to identify existing histories with the child or family.

C.20.10.3.2.2 Depending on the response time required as determined by the SDM, the Investigator will review FACES.NET records either before or after the initial investigation steps.

C.20.10.3.3 Perform Core Interviews

C.20.10.3.3.1 As part of both the Investigation and Family Assessment levels of response, the assigned investigator will conduct core interviews with the child or children and the accused maltreater(s)

- These interviews are later documented in FACES.NET as contacts.
- Investigators use standardized questions during these interviews.
- The Investigation will perform a series of Investigative Assessments. See: Assessments – Initial Health and Safety Assessments.

- C.20.10.3.4 Determine Immediate Steps
- C.20.10.3.4.1 Once the Investigator completes the Investigative Assessments; the Investigator will determine if an immediate removal is required. If an immediate removal is required, the Investigator will initiate placement activities, and act to remove the child. See Case Management – Removal and Placement.
- C.20.10.3.5 Perform Additional Investigation Steps
- C.20.10.3.5.1 Based on the type of incident response that is required, additional investigation steps are required.
- C.20.10.3.5.2 Investigations are composed of four core components:
- Interviews
 - Document Reviews
 - CFSA Case History Search
 - Assessments
- C.20.10.3.5.3 The Investigator will conduct a series of interviews during an investigation. Interviewees include:
- Child/Children
 - Alleged Maltreater
 - Family Members
 - Teachers, guidance counselors, school medical staff, and coaches
 - Responding MPD, Fire, or Emergency Medical Services staff
 - Person reporting the incident
 - Family/pediatric physician and dentist
 - Collaterals (individuals in the child’s sphere of influence)
 - Others, as needed
- C.20.10.3.5.4 Basic information about each interview is documented in FACES.NET after the Investigator returns to the office. These, along with other interactions with individuals across the lifecycle of a case are called contacts.
- C.20.10.3.5.5 The Investigator will request and review a series of documents from various sources as part of the investigation. Documents include, but are not limited to:
- Medical/Health Records
 - Dental Records
 - School Performance and Attendance
 - Assessments performed by the school or other educational institution
 - Immunization records
 - Demographic and service eligibility information,
 - Treatment Plans

- C.20.10.3.5.6 Documents are captured but not necessarily stored in the current FACES.NET system.
- C.20.10.3.5.7 The Investigator will search FACES.NET case histories to identify any previous interactions with the family members. While the majority of users in the System do not have access to historical records, the Investigative unit currently does have access to closed case records.
- C.20.10.3.5.8 As mentioned above, the Investigator must complete a series of assessments to determine a risk rating for the incident. While an initial assessment is performed during the first interactions with the child and family, this information is to be updated during the course of the investigation, as necessary. The final assessment outcomes will be reflected in the final investigation report.
- C.20.10.3.6 Create Investigation Report
- C.20.10.3.6.1 Once the investigator has concluded their investigation, they will produce a report that documents the findings. Conceptually, both formal investigations and family assessment investigations result in a document that reflects and summarizes the findings surrounding a reported incident. The difference between the two investigation types is level of detail included in the report. Family Assessments only include a portion of the investigation steps, and therefore, the report is shorter and more limited in scope.
- C.20.10.3.6.2 Additionally, formal investigation reports may be submitted to the DC Superior Court as part of a Complaint Filing (See 12.0 Courts), if a removal occurs. If an emergency removal is deemed necessary or if a petition for Court involvement is filed via Community Papering.
- C.20.10.3.6.3 The timeline for completing an investigation and findings report varies by the type of case, 30 days for CPS and 45 days for Family Assessment.
- C.20.10.3.7 Review and Approve Report
- C.20.10.3.7.1 Once the Investigator has completed and submitted their findings, the appropriate Supervisor will review the report. The Supervisor may approve or reject the report. If a report is rejected, the Investigator must respond to the identified issues, update the report and resubmit for approval.
- C.20.10.3.8 Escalate or Refer
- C.20.10.3.8.1 The type of incident response and the outcomes of the investigation determine the next steps for an incident or refer the family to Community Based Services to address the identified needs of the family. For those cases on the Family Assessment track, a decision is made, to either escalate the incident from a Family Assessment to a formal Investigation.

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- C.20.10.3.9 Meet and Transfer Case
- C.20.10.3.9.1 For Family Assessment track incidents that are being escalated to a formal investigation, the family support worker and the investigator will meet to discuss the case and transfer responsibility for the investigation. The family support worker, with the approval of their supervisor, will update FACES.NET to reassign the incident.
- C.20.10.3.9.2 The newly assigned investigator will repeat the investigation steps with a “new” case. The information already collected is viewable but not editable.
- C.20.10.3.10 Refer to Collaboratives
- C.20.10.3.10.1 For Family Assessment track incidents that do not warrant a formal investigation, the case will be transferred to a geographically central Collaborative for support services. The Family Support worker will discuss the case with the selected Collaborative.
- C.20.10.3.10.2 The relationship between the investigator, CFSA Social Worker, and the Collaborative is not discussed within the context of this document. The Contractor will explore this sub-process area as part of the Requirements Elicitation phase of the project.
- C.20.10.3.10.3 It is important to note that for incidents resulting in a referral to a Collaborative, the involved family is under no obligation to work with the Collaborative or receive additional services.
- C.20.10.3.11 Transfer Incident in FACES.NET and Close
- C.20.10.3.11.1 Once the family support worker or investigator has communicated the details of the case to a Collaborative, the worker will update FACES.NET to reflect the referral. Once updated, the family support worker or investigator may close the incident/ investigation in FACES.NET.
- C.20.10.3.11.2 While the investigation record is closed, and the case has been transferred, CFSA still retains the ultimate responsibility for the case. The onsite Social Worker manages the relationship between CFSA and the Collaboratives to provide this oversight and ownership.
- C.20.10.3.11.3 The current system does not provide monitoring or oversight tools to track the progress of cases from the Collaboratives.
- C.20.10.3.12 Incident Determinations
- C.20.10.3.12.1 For incidents where a formal investigation is conducted, the outcome of the allegation will determine the next steps in the workflow.

- C.20.10.3.12.2 For cases where the allegations are either Unfounded or Inconclusive, the case will be transferred to one of the Collaboratives, using the processes described above. If any of the allegations are found to be Substantiated, the System will use the risk rating to determine the next steps.
- C.20.10.3.13 Risk Rating
- C.20.10.3.13.1 In cases where allegations are substantiated, the System will apply Risk and Safety Assessment outcomes to determine the severity of the incident.
- C.20.10.3.13.2 Four levels of risk compose the risk rating: Intensive, High, Moderate, and Low.
- C.20.10.3.13.3 For incidents where the allegations are substantiated but the risk rating is low or moderate, the incident and resulting case will be referred to one of the Collaboratives, using the processes described above.
- C.20.10.3.13.4 If a substantiated allegation has a risk rating of High or Intensive, the case will be referred to DC Superior Court for an official hearing.
- It should be noted that alternative pathways and use cases exist based on the allegations, severity, and other factors to determine the exact business processes for all scenarios. The Contractor will discover the alternative pathways, business processes, and business rules associated with each use case through the investigative process
- C.20.10.3.14 Court Decision
- C.20.10.3.14.1 Once a court decision has been made, the Investigator will refer to the case to the appropriate case management unit, either for removal and placement or in-home services. Alternatively, the court may instruct CFSA to refer the case to one of the Collaboratives, or even close the case entirely.
- C.20.10.3.14.2 The court also may provide instructions specific to immediate removal of a child prior to the court hearing, such as returning the child to their family.
- C.20.10.3.15 Link to Existing Case or Incident
- C.20.10.3.15.1 In cases where the Supervisory Investigator identifies an existing investigation or case, the Supervisor will link the new incident with the existing incident or case in FACES.NET. FACES.NET will notify end users about the new incident, however, the Supervisor may communicate the new incident by email, text, phone or in-person.
- C.20.10.4 Process Improvements

**Area of Improvements:
Increase new record accuracy
and access historical**

**Methods that allow investigators to
enter the right data the first time at
the point of capture regardless of**

information in real time	physical location.
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C.20.10.4.1 Increased Real Time Usability and Mobilization

C.20.10.4.1.1 Currently, investigators rely on manual methods to initially capture investigative information, assessment responses, and other documentation. Additionally, while the opportunity to collect additional information for downstream processes, investigators either do not capture or do not have the ability to communicate this information to other CFSA staff.

C.20.10.4.1.2 The solution should look to provide a mobile tool set that allows Investigative staff to:

- Receive and view real-time case information, once assigned,
- Capture interview notes and voice records, and other contact related information,
- Capture and store sensitive documents,
- Capture potential kinship and family information,
- Capture investigative photographs,
- Initiate immediate removal activities,
- Capture assessment information, and
- Additional investigative activities.

See Attachment J 11 Functional Requirements Tab Investigations (2)

C.20.11 Case Planning and Management (Process Model 3.0)

C.20.11.1 Overview

C.20.11.1.1 Case Planning involves a number of component processes that together comprise the identification of specific goals and action plans to achieve those goals. Once all goals have been achieved, the child exits CFSA care through one of a number of potential outcomes.

C.20.11.1.2 The Case Planning stage consists of three main sub-process areas:

- Removal and Placement
- In-Home Services
- Ongoing Case Management

C.20.11.1.3 Additional minor sub-process areas and business functions underlie the high-level processes described in this section. As part of the Requirements Elicitation phase of the project, the Contractor shall document the full business processes and nuances within each case type, provider type, services and case plans, CFSA-Court interactions, and specific foster care business practices and processes.

C.20.11.1.4 It should be noted that the Case Planning, along with Permanency and Exit processes is the core business of the agency and subsequently the core module of the System.

C.20.11.1.5 The diagram below shows the current high-level processes:

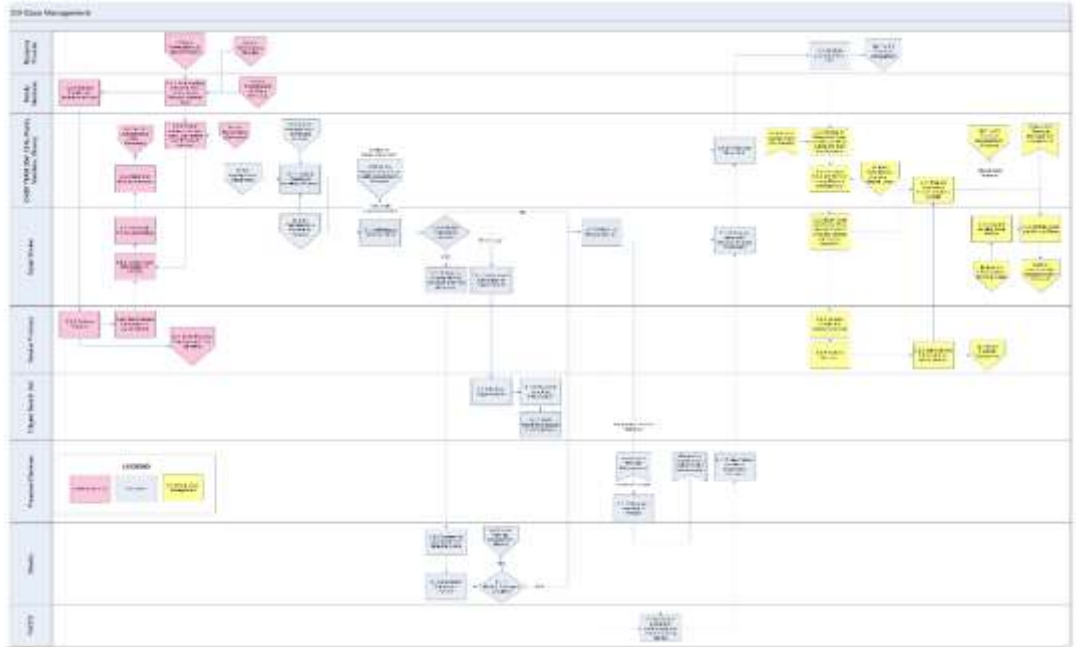


Figure 8 High Level Case Planning and Management Process

C.20.11.2 Current Process

C.20.11.2.1 Removal and Placement

- C.20.11.2.1.1 Internal Meeting to Facilitate Removal – Once the court has ordered that the child be removed (or in cases where an immediate removal is needed), the Investigator will initiate and hold an internal meeting to facilitate the removal of the child.
- C.20.11.2.1.2 The Investigator, through supervisory channels will share case information with Placement, Health, Social Work, and other key staff members that will be involved in the removal and placement of a child.
- C.20.11.2.1.3 In cases where the Investigator is in the field and must initiate a removal, the internal team may meet independently from the Investigator.
- C.20.11.3 Meeting to Remove a Child or Children.
- C.20.11.3.1 The Investigator and/or Social Worker, along with any other required individuals, will meet and remove the child. The CFSA representative will collect any key items or documentation needed during the placement of a child, which may include birth certificates, social security cards, health or medical records, health insurance information, relatives' contact information as potential kinship placements, medicines, medical devices, school materials, personal belongings, clothes, and other items that would be needed at the new home.
- C.20.11.3.2 The CFSA Representative will document key information about the removal in FACES.NET after it has occurred.
- C.20.11.3.3 CFSA will be in legal custody of the child or children from the moment they are removed from the home until they are placed into a new home or facility.
- C.20.11.3.4 Kinship Placement Options – During the meeting with family members to remove the child, the CFSA representative will identify any kinship (relatives) placement options, if possible.
- C.20.11.3.5 Refer Cases to Diligent Search Unit – All cases are referred to the Diligent Search Unit for an investigation on the family and potential placement options, and identification of kin.
- C.20.11.3.6 Perform Diligent Search – The Diligent Search Unit uses various external resources to attempt to identify birth parents and other relatives of a child or children.
- C.20.11.3.7 Document Diligent Search – The Diligent Search is documented in FACES.NET and information is referred to the Kinship Unit via email, as applicable, for outreach to newly identified relatives.

- C.20.11.3.8 Kinship Referral – If the Diligent Search and Kinship Placement processes identified a viable placement, the information is then referred to the Provider Management team for temporary licensing.
- C.20.11.3.9 It should be noted that these processes are happening in real-time with the removal of a child and health assessments.
- C.20.11.3.10 Outreach to Kin – The Kinship Unit is notified of the new placement and information about the requirements of providing care for the children and the temporary licensing process. If the kin are interested and seem viable via telephone, a preliminary home assessment is completed, and the kin come to the agency to be fingerprinted for clearances.
- C.20.11.3.11 Document Contact in FACES.NET – The Kinship Unit will document the interaction, or contact, in FACES.NET, as well as the outcome of the contact.
- C.20.11.3.12 Refer to Kinship Unit – If potential kin placements are identified, the identified family contacts are documented and referred to the Kinship Unit to perform outreach to the identified relatives.
- C.20.11.3.13 Kinship Placement Decision – The Placement Unit will determine if a viable kinship placement has been identified. If the Placement Unit does identify a viable kinship placement option, the kin must obtain a temporary foster care license.
- C.20.11.3.14 Provider Available in FACES.NET – Once a kinship placement option has completed the temporary licensure steps and it is documented in FACES.NET, the kin record is available to be selected for placement.
- C.20.11.3.15 Refer to Placement Unit – If no kinship placement options are identified through the removal meeting, the case details will be sent to the Placement Unit to begin identifying potential foster care placements.
- C.20.11.3.16 Search Placements and View Matching Results – The Placement Specialist uses FACES.NET to identify potential placements using an extensive series of criteria that assess the child’s demographic, health, social, and other factors to identify matches to potential providers.
- C.20.11.3.16.1 The search leverages information collected when the Initial Health Assessments performed during the removal period. When a child is removed, information is provided in FACES.NET to capture demographic, health, and other characteristics of the child.
- C.20.11.3.17 Placement Decision Making - While FACES.NET provides results based on certain criteria, the current system often lacks the adequate data to provide results against the extensive set of requirements.

- C.20.11.3.17.1 To address this issue, the Placement Unit has reduced the core number of matching elements to eight specific items. It should be noted that this reduction is, in part, due to a lack of adequate data being entered into FACES.NET, resulting from poor user interfaces to collect the needed data.
- C.20.11.3.17.2 Additionally, Placement Specialists perform manual analysis of providers against information about the child, which may be either included in FACES.NET or communicated by other methods outside of the system. The Placement Specialist also must confirm the availability and willingness to accept the placement by the provider.
- C.20.11.3.17.3 The net effect is that the Placement Specialist ultimately selects the most appropriate placement for a child outside of the system. The Specialist records the selection into FACES.NET, which, in turn, initiates other processes associated with the placement of the child within the system.

- C.20.11.3.18 Arrange Placement - Once a placement decision has been made, the decision is communicated via phone or email to the investigator or social worker who subsequently coordinates the physical placement.
- C.20.11.3.19 Place Child – The child then is physically transferred to the placement location. It is important to note that the placement activities are occurring in parallel to other temporary licensing, assessments, and other pre-placement activities described above.
- C.20.11.3.20 Placement Completed – Once the child has been placed at the foster home, which includes a team meeting to review any specific needs of the child, the placement processes complete. The Social Worker will update the case record with the placement and meeting information.
- C.20.11.4 In Home Services**
- C.20.11.4.1 Meeting for In-Home Services – In cases where the court orders CFSA to provide In-Home services, the assigned CPS Investigator and/or Social Worker will meet with the family and other key service team members, as appropriate. The purpose of this meeting is to discuss the investigation outcomes and initiate case planning activities. This is considered a type of Family Team Meeting.
- C.20.11.4.2 If during the meeting, it is observed or communicated that there is a substance abuse problem, the social worker may refer the individual to Substance Abuse Treatment offered by the Department of Behavioral Health (DBH). DBH maintains a data system to help manage the substance abuse treatment program. The System is called the District Automated Treatment Accounting system (DATA). No link between the two systems to automatically refer clients exists, and therefore is not pictured.
- C.20.11.4.3 The offeror should expect to identify numerous related processes and/or subprocesses that are not shown on the diagrams during the Requirements Elicitation phase. These processes and related functionality ultimately are expected to be within scope of the project.
- C.20.11.4.4 Create Case and Service Plans – During the meeting, case and service plans will be developed. The team will develop primary and backup plans. For some action items, specific services may be required. In general, case and service plans are made up of individual actions to address specific family needs, which at many times are directly derived from the outcomes of the investigations and assessments. Each action items shall have specific actions that must be fulfilled to complete the plan, each with individual statuses.

- C.20.11.4.5 Update FACES.NET – After the team meeting has occurred, the Social Worker will create the case and service plans within FACES.NET. The Social Worker must transfer manual notes and documents into the information system once they have returned from the meeting. Additionally, the Social Worker must keep the case and service plans up-to-date with the latest service information.
- C.20.11.4.6 Service Scheduling – Also after the meeting has occurred, the social worker provides the family with a list of service providers to address their specific needs. The family must reach out to the service provider(s) to schedule the needed services.
- C.20.11.4.7 Provide Services – Once scheduled, the provider and family or individual will meet to begin addressing the specific needs.
- C.20.11.4.8 Updates to the Social Worker – Since the social worker is the primary contact for the family, the service provider must notify (external to the current system) the social worker of the completed service sessions. While this should occur in real-time, updates on services are typically collected during follow up meetings with the clients. The Social Worker must update FACES.NET with service completion information.
- C.20.11.4.9 Schedule Follow Up Meetings – Throughout the life of a case, the social worker must meet with the family at regular intervals and at points when major changes occur, or objectives are met. The Social Worker schedules these follow up sessions on a regular basis.
- C.20.11.4.10 Meet to Discuss Outcomes – Once services have been provided and follow ups are scheduled, the Social Worker will meet with the Family to discuss the ongoing case and service plans. At appropriate intervals, the Social Worker shall initiate a new Risk Assessment to determine the current risk rating for disruptions of the family. The revised risk ratings will inform and update the Case Plan and the processes above will be used to guide the actions resulting from the revised risk rating.
- C.20.11.4.11 Additionally, at regular intervals and on an ad hoc basis, DC Superior Court shall hold hearings to discuss the progress of the case (See CFSA – Superior Court Interface (12.0) in 0) As a result of the court hearing process, the court may order continuation of In-Home care, which instruct CFSA to proceed with updating the service and family plans (See process model 3.0 in Figure 8).
- C.20.11.4.12 The court may order reunification with continued In Home services. In this case, the social worker will proceed with the case and service plans as if an existing case (see process model 3.0 in Figure 8).
- C.20.11.4.13 It should be noted that the processes to reunify the family under managed In-Home cases are not presented on the process diagrams, however this process is in scope as a core sub-process.

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- C.20.12 On-Going Placed Care
- C.20.12.1 Meet and Determine Case and Service Plans – The process for Out of Home Placement and services is identical to In Home services in most aspects. However, the process model depicts these separately, in order to more clearly show some of the distinctions in the processes. It is expected that the software shall leverage one set of functionalities for both use cases.
- C.20.12.2 Either during the Placement or at a subsequent team meeting, a case plan and the related family plans will be developed. The spectrum of goals spans the entire option set of outcomes, where for In Home services, while possible, the goals are to address specific aspects of the family life rather than one of the placement outcomes.
- C.20.12.3 Additionally, out of home placements require additional meetings (events) between the child and the birth parents and/or guardians. The spectrum of events and other Placed Care sub-processes shall be determined during the Requirements Elicitation phase of the project.
- C.20.12.4 For placed care, the family and service plans shall be informed by the full health assessment, whereas for In Home care, a full health assessment is not performed by CFSA.
- C.20.12.5 Enter Case and Service Plan Information in FACES.NET – As in with 3.0 (see Section D.20.11), the Social Worker will enter the case and service plans into FACES.NET. These plans will be more extensive than In Home case plans, as mentioned above.
- C.20.12.6 Contact Family and Schedule – In this case, the Social Worker and Service Provider, via the Office of Well-being, proactively work to schedule services, as needed.
- C.20.12.7 Perform Services – Once a service provider receives a new request for services via the Office of Well Being, the service provider will reach out to the family to schedule the services.
- C.20.12.8 Send Service Information – After a service has been provided, the service provider will invoice CFSA for the services provided. This is in coordination with any additional case related information needed to update the case plan. The services may be provided at a residential facility and may be directly updated by the social worker or other authorized facility staff.
- C.20.12.9 Regular Team Meetings – As part of the case plan, the Social Worker will schedule regular team meetings to discuss the case and service plan progress towards completion and permanency.

- C.20.12.10 Append Case Information – If during the course of a case a new incident is reported via the Hotline, the case information is updated with the new incident information. New incidents will inform case and service plans and updates and may require an additional investigation.
- C.20.12.11 Update Case and Service Plans – Following these regular meetings, the Social Worker will update the case and service plans in FACES.NET, as well as the specific meeting (contact) information.
- C.20.12.12 As with In Home case, the Social Worker will perform regular risk reassessments, and subsequent DC Superior Court hearings. Hearing may occur at regular intervals and on an ad hoc basis.
- C.20.12.13 As part of the regular meetings, the family being supported may need financial support for specific needs, such as utility bills. In these instances, the Social Worker may request an on-demand payment on behalf of the family. This information is entered into FACES.NET for processing the payment.
- C.20.12.14 Eventually, as the case and service plan objectives are being met, the case progresses to achieving the permanency goals outlined in the case plan.
- C.20.13 The Office of Well Being
- C.20.13.1 The Office of Well Being is central to the process described above, as they provide the liaison between the Social Worker and family and the service providers. The Office of Well Being is comprised of two divisions, Health Services and Clinical Services.
- C.20.13.2 Health Services operates CFSA’s Health Clinic, which provides comprehensive health assessments and other medical services when a child is taken into care.
- C.20.13.3 Clinical Services is a broad spectrum of support the family via the social worker. The services include:
- Clinical Programs
 - Education Programs
 - Mentoring Services
 - Transportation Services
 - Domestic Violence and Substance Abuse Programs
 - Coordination with Family Treatment Court
- C.20.13.4 When a particular need is identified by the social worker and/or through assessments, the Office of Well Being coordinates between the service providers and the social worker and family.

- C.20.13.5 Each of the above services provided by the Office of Well Being has a specific process associated with obtain key information and requesting specific services. These processes are not elaborated in this document, however, is in scope as part of the project. The Contractor shall investigate and document each of these processes as part of the Requirements Elicitation and Documentation Phase.
- C.20.13.6 Currently for information and services provided by other agencies across the District, no formal data link exists between FACES.NET and other source systems. Additionally, much of the work of the Office of Well Being is captured, tracked, and monitored using Excel spreadsheets and other alternative tracking tools. Each of these tracking tools must be incorporated into CCWIS.
- C.20.13.7 Health Services also creates and manages patient level personal health records, both electronic and physical. Currently, the agency does not provide a comprehensive electronic Health Records Management System. CFSA has planned to incorporate a separate electronic Health Records Management System as part of a separate project. The CCWIS solution must be able to provide a service to interact with this planned system to obtain appropriate levels of Health data to provide to non-medical staff.
- C.20.13.8 Currently, the Health Services division captures outcomes and other medical information outside of a specific eHealth Records Management System.
- C.20.14 Process Improvements

<p>Area of Improvements: Support Evaluation of Practice Outcomes</p>	<p>Tools to expand analytics for managing workforce caseloads and promote usability to increase the quality of our client care.</p>
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- C.20.14.1 CFSA envisions a central view that encompasses all aspects of the life cycle of a case. The System shall provide an intuitive design that groups sets of information and/or business processes with links to detailed data or process information. Furthermore, CFSA envisions that the design will be integrated across the entire life cycle of a case and the System, in order to provide a reusable design for the System.
- C.20.14.2 **See Attachment J 11 Functional Requirements Tab Case Management (3)**

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- C.20.15 Permanency and Exit/Post-Permanency Support (Process Model 4.0)**
- C.20.15.1 Overview
- C.20.15.1.1 If Case Management is the act of assessing, planning, and monitoring clients, permanency is the act of completing the requirements for exiting CFSA's foster care system.
- C.20.15.1.2 Within the context of the CCWIS System design, Permanency processes shall be integrated into the Case Management module, as appropriate.
- C.20.15.1.3 Post-permanency is a new feature set that acknowledges the current business process gap, where individuals who have exited CFSA foster care have an event with a potential for a new disruption and may require either targeted short-term support from CFSA or re-entry into the foster care system.
- C.20.15.1.4 Additionally, post-permanency includes longitudinal data analysis features, which combines secondary and post-secondary education, workforce, criminal, and other District data sets with CFSA data.
- C.20.15.1.5 Aside from the social workers, the other primary user community for this module is the Office of Youth Empowerment (OYE). OYE provides support for all children in CFSA care who are in the 9th grade (or in High School) or older.
- C.20.15.1.6 OYE supports high school age children by providing Educational and Career services, children up to 21 years of age who pursue a career path out of high school, children up to age 23 who elect for secondary education.
- C.20.15.1.7 OYE supports children even after they have exited CFSA care. However, FACES.NET does not allow access to closed case files, therefore, the division tracks support services after case closure through Excel Spreadsheets. The majority of OYE's tracking and reporting information is captured outside of FACES.NET, typically in Excel spreadsheets. The As-Is Process model is captured in the figure below.

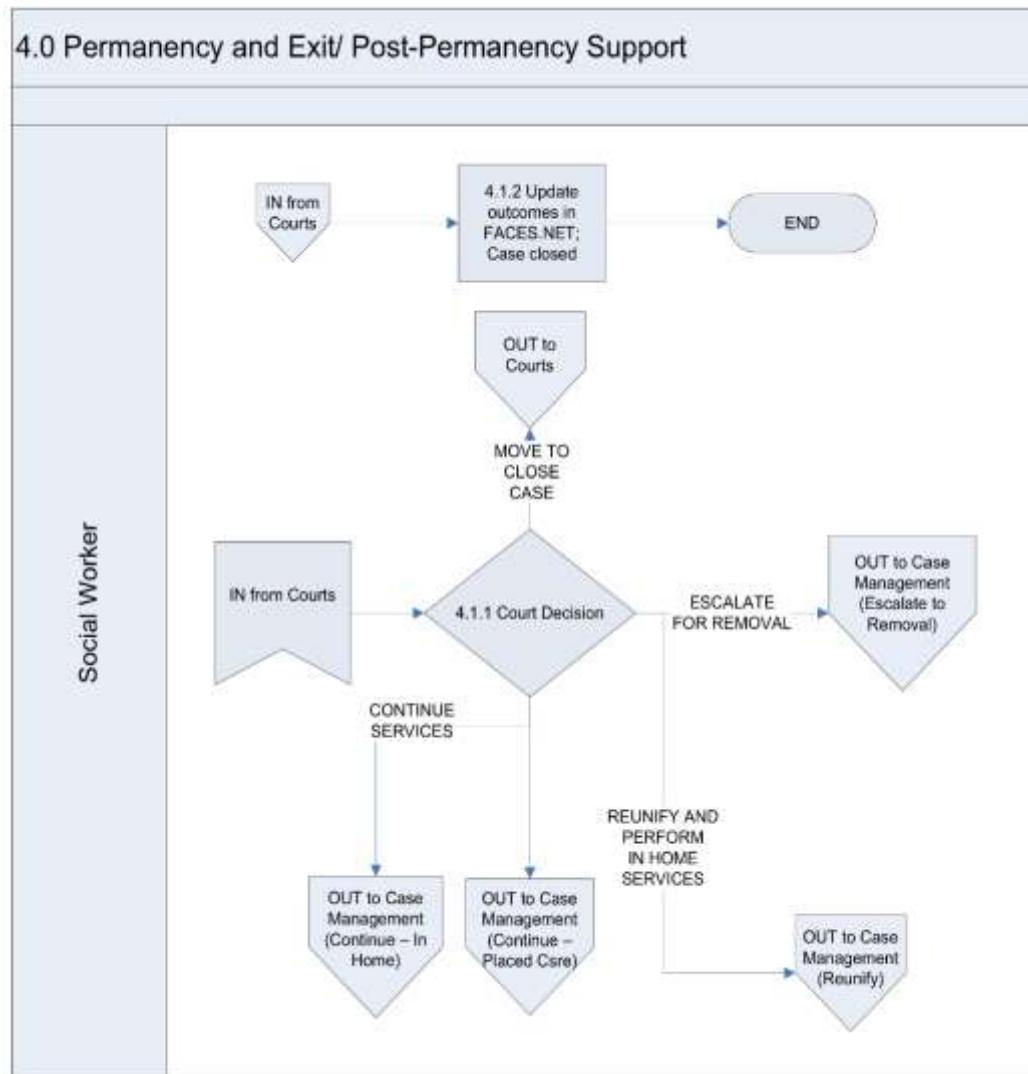


Figure 9 Permanency and Exit/Post-Permanency Support Process

C.20.15.2

Current Processes

C.20.15.2.1

A child may exit CFSA foster care programs through one of five primary methods:

- Reunification
- Guardianship
- Adoption
- APPLA
- Age Out

- C.20.15.2.2 Additionally, clients who only receive family assessment support and services have a limited duration by which they receive CFSA services.
- C.20.15.2.3 As a result of regular or ad hoc Court Hearings, a case may be recommended for closure via one of the methods listed above. When this occurs, the social worker will prepare a report corresponding to the type of closure. FACES.NET will submit court hearing information for the closure hearing via batch processes for scheduling.
- C.20.15.2.4 The Social Worker prepares any additional documentation, reports, or any additional supporting documentation and submits this information to the courts, as well as making it available for legal counsel, in paper copy format.
- C.20.15.2.5 Court Decision - As a result of a Court hearing (either regular or ad hoc), the Court may instruct CFSA to move to close the case via the planned exit path. Alternatively, cases may be escalated from In Home Services to Removal, continuing with the current services, or other orders as directed by the court, such as reunification with continued In-Home Services.
- C.20.15.2.6 The following requirements discuss variations in the exiting process based on type of exit. However, it is expected that the contractor shall explore these processes and any associated sub-processes or variations associated with the exiting of child from CFSA care and service provision during the Requirements Elicitation phase of the project.
- C.20.15.2.6.1 Reunification
1. For reunification, if the family meets all of their case plan objectives and, through Court Hearings, may reunify with the child/children.
 2. Once reunification has been approved via the courts, the Social Worker documents the court interactions and outcomes, once received via batch process from Court View 2. The Social Worker coordinates the reunification of the family. Once completed, the Social Worker again updates FACES.NET with the reunification event and other required closure information.
 3. After all completion information has been entered and saved, and reunification has occurred, the case is then closed. Presently, once a case is closed, social workers and other staff do not have access to the case records.
 4. If reunification is not possible or a realistic goal for the child or family, the Social Worker will work with the child and potential guardian to achieve alternate guardianship of the child.
- C.20.15.2.6.2 Guardianship
1. Once a child/foster family have completed their case plan objectives, the Social Worker will coordinate with the Courts to hold a guardianship hearing. The Court will approve or deny the guardianship request, as well as schedule

the next hearing. The Social Worker will update FACES.NET with any court hearing and outcome data, as needed.

2. If the guardianship hearing results in an approval, the Social Worker will update the case file with hearing and outcome information.
3. After all completion information has been entered and saved, and guardianship is approved, the case is then closed. Presently, once a case is closed, social workers and other staff do not have access to the case records.

C.20.15.2.6.3

Adoption

1. For cases where adoption is the goal, the workflow proceeds in the same fashion as for guardianship. The difference between the two is specific requirements to achieve the outcome, as well as a different type of hearing with DC Superior Court.
2. For cases where the objective is another planned permanent living arrangement (APPLA), the Social Worker will work with the child to meet the objectives of the case plan which under this type of exit prepare the child for living alone as an adult.
3. Once the child has met all of their objectives and is of appropriate age, the child may complete the case plan and exit the program. The Social Worker will update the case record with all completion information.
4. A child may exit the program. The Social Worker will update the case record and close the case. Presently, once a case is closed, social workers and other staff do not have access to the case records.
5. For more information on the specific interactions between the DC Superior Court and CFSA, refer to Section - CFSA – DC Superior Court Interface (12.0) in Section D.20.28.

C.20.15.2.6.4

Closed Cases

1. In cases where a child is of appropriate age but has not completed the objectives of the case plan, the agency may Age Out the child. In this case, the Social Worker updates the case information and closes the case.
2. Once the child has aged out and the case record has been updated, the case record may be closed. Presently, once a case is closed, social workers and other staff do not have access to the case records.
3. In any of the above cases, if the case plan objectives are not met and approved, the case will be returned to the Social Worker for additional updates.
4. As stated above, there is no ability in the System to access the closed records for the purpose of Hotline screening, providing temporary services to avoid a new disruption, or to provide career or educational support after the child has exited CFSA care.
5. FACES.NET does not capture longitudinal data for clients, either for data directly within CFSA's authority and across District agencies and systems. However, the Agency does obtain the type of information from OSSE externally to the system.

C.20.15.2.7 Process Improvements

Area of Improvements: <ul style="list-style-type: none"> • Data Interfaces with partner agencies • Access to closed cases 	Increase our ability to achieve child goals across agencies. Increase availability and structure of closed cases to allow for changes to client status.
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C.20.15.3 As part of the Case Management module, the System shall display clear and concise exit criteria and steps, and associated workflow information.

C.20.15.4 Process and Exit Criteria

1. The System shall interface with the DC Superior Court data system, Court View 2, to coordinate, tracking, and manage court hearings and other legal appointments as part of the exit tracking. The System may leverage the existing batch process but shall ultimately be improved and replaced.
2. The System shall leverage the case planning information to determine the exit criteria required for each specific client.
3. The System shall provide appropriate workflow notifications and tracking of each exit criteria and specific time-based requirements of milestones, as described in the General Requirements.
4. For each client and exit requirement, the System shall collect barrier to exit information, and provide user notifications, alerts, and other communication methods to support removing the barriers, and provide management and oversight reports for this type of data.

C.20.15.4.1 In the event that the closed client case does require a new investigation, the System shall automate the creation of a new incident record by allowing non-Hotline staff to create an incident record, pre-populating data into the incident form, and, in certain case, allow the incident record to bypass initial approval steps.

C.20.15.4.2 The System shall allow staff from OYE to continue to access and update case records, even past closure. The purpose of their updates is to continue to support the youth through career or educational services and to document those services and outcomes.

C.20.15.4.3 The System must capture after-care services (services provided after the child has official left CFSA care) provided to all children.

- C.20.15.4.4 For services provided by OYE, funding is through the Chafee Grant program. The Chafee Grant is free money for current or former foster youth to help pay for college or career or technical training that does not have to be paid back. For the purpose of this project, the funding of this division's services is separate from other services provided by Title IV-B and Title IV-E. All funding is provided by the Chafee Grant. Services provided via this method are processed via PASS tied to the specific grant funding source.
- C.20.15.4.5 For cases directed to the CFSA Hotline, the System shall leverage the client case search interface to identify calls pertaining to closed client cases, view the closed case records, as appropriate, and direct the incoming call to the appropriate response personnel.
- C.20.15.4.6 The System shall provide a discrete reports and reporting tools to specific users and/or user roles to perform longitudinal analysis of outcome related data, post existing CFSA programs.
- C.20.15.4.7 All data obtained from external CFSA sources and used for the purpose of longitudinal data analysis must be de-identified and only leverage common unique identifiers to connect individuals across data sets.
- C.20.15.4.8 When reporting de-identified data, the System must adhere to HIPAA, FERPA, and IDEA guidelines for data privacy.
- C.20.15.4.9 The Contractor shall work with CFSA to identify canned reports, built-in report filter tools (including mapping), and ad hoc reporting tools to allow the end user to select custom data sets.
- C.20.15.4.10 For all students, the System shall make available educational records from OSSE and the SLED and SEDS repositories.
- C.20.15.4.11 The System shall display educational information from the SLED and SEDS data systems, as determined through the Requirements Elicitation phase. All children should, at minimum, have a Unique Student Identifier (USI). This ID shall be used to link together children between CCWIS and OSSE data sources.
- C.20.15.4.12 It should be noted that the Office of Youth Empowerment supports children in DC for educational services only. For Case Management team, the office supports all children, even those located outside of DC.
- C.20.15.4.13 See Attachment J 11 Functional Requirements Tab Case Permanency (4)
- C.20.16 Provider Management (Process Model 5.0)
- C.20.16.1 Overview

C.20.16.1.1

The Provider Management module supports three major business functions:

- Provider Licensing
- Emergency Licensing
- Provider License Renewal

C.20.16.1.2

The process area supports recruiting new potential foster and adoptive parents (or resource parents), ensuring that they meet the requirements to provide those services through the application process itself, required training, and obtaining appropriate clearances, and fully authorizing the resource parent to receive children in need of care. *The diagram below shows the current high-level process model:*

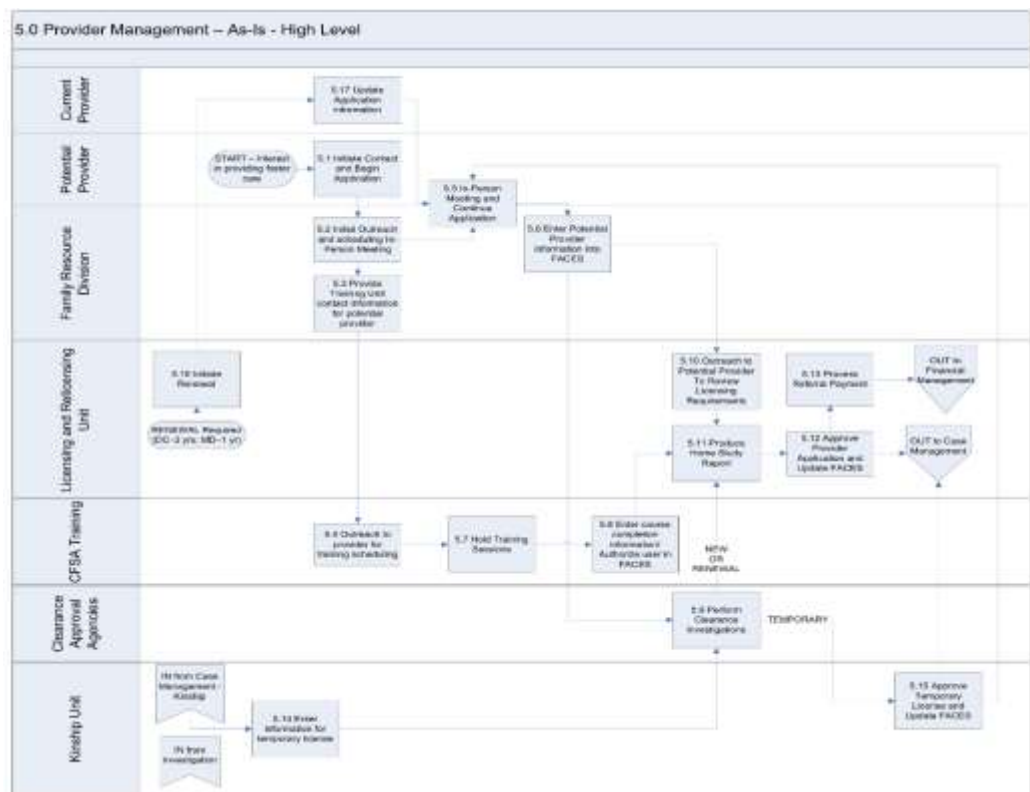


Figure 10 Provider Management High Level Process Model

C.20.16.2

Current Process

C.20.16.2.1

Initiate Contact (Potential Provider) and Initial Outreach (CFSA)

Potential resource parents initiate contact with CFSA via a number of methods:

- Online form located at <http://fosterdckids.org>
- Referral from another resource parent or social worker
- Kinship referral
- Calls to the CFSA Hotline
- Additional contact methods such as email and walk-in

- C.20.16.2.2 A member of the Family Resource Division (FRD) will contact the potential resource provider. The purpose of the outreach is to collect and/or confirm basic information, discuss the requirements of the program and application process to confirm interest, and schedule the individual to attend a general information session.
- C.20.16.3 Refer for Training and Schedule Training
- C.20.16.3.1 After a member of the Family Resource Division has confirmed the interest of the potential provider, the contact information is shared to CFSA's Child Welfare Training Academy.
- C.20.16.3.2 The Child Welfare Training Academy contacts the potential provider and begins to schedule a series of 30 hours of Pre-Service Training.
- C.20.16.3.3 Courses may be completed at the potential provider's own pace, so there is not a typical timeline associated with scheduling and completing the 30 hours of Pre-Service Training. The exception is for individuals with temporary licenses and a placed child, who have limited amount of time to complete the training a full licensure process.
- C.20.16.4 In-Person Meeting and Continue Application
- C.20.16.4.1 During the General Information Session, if the potential resource provider wants to proceed with the application process, the individual will
- C.20.16.4.2 Complete additional application information and Complete Clearance Authorization Forms.
- C.20.16.5 Enter Potential Provider Information
- C.20.16.5.1 After the session, the CFSA FRD Staff Member enters the potential resource provider's information into FACES.NET.
- C.20.16.5.2 The Staff Member communicates training schedule information to the CFSA Training Staff.
- C.20.16.5.3 The CFSA Staff Member requests a series of clearance certifications to be performed.
- C.20.16.5.4 Hold Training Sessions and Update FACES.NET.
- C.20.16.5.4.1 CFSA holds regular training sessions for a series of topics for potential and renewing providers.

- C.20.16.5.4.2 Courses are presented in-person and leverage presentations and physical and online resources.
- C.20.16.5.4.3 Course completion information is captured and then recorded into FACES.NET for each potential resource provider.
- C.20.16.5.4.4 Once a potential provider has completed the 30 hours of training, a user account is created for the potential provider, which grants access to the system, appropriate to their role.
- C.20.16.6 Perform Clearance Investigations
- C.20.16.6.1 In order to become a resource provider, a series of clearances must be obtained. Clearances are performed by both internal CFSA staff and staff from other District Government Agencies.
- C.20.16.6.2 In cases where a temporary license is being applied for, only a subset of the clearances is required to be performed. The list of clearances required are:
- Child Protective Registry Search
 - Financial and Credit Checks
 - Criminal Records Check
 - Fingerprinting/Validate against National database
 - Health Safety Inspection
 - Lead-Based Paint Inspection
 - Home Safety Inspection
- C.20.16.6.3 Additional certifications identified during the Requirements Elicitation phase.
- C.20.16.6.4 CFSA Staff assigned to work with the potential provider enter the clearance results into FACES.NET.
- C.20.16.7 Outreach to Potential Providers (Licensing Division)
- C.20.16.7.1 In parallel to both the training and clearance process, the Licensing and Relicensing Division receives the potential provider information from FRD.
- C.20.16.7.2 A member of the Licensing Division contacts the potential provider to communicate additional information about the overall licensing process.
- C.20.16.7.3 As part of this outreach, the Licensing Division also begins to collect information for the Home Study Report.
- C.20.16.8 Produce Home Study Report

- C.20.16.8.1 After the Licensing Division staff member contacts the potential provider, they begin to produce a Home Study Report, which summarizes information about the potential provider obtained through interviews and evaluations, clearance investigation findings, and Pre-Service Training.
- C.20.16.8.2 The Home Study Report is not finalized until both the clearance investigations and Pre-Service Training have been completed and the resulting information has been added into the report.
- C.20.16.8.3 It should be noted that at any point during the application process, the potential provider may opt to not proceed with obtaining a full license.
- C.20.17 Approved Provider Application and Update FACES.NET
- C.20.17.1 The Program Manager and Supervisory Social Worker (Licensing/ Relicensing Unit) reviews and approves the Home Study Report. The Deputy Director of the Administration may opt to approve or request revisions to the report based on his/her review of the Home Study Report. The findings of the Home Study Report shall determine the approval or denial of the application.
- C.20.17.2 If the Home Study Report recommends full licensure, the Deputy Director shall review and approve (or deny) the fully application.
- C.20.17.3 If the Application is approved, the Licensing Worker updates the provider record in FACES.NET, allowing the provider to be listed as an active resource.
- C.20.17.4 FACES.NET updates appropriate information within the Case Management processes, including Placement, and Financial Management processes. Additional data relationships to other process areas may be discovered during the Requirements Elicitation phase.
- C.20.18 Enter Information for Emergency/Temporary License
- C.20.18.1 In many cases, an emergency or temporary license is requested to support an immediate placement of a child to a family member or other individual with a close relationship to the child.
- C.20.18.2 The need for a temporary license may arise from either the Investigation or Case Management processes.
- C.20.18.3 Partial information about the provider is entered into FACES.NET.
- C.20.18.4 A limited number of clearances are requested to be performed by the appropriate agency (refer to Perform Clearance Investigations).
- C.20.19 Approve Temporary License

- C.20.19.1 Once clearances have been performed successfully, and the potential resource parent has confirmed their desire to proceed, the temporary license application is submitted to the reviewed and approved through CFSA's Kinship Unit.
- C.20.19.1.1 If approved, the record in FACES.NET is updated via the Kinship Licensing worker and a referral is made to fully license the resource parent access to FACES.NET is granted, and appropriate information is updated.
- C.20.19.1.2 Once a temporary license has been granted, the resource parent still must complete the remainder of the application, training, and clearances to obtain a full license. It should be noted that the entire temporary license process occurs within a few hours of initiating a removal.
- C.20.20 Initiate Renewal
- C.20.20.1 Providers in DC must have a full renewal every 2 years; MD providers every year. An assigned representative specific to each resource parent reaches out to the individual to confirm continued participation and initiate the renewal process.
- C.20.20.2 Additional clearances and training may be required on an annual basis for all providers. FACES.NET tracks and provides information to CFSA staff on the annual requirements and completion.
- C.20.21 Update Application Information
- C.20.21.1 CFSA staff work with the provider to update their application information.
- C.20.21.2 If a provider changes physical locations or has significant household changes (i.e., has a child, gets married or divorced, someone moves into the home, etc.), a new application must be processed.
- C.20.21.3 The renewal application proceeds through the application process (training and clearances) but may not be required to perform all requirements of the initial application.
- C.20.21.4 Renewal applications are reviewed and approved in a similar fashion to initial applications. Once approved, FACES.NET updates changed information throughout the system, as appropriate.
- C.20.21.5 If the provider opts to not proceed with a renewal application, CFSA staff must update the provider record to indicate as such.
- C.20.21.6 If the provider's license expires without a renewal, FACES.NET updates the provider record as appropriate to reflect the updated status of the provider.
- C.20.21.7 Process Improvements

Improve consistency of services and increase usability by Providers	Portal to improve visibility, share data, and manage interactions across providers.
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- C.20.21.7.1 Throughout the process, appropriate notifications, status alerts, publication to dashboards and other workflow and workflow management tools shall be part of the System.
- C.20.21.7.2 The new CCWIS shall automate the initial application and general information scheduling process.
- C.20.21.7.3 **Provider Portal**
1. CCWIS shall provide a provider portal interface, that allows potential providers to manage all aspects of their interaction with CFSA, service providers, and children.
 2. The provider portal shall allow interested individuals to create a new user account in order to begin the application process.
 3. The provider portal shall provide common user account management tools.
 4. The provider portal shall provide a central application interface. Portions of the application interface may be leveraged as components of other portions of the System.
 5. The provider portal shall allow the applicant to electronically sign documents, upload documentation, and view and manage submitted documentation throughout the application process.
 6. The Provider Portal shall replace the online information located at <http://fosterdckids.org>. Additionally, the Provider Portal shall publish events such as Orientation sessions, replacing the existing Google calendar feature.
- C.20.21.7.4 The assignment process shall be designed to ensure appropriate administrative tools are available to manage caseloads and assignments.
- C.20.21.7.5 CCWIS shall integrate to other District data repositories to validate information provided by the application (such as DC Health Exchange, TANF Direct Certification through OSSE, tax and property records, and other sources of data).
- C.20.21.7.6 The provider management tools shall integrate with the Learning Management System iSpring, which will allow the provider to:
- View the status of the training requirements, both initially and reoccurring
 - Provide appropriate notifications for re-training, course availability, course changes, and other appropriate communication points.
- C.20.21.7.7 See Attachment J 11 Functional Requirements Tab Provider Management (5)
- C.20.22 Financial Management (Process Model 6.0)

- C.20.22.1 Overview
- C.20.22.1.1 In support of the business operations of the agency, the Chief Financial Officer, supported by the Agency Fiscal Officer and support staff, administer the budget, invoices, payments, and financial management processes. CFSA's Office of Contracts and Procurement manages and administers specific contracts with providers, with the direct oversight by program staff or Contracting Officer Technical Representatives (COTRs).
- C.20.22.1.2 District Agencies use two primary systems for contracts (PASS) and accounting (SOAR). FACES.NET currently provides light integration with SOAR only. Primarily, FACES.NET transmits approved payment information to SOAR for payment processing. Contracts for service providers are managed through a secondary system for CFSA called the Contracts Database, as opposed to leveraging the enterprise purchasing system.
- C.20.22.1.3 CFSA processes three types of payments:
1. Direct subsidy payments for group home, residential facilities, and daycare services,
 2. On Demand payments for individual home subsidy payments, family need payments, administrative costs for larger facilities, and other non-specific types of payments,
 3. Funds debit cards as part of the on-demand payment processes.
- C.20.22.1.4 Additionally, as part of the financial management processes, providers must be set up within various systems, in order for payments to be processed to either SOAR, contracts, and debit cards.
- C.20.22.1.5 The Agency Fiscal Officer also is responsible for preparing, reviewing, and submitting financial reports to ACF and the District.
- C.20.22.1.6 The diagram below shows the current high-level processes:

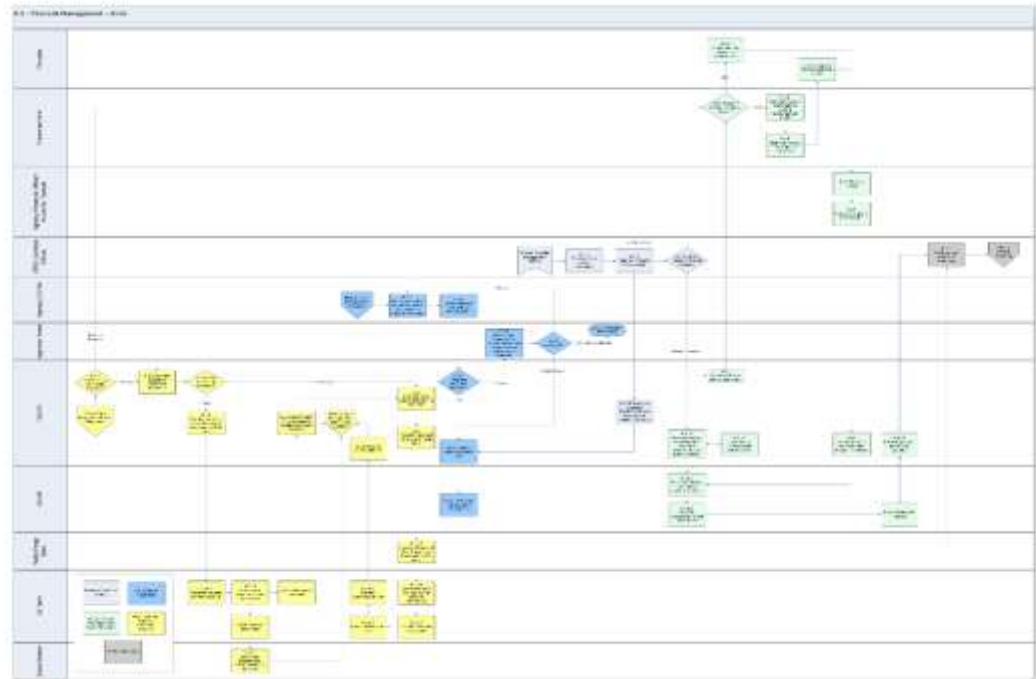


Figure 11 High Level Financial Management Process

C.20.22.2

Current Processes

C.20.22.2.1

The Financial Management process areas are arranged into the types of payments supported and the process by which they are funded and managed.

- CFSA provides funding to a number of distinct groups of providers.
- Group homes and residential facilities
- Day care providers
- Foster and Adoptive parents
- Various entities to support families under CFSA care, that provide items such and utility services, transportation, and educational services and supplies, among other things.
- Direct Service Providers

C.20.22.2.2

Funds to support each of these payment groups is provided through a series of funding methods, specific to the type of provider and type of spending.

- Traditional financial payments via the District's SOAR system
- Debit Care Funding and ACH payments
- On-Demand Payments
- Debit Cards

- C.20.22.2.3 The following section will discuss the process areas associated with each type of payment and provider group, however, it is organized and described at a high level, so each possible combination may not be discussed distinctly. The Contractor should however consider these, or alternate groups based on processes discovered during the Requirements Elicitation phase of the project.
- C.20.22.2.4 Set Up Provider Financial Information
- C.20.22.2.4.1 As part of the financial processes, new providers must be set up within FACES.NET, the Contracts Database, SOAR, and other financial systems as necessary.
- C.20.22.2.4.2 Receive New Provider Data - When a new provider is approved within FACES.NET, one of CFSA's Contracting Officers receives the provider details via FACES.NET.
- C.20.22.2.4.3 The process model reflects the high-level steps for either a foster care or adoptive home or residential facility. However, there are additional types of providers who require set up within FACES.NET and other financial systems. While specific to the provider type, the basic steps for this process group are identical for all providers.
- C.20.22.2.4.4 Set Up Provider - With these initial details, the Contracting Officer sets the provider up within FACES.NET and other required financial and contract management systems.
- C.20.22.2.4.5 Provider Available – Once set up, the provider is then available to be selected for their specific services. Again, the process model reflects set up for foster care and adoptive homes and residential facilities only. Other types of providers may require alternate steps to be available within each related management system and FACES.NET.
- C.20.22.2.4.6 In addition to CFSA Contracting Officer approvals, new providers may require approval in the related systems by DC's Office of Contracting and Procurement and/or Officer of the Chief Financial Officer.
- C.20.22.2.4.7 Type of Provider – For care providers, different actions occur based on the type of provider either large group homes and/or residential facilities or individual foster care and/or adoptive parent(s), which includes kinship care providers.
- C.20.22.2.4.8 Process Batch File – FACES.NET process the return batch file with new account information. Once completed, the account is ready to receive funds.
- C.20.22.2.4.9 Produce Monthly Debit Card Payment Batch File – FACES.NET produces a monthly payment batch file that contains the amounts to be funded to each debit card (or paid to each account via ACH).

- C.20.22.2.4.10 Debit card payments include subsidy payments for providing foster or adoptive care to a child or children and funds requested as part of a number of reimbursement programs, including transportation, education and clothing. All of the payments sent to this type of provider are combined into a monthly lump sum paid through this process.
- C.20.22.2.4.11 Transmit Payment Batch File – FACES.NET transmits the payment file to Wells Fargo bank. Wells Fargo provides funds from DC Government and CFSA to the family accounts provided by US Bank.
- C.20.22.2.4.12 Receive and Process Payments – Wells Fargo will receive the batch payment file and process payments to US Bank family accounts.
- C.20.22.2.4.13 Receive Funds to Family Accounts and 6.2.e.7 Distribute Funds – US Bank receives the funds in a lump sum payment with a distribution file. The funds are then distributed to the family accounts.
- C.20.22.2.4.14 Funds Available – Once the funds have been processed to the family accounts, they are available to use by the family.
- C.20.22.2.4.15 Transmit Confirmation File – US Bank prepares and sends to FACES.NET a confirmation file with the funding details for each batch file.
- C.20.22.2.4.16 Receive Confirmation File – FACES.NET receives the batch confirmation file and updates appropriate records associated with funds distribution.
- C.20.22.2.5 On Demand Payments
- C.20.22.2.5.1 On Demand payments are payments provided to various providers to support specific needs of the family, child or other caretaker. Types of payments are for utility services and specific needs for the child or family to atypical goods or service providers.
- C.20.22.2.5.2 Additionally, CFSA processes payments to service providers through the on-demand payment process.
- C.20.22.2.5.3 Receive Invoice – Different individuals throughout the organization are authorized as Contracting Officer Technical Representatives (COTRs). These include social workers and administrators for specific contracted service providers. These individuals receive the specific funding request.
- C.20.22.2.5.4 Enter Payment Request into FACES.NET – The COTR will enter the payment request into FACES.NET.
- C.20.22.2.5.5 Additional Approvals – Certain payment requests and/or requests over certain dollar amounts require additional approvals prior to payment.

- C.20.22.2.5.6 Review Payment Request – If the payment request requires additional approval, the supervisor and other CFSA staff will review the request.
- C.20.22.2.5.7 Payment Approval – Once the required approver reviews the request and makes a determination, the request is updated with the approval outcomes.
- C.20.22.2.5.8 Transmit Batch Payment File – Approved requests are compiled into a batch payment file and is submitted to SOAR for processing.
- C.20.22.2.5.9 Process On-Demand Payments – SOAR processes the On Demand payments and leverages the system’s internal processes for payments.
- C.20.22.2.6 Group Home and Facility Payments
- C.20.22.2.6.1 Group home and residential facilities follow a more traditional contract payment process. Payments are divided into subsidy payments and administrative costs.
- C.20.22.2.6.2 Additionally, CFSA provides financial support and reimbursements for day care services to support a family, which are also processed using these processes.
- C.20.22.2.6.3 Generate Rosters Reports – FACES.NET generates a service roster for all placed children and day care services, as documented in the system.
- C.20.22.2.6.4 Daycare Rosters – The rosters contain different sets of data elements about the children believed to be at each facility. Due to constraints with collecting accurate roster data for daycare facilities, these rosters go through separate completion review and approval process.
- C.20.22.2.6.5 Certify Invoice – For all group homes and residential facilities, FACES.NET provides access to the system for a limited set of provider users to review, edit, and certify monthly invoices.
- C.20.22.2.6.6 Create Invoice Template – For Day Care providers, FACES.NET creates a template roster for the facilities to complete, with accurate service provision information.
- C.20.22.2.6.7 Distribute Invoice Template – The Placement Unit, which is responsible for managing the subsidy payment processes, distributes the day care invoice template to the day care facilities to completion.
- C.20.22.2.6.8 Complete Invoice Template – Daycare providers must complete the invoice template with actual service dates for CFSA supported children, based on attendance at the facility. CFSA only provides daycare subsidy payments for specific service dates, not service periods.

- C.20.22.2.6.9 Review Invoice – The Agency Fiscal Officer reviews all submitted and certified invoices for approval.
- C.20.22.2.6.10 Approve Invoice - The AFO approves or rejects each invoice request in the system (rejection and revision process steps not pictured).
- C.20.22.2.6.11 Generate Payment File – For all approved payments, FACES.NET generates a batch payment file and submit the file via batch process to SOAR.
- C.20.22.2.6.12 Process Administrative Payments – In addition to the direct subsidy, providers are eligible for an administrative cost reimbursement. Administrative payment rates are negotiated as part of each contract, rather than a standardize rate.
- C.20.22.2.6.13 Interface to Contracts DB – Rather than administer provider contracts through the District’s Contracts Management System (PASS), CFSA leverages an internal solution built within Atlassian’s Jira software suite. Contract and Procurement staff track all provider contracts within this solution, called the Contracts Database. The CFSA OCP staff manually enters contract data into the system, including administrative rates. The staff enters the administrative rates into FACES.NET for payment processing.
- C.20.22.2.6.14 Batch Submission of Payments - Administrative payment requests are submitted to SOAR via a batch process. SOAR will load the batch file and each payment request will be processed through SOAR’s internal processes.
- C.20.22.2.6.15 Payments Processed – Once approved in SOAR, a check or ACH payment will be sent to each provider.
- C.20.22.2.6.16 Return File Created - Once each payment is processed, SOAR will produce a return batch file with confirmation information for each payment.
- C.20.22.2.6.17 Batch Return File Processed – FACES.NET will process the return confirmation file and update payment records, as appropriate.
- C.20.22.2.7 Reporting
- C.20.22.2.7.1 The set of all financial data collected by FACES.NET is rolled up in various canned and ad hoc reports, particularly those that are required for reporting.
- C.20.22.2.7.2 Review Reports on Spending – FACES.NET produces a series of financial reports used by the Chief Financial Officer and Agency Fiscal Officer for internal, local, and reporting and budgeting needs.
- C.20.22.2.7.3 Presently, FACES.NET produces a set of canned reports with the data captured within the system. However, FACES.NET does not capture the complete set of data required the reports. In addition to the canned reports, FACES.NET support staff produce and provide ad hoc reports.

C.20.22.2.7.7 The CFO and support staff extract data sets from other sources to produce the complete set of reports required.

C.20.22.3 Process Improvements

Area of Improvements: Fiscal Integrity and Management	Create a unified view of the programs' financial data, leveraging both internal data and enterprise systems data.
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C.20.22.3.1 The primary process improvement is providing a unified view of the programs' financial data, leveraging both internal data and enterprise systems data.

C.20.22.3.2 The System must collect and manage financial information to provide canned reports to support all reporting needs of the agency, with regards to program financial data.

C.20.22.3.3 The Contractor shall further explore this process area during the Requirements Elicitation phase to identify gaps in current contracting and financial processes and recommend industry best practices as To-Be models.

C.20.22.3.4 See Attachment J 12 Functional Requirements Tab Financial Management (6)

C.20.23 Assessments (Process Model 7.0)

C.20.23.1 Overview

C.20.23.1.1 Within the current FACES.NET system, the information about various assessments performed is very limited. Additionally, a centralized component or module to manage data across the various Assessment requirements is not present.

C.20.23.1.2 CFSA Staff within the Department of Health Services use satellite systems to manage and track assessments, outcomes, and service plan information.

C.20.23.1.3 CFSA Staff in different business units perform assessments at three different points within the Investigation and Case Management processes. Those three groups are:

- Initial Safety and Family Assessments
- Health Assessments
- Risk Reassessment

C.20.23.1.4 During the Requirements Elicitation phase of the project, the Contractor may identify additional assessments through the course of a case (ex: standardized educational assessments, special education assessments, and licensure evaluations). These additionally identified assessments also must be incorporated.

C.20.23.1.5 The diagram below shows the current high-level processes:

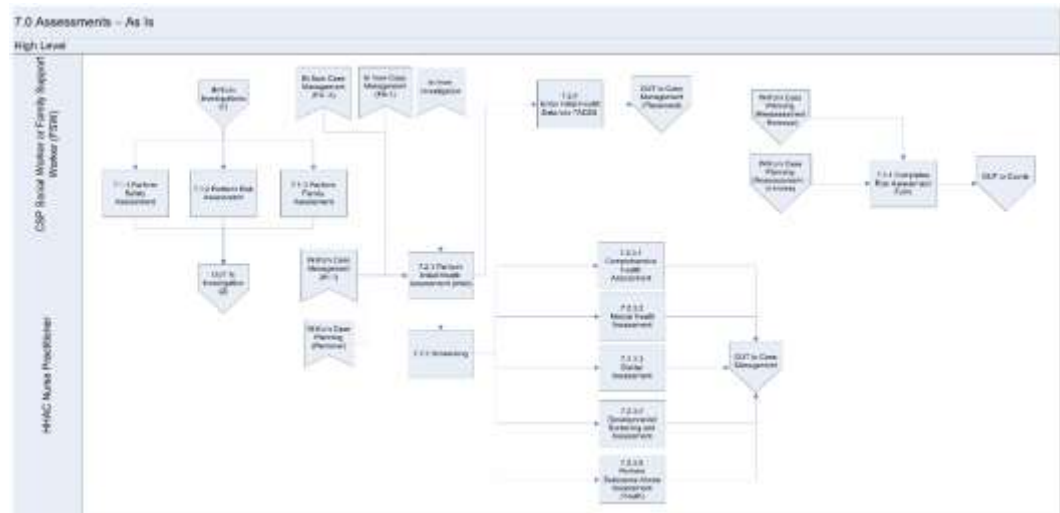


Figure 12 Assessments High Level Process Model

C.20.23.2 Current Processes

C.20.23.2.1 Initial Safety and Family Assessments

C.20.23.2.1.1 During the course of an investigation three key assessments are performed:

- 7.1.1 Safety Assessment
- 7.1.2 Risk Assessment
- 7.1.3 Family Assessment

C.20.23.2.2 The results of these assessments inform the response required during the investigation process (see 2.0 Investigations in Section D.20.10).

C.20.23.3 Health Assessments

C.20.23.3.1 At any point when a child is taken into care by CFSA, a series of health assessments must be performed prior to placement or while in care.

- C.20.23.3.2 Perform Initial Health Assessments - When a child is first taken into care, an Initial Health Assessment, referred to as screening, is performed. The Initial Health Assessment captures vital information, medication, health status, known ailments, and other data to assess the child's wellbeing.
- C.20.23.3.3 The Initial Health Assessment information is entered into FACES.NET and provided to the Case Management – Placement function as key data points when aligning a child to a provider.
- C.20.23.3.4 Scheduling - After the Initial Health Screening, additional assessments are scheduled. The additional screenings are:
- Comprehensive Health Assessment
 - Mental Health Assessment
 - Dental Assessment
 - Developmental Screening and Assessment
 - Substance Abuse Assessment
 - Additional assessments required by the Program or for a specific client
- C.20.23.3.5 Currently, the Division of Health Services captures visit, outcomes, and treatment plans in an external system (QuickBase).
- C.20.23.3.6 Assessments may be performed in the field or at a central CFSA location. As part of the scheduling process, the social worker may provide an adult transportation cards to cover the costs of transporting the child to and from the assessment facility and back.
- C.20.23.3.7 A limited set of information is entered into FACES.NET, primarily around the contacts (appointments, meetings, assessments, etc.) made with the child.
- C.20.23.3.8 Risk Reassessment
- C.20.23.3.8.1 Reassess Risk Rating - At periodic intervals, the Social Worker will reassess the case risk. While other evaluations may be reassessed, as needed, the Risk Rating, in particular, will be used for periodic and ad hoc court hearings.
- C.20.23.3.8.2 The outcomes of the risk reassessment, along with the court decision, will lead to outcomes and next steps to be taken by the family, child, or CFSA.
- C.20.23.4 Process Improvements

**Area of Improvements:
Fiscal Integrity and
Management**

**Create a unified view of the
programs' financial data, leveraging
both internal data and enterprise
systems data.**

- C.20.23.4.1 As mentioned above, currently the system does not support many of the functions of the Health Services Department. The primary improvement will be largely incorporating Health Services practices and processes into the new CCWIS and replacing and eliminating any satellite systems used by CFSA Staff, as appropriate.
1. The Contractor shall design a streamlined Assessment Management tool that utilizes the common elements of each assessment as a template and provides administrative tools for CFSA staff to manage the content of the assessment itself. The Assessment Management tool must integrate to the System's workflow management tools.
 2. Assessments shall leverage both common data elements collected during the investigation and case management processes and custom data elements specific to each assessment.
 3. Scheduling processes will leverage common functionality provided by the Events Management module.
 4. Nurse Practitioners function in a manner similar to many medical facilities and required functionality with many key aspects of an Electronic Health Records Management (eHealth) System. Currently, CFSA does not use an industry standard eHealth system. Rather, basic tracking information is captured in QuickBase and medical records are stored in physical copies.
 5. Functionality to support eHealth record management is not included in the scope of this effort. However, the solution must support integration with this type of system for specific data elements that information case and service plans, as well as related services.
- C.20.23.4.1.2 See Attachment J 11 Functional Requirements Tab Assessments (7)
- C.20.24 Event Management (Process Model 8.0)
- C.20.24.1 Overview
- C.20.24.2 The concept of a centralized events management component does not currently exist within FACES.NET. This module recognizes that throughout the investigation and case management, provider management, and assessments various meetings or events occur that have common data elements. This information can be captured and managed through a centralized event management component of the System.
- C.20.24.3 The proposed solution for this module may be custom code or a third-party component. The proposed solution shall investigate integration with MS Office 365, however, since all system users may not be authorized to the District's licenses for Office 365, it may not be the primary events management functionality.

NOTE: There is no diagram for this cross-cutting process as its embedded in others.

C.20.24.4 Current Processes

C.20.24.4.1 In FACES.NET, events are captured as contacts and are entered retrospectively after the event occurs. Events or contacts are siloed into the specific business process for which the meetings are required to occur. FACES.NET does not attempt to compile events, meetings, or contacts across the system.

C.20.23.4.2 The act of scheduling events typically occurs outside of the system.

C.20.23.4.3 With regards to interfacing with DC Superior Courts, a Court Liaison has access to the DC Superior Courts Case Management system, Court View 2, and can look up scheduled hearings and other court dates. Primarily, information is captured from Court View 2 via batch process. However, the court liaison may enter or update this information into FACES.NET directly.

C.20.24.5 Process Improvements

Area of Improvements: Centralization	Uniform entry, tracking and querying events that are now primarily entered through notes
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C.20.24.5.1 Since the current system does not support a centralized events management system, the Contractor shall investigate and document new processes that link together event from various process areas.

C.20.24.5.2 The Contractor shall be responsible for identifying all events across the processes for inclusion in the Event Management module, through the Requirements Elicitation phase of the project.

C.20.24.5.3 Conceptually, the Events Management module creates a standardized view of all events (with regards to the data elements needed).

C.20.24.5.4 See Attachment J 11 Functional Requirements Tab Events Management (8)

C.20.25 Monitoring and Compliance (Process Model 9.0)

C.20.25.1 Overview

C.20.25.1.1 CFSA must monitor providers throughout the program, as well as internal processes and performance. For a large portion of the internal process and performance monitoring, system driven reports must be developed based detailed and accurate workflow information.

- C.20.25.1.2 With regards to provider monitoring, monthly monitoring visits are performed for all large providers (group home or residential facilities) using a Facility Checklist. The Facility Checklist is currently captured outside of FACES.NET, using Google Sheets.
- C.20.25.1.3 CFSA also performs detailed reviews of case files to ensure that the information captured in both FACES.NET and physical case files are complete and accurate. Again, the monitoring information is captured outside of FACES.NET.
- C.20.25.1.4 The CFSA Monitors follow up on issues found during reviews via processes specific to the type of review process or issue found.
- C.20.25.1.5 Current processes are completed outside of the system, and therefore are not included in the current As-Is Process models.
- C.20.25.2 Current Processes**
- C.20.25.2.1 Facility Checklists
- C.20.25.2.1.1 CFSA Monitors access new provider records via FACES.NET. No additional information from FACES.NET is leveraged for this monitoring activity. The Monitoring Supervisor assigns providers to specific monitoring staff. Each monitor schedules monthly site visits outside of FACES.NET.
- C.20.25.2.1.2 During the site visit, the assigned monitor completes a physical Facility Checklist form. If the monitor identifies any safety or facility issues during the site visit, the provider has 24 hours to resolve the issue.
- C.20.25.2.1.3 Typically, the monitor does not return to the site to ensure that the issue has been resolved. Rather, either the provider submits an on-demand payment requests or observed as resolved during the following month's Facility Checklist visit.
- C.20.25.2.1.4 When the monitor returns to the office, the monitor enters the outcome information into a Google Spreadsheet.
- C.20.25.2.1.5 The Monitoring Supervisor derives monitoring reports from information stored in the Google Spreadsheet and is typically only used internally. However, formal auditing for the program may include reviewing this information.
- C.20.25.2.2 Case Record Review
- C.20.25.2.2.1 For each of our large providers with formal contracts to receive and care for multiple children, CFSA Monitoring staff perform Case Record Reviews.

- C.20.25.2.2.2 During a Case Record Review, the CFSA monitor accesses the complete case file for specific cases being reviewed. This information includes documents, case plans, services provided, and other key information. The monitor also reviews physical case files. The monitors use physical review forms to capture review information.
- C.20.25.2.2.3 If during the review deficiencies are identified, the provider must develop a corrective action plan. If the provider does not correct the action, CFSA may move to issue a Notice to Cure letter, which is a formal contracting and procurement process to formally notify a vendor of deficiencies against their contract terms.
- C.20.25.2.3 Additional Monitoring and Auditing
- C.20.25.2.4 While this RFP has outlined a number of monitoring and auditing processes at a high level, this is not a full scope of the monitoring and auditing activities performed by the agency. The Contractor, through the Requirements Elicitation Phase, shall document additional monitoring and auditing processes throughout the business lifecycle.
- C.20.25.2.5 In general, the Contractor should expect that any investigation, case, service, or financial related information will require monitoring reports and audit capabilities.

C.20.25.3 Process Improvements

Area of Improvements: Centralization	Uniform entry, tracking and querying events that are now primarily entered through notes
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- C.20.25.3.1 A primary improvement is to fully capture monitoring forms within CCWIS. The System shall provide administrative tools to allow a Monitoring Supervisor to administer specific questions across monitoring forms.
- C.20.25.3.2 In order to streamline the process, the System should auto-populate known data elements and reuse questions across forms to facilitate data analysis.
- C.20.25.3.3 The module shall integrate with the Event Management module to create regular monitoring visit schedules, including views across the unit, for specific monitors and specific providers.
- C.20.25.3.4 The second primary improvement is to provide a streamlined method to internally review investigation, case, service, financial information, and additional internal records captured in the System.

- C.20.25.3.5 In order to provide a streamlined method, CFSA envisions providing monitoring and auditing user groups a one-to-one interface for reviewing specific forms, documents and other captured data within the System. The design vision is that for each form and/or screen, the System will provide an additional set of fields, per data element, that allow these personnel to enter and stored review feedback (such as compliant – Yes or No, and Notes).
- C.20.25.3.6 As part of the Requirements Elicitation phase, the Contractor shall explore, with the Agency Performance and other OPPPS unit approaches to support programmatic monitoring of specific business rules and decisions. The agency places a high value on internally assessing their business processes and case practices. With that being said, the programmatic monitoring may change with current practices, workflows, and philosophies of the agency.
- C.20.25.3.7 The Contractor shall look to address these fluctuations in the monitoring process through administrative tools sets that integrate with form and workflow administration tool sets.
- C.20.25.3.8 See Attachment J 11 Functional Requirements Tab Events Audit (9)
- C.20.26 Training Monitoring Module (Process Model 10.0)
- C.20.26.1 Overview
- C.20.26.1.1 CFSA is charged with providing a one-stop training resource for social workers, support workers, and resource parents. The Agency currently employs a series of solutions to manage training activities across all of the training groups.
- C.20.26.1.2 In 2017, CFSA contracted with iSpring Solution Inc. to use their cloud-based Learning Content Management Tool, iSpring. CFSA is in the process of converting all internally provided training to this platform.
- C.20.26.1.3 In addition to the in-person courses offered through iSpring, prospective foster parents must complete three courses through FosterParentCollege.com. This site provides training for child welfare agencies across the country.
- C.20.26.14 CFSA currently trains approximately 1500 prospective and current providers on an annual basis.
- C.20.26.15 Current Processes
- C.20.26.1.6 CFSA’s Child Welfare Training Academy manages a majority of the training for the agency. The specific training groups performed are:
- Pre-Service Training for potential foster care providers
 - Provider Annual Training (during or post-licensure)
 - CFSA Direct Staff
 - CFSA Indirect Staff

- C.20.26.1.7 In addition to CFSA's Child Welfare Training Academy, the following groups provide additional training courses:
- Office of Youth Empowerment – Youth Education Courses
 - CISA – Software Training for CFSA staff
- C.20.26.1.8 FACES.NET captures a small portion of training completion information, but only so much as to track course completion and initiate workflow processes.
- C.20.26.2 Pre-Service Training
- C.20.26.2.1 CFSA leverages FosterParentCollege.com for pre-services training, which provides online courses for prospective providers. 7 of 10 sections of pre-service training are completed through this system. CFSA staff performs the additional three training sessions in-person.
- C.20.26.2.2 A CFSA administrator has access to the pre-service training system to perform a series of administrative tasks. As part of the administrative tool set, the CFSA administrator enrolls potential providers to the system, and can view and extract completion information. FosterParentCollege.com manages all other processes within this particular type of training.
- C.20.26.2.3 The CFSA Training Administrator will extract training completion information and enter it into FACES.NET. Once the information has been entered into FACES.NET, the system notifies the licensure division to begin processing the provider's license.
- C.20.26.3 Provider Annual Training
- C.20.26.3.1 All providers must complete 30 hours of training in order to become licensed. In addition, all licensed providers must complete annual training requirements.
- C.20.26.3.2 CFSA is in the process of converting physical training materials into webinars in the iSpring system. This will allow potential and current providers to complete the training requirement via an On-Demand method. Previously, CFSA has performed all training in-person.
- C.20.26.3.3 Presently, no interface exists between iSpring and FACES.NET. When providers completed their training, CFSA staff updates FACES.NET with completion information.
- C.20.26.3.4 Direct and In-Direct CFSA Staff

C.20.26.3.4.1 In a very similar manner to provider's training, CFSA staff must complete continuing education units. However, CFSA staff training are presently not contained within the iSpring LCMS. Via email, CFSA staff distributes information for training sessions. CFSA training staff conducts the training sessions and then enter completion information into FACES.NET. FACES.NET does provide tracking and alerts to CFSA staff for ongoing compliance to training requirements by course.

C.20.26.4 Process Improvements

Area of Improvements: Centralization	Uniform entry, tracking and querying events that are now primarily entered through notes
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- C.20.26.4.1 CFSA has implemented training courses in iSpring for potential and existing providers and is working towards migrating social work staff training. CFSA expects to leverage iSpring for all training content management, webinars, and other learning management components.
- C.20.26.4.2 CFSA envisions that the new CCWIS will provide integration with iSpring. The Contractor, through the CFSA PMO, will work with iSpring technical staff to provide a service-based integration between the two systems. If a direct integration is not possible, the Contractor shall design an alternative method to send and receive data to and from iSpring.
- C.20.26.4.3 The System also shall provide a method to integrate data from FosterParentsCollege.com.
- C.20.26.4.4 The System shall link training activities to user account creation and authorization processes.
- C.20.26.4.5 As designed over the course of the project, the System shall leverage iSpring for any related software training activities. The Contractor shall work with CFSA Child Welfare Training Academy to create and implement needed courses through this platform.
- C.20.26.4.6 See Attachment J 11 Functional Requirements Tab Events Training Monitoring (10)
- C.20.27 Reporting (Process Model 11.0)
- C.20.27.1 Overview

- C.20.27.2 Federal, local, and publicly available reports are produced by a combination of data tables, charts and graphs, and textual descriptions outside of FACES.NET. Currently, CFSA produces a series of federal reports, local, and publicly available reports on an annual basis or more frequent basis. Additionally, CFSA submits data files to federal and local reporting systems, including to ACF as outlined in the Federal Register 1355.44/45, National Electronic Interstate Compact Enterprise (NEICE), and DC's Statewide Longitudinal Education Data warehouse (SLED) and other OSSE systems, at a minimum.
- C.20.27.3 CFSA must report against 88 exit criteria, per the LaShawn Consent Decree.
- C.20.27.4 Additionally, CFSA produces a series of management reports that provide insights and progress reporting for specific aspects of the organizational processes. CFSA produces monitoring and auditing reports, both for internal processes and for external oversight agencies.
- C.20.27.5 In addition to FACES.NET, CFSA requests data from CFSA satellite systems, external and interstate providers, and other DC Agencies.
- C.20.27.6 There are approximately 300 reports of varying complexity and priority that CFSA creates.
- C.20.27.7 Complexity is determined by key factors:
- Incorporation of multiple sub-reports creates dependencies
 - Based on the business logic existing data model creates complexity in synthesizing data
 - Data format and mandated formats may not be compatible causing manual manipulation of data for example formatting summaries with percentages
 - Legacy build of code to run queries has caused increased lines of code slowing retrieval
- C.20.27.8 Priority Level – Has been determined based on the business need. For example, mandated reporting from LaShawn requirements to be submitted to Court Monitor.
- C.20.27.9 Attachment J 20 Reporting includes samples of identified federal, local, publicly available, or data set and Management reports created by CFSA. The Contractor may identify additional reports during the Requirements Elicitation phase of the project, which will be considered in scope.
- C.20.27.10 Current Processes**
- C.20.27.10.1 As stated above, Federal and Local reporting is largely manual and occurs outside of the system. Either system users or FACES.NET technical staff exports data sets.

- C.20.27.10.2 Responsible CFSA staff members compile the required data sets and textual portions of each report. Usually, the Office of Planning, Policy, and Program Support (OPPPS) team members, with the support of staff across the agency who are best suited to provide information for the specific report section composes reports.
- C.20.27.10.3 Final data sets presented in final reports are manually generated, in many cases. Once reports are ready for submission, each final report undergoes a manual review and approval process
- C.20.27.10.4 FACES.NET currently contains a series of management reports. However, since the system does not collect the data to support all of the required management reports and, furthermore, does not capture adequate data to provide role and group level management reports, staff members across the agency frequently keep secondary tracking systems (QuickBase, Excel).
- C.20.27.10.5 FACES.NET staff support federal reporting by preparing data file submissions.

C.20.27.11 Process Improvements

Area of Improvements: Overhead	Decrease manual effort to produce standard reports and increase the confidence in the data quality.
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- C.20.27.11.1 Since many of the reports require textual portions and sections may change within those reports, it may not be feasible to fully automate the complete report creation process within the System. However, many aspects of the process can be better supported and managed.
- C.20.27.11.2 Standardized reporting shall provide common features outlined in General Requirements.
- C.20.27.11.3 In order to support monitoring and auditing, drill-down reports will be used as part of the monitoring and auditing tool set. Drill-down reports for monitoring and auditing shall link to functional pages that allow the auditor to functionally validate information within the System.
- C.20.27.11.4 See Attachment J 11 Functional Requirements Tab Reporting (11)
- C.20.28 CFSA – DC Superior Court Interface 12.0
- C.20.28.1 Overview

- C.20.28.1.1 The interface between CFSA and DC Superior Court (DC Family Court) is critical within the workflow for all cases managed by CFSA. All requirements are contained within this section without being extrapolated into J 12 Functional Requirements tab.
- C.20.28.1.2 CFSA and the Court interface, from a process standpoint, at three distinct points:
- Initial entry into CFSA’s care systems through an Initial Hearing,
 - Regular status hearings (every 6 months) and/or ad hoc status hearings, per court, counsel, or CFSA request, and
 - Exiting CFSA care through one of a series of exiting options, as described in Section D.20.15 Permanency and Exit/Post-Permanency Support (Process Model 4.0).
- C.20.28.1.3 Since the courts, rather than CFSA manage the hearings, the process is considered a critical sub-process, rather than a major process area. For simplicity, the process area and diagram leverage the process numbering system used for the major process areas.
- C.20.28.1.4 For all of the current interface points and hearing types, FACES.NET creates and sends to or receives from DC Superior Court’s Court View 2 Case Management System a batch file that communicates hearing schedule information. Additionally, the batch interface contains form information, hearing documents, and other required information for each specific type of hearing.
- C.20.28.1.5 Court View 2 sends decision and order information, legal documents, and other key data points for each specific type of hearing to FACES.NET.
- C.20.28.1.6 Within Attachment J 11 Functional Requirements, the features described in this section are integrated into their particular process flows, rather than presented in a distinct section of the workbook.
- C.20.28.1.7 The diagram below shows the current high-level processes:



Figure 13 DC Superior Court Interface High Level Pro

- C.20.28.2 Current Processes
- C.20.28.2.1 As described above, CFSA interacts with the courts at three distinct points, Initial Hearings, Status Hearings, and Exit Meetings.
- C.20.28.2.2 Initial Hearing – An initial hearing is requested when CFSA either determines that there is least one Substantiated allegation with a High or Intensive risk to the safety and wellbeing of a child, or a child or children have required an immediate removal and placement into a foster home or facility.
- C.20.28.2.3 In cases where an immediate removal was required, CFSA has already performed a number of processes that occur as a result of the hearing, such as Initial Health Assessments, Placement Identification, and Physical Placement.
- C.20.28.2.4 Create Complaint Form - In all cases, the CFSA Investigator must submit a Complaint Form to initiate the hearing process. FACES.NET auto-populates the required information from data collected during the investigative phase.
- C.20.28.2.5 Review and Submit Complaint Form – The Investigator will review, updated as needed, and submit the complaint form, along with associated documents, to CFSA Assistant Attorney General (AAG) for review.
- C.20.28.2.6 AAG Review – The AAG must review and approve the complaint before it is sent to DC Superior Courts. If revisions are required, the Investigator must make any changes to the complaint form or supporting information. Once it is approved in FACES.NET, the complaint is ready for submission via the batch process to DC Superior Court for scheduling.
- C.20.28.2.7 Batch Submission - FACES.NET processes batch file submissions to DC Superior Court's case management system, Court View 2, with new complaint information.

- C.20.28.2.8 Receive Batch File – Court View 2 receives and processes the batch file. Processes within Court View 2 and associated DC Superior Court processes are external to scope of this document. The Contractor may find it necessary to further document these processes during the Requirements Elicitation phase.
- C.20.28.2.9 Schedule Hearing – DC Superior Court reviews the complaint information and schedule a formal hearing. The hearing information is captured in Court View 2 and available to CFSA via the return batch process.
- C.20.28.2.10 Batch File Return – Court View 2 prepares a return batch file which communicates the hearing schedule information.
- C.20.28.2.11 Receive Hearing Data – FACES.NET receives the batch file and processes the information back into the incident investigation and/or case data set.
- C.20.28.2.12 View Hearing Data and Prepare Hearing Documents – Once returned, the Investigator and/or Social Worker may view the hearing information in FACES.NET and prepare both electronic and physical case files. The physical case files are available to legal counsel for the family, child or other plaintiff in the case.
- C.20.28.2.13 Obtain Case Documents – While information and documents are automatically submitted to Court View 2 via the batch interface, legal counsel does not have access to these documents through either Court View 2 or FACES.NET. CFSA must make available physical copies of the case files in the event that legal counsel requests to obtain physical copies of the case documentation.
- C.20.28.2.14 Hearing and Decision – As per the schedule, the hearing is held. The presiding judge makes a decision on the case with orders for CFSA’s course of action.
- C.20.28.2.15 Decision Enter into Court View 2 and Prepare and Send – After the decision is made, DC Superior Court enter the decision into Court View 2. As part of the aforementioned batch process, the decision information is returned to CFSA as part of the batch file process and transferred to FACES.NET.
- C.20.28.2.16 Receive Batch File and Update FACES.NET – FACES.NET receives the hearing outcome data as part of the batch file process. This information is processed into the specific incident and/or case records and will inform the outcome of the investigation and next steps to be performed by CFSA.

- C.20.28.2.17 Regular Case Status Hearings- As part of any CFSA managed case where In-Home Services or Out of Home Care is being provided, DC Superior Court holds status hearings at regular intervals, as well as when requested by the judge, legal counsel, or CFSA.
- Prepare Case Reports – FACES.NET receives hearing scheduling data as part of the outcomes of prior hearings. In preparation for status hearings, the Social Worker must prepare and submit Interim Status Reports to the Court as part of the hearing. The Social Worker submits the interim report to the AAG for review prior to submission to DC Superior Court.
- C.20.28.2.18 Approve Case Reports – The AAG reviews and approves the interim reports. Any revisions are coordinated with the Social Worker prior to submission. Once approved, the Interim Report is submitted to the Court via the batch file process.
- C.20.28.2.19 Batch File Process – FACES.NET prepares the interim status hearing data and documents, including the Interim Status Report, and submits it to Court View 2 via the batch process described in the previous section.
- C.20.28.2.20 Prepare and Distribute Case and Service Interim Reports – In parallel, the Social Worker must prepare and distribute physical copies of the Interim Case Reports to legal counsel.
- C.20.28.2.21 Receive and Process Batch File – Court View 2 receives and processes the batch file that contains the interim hearing information and associates it to the case and upcoming hearing.
- C.20.28.2.22 Hold Hearing – DC Superior Court holds the hearing and issues a decision and/or court orders.
- C.20.28.2.23 Scanned Court Documents – The Court scans any associated documents and decisions and uploads them into Court View 2.
- C.20.28.2.24 Batch Process Documents and Data – The Interim Hearing Decision data, orders, and documents are returned to CFSA via the batch file transfer process.
- C.20.28.2.25 Process Return Batch File – FACES.NET receives and processes the return batch file to update appropriate cases and case information. The court orders and/or decisions inform the next steps required as the client works towards permanence.
- C.20.28.2.26 Exit Hearing -If the client and/or family have satisfied the case and service plans, and the court has decided to authorize the completion of the case, a secondary Finalization Hearing is scheduled and held to formally grant legal closure through one of the five exits paths.

- C.20.28.2.27 Prepares Case Finalization Documents – As part of the closure, the Social Worker must prepare a finalization document that corresponds to the exit type being sought. Once completed, along with any supporting materials, the Social Worker submits the Finalization Documents to the AAG for review and approval.
- C.20.28.2.28 Review and Approve Finalization Documents – As with the prior processes, the AAG must review, approve, and submit the Finalization Documents. The AAG coordinates any revisions with the Social Worker. Once approved in the system, FACES.NET prepares the information for submission to Court View 2 via the batch transfer process.
- C.20.28.2.29 Batch Process Finalization Information – FACES.NET prepares the batch file with any finalization data and documents required to be submitted to DC Superior Court.
- C.20.28.2.30 Prepare and Distribute Finalization Reports – CFSA also makes physical copies of all finalization documents and distributes the documents to legal counsel or other representative, as requested in-person.
- C.20.28.2.31 Receive and Process Batch File – Court View 2 receives and processes the batch file that includes all finalization hearing data and documents and associated them with the specific case and hearing.
- C.20.28.2.32 Hold Finalization Hearing – DC Superior Court holds the finalization hearing and either approve or deny the finalization request. The Court issues a decision and any associated court orders.
- C.20.28.2.33 Court Orders Scanned – Court orders, decisions and associated documents are scanned and uploaded into Court View 2. Court View 2 includes the hearing outcome data and associated documents as part of the batch file process.
- C.20.28.2.34 Batch Return File – Court View 2 transfers the batch file to FACES.NET, as discussed in the prior sections.
- C.20.28.2.35 Process Return Batch File – FACES.NET processes the return batch file and associates the decisions, orders, and associated documents to the case files in FACES.NET.
- C.20.28.3 Process Improvements

Area of Improvements: Workflow	Decrease manual effort to produce case documents.
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- C.20.28.3.1 While the current batch process is functioning properly, the contractor shall ultimately replace this process as part of a revamped integration layer. The contractor shall take the opportunity to expand and/or refine the set of data elements transferred between the CCWIS and Court View 2.
- C.20.28.3.2 The new CCWIS System shall ensure that the court hearing data is integrated into the System events management module.
- C.20.28.3.3 CCWIS shall improve workflows and related processes, including notifications, review and approval processes, dashboards, and other similar tools. The System shall look to automate the creation of complaint forms, court reports, and associated document submissions.
- C.20.28.3.4 Access to Case Files
1. Presently, the agency must prepare physical case files to legal counsel involved in a case and make it available, if requested in-person or as directly by the court and/or court processes. FACES.NET does not provide access to legal counsel to electronic case files.
 2. The Contractor shall investigate the user communities that require access to case files and design a solution that will reduce the need for physical document reproduction.
 3. The solution shall take into account the various access channels that may be required (such as differences for lawyers representing individuals or families and self-representing low-income parents with limited internet capabilities).
 4. While the To-Be solution may not be able to ultimately eliminate the creation of physical files, the contractor shall also investigate and design a solution that will minimize the need to pre-prepare physical case documents (such as an on-demand kiosk).
 5. The To-Be solution shall provide online access to legal counsel to a restricted set of case and court files. Legal counsel access shall be considered a separate user community within the overall external user access portal.
 6. The To-Be solution shall consider the court-required processes as part of the Case Management module and not a distinct module separated from the case information.
- C.20.28.3.5 There are no extrapolated requirements in Attachment J 11 Functional Requirements Courts (12).
- C.20.28.4 CFSA – Administration 13.0**
- C.20.28.5 The current processes for administration are largely specific to the current FACES.NET system and technical expertise to administer the system. Therefore, these processes are not described in this document.
- C.20.28.6 **All requirements for Administration are contained within Attachment J 11 Functional Requirements Admin (13).**

C.21 Technical Requirements

C.21.1 Summary

C.21.1.1 CCWIS must support the vision of an integrated technical solution that leverages an enterprise data and architecture approach. The technical solution architecture will employ a modular design, based on Service Oriented Architecture (SOA) design principles. The Contractor shall design, develop, and implement a system architecture that is consistent with the vision of the CCWIS System context, technology architecture, process, and standards throughout the organization and supplies the context (for identified patterns) for imposing best practices on development and deployment of the CCWIS System SOA.

C.21.2 Hosting

C.21.2.1 The Contractor's must leverage one of the following options to host the solution for each business area:

1. Commercially Cloud Hosted (FedRAMP)
2. District Hosted (OCTO Data Center)

C.21.2.2 OCTO offers Shared Infrastructure Services provides the underlying foundation for enterprise IT within the District government ranging from desktop computing environments to data-center based mainframe and state-of-the-art IT systems. These include:

1. **Mainframe Operations:** Provides reliable, secure and efficient computing environments with sufficient resource capacity to satisfy the information processing requirements of the agencies served by OCTO's data centers and sustains the mainframe hardware and software that support mission-critical applications used by DMV, DOES, MPD, OCFO and UDC to provide services.
2. **Data Center Facilities:** Maintains the premises for OCTO's data center sites, including electrical power, airflow and physical security, with consideration for environmentally friendly solutions.
3. **Server Operations:** Supports enterprise back-ups, maintenance and management for mission-critical citywide applications, the dc.gov portal and associated databases.
4. **Telecommunications Governance:** Manages a portfolio of approved vendors and contract vehicles to purchase telecommunications products and services in compliance with procurement guidelines and works with all District agencies to monitor and certify telecommunications inventories (land lines, cellular devices, pagers, data circuits) to best manage overall telecommunications spend.
5. **DC Network Operations Center (NOC):** Provides 24x7x365 monitoring for critical network components that support the citywide network infrastructure for the DC Government.
6. **DC-Net:** Provides secure managed voice, video and data services throughout the District. DC Net is a fiber-optic telecommunications platform providing

the core foundation and primary backbone transport for all technology and telecommunications services used by over 35,000 District employees. **DC-Net**: Provides secure managed voice, video and data services throughout the District. DC Net is a fiber-optic telecommunications platform providing the core foundation and primary backbone transport for all technology and telecommunications services used by over 35,000 District employees.

7. **Email**: Provides collaborative email services delivering over 1 million messages daily to 44,000 mailboxes across the DC Government.

- C.21.2.3 If the Contractor chooses to host in a commercial cloud environment (leveraging a 3rd party such as Amazon Web Services or Microsoft's Azure), the Contractor shall meet the Federal security standards set for the cloud environments (see <http://www.cio.gov/documents/Federal-Cloud-Computing-Strategy.pdf>). The Contractor shall include a detailed hosting plan for each solution as well as evidence that they meet cloud computing requirements set forth above. The Contractor must also meet Service Level Agreements as described in Section SECTION D: DELIVERABLES.
- C.21.2.4 For additional details on OCTO's service offerings and cost schedules, please see Attachment J 13 Pricing OCTO and G-15 Pricing DC Net.
- C.21.3 Environments
- C.21.3.1 At a minimum, the Contractor is required to provide and support the following seven (7) system environments:
1. Development
 2. Integration and System Test
 3. Training
 4. User Acceptance Testing
 5. Staging
 6. Production
 7. Disaster Recovery
- C.21.3.2 Environment Management is comprised of supporting the necessary environment functions including, but not limited to:
1. Executing batch and interface programs timely and accurately.
 2. Providing reports in a timely fashion to support the business users with their tasks.
 3. Monitoring training and User Acceptance Training environments to keep them properly available to the business users.
 4. Providing support, as needed, to the CCWIS User Acceptance Training and training staff.
 5. Providing detailed analysis on system and data issues found in each environment.
 6. Resolving environment issues in a timely fashion.

- C.21.4 Security
- C.21.4.1 The Contractor shall provide a single, comprehensive, integrated risk based framework with processes, tools, technology, standards and best practices to design, implement, manage, administer, and govern the security and privacy of the CCWIS System and data.
- C.21.4.2 The solution shall provide application controls to prevent unauthorized use of the CCWIS System, maintain system process controls, and log all transactions and access to data. In addition, the CCWIS System shall provide security to limit availability to application functionality, software screens, data records, data elements, and data element values where appropriate.
- C.21.4.3 The Contractor shall provide an approach for integrating security with overall system security using a single sign-on between solution systems (if multiple systems are leveraged in the Contractor's solution).
- C.21.4.4 The Contractor shall fully describe its approach to security, including but not limited to the use of firewall hardware and software, intrusion detection/prevention systems, other protective measures, and other measures that provide in depth defense for the proposed solution. The security approach must fully describe the risk management approach to application development and deployment in terms of threat and vulnerability identification, analysis and prioritization, and mitigation techniques.
- C.21.5 System Availability
- C.21.5.1 The Contractor shall provide the PMO with a Capacity and Performance Plan that outlines the strategy for 1) assessing overall solution and component performance, and 2) using this information to develop and plan for component acquisition, configuration, and upgrade. The plan must contain at minimum:
1. An assessment of database capacity and telecommunications needs;
 2. An assessment of network requirements;
 3. An assessment of memory requirements;
 4. An estimate of processor utilization; and
 5. An estimate of data storage requirements.
- C.21.5.2 The performance plan shall describe the solutions performance requirements based high availability and maximum number of users, what elements of the solution must be developed to measure performance, and how solution performance will be measured to ensure that requirements are continuously met.

- C.21.5.3 The Contractor shall design, develop, and implement a CCWIS System that complies with the service level and performance requirements set forth by the District specified in Section F-4 – Performance. Systems performance services include tools for monitoring and optimizing the performance and operations of the CCWIS System. At a minimum, the CCWIS System shall support the base capacity set forth by the District. While users may be accessing the CCWIS System at various times, the CCWIS System shall be designed with enough capacity to support a typical influx of users on a day-by-day and hour-by-hour basis. In addition, the CCWIS System also shall optimize performance for the ramp-up or slow down activity levels leading up to or coming down from anticipated usage fluctuations due to business cycle events, such as during monthly claims submission periods.
- C.21.5.4 From a usability perspective, the CCWIS System also shall consider response time for the customer. While processing time may vary for components which interface with integrated systems, processing time for components which are independent of external systems need to be reasonable and aligned with the typical user experience similar to a commercially available website and application. Delays in processing time decrease the likelihood of the CCWIS System’s success and will need to be corrected.
- C.21.5.5 To assist system administrators in performance capacity planning and evaluating system performance, the CCWIS System shall provide monitoring tools that include alerts and feedback to notify administrators of potential capacity limits. This real-time notification tool set will facilitate a proactive response before system performance issues impact the customer experience. Similarly, the CCWIS System shall include monitoring tools and reports which will notify administrators of trends, usage data, load balancing and high availability points in order to assist in long-term capacity planning and strategy. This metrics-based reporting and coordination will help administrators to make informed decisions using underlying trend and usage information.
- C.21.5.6 The Contractor shall submit expected time for CCWIS System processing of specific tasks during high-volume claims submission periods to include but not be limited to:
1. Navigation and dashboards throughout the System
 2. Generation of claims forms with pre-populated data and variable constraints
 3. Views of financial data and data reports that leverage FMS data as a source
 4. Upload and download times of specific documents stored within the CCWIS System

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- C.21.6 Audit
- C.21.6.1 The Contractor shall design, develop, and implement auditing functionality that monitors the CCWIS System's accuracy and completeness. The CCWIS System shall have the ability to generate reports that provide the District with the necessary data to conduct quality control, research, and administration of programs. The CCWIS System must have the ability to provide reports on users, security groups, roles, settings, passwords and duplicate IDs.
- C.21.6.2 Audit trails shall be available to trace user- and system-initiated actions for all update and inquiry transactions. The audit trails shall be available for online inquiry for up to three (3) years after the last auditable action on a case. No modification of audit trail data is permitted. Audit trails may be stored offline on machine-readable media after three (3) year from the last activity on a case or client. Stored data shall be readily accessible in the case of audit, appeals, or litigation.
- C.21.6.3 The CCWIS System shall provide point in time display of all data for audit, verification and program integrity purposes. The CCWIS System shall display the data that were used to approve licenses and renewals, approve clearances, determines placement, documents diligent search efforts, captures and manages case planning and outcomes, particularly for cases where care is mandated by the court, document contacts with clients, calculate claims and repayments, and generate various outputs, including financial transactions, notices, agreements and formal notifications, and estimation reports for the point in time that the particular action took place. A history of data elements to be jointly agreed upon during the design phase shall be maintained. The number of occurrences to be maintained shall be based upon Entity relationship analysis and the business need as determined by the District.
- C.21.7 Back Up and Recovery
- C.21.7.1 The Contractor shall be required to document and practice the backup and recovery strategy processes, and procedures, once per year. The District shall validate the Contractor's ability to recover the CCWIS System within the established performance standards set forth by the District. The Contractor must use the District's tools for all backup and recovery needs.
- C.21.8 Disaster Recovery
- The Contractor shall have Disaster Recovery (DR) and Continuanace of Operations Program (COOP) established for their solutions. The Contractor shall provide their DR and COOP plan and mechanisms to the District for each of their solutions as part of this submission. The DR and COOP mechanisms for the Contractor's solution shall meet the National Institute of Standards Technology (NIST) standards, http://csrc.nist.gov/publications/nistpubs/800-34-rev1/sp800-34-rev1_errata-Nov11-2010.pdf.

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- C.21.9 Hardware and Software
- C.21.9.1 The Contractor shall identify, and price all hardware and software required to implement the CCWIS System solution, including the acquisition price plus extended warranty and maintenance. The Contractor shall provide, install, and maintain the hardware, software, network components and other infrastructure elements for the CCWIS System solution, in coordination with OCTO and OCTO provided services. The Contractor shall integrate Contractor-supplied assets with those of the District. For additional details on OCTO's service offerings and cost schedules, please see Attachment J13 Pricing OCTO and J15 Pricing DC Net.
- C.21.10 Help Desk
- C.21.10.1 CFSA has established RemedyForce as the Help Desk tool that serves as a single point of contact for all CCWIS System related issues and service requests. Customer Service staff will use the Help Desk system to log tickets and route them to appropriate groups for resolution. Prior to each release, the Contractor shall provide training to appropriate personnel on the changes and alternative procedures associated with the release, as appropriate.
- C.21.10.2 The Contractor must provide supplemental technical and functional support for tickets deemed to be an IT issue (such as potential warranty defects). The Contractor's support will end once system maintenance is transitioned to the District. The Contractor shall establish and provide the appropriate number and type of personnel required to manage help desk operations and escalations.
- C.21.11 Printing and Download
- C.21.11.1 The CCWIS System solution should integrate with the District's printing equipment and software to support the print processing functionality.
- C.21.11.2 The CCWIS System shall make available all web screens, reports and system-generated documents in common formats, including, but not limited to MS Word format, MS Excel Format, and PDF. The CCWIS System shall make all directly printable and, in a printer-friendly format.
- C.21.12 Interfaces
- C.21.12.1 CFSA has identified various systems that should be leveraged system of record sources and describe them each in Attachment J 22 CFSA System List. While this list is extensive, during the Requirements Elicitation and Documentation phase, additional interface opportunities may be identified and are included within the scope of the project.

- C.21.12.2 CFSA expects that the Contractor shall work with CFSA CISA Technical staff to design and develop appropriate interfaces to support the transmission of data both in and out of the CCWIS System. Note that the selected Contractor will not be responsible for modifying the systems with which the CCWIS System will interface to enable these interfaces to function; however, the capabilities of the other systems must be taken into account when the interfaces are designed.
- C.21.13 Reports
- C.21.13.1 Reporting are artifacts of the data collected, ingested, and/or otherwise organized by the system to represent results at a particular moment of time or interval. Business Intelligence and Data Visualization take data (even reports) as input into learning something new or visualizing data. All reports must be built using a COTS solution versus custom HTML. The reports need to be extractable into common formats (.csv, MS Excel, PDF), format-able to support official submissions (e.g. address blocks, footnotes, descriptions of the data); and the reports need to be scalable to changes in data and structure without requiring re-building the report.
- C.21.13.2 While CFSA has identified a limited set of federally required reports that shall be included in the solution, the Contractor must acknowledge and discuss its plan to design and develop reporting that support each process area and management reports to provide oversight to each process. This includes but is not limited to provider availability, financial management reports, task lists, statistical summaries (pie charts, line graphs), Geospatial Information System maps, and other list style reports. The Contractor and CFSA will agree to a fixed set of reports as a part of the Requirements Elicitation and Documentation phase of the project. There are currently approximately 300 reports run as illustrated in Attachment J 20 – CFSA Reporting Requirements.
- C.21.13.3 Reports shall provide appropriate filters, sorting options, and other intuitive navigation options on all appropriate report location. Reporting options should require minimum page reloads and load times. Page design should leverage style framework and notifications to user as pages are loading when exceeding normal response times.
- C.21.14 Workflow
- C.21.14.1 The Contractor shall design and develop various workflows, to be defined in detail during Requirements Elicitation and Documentation phase. Section D.17 System Requirements of this document identifies a portion of the required workflow process areas. This should be considered a minimum but not limited to set of process sets that require workflow to manage the business processes to administer the Program.

C.21.14.2

During the Requirements Elicitation and Documentation phase of the project, the Contractor shall work with CFSA to fully define each process and sub process area, and each workflow and the individual workflow steps and interactions. High-level process models are provided in Attachment J 19 CFSA As-Is Business Process Flows and should be considered informative rather than prescriptive. Finalized business process models and workflows documented during the Requirements Elicitation and Documentation phase will form the agreed upon workflow specifications.

- Contract Requirements Attachments
- Functional Requirements – See Attachment J11
- Technical Requirements – See Attachment J12
- Reporting – See Attachment J20

****END SECTION C****

SECTION D: DELIVERABLES

D.1 DELIVERABLES

Contractor shall perform the activities required to successfully complete the District's requirements and submit each deliverable to the Contract Administrator (CA) in accordance with the following table. The deliverable is named and associated to its appropriate CLIN number. The description provides the District's expectation of what the deliverable is, the timing of when the deliverable is first introduced and the frequency of updates and the approximate number of times the deliverable is expected to be updated within a given year. As mentioned in Section B, the District expects to follow an incremental and iterative process. Therefore, some quantities may be unknown at this time or change over the course of time to meet the needs of the District.

#	Deliverable	Description	Frequency	Format/Method of Delivery	Quantity
1.	Project Management Plan	Documentation of plans, processes, and procedures for execution, monitoring and control across the life cycle of activities. Major management components include: Staff, Communication, Quality, Risk, Requirements, Organizational Change and Change Control.	1-month post contract award and every month thereafter	MS Word	12
2.	Project Schedule	Project Management also includes the project schedule, which is a detailed work plan for project execution, monitoring and control. Includes at a minimum: 1) Key dates for project milestones and submission/acceptance of deliverables, 2) Work breakdown structure showing activity, task, and subtasks to be performed during the project and 3) Durations, budgeted effort, dependencies, assigned resource(s)	1-month post contract award and every month thereafter	MS Word	12
3.	Roadmap/ Release Plan	This document describes the number and timing of each planned release of the system.	1-month post contract award and every month thereafter	MS Word	11
4.	Weekly Project Status Report	Weekly detailed status report that includes an executive summary as well as achievements for the week, activities for next week, risks, issues, and remediation.	1-week post start date and every week thereafter	MS Word	52
5.	Project Completion Report	This document is a formal documentation of the completion of all aspects of the project after deployment to the production environment.	4.5 years post contract award	MS Word	1

#	Deliverable	Description	Frequency	Format/Method of Delivery	Quantity
6.	Transition Plan	This document detailing how the CCWIS System could be turned over to another Maintenance provider or CFSA at the end of the Contract period, on termination of the Contract, or when such a change is warranted.	5 months prior to scheduled close out	MS Word	1
7.	Transition Plan Execution Template	This document is a formal checklist of all activities associated with executing the Transition Plan. The Template shall be used at the point when maintenance activities shall be transfer to another organization (CFSA or other support organization).	5 months prior to scheduled close out	MS Word	1
8.	Transition Plan Execution Report	The completed execution of the Transition Plan. The report shall be deliverable at either the conclusion of the Post-Deployment and Roll-Out Support or Maintenance and Support Option Year(s), whichever is applicable.	As needed	MS Word	1
9.	Business Process Improvement Recommendations	Policies and procedures will be impacted due to our new system design and implementation. This document will capture existing, new and revised policy and procedures items and forecastable impact if accepted.	6 months post start and every 6 months thereafter	MS Word	2
10.	Final Requirements Traceability Matrix	Final, traceable requirements for business and technical functionality to be delivered upon project completion. This requirements traceability matrix will be used to generate test cases and verify functionality during final testing and user acceptance testing.	2 months prior to contract close out	MS Excel and Jira	1
11.	Detailed As-Is and To-Be Process Models	Visual representations of the current and desired state steps to perform a specific business function or functions. Models provide different levels of detail, from a high-level model to encompass the entire process, to detailed process models that capture individual steps of a specific business function. A high level process model is included as a starting point (see Attachment J-19)	3 months post start and at any major release	Visio or Equivalent	4

#	Deliverable	Description	Frequency	Format/Method of Delivery	Quantity
12.	Requirements Documentation (DRAFT)	Initial, traceable requirements for business and technical functionality to be delivered at the conclusion of the Requirements Confirmation phase in a draft state	3 months post start date and every month thereafter	MS Word and Jira	9
13.	Requirements Traceability Matrix (DRAFT)	Traceable requirements for business and technical functionality to be delivered at the conclusion of the Requirements Confirmation phase in a draft state. This requirements traceability matrix will be used to generate test cases and verify functionality during final testing and user acceptance testing.	3 months post start date and every month thereafter	Jira or equivalent	9
14.	Information Architecture	Two main components are important for CFSA: identification and definition of content and functionality; and the underlying organization, structure and nomenclature that define the relationships between CCWIS content/functionality. An end to end view of the CCWIS application Information Architecture is expected to be delivered and maintained over the life of the project.	3 months post start date and every month thereafter for year 1	PDF	9
15.	Wireframes and Prototypes	Wireframes are to be developed to visually represent the core features of the system. From the wireframes and information architecture, prototypes will be built that further enhances the ability for end users to "see themselves" and determine if the flow requested makes sense in the physical environment and devices in which it will live.	3 months post start date and every month thereafter for year 1	Bootstrap or equivalent	9
16.	Requirements Documentation	Requirements Documentation Final, traceable requirements for business and technical functionality to be delivered upon project completion	3 months post start and at any Major Release	MS Word and Jira	9
17.	Data Conversion Plan	Strategy, preparation, and specifications for converting data for system deployment to production and for use during execution.	1 month into any Major Release	MS Word	1

#	Deliverable	Description	Frequency	Format/Method of Delivery	Quantity
18.	Conversion Specification Documents	Documents that outline the specific details on how data from each legacy systems will be converted to the CCWIS System	1 month into any Major Release	MS Word	1
19.	Conversion Test Results	The demonstrated outcomes of executing the conversion of legacy system data to the CCWIS System in the test environment.	1 month prior to any Major Release	MS Excel	1
20.	Data Conversion	Execute data conversion on all defined data elements and database within the legacy CCWIS System	1 week prior to each any major release	Production System	TBD
21.	Data Management Plan	Strategy for managing data during and after project execution. Identifies data archiving/data retention/data quality plans and results that supports the efficient, economical, & effective administration of the child welfare program	6 months post start date and every 6 months thereafter	MS Word	2
22.	Data Use/ Data Exchange/ Interconnection Security Agreement	This document is used to establish procedures for mutual cooperation and coordination regarding the development, management, operation, and security of a connection between two systems across agencies or organizations intended to minimize security risks and ensure the confidentiality, integrity, and availability of data.	6 months post start date and every 6 months thereafter	MS Word	2
23.	Roll-Out Completion Report	This document formally reports on the completion of the roll-out of the software for all programs.	1 month after each major release	MS Word	TBD
24.	System deployed to Production	Accepted CCWIS System deployed to production.	18 months post start or at each major release	Production System	TBD
25.	System deployed in production and implemented for all programs	The system is fully functioning in the production environment for all Programs. (Initial deployment to production is a code release, whereas this is the completion of the roll-out for all programs, if staggered during implementation).	4.5 years post contract award	Production System	TBD
26.	System Security Plan	Plan that describes security controls within the system that will protect the confidentiality, integrity, and availability of the system and its information.	6 months post start date and every 6 months thereafter	MS Word	2

#	Deliverable	Description	Frequency	Format/Method of Delivery	Quantity
27.	Capacity and Performance Plan	This document outlines the strategy for assessing the overall solution and component performance and using this information to develop and plan for component acquisition, configuration, and upgrade.	6 months post start date and every 6 months thereafter	MS Word	2
28.	Contingency/Recovery Plan	This document describes the approach to respond to an outage of service in order to continue normal operations of the system and the steps required to recover from such an outage.	6 months post start date and every 6 months thereafter	MS Word	2
29.	Service Level Agreements	This document formally defines the terms of service for the product and support.	6 months post start date and every 6 months thereafter	MS Word	2
30.	Privacy Impact Assessment	This document is an assessment of the system for which personally identifiable information is collected to ensure that the public is aware of the information we collect about them, any impact these systems have on personal privacy is adequately addressed, and that only enough personal information is collected to administer our programs, and no more.	6 months post start date and every 6 months thereafter	MS Word	2
31.	System Design Document	Transformation of the requirements, user-oriented functional design, and data design into more technical specifications from which the system will be built. This document defines the architecture, components, modules, interfaces, and data for a system to satisfy the agreed to requirements of the system.	3 months post start date and every month thereafter	MS Word	9
32.	Database Design Document	System context and the basic database design approach, including dependencies and interfaces with other databases and/or systems.	3 months post start date and every month thereafter	PNG with Source	9
33.	Logical Data Model	Definition of common understanding of business data elements and interrelations to form the basis for physical database design	3 months post start date and every month thereafter	PNG with Source	9

#	Deliverable	Description	Frequency	Format/Method of Delivery	Quantity
34.	Business Rules Logic;	This document describes the functional algorithms that handle the exchange of information between the user interface and the database.	3 months post start date and every month thereafter	MS Word	9
35.	Physical Data Model;	Database entities/tables/views, attributes/columns/fields, and relationship between entities influenced by database performance, indexing, storage, and de-normalization.	3 months post start date and every month thereafter	PNG with Source	2
36.	API Documentation;	Description of the inputs and outputs of single system/services, the interface between two systems/services, or the interface protocol between physical components.	6 months post start date and every 6 months thereafter	MS Word	9
37.	Implementation Plan;	Descriptions and procedures of how the solution will be installed, deployed, and transitioned into an operational system	6 months post start date and every 6 months thereafter	MS Word	2
38.	Final System Documentation;	The complete set of all system documentation delivered at the conclusion of the project.	6 months prior to contract close	Multiple Formats	1
39.	System Implementation to Testing;	This deliverable is the system that has addressed all requirements and has been deployed to the testing environment in order to begin the testing phase of the Software Development Life Cycle.	2 days post implementation start	Source Code	TBD
40.	System Implementation to Training;	This deliverable is that the system that has addressed all requirements has been deployed to the training environment in order to train users on the system	3 months pre-launch of the first production release and updated on monthly basis	Source Code	0
41.	System Implementation to Staging;	This deliverable is that a fully functioning system has been deployed to the staging environment in order to perform user acceptance testing and training.	6 months post start date and every day after	Source Code	180
42.	Training Material;	Develop training materials for end user and admin training. Coordinate/set up training sessions and facilitate training on site at CFSA.	1 month prior to any major release	MS Word and MS PowerPoint	TBD

#	Deliverable	Description	Frequency	Format/Method of Delivery	Quantity
43.	Staging Test Report;	This is a formal test report documenting the results of the testing in the staging environment, which includes all functionality, security, data conversion, and other test cases to mimic the production system after deployment.	1 month prior to each major release	MS Word	TBD
44.	User Acceptance Test report;	This document is a formal report documenting the outcomes of the user acceptance testing, including all iterations to resolve identified defects.	1 week after any each major and minor release	MS Word	TBD
45.	Test Plan;	Plan for testing activities, periods, mapping requirements to the specific tests, tracking and resolving issues, verification methods, test data needs, and version control. Maps requirements to test cases. Identifies requirements for the testing environment where test cases will be executed. The test plan will include a plan for an end-to-end integration test from testing all federal and state agencies, as appropriate, to ensure accurate Exchange functionally and data	3 months post start date and every month thereafter	MS Word	9
46.	Test Scripts;	The test scripts are a set of conditions or variables under which a tester will determine whether the application is working correctly. The mechanism for determining whether the application has passed or failed such a test is whether a test scripts satisfies the final requirement. Each final requirement will be verified by one or more test script.	3 months post start date and every month thereafter	MS Word	9
47.	Test Report;	Test results obtained at the conclusion of test activities, including test performance and outcomes. Includes defect reports and system security test results. The test reports will include identifying any issues in any process from beginning to end - from end- consumer to all systems and back	3 months post start date and every month thereafter	MS Excel and Jira	9

#	Deliverable	Description	Frequency	Format/Method of Delivery	Quantity
48.	Training Management Plan;	Document that describes the overall goals, learning objectives, and activities that are to be performed to develop, conduct, control, and evaluate instruction. The Training Plan must address both initial and ongoing training activities	1 month into any major release	MS Word	TBD
49.	Call Center Scripts;	This document describes in detail the desired inbound and outbound customer interactions with the Help Desk for use by customer service representatives.	1 month prior to each major release	MS Word	TBD
50.	Completed Training;	Completion of formal training for system users who require it.	3 months after each major release	MS Excel	TBD
51.	User Manuals;	Explanation of how to use the established product from a business function perspective.	3 months after any Major Release	MS Word	TBD
52.	Operation & Maintenance Manual;	Description of the business product operating in the production environment, and information necessary to effectively handle routine production processing, ongoing maintenance, performance monitoring, and identification of problems, issues, and/or change	3 months after any Major Release	MS Word	TBD
53.	Tip Sheets & Other Functional User Guides;	A set of documents to assist end-users in user of the CCWIS System, in addition to the deliverables specifically outlined. Documents may include job aides, system help files, and other related training and support documents. Current implementation is called "Tip Sheets".	1 month prior to any major release and 6 months thereafter	TBD	TBD
54.	Hardware;	Any hardware required to support all environments of the system, integration, or other physical component required for the system.	As needed	TBD	See D.
55.	Software;	Any licensing or software purchases required to provide a functioning system.	As needed	TBD	See D.

The Contractor shall submit to the District, as a deliverable, the report described in Attachment H.4 that is required by the 51% District Residents New Hires Requirements and First Source Employment Agreement. If the Contractor does not submit the report as part of the deliverables, final payment to the Contractor shall not be paid governed by clause number (28e), Invoice Payment, of the Government of the District of Columbia's Standard Contract Provisions for use with Supplies and Services Contracts, dated July

2010. (Attachment H.1).

**** END SECTION D ****

SECTION E: SPECIAL CONTRACT REQUIREMENTS

E.1 DISTRICT RESPONSIBILITIES

- E.1.1 The District will monitor the Contractor's efforts and account for all work to be performed by Contractor personnel.
- E.1.2 The District will determine whether Contractor personnel are performing satisfactorily at the appropriate skill levels specified in the RFP, the Contractor's Response, and the approved Work Plan.
- E.1.3 The District will provide working space and will assign work to be done on a full-time basis to support post-turnover activity.
- E.1.4 The District reserves the right to approve or disapprove all initial or replacement personnel prior to their assignment to the CCWIS System project.
- E.1.5 The District will have the right to require the Contractor to remove any personnel from assignment to this project for failure to perform their daily functions, with a 15-day notice.
- E.1.6 The District will maintain Crystal Reports for FACES.NET, until such time as the agency can transition to another BI platform.
- E.1.7 The District will provide an API to the FACES legacy database in order to provide the vendor with the opportunity to pass information onto/from the legacy system for the purposes of incremental implementation of the new CCWIS.
- E.1.8 The District will notify the Contractor if the governance structure of CFSA evolves.
- E.1.9 The District will make subject matter experts (SMEs) available to provide content knowledge from a functional, business and technical perspective.
- E.1.10 The District will, within three (3) business days after receipt of the proposed replacement candidate resume, contact the Project Manager to state if a proposed candidate has been rejected upon review of their resumes, and they shall schedule interviews with the others, or would like to schedule for an interview.
- E.1.11 The District will provide limited office space and facilities to the Contractor, as needed.
- E.1.12 The District will require that key personnel, as identified in this RFP, shall be located on-site.
- E.1.13 The District will manage the communication with ACF related to CCWIS implementation.
- E.1.14 The District will make available staff to Contractor for training to complete user

acceptance testing.

- E.1.15 The District will provide a SharePoint site for management of project documentation and calendar.

E.2 CONTRACTOR RESPONSIBILITIES

- E.2.1 The Contractor shall provide a team of skilled resources to meet the needs of the contract.
- E.2.2 The Contractor project management team shall include qualified and experienced project managers that will be able to provide real-time status of all activities to the District team.
- E.2.3 The Contractor shall have sufficient resources to meet all requirements for this project including but not limited to: project management, architecture, design, engineering, system security, testing, documentation, configuration management, production deployment and operations.
- E.2.4 The Contractor will submit products that have already been reviewed and/or tested.
- E.2.5 The Contractor shall make all submissions on-time, if this is not possible, the Contractor will provide the District a minimum of 7-days advance notice that will include consequences and reasons for the delay.
- E.2.6 The Contractor shall make timely payments to any consultants and subcontractors.
- E.2.7 The Contractor shall maintain records of all meetings related to the meeting and store them in an organized library shared with the District. Records include but are not limited to: agenda, invitees, participants, decisions and/or actions resulting from the meeting.
- E.2.8 The Contractor shall provide space, equipment and tools for their team to perform tasks for the project.

E.3 INDEMNIFICATION

- E.3.1 Standard Contract Provisions for use with District of Columbia Government Supplies and Services Contracts dated July 2010 is hereby amended by adding the following:

The duty to indemnify covers any claim against the District and its employees for its alleged failure to monitor and/or supervise the contractor where the underlying claim arises from the conduct, actions and/or omissions of the contractor, and its officers, employees, subcontractors and/or agents.

E.4 HIPAA PRIVACY COMPLIANCE

For the purpose of this agreement Child and Family Services (CFSA), a covered

component within the District of Columbia's Hybrid Entity will be referred to as a "Covered Entity" as that term is defined by the Health Insurance Portability and Accountability Act of 1996, as amended ("HIPAA") and associated regulations promulgated at 45 CFR Parts 160, 162 and 164 as amended (the "HIPAA Regulations") and The Campbell Ctr. as a recipient of Protected Health Information or electronic Protected Health Information from CFSA, is a "Business Associate" as that term is defined by HIPAA.

Terms used, but not otherwise defined, in this Agreement shall have the same meaning as those terms in the HIPAA Regulations.

1. Definitions

- a. ***Business Associate*** means a person or entity, who, on behalf of the District government or of an organized health care arrangement (as defined in this section) in which the covered entity participates, but other than in the capacity of a member of the workforce of the District or arrangement, creates, receives, maintains, or transmits protected health information for a function or activity for the District, including claims processing or administration, data analysis, processing or administration, utilization review, quality assurance, patient safety activities listed at 42 CFR 3.20, billing, benefit management, practice management, and repricing; or provides, other than in the capacity of a member of the workforce of such covered entity, legal, actuarial, accounting, consulting, data aggregation (as defined in 45 CFR § 164.501), management, administrative, accreditation, or financial services to or for the District, or to or for an organized health care arrangement in which the District participates, where the provision of the service involves the disclosure of protected health information from the District or arrangement, or from another business associate of the District or arrangement, to the person. A covered entity may be a business associate of another covered entity.

A Business Associate includes, (i) a Health Information Organization, E-prescribing Gateway, or other person that provides data transmission services with respect to protected health information to a covered entity and that requires access on a routine basis to such protected health information; (ii) a person that offers a personal health record to one or more individuals on behalf of the District; (iii) a subcontractor that creates, receives, maintains, or transmits protected health information on behalf of the business associate.

A *Business Associate* does not include: (i) a health care provider, with respect to disclosures by a covered entity to the health care provider concerning the treatment of the individual; (ii) a plan sponsor, with respect to disclosures by a group health plan (or by a health insurance issuer or HMO with respect to a group health plan) to the plan sponsor, to the extent that the requirements of 45 CFR § 164.504(f) apply and are met; (iii) a government agency, with respect to determining eligibility for, or enrollment in, a government health plan that provides public benefits and is administered by another government agency, or collecting protected health information for such purposes, to the extent such activities are authorized by law; iv) a covered entity participating in an organized health care arrangement that performs a function, activity or service included in

the definition of a Business Associate above for or on behalf of such organized health care arrangement.

- b. **Covered Entity** means a health plan, a health care clearinghouse, or a health care provider who transmits any health information in electronic form in connection with a transaction covered by 45 C.F.R. Parts 160 and 164 of HIPAA. With respect to this HIPAA Compliance Clause, *Covered Entity* shall also include the designated health care components of the District government's hybrid entity or a District agency following HIPAA best practices.
- c. **Data Aggregation** means, with respect to Protected Health Information created or received by a business associate in its capacity as the business associate of a covered entity, the combining of such Protected Health Information by the business associate with the Protected Health Information received by the business associate in its capacity as a business associate of another covered entity, to permit data analyses that relate to the health care operations of the respective covered entities.
- d. **Designated Record Set** means a group of records maintained by or for the Covered Entity that are:
 - (i) The medical records and billing records about individuals maintained by or for a covered health care provider;
 - (ii) The enrollment, payment, claims adjudication, and case or medical management record systems maintained by or for a health plan; or
 - (iii) Records used, in whole or in part, by or for the Covered Entity to make decisions about individuals.
- e. **Health Care** means care services, or services, or supplies related to the health of an individual. Health care includes, but is not limited to, the following:
 - (i) Preventive, diagnostic, therapeutic, rehabilitative, maintenance, or palliative care, and counseling, service, assessment, or procedure with respect to the physical or mental condition, or functional status, of an individual or that affects the structure or function of the body; and
 - (ii) Sale or dispensing of a drug, device, equipment, or other item in accordance with the prescription.
- f. **Health Care Components** means a component or a combination of components of a hybrid entity designated by a hybrid entity. *Health Care Components* must include non-covered functions that provide services to the covered functions for the purpose of facilitating the sharing of Protected Health Information with such functions of the hybrid entity without business associate agreements or individual authorizations.
- g. **Health Care Operations** shall have the same meaning as the term "health care operations" in 45 C.F.R. § 164.501.
- h. **Hybrid Entity** means a single legal entity that is a covered entity and whose business activities include both covered and non-covered functions, and that designates health care components in accordance with 45 C.F.R. § 164.105(a)(2)(iii)(C). A *Hybrid Entity* is required to designate as a health care

component, any other components of the entity that provide services to the covered functions for the purpose of facilitating the sharing of Protected Health Information with such functions of the hybrid entity without business associate agreements or individual authorizations. The District of Columbia is a Hybrid Covered Entity. Hybrid Entities are required to designate and include functions, services and activities within its own organization, which would meet the definition of Business Associate and irrespective of whether performed by employees of the Hybrid Entity, as part of its health care components for compliance with the Security Rule and privacy requirements under this Clause.

- i. **Record** shall mean any item, collection, or grouping of information that includes Protected Health Information and is maintained, collected, used, or disseminated by or for the Covered Entity.
- j. **Individual** shall have the same meaning as the term "individual" in 45 C.F.R. § 164.501 and shall include a person who qualifies as a personal representative in accordance with 45 C.F.R. § 164.502(g).
- k. **Individually Identifiable Health Information** is information that is health information, including demographic information collected from an individual, and;
 - (i) Is created or received by a health care provider, health plan, employer, or health care clearinghouse;
 - (ii) Relates to the past, present, or future physical or mental health or condition of an individual; or the past, present, or future payment for the provision of health care to an individual; and
 - (iii) That identifies the individual or with respect to which there is a reasonable basis to believe the information can be used to identify the individual.
- l. **National Provider Identifier (NPI) Rule.** "National Provider Identifier" shall mean the Standard Unique Health Identifier for Healthcare Providers; Final Rule at 45 C.F.R. Part 162.
- m. **Privacy and Security Official.** The person or persons designated by the District of Columbia, a *Hybrid Entity*, who is/are responsible for developing, maintaining, implementing and enforcing the District-wide Privacy Policies and Procedures, and for overseeing full compliance with the Privacy and Security Rules, and other applicable federal and state privacy law.
- n. **Privacy Officer.** "Privacy Officer" shall mean the person designated by the District's Privacy and Security Official or one of the District's covered components within its Hybrid Entity, who is responsible for overseeing compliance with the Covered Agency's Privacy Policies and Procedures, the HIPAA Privacy Regulations, HIPAA Security Regulations and other applicable federal and state privacy law(s). Also referred to as the agency Privacy Officer, the individual shall follow the guidance of the District's Privacy and Security

Official, and shall be responsive to and report to the District's Privacy and Security Official on matters pertaining to HIPAA compliance.

- o. **Privacy Rule.** "Privacy Rule" shall mean the Standards for Privacy of Individually Identifiable Health Information at 45 C.F.R. part 160 and part 164, subparts A and E.
- p. **Protected Health Information.** "Protected Health Information" (PHI) or "Electronic Protected Health Information" (ePHI) means individually identifiable health information that is created or received by the Business Associate from or on behalf of the Covered Entity, or agency following HIPAA best practices, which is:
 - i. Transmitted by, created or maintained in electronic media; or
 - ii. Transmitted or maintained in any other form or medium.
PHI does not include information in the records listed in subsection (2) of the definition in 45 C.F.R. §160.103. Required By Law. "Required By Law" shall have the same meaning as the term "required by law" in 45 C.F.R. § 164.103.
- q. **Secretary.** "Secretary" shall mean the Secretary of the United States Department of Health and Human Services or his or her designee.
- r. **Security Officer.** The person designated by the Security Official or one of the District of Columbia's designated health care components, who is responsible for overseeing compliance with the Covered Agency's Privacy Policies and Procedures, the Security Rules, and other applicable federal and state privacy law(s). The Covered Agency's security officer shall follow the guidance of the District's Security Official, as well as the Associate Security Official within the Office of the Chief Technology Officer, and shall be responsive to the same on matters pertaining to HIPAA compliance.
- s. **Security Rule.** "Security Rule" shall mean the Standards for Security of Individually Identifiable Health Information at 45 C.F.R. part 164.
- t. **Workforce.** "Workforce" shall mean employees, volunteers, trainees, and other persons whose conduct, in the performance of work for a covered entity or business associate, is under the direct control of such entity, whether or not they are paid by the covered entity or business associate.

2. Obligations and Activities of Business Associate

- a. The Business Associate agrees not to use or disclose PHI or ePHI (hereinafter "PHI" or Protected Health Information") other than as permitted or required by this HIPAA Compliance Clause or as required by law.
- b.
- c. The Business Associate agrees to use appropriate safeguards and comply with administrative, physical, and technical safeguards requirements in 45 C.F.R. §§ 164.308,

164.310, 164.312 and 164.316 as required by § 13401 of the Health Information Technology Economic and Clinical HealthACT (February 18, 2010) (“HITECH”), to maintain the security of the PHI and to prevent use or disclosure of such PHI other than as provided for by this Clause. Business Associate acknowledges that, pursuant to HITECH, it must comply with the Security Rule and privacy provisions detailed in this Clause. As such, Business Associate is under the jurisdiction of the United States Department of Health and Human Services and is directly liable for its own compliance. A summary of HIPAA Security Rule standards, found at Appendix A to Subpart C of 45 C.F.R. § 164 is as follows:

Administrative Safeguards

Security Management Process	164.308(a)(1)	Risk Analysis (R) Risk Management (R) Sanction Policy (R) Information System Activity Review (R)
Assigned Security Responsibility	164.308(a)(2)	(R)
Workforce Security	164.308(a)(3)	Authorization and/or Supervision (A) Workforce Clearance Procedure Termination Procedures (A)
Information Access Management	164.308(a)(4)	Isolating Health care Clearinghouse Function (R) Access Authorization (A) Access Establishment and Modification (A)
Security Awareness and Training	164.308(a)(5)	Security Reminders (A) Protection from Malicious Software (A) Log-in Monitoring (A) Password Management (A)
Security Incident Procedures	164.308(a)(6)	Response and Reporting (R)
Contingency Plan	164.308(a)(7)	Data Backup Plan (R) Disaster Recovery Plan (R) Emergency Mode Operation Plan (R) Testing and Revision Procedure (A) Applications and Data Criticality Analysis (A)
Evaluation	164.308(a)(8)	(R)
Business Associate Contracts and Other Arrangement	164.308(b)(1)	Written Contract or Other Arrangement (R)

Physical Safeguards

Facility Access Controls	164.310(a)(1)	Contingency Operations (A) Facility Security Plan (A) Access Control and Validation
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		Procedures (A) Maintenance Records (A)
Workstation Use	164.310(b)	(R)
Workstation Security	164.310(c)	(R)
Device and Media Controls	164.310(d)(1)	Disposal (R) Media Re-use (R) Accountability (A) Data Backup and Storage (A)

Technical Safeguards (see § 164.312)

Access Control	164.312(a)(1)	Unique User Identification (R) Emergency Access Procedure (R) Automatic Logoff (A) Encryption and Decryption (A)
Audit Controls	164.312(b)	(R)
Integrity	164.312(c)(1)	Mechanism to Authenticate Electronic Protected Health Information (A)
Person or Entity Authentication	164.312(d)	(R)
Transmission Security	164.312(e)(1)	Integrity Controls (A) Encryption (A)

- d. The Business Associate agrees to name a Privacy and/or Security Officer who is accountable for developing, maintaining, implementing, overseeing the compliance of and enforcing compliance with this Clause, the Security Rule and other applicable federal and state privacy law within the Business Associate's business. The Business associate reports violations and conditions to the District-wide Privacy and Security Official and/or the Agency Privacy Officer of the covered component within the District's Hybrid Entity.
- e. The Business Associate agrees to establish procedures for mitigating, and to mitigate to the extent practicable, any deleterious effects that are known to the Business Associate of a use or disclosure of PHI by the Business Associate in violation of the requirements of this Clause.
- f. The Business Associate agrees to report to Covered Entity, in writing, any use or disclosure of the PHI not permitted or required by this HIPAA Compliance Clause or other incident or condition arising out the Security Rule, including breaches of unsecured PHI as required at 45 CFR §164.410, to the District-wide Privacy and Security Official or agency Privacy Officer within ten (10) days from the time the Business Associate becomes aware of such unauthorized use or disclosure. However, if the Business Associate is an agent of the District (i.e., performing delegated essential governmental functions), the Business Associate must report the incident or condition

immediately. Upon the determination of an actual data breach, and in consultation with the District's Privacy and Security Official, the Business Associate will handle breach notifications to individuals, the HHS Office for Civil Rights (OCR), and potentially the media, on behalf of the District.

- g. The Business Associate agrees to ensure that any workforce member or any agent, including a subcontractor, agrees to the same restrictions and conditions that apply through this Clause with respect to PHI received from the Business Associate, PHI created by the Business Associate, or PHI received by the Business Associate on behalf of the Covered Entity.
- h. In accordance with 45 CFR 164.502(e)(1)(ii) and 164.308(b)(2), if applicable, ensure that any subcontractors that create, receive, maintain, or transmit PHI on behalf of the Business Associate agree to the same restrictions, conditions, and requirements that apply to the Business Associate with respect to such information
- i. Initially, within ten (10) days following the commencement of this Contract, or within ten (10) days of a new or updated agreement with a subcontractor, the Business Associate agrees to provide the District a list of all subcontractors who meet the definition of a Business Associate. Additionally, Business Associate agrees to ensure its subcontractors understanding of liability and monitor, where applicable, compliance with the Security Rule and applicable privacy provisions in this Clause.
- j. The Business Associate agrees to provide access within five business days, at the request of the Covered Entity or an Individual, at a mutually agreed upon location, during normal business hours, and in a format as directed by the District Privacy Official or agency Privacy Officer, or as otherwise mandated by the Privacy Rule or applicable District of Columbia laws, rules and regulations, to PHI in a Designated Record Set, to the Covered Entity or an Individual, to facilitate the District's compliance with the requirements under 45 C.F.R. §164.524.
- k. The Business Associate agrees to make any amendment(s) within five business days to the PHI in a Designated Record Set that the Covered Entity directs or agrees to pursuant to 45 CFR 164.526 in a format as directed by the District Privacy Official or agency Privacy Officer in order to facilitate the District's compliance with the requirements under 45 C.F.R. §164.526.
- l. The Business Associate agrees to use the standard practices of the Covered Entity to verify the identification and authority of an Individual who requests the PHI in a Designated Record Set of a recipient of services from or through the Covered Entity. The Business Associate agrees to comply with the applicable portions of the Identity And Procedure Verification Policy attached hereto as Exhibit A and incorporated by reference.
- m. The Business Associate agrees to record authorizations and log such disclosures of PHI and information related to such disclosures as would be required for the Covered Entity to respond to a request by an Individual for an accounting of disclosures of PHI in accordance with 45 C.F.R. § 164.528 and applicable District of Columbia laws, rules and regulations.

- n. The Business Associate agrees to provide to the Covered Entity or an Individual, within five (5) business days of a request **at a mutually agreed upon location, during normal business hours, and in a format designated** by the District's Privacy and Security Official or agency Privacy Officer and the duly authorized Business Associate workforce member, information collected in accordance with Paragraph (i) of this Section above, to permit the Covered Entity to respond to a request by an Individual for an accounting of disclosures of PHI in accordance with 45 C.F.R. § 164.528, and applicable District of Columbia laws, rules and regulations.
 - o. The Business Associate agrees to make internal practices, books, and records, including policies and procedures, and PHI, relating to the use and disclosure of PHI received from the Business Associate, or created, or received by the Business Associate on behalf of the Covered Entity, available to the Covered Entity, or to the Secretary, within five (5) business days of their request and **at a mutually agreed upon location, during normal business hours, and in a format designated** by the District Privacy and Security Official or agency Privacy Officer and the duly authorized Business Associate workforce member, or in a time and manner designated by the Secretary, for purposes of the Secretary in determining compliance of the Covered Entity with the Privacy Rule.
 - p. To the extent the Business Associate is to carry out one or more of Covered Entity's obligation(s) under Subpart E of 45 CFR Part 164, the Business Associate agrees to comply with the requirements of Subpart E that apply to the Covered Entity in the performance of such obligation(s).
 - q. As deemed necessary by the District, the Business Associate agrees to the monitoring and auditing of items listed in paragraph 2 of this Clause, as well as data systems storing or transmitting PHI, to verify compliance.
 - r. The Business Associate may aggregate PHI in its possession with the PHI of other Covered Entities that Business Associate has in its possession through its capacity as a Business Associate to other Covered Entities provided that the purpose of the aggregation is to provide the Covered Entity with data analyses to the Health Care Operations of the Covered Entity. Under no circumstances may the Business Associate disclose PHI of one Covered Entity to another Covered Entity absent the explicit written authorization and consent of the Privacy Officer or a duly authorized workforce member of the Covered Entity.
 - s. Business Associate may de-identify any and all PHI provided that the de-identification conforms to the requirements of 45 C.F.R. § 164.514(b) and any associated HHS guidance. Pursuant to 45 C.F.R. § 164.502(d)(2), de-identified information does not constitute PHI and is not subject to the terms of this HIPAA Compliance Clause.
3. Permitted Uses and Disclosures by the Business Associate
- a. Except as otherwise limited in this HIPAA Compliance Clause, the Business Associate may use or disclose PHI to perform functions, activities, or services for, or on behalf of, the Covered Entity as specified in the Contract, provided that such use or disclosure would not violate Subpart E of 45 CFR § 164 if the same activity were performed by the Covered Entity or would not violate the minimum necessary policies and procedures of

the Covered Entity.

- b. Except as otherwise limited in this HIPAA Compliance Clause, the Business Associate may use PHI for the proper management and administration of the Business Associate or to carry out the legal responsibilities of the Business Associate.
- c. Except as otherwise limited in this HIPAA Compliance Clause, the Business Associate may disclose PHI for the proper management and administration of the Business Associate, provided that the disclosures are required by law, or the Business Associate obtains reasonable assurances from the person to whom the information is disclosed that it will remain confidential and used, or further disclosed, only as required by law, or for the purpose for which it was disclosed to the person, and the person notifies the Business Associate of any instances of which it has knowledge that the confidentiality of the information has been breached.
- d. Except as otherwise limited in this HIPAA Compliance Clause, the Business Associate may use PHI to provide Data Aggregation services to the Covered Entity as permitted by 45 C.F.R. § 164.504(e)(2)(i)(B).
- e. Business Associate may use PHI to report violations of the Law to the appropriate federal and District of Columbia authorities, consistent with 45 C.F.R. § 164.502(j)(1).

4. Additional Obligations of the Business Associate

- a. Business Associate shall submit a written report to the Covered Entity that identifies the files and reports that constitute the Designated Record Set of the Covered Entity. Business Associate shall submit said written report to the Privacy Officer no later than thirty (30) days after the commencement of the HIPAA Compliance Clause. In the event that Business Associate utilizes new files or reports which constitute the Designated Record Set, Business Associate shall notify the Covered Entity of said event within thirty (30) days of the commencement of the file's or report's usage. The Designated Record Set file shall include, but not be limited to the identity of the following:
 - i. Name of the Business Associate of the Covered Entity;
 - ii. Title of the Report/File;
 - iii. Confirmation that the Report/File contains Protected Health Information (Yes or No);
 - iv. Description of the basic content of the Report/File;
 - v. Format of the Report/File (Electronic or Paper);
 - vi. Physical location of Report/File;
 - vii. Name and telephone number of current member(s) of the workforce of the Covered Entity or other District of Columbia government agency responsible for receiving and processing requests for Protected Health Information; and
 - viii. Supporting documents if the recipient/personal representative has access to the Report/File.
- b. Business Associate must provide assurances to the Covered Entity that it will continue to employ sufficient administrative, technical and physical safeguards, as described under the Security Rule, to protect and secure the Covered Entity's ePHI entrusted to it. These safeguards include:

- i. The Business Associate agrees to administrative, physical, and technical safeguards that reasonably and appropriately protect the confidentiality, integrity, and availability of the ePHI that the Business Associate creates, receives, maintains or transmits on behalf of the covered entity.
- ii. The Business Associate agrees to report to the Covered Entity any security incident of which it becomes aware, including any attempts to access ePHI, whether those attempts were successful or not.
- iii. This Business Associate Agreement may be terminated if the Covered Entity determines that the Business Associate has materially breached the agreement.
- iv. The Business Associate agrees to make all policies and procedures, and documents relating to security, available to the Secretary of HHS for the purposes of determining the covered entity's compliance with HIPAA.
- v. This agreement continues in force for as long as the Business Associate retains any access to the Covered Entity's ePHI.
- vi. With respect to the subset of PHI known as ePHI as defined by HIPAA Security Standards at 45 C.F.R. Parts 160 and 164, subparts A and C (the "Security Rule"), if in performing the Services, Business Associate, its employees, agents, subcontractors and any other individual permitted by Business Associate will have access to any computer system, network, file, data or software owned by or licensed to Provider that contains ePHI, or if Business Associate otherwise creates, maintains, or transmits ePHI on Provider's behalf, Business Associate shall take reasonable security measures necessary to protect the security of all such computer systems, networks, files, data and software. With respect to the security of ePHI, Business Associate shall: (A) Implement administrative, physical and technical safeguards that reasonably and appropriately protect the confidentiality, integrity, and availability of the ePHI that it creates, receives, maintains, or transmits on behalf of the Provider; (B) Ensure that any agent, including a subcontractor, to whom it provides such information agrees to implement reasonable and appropriate safeguards to protect it; and (C) Report to the Provider any security incident of which it becomes aware.
- vii. Business Associate agrees not to electronically transmit or permit access to PHI unless such transmission or access is authorized by this Addendum and the Agreement and further agrees that it shall only transmit or permit such access if such information is secured in a manner that is consistent with applicable law, including the Security Rule. For purposes of this Addendum, "encrypted" shall mean the reversible conversion of readable information into unreadable, protected form so that only a recipient who has the appropriate "key" can convert the information back into original readable form. If the Covered Entity stores, uses or maintains PHI in encrypted form, or in any other secured form acceptable under the security regulations, Covered Entity shall promptly, at request, provide with the key or keys to decrypt such information and will otherwise assure that such PHI is accessible by upon reasonable request.
- viii. In the event Business Associate performs functions or activities involving the use or disclosure of PHI on behalf of Covered Entity that involve the installation or maintenance of any software (as it functions alone or in combination with any

hardware or other software), Business Associate shall ensure that all such software complies with all applicable standards and specifications required by the HIPAA Regulations and shall inform of any software standards or specifications not compliant with the HIPAA Regulations.

- c. At the request of the Covered Entity, the Business Associate agrees to amend this agreement to comply with all HIPAA mandates.

5. Sanctions

Business Associate agrees that its workforce members, agents and subcontractors who violate the provisions of HIPAA or other applicable federal or state privacy law will be subject to discipline in accordance with Business Associate's Personnel Policy and applicable collective bargaining agreements. Business Associate agrees to impose sanctions consistent with Business Associate's personnel policies and procedures and applicable collective bargaining agreements with respect to persons employed by it. Members of the Business Associate Workforce who are not employed by Business Associate are subject to the policies and applicable sanctions for violation of this Compliance Clause as set forth in business associate agreements. In the event Business Associate imposes sanctions against any member of its workforce, agents and subcontractors for violation of the provisions of HIPAA or other applicable federal or state privacy laws, the Business Associate shall inform the District Privacy Official or the agency Privacy Officer of the imposition of sanctions.

6. Obligations of the Covered Entity

- a. The Covered Entity shall notify the Business Associate of any limitation(s) in its Notice of Privacy Practices of the Covered Entity in accordance with 45 C.F.R. § 164.520, to the extent that such limitation may affect the use or disclosure of PHI by the Business Associate.
- b. The Covered Entity shall notify the Business Associate of any changes in, or revocation of, permission by the Individual to the use or disclosure of PHI, to the extent that such changes may affect the use or disclosure of PHI by the Business Associate.
- c. The Covered Entity shall notify the Business Associate of any restriction to the use or disclosure of PHI that the Covered Entity has agreed to in accordance with 45 C.F.R. § 164.522, to the extent that such restriction may affect the use or disclosure of PHI by the Business Associate.

7. Permissible Requests by Covered Entity

Covered Entity shall not request the Business Associate to use or disclose PHI in any manner that would not be permissible under the Privacy Rule and Subpart E of 45 CFR § 164 if done by the Covered Entity.

8. Representations and Warranties.

The Business Associate represents and warrants to the Covered Entity:

- a. That it is duly organized, validly existing, and in good standing under the laws of the jurisdiction in which it is organized or licensed, it has the full power to enter into this

HIPAA Compliance Clause and it, its employees, agents, subcontractors, representatives and members of its workforce are licensed and in good standing with the applicable agency, board, or governing body to perform its obligations hereunder, and that the performance by it of its obligations under this HIPAA Compliance Clause has been duly authorized by all necessary corporate or other actions and will not violate any provision of any license, corporate charter or bylaws;

- b. That it, its employees, agents, subcontractors, representatives and members of its workforce are in good standing with the District of Columbia, that it, its employees, agents, subcontractors, representatives and members of its workforce will submit a letter of good standing from the District of Columbia, and that it, its employees, agents, subcontractors, representatives and members of its workforce have not been de-barred from being employed as a contractor by the federal government or District of Columbia;
- c. That neither the execution of this HIPAA Compliance Clause, nor its performance hereunder, will directly or indirectly violate or interfere with the terms of another agreement to which it is a party, or give any governmental entity the right to suspend, terminate, or modify any of its governmental authorizations or assets required for its performance hereunder. The Business Associate represents and warrants to the Covered Entity that it will not enter into any agreement the execution or performance of which would violate or interfere with this HIPAA Compliance Clause;
- d. That it is not currently the subject of a voluntary or involuntary petition in bankruptcy, does not currently contemplate filing any such voluntary petition, and is not aware of any claim for the filing of an involuntary petition;
- e. That all of its employees, agents, subcontractors, representatives and members of its workforce, whose services may be used to fulfill obligations under this HIPAA Compliance Clause are or shall be appropriately informed of the terms of this HIPAA Compliance Clause and are under legal obligation to the Business Associate, by contract or otherwise, sufficient to enable the Business Associate to fully comply with all provisions of this HIPAA Compliance Clause. Modifications or limitations that the Covered Entity has agreed to adhere to with regards to the use and disclosure of PHI of any individual that materially affects or limits the uses and disclosures that are otherwise permitted under the Privacy Rule will be communicated to the Business Associate, in writing, and in a timely fashion;
- f. That it will reasonably cooperate with the Covered Entity in the performance of the mutual obligations under this Contract;
- g. That neither the Business Associate, nor its shareholders, members, directors, officers, agents, subcontractors, employees or members of its workforce have been excluded or served a notice of exclusion or have been served with a notice of proposed exclusion, or have committed any acts which are cause for exclusion, from participation in, or had any sanctions, or civil or criminal penalties imposed under, any federal or District healthcare program, including but not limited to Medicare or Medicaid, or have been convicted, under federal or District law (including without limitation following a plea of *nolo contendere* or participation in a first offender deferred adjudication or other arrangement whereby a judgment of conviction has been withheld), of a criminal offense

related to (a) the neglect or abuse of a patient, (b) the delivery of an item or service, including the performance of management or administrative services related to the delivery of an item or service, under a federal or District healthcare program, (c) fraud, theft, embezzlement, breach of fiduciary responsibility, or other financial misconduct in connection with the delivery of a healthcare item or service or with respect to any act or omission in any program operated by or financed in whole or in part by any federal, District or local government agency, (d) the unlawful, manufacture, distribution, prescription or dispensing of a controlled substance, or (e) interference with or obstruction of any investigation into any criminal offense described in (a) through (d) above. The Business Associate further agrees to notify the Covered Entity immediately after the Business Associate becomes aware that any of the foregoing representations and warranties may be inaccurate or may become incorrect

9. Term and Termination

- a. **Term.** The requirements of this HIPAA Compliance Clause shall be effective as of the date of the contract award, and shall terminate when all of the PHI provided by the Covered Entity to the Business Associate, or created or received by the Business Associate on behalf of the Covered Entity, is confidentially destroyed or returned to the Covered Entity within five (5) business days of its request. The PHI shall be returned in a format mutually agreed upon by and between the Privacy Official and/or Privacy Officer or his or her designee and the appropriate and duly authorized workforce member of the Business Associate. If it is infeasible to return or confidentially destroy the PHI, protections shall be extended to such information, in accordance with the termination provisions in this Section and communicated to the Privacy Official or Privacy Officer or his or her designee. The requirement to return PHI to the District at the end of the contract term or if the contract is terminated applies irrespective of whether the Business Associate is also a covered entity under HIPAA. Where a business associate is also a covered entity, PHI provided by the District, or created or received by the Business Associate on behalf of the District, a duplicate of the record may be acceptable if mutually agreed.
- b. **Termination for Cause.** Upon the Covered Entity's knowledge of a material breach of this HIPAA Compliance Clause by the Business Associate, the Covered Entity shall either:
 - i. Provide an opportunity for the Business Associate to cure the breach or end the violation and terminate the Contract if the Business Associate does not cure the breach or end the violation within the time specified by the Covered Entity; or
 - ii. Immediately terminate the Contract if the Business Associate breaches a material term of this HIPAA Compliance Clause and a cure is not possible.
If neither termination nor cure is feasible, the Covered Entity shall report the violation to the Secretary.
- c. **Effect of Termination.**
 - i. Except as provided in paragraph (ii) of this section, upon termination of the Contract, for any reason, the Business Associate shall return in a **mutually agreed upon format or confidentially destroy** all PHI received from the Covered Entity, or created or received by the Business Associate on behalf of the Covered Entity within five (5) business days of termination. This provision shall

apply to PHI that is in the possession of all subcontractors, agents or workforce members of the Business Associate. The Business Associate shall retain no copies of PHI in any form.

- ii. In the event that the Business Associate determines that returning or destroying the PHI is infeasible, the Business Associate shall provide written notification to the Covered Entity of the conditions that make the return or confidential destruction infeasible. Upon determination by the agency Privacy Officer that the return or confidential destruction of the PHI is infeasible, the Business Associate shall extend the protections of this HIPAA Compliance Clause to such PHI and limit further uses and disclosures of such PHI for so long as the Business Associate maintains such PHI. Additionally, the Business Associate shall:

- (1) Retain only that PHI which is necessary for Business Associate to continue its proper management and administration or to carry out its legal responsibilities;

- (2) Return to covered entity, or, if agreed to by covered entity, destroy the remaining PHI that the business associate still maintains in any form;

- (3) Continue to use appropriate safeguards and comply with Subpart C of 45 CFR Part 164 with respect to ePHI to prevent use or disclosure of the PHI, other than as provided for in this Section, for as long as Business Associate retains the PHI;

- (4) Not use or disclose the PHI retained by Business Associate other than for the purposes for which such PHI was retained and subject to the same conditions set out at 45 C.F.R. § 164.502(j)(1) which applied prior to termination; and

- (5) Return to covered entity or, if agreed to by covered entity, destroy the PHI retained by Business Associate when it is no longer needed by Business Associate for its proper management and administration or to carry out its legal responsibilities.

The obligations outlined in Section 2. Obligations and Activities of Business Associate shall survive the termination of this Contract.

10. Miscellaneous

- a. **Regulatory References.** A reference in this HIPAA Compliance Clause to a section in the Privacy Rule means the section as in effect or as amended.
- b. **Amendment.** The Parties agree to take such action as is necessary to amend this HIPAA Compliance Clause from time to time as is necessary for the Covered Entity to comply with the requirements of the Privacy Rule and HIPAA. Except for provisions required by law as defined herein, no provision hereof shall be deemed waived unless in writing and signed by duly authorized representatives of the Parties. A waiver with respect to one event shall not be construed as continuing, or as a bar to or waiver of any other right

or remedy under this HIPAA Compliance Clause.

- c. ***Survival.*** The respective rights and obligations of the Business Associate under Section 9. Term and Termination of this HIPAA Compliance Clause and the sections of the Standard Contract Provisions for use with the District of Columbia Government Supply and Services Contracts covering Default and Termination for the Convenience of the District shall survive termination of the Contract.
- d. ***Interpretation.*** Any ambiguity in this HIPAA Compliance Clause shall be resolved to permit compliance with applicable federal and District of Columbia laws, rules and regulations, and the HIPAA Rules, and any requirements, rulings, interpretations, procedures, or other actions related thereto that are promulgated, issued or taken by or on behalf of the Secretary; provided that applicable federal and District of Columbia laws, rules and regulations shall supersede the Privacy Rule if, and to the extent that they impose additional requirements, have requirements that are more stringent than or provide greater protection of patient privacy or the security or safeguarding of PHI than those of the HIPAA Rules.

The terms of this HIPAA Compliance Clause amend and supplement the terms of the Contract, and whenever possible, all terms and conditions in this HIPAA Compliance Clause are to be harmonized. In the event of a conflict between the terms of the HIPAA Compliance Clause and the terms of the Contract, the terms of this HIPAA Compliance Clause shall control; provided, however, that this HIPAA Compliance Clause shall not supersede any other federal or District of Columbia law or regulation governing the legal relationship of the Parties, or the confidentiality of records or information, except to the extent that the Privacy Rule preempts those laws or regulations. In the event of any conflict between the provisions of the Contract (as amended by this HIPAA Compliance Clause) and the Privacy Rule, the Privacy Rule shall control.

- e. ***No Third-Party Beneficiaries.*** The Covered Entity and the Business Associate are the only parties to this HIPAA Compliance Clause and are the only parties entitled to enforce its terms. Except for the rights of individuals, as defined herein, to have access to and amend their PHI, and to an accounting of the uses and disclosures thereof, in accordance with Paragraphs (2)(f), (g) and (j), nothing in the HIPAA Compliance Clause gives, is intended to give, or shall be construed to give or provide any benefit or right, whether directly, indirectly, or otherwise, to third persons.
- f. ***Compliance with Applicable Law.*** The Business Associate shall comply with all federal and District of Columbia laws, regulations, executive orders and ordinances, as they may be amended from time to time during the term of this HIPAA Compliance Clause and the Contract; to the extent they are applicable to this HIPAA Compliance Clause and the Contract.
- g. ***Governing Law and Forum Selection.*** This Contract shall be construed broadly to implement and comply with the requirements relating to the Privacy Rule, and other applicable laws and regulations. All other aspects of this Contract shall be governed under the laws of the District of Columbia. The Covered Entity and the Business Associate agree that all disputes which cannot be amicably resolved by the Covered

Entity and the Business Associate regarding this HIPAA Compliance Clause shall be litigated before the District of Columbia Contract Appeals Board, the District of Columbia Court of Appeals, or the United States District Court for the District of Columbia having jurisdiction, as the case may be. The Covered Entity and the Business Associate expressly waive any and all rights to initiate litigation, arbitration, mediation, negotiations and/or similar proceedings outside the physical boundaries of the District of Columbia and expressly consent to the jurisdiction of the above tribunals.

- h. **Indemnification.** The Business Associate shall indemnify, hold harmless and defend the Covered Entity from and against any and all claims, losses, liabilities, costs, and other expenses incurred as a result or arising directly or indirectly out of or in connection with (a) any misrepresentation, breach of warranty or non-fulfillment of any undertaking of the Business Associate under this HIPAA Compliance Clause; and (b) any claims, demands, awards, judgments, actions and proceedings made by any person or organization, arising out of or in any way connected with the performance of the Business Associate under this HIPAA Compliance Clause.
- i. **Injunctive Relief.** Notwithstanding any rights or remedies under this HIPAA Compliance Clause or provided by law, the Covered Entity retains all rights to seek injunctive relief to prevent or stop the unauthorized use or disclosure of PHI by the Business Associate, its workforce, any of its subcontractors, agents, or any third party who has received PHI from the Business Associate.
- j. **Assistance in litigation or administrative proceedings.** The Business Associate shall make itself and any agents, affiliates, subsidiaries, subcontractors or its workforce assisting the Business Associate in the fulfillment of its obligations under this HIPAA Compliance Clause and the Contract, available to the Covered Entity, to testify as witnesses, or otherwise, in the event of litigation or administrative proceedings being commenced against the Covered Entity, its directors, officers or employees based upon claimed violation of HIPAA, the Privacy Rule or other laws relating to security and privacy, except where the Business Associate or its agents, affiliates, subsidiaries, subcontractors or its workforce are a named adverse party.
- k. **Notices.** Any notices between the Parties or notices to be given under this HIPAA Compliance Clause shall be given in writing and delivered by personal courier delivery or overnight courier delivery, or by certified mail with return receipt requested, to the Business Associate or to the Covered Entity, to the addresses given for each Party below or to the address either Party hereafter gives to the other Party. Any notice, being addressed and mailed in the foregoing manner, shall be deemed given five (5) business days after mailing. Any notice delivered by personal courier delivery or overnight courier delivery shall be deemed given upon notice upon receipt.

If to the Business Associate, to

Attention:

Fax: _____

If to the Covered Entity, to

Child and Family Services
 200 I Street, S.E, Suite 3620
 Washington, D.C. 20003

Attention: Dionne M. Bryant

Fax: 202-727-6333

- l. **Headings.** Headings are for convenience only and form no part of this HIPAA Compliance Clause and shall not affect its interpretation.
- m. **Counterparts; Facsimiles.** This HIPAA Compliance Clause may be executed in any number of counterparts, each of which shall be deemed an original. Facsimile copies hereof shall be deemed to be originals.
- n. **Successors and Assigns.** The provisions of this HIPAA Compliance Clause shall be binding upon and shall inure to the benefit of the Parties hereto and their respective successors and permitted assigns, if any.
- o. **Severance.** In the event that any provision of this HIPAA Compliance Clause is held by a court of competent jurisdiction to be invalid or unenforceable, the remainder of the provisions of this HIPAA Compliance Clause will remain in full force and effect. In addition, in the event a Party believes in good faith that any provision of this HIPAA Compliance Clause fails to comply with the then-current requirements of the Privacy Rule, such party shall notify the other Party in writing, in the manner set forth in Section 10. Miscellaneous, Paragraph k. Notices. Within ten (10) business days from receipt of notice, the Parties shall address in good faith such concern and amend the terms of this HIPAA Compliance Clause, if necessary to bring it into compliance. If, after thirty (30) days, the HIPAA Compliance Clause fails to comply with the Privacy Rule, then either Party has the right to terminate this HIPAA Compliance Clause upon written notice to the other Party.
- p. **Independent Contractor.** The Business Associate will function as an independent contractor and shall not be considered an employee of the Covered Entity for any purpose. Nothing in this HIPAA Compliance Clause shall be interpreted as authorizing the Business Associate workforce, its subcontractor(s) or its agent(s) or employee(s) to act as an agent or representative for or on behalf of the Covered Entity.
- q. **Entire Agreement.** This HIPAA Compliance Clause, as may be amended from time to time pursuant to Section 10. Miscellaneous, Paragraph b. Amendment, which incorporates by reference the Contract, and specific procedures from the District of Columbia Department of Health Privacy Policy Operations Manual, constitutes the entire agreement and understanding between the Parties and supersedes all prior oral and written agreements and understandings between them with respect to applicable District of Columbia and federal laws, rules and regulations, HIPAA and the Privacy Rule, and any rules, regulations, requirements, rulings, interpretations, procedures, or other actions related thereto that are promulgated, issued or taken by or on behalf of the Secretary.

Attachment

Exhibit A - Identity and Procedure Verification

**** END SECTION E ****

SECTION F: CONTRACT CLAUSES

F.1 INVOICE PAYMENT

- F.1.1 District will make payments to the Contractor, upon the submission of proper invoices, at the prices stipulated in this contract, for supplies delivered and accepted or services performed and accepted, less any discounts, allowances or adjustments provided for in this contract.
- F.1.2 The District will pay the Contractor on or before the 30th day after receiving a proper invoice from the Contractor.

F.2 INVOICE SUBMITTAL

- F.2.1 The Contractor shall create and submit payment requests in an electronic format through the DC Vendor Portal, <https://vendorportal.dc.gov>
- F.2.2 The Contractor shall submit proper invoices on a monthly basis or as otherwise specified in Section G.4.
- F.2.3 To constitute a proper invoice, the Contractor shall enter all required information into the Portal after selecting the applicable purchase order number which is listed on the Contractor's profile.

F.3 ASSIGNMENT OF CONTRACT PAYMENTS

In accordance with 27 DCMR 3250, the Contractor may assign

F.4 RIGHTS IN DATA

- F.4.1 Delete Article 42, Rights in Data, of the Standard Contract Provisions dated July 2010 for use with District of Columbia Government Supplies and Services Contracts and substitute the following Article 42, Rights in Data) in its place:

F.4.2 Definitions

1. "**Products**" - A deliverable under any contract that may include commodities, services and/or technology furnished by or through Contractor, including existing and custom Products, such as, but not limited to: a) recorded information, regardless of form or the media on which it may be recorded; b) document research; c) experimental, developmental, or engineering work; d) licensed software; e) components of the hardware environment; f) printed materials (including but not limited to training manuals, system and user documentation, reports, drawings); g) third party software; h) modifications, customizations, custom programs, program listings, programming tools, data, modules, components; and i) any intellectual property embodied therein, whether in tangible or intangible form, including but not limited to utilities, interfaces, templates, subroutines, algorithms, formulas, source code, and object code.

2. “Existing Products” - Tangible Products and intangible licensed Products that exist prior to the commencement of work under the contract. Existing Products must be identified on the Product prior to commencement of work or else will be presumed to be Custom Products.
3. “Custom Products” - Products, preliminary, final or otherwise, which are created or developed by Contractor, its subcontractors, partners, employees, resellers or agents for the District under the contract.
4. “District” – The District of Columbia and its agencies.

F.4.3 Title to Project Deliverables

F.4.3.1 The Contractor acknowledges that it is commissioned by the District to perform services detailed in the contract. The District shall have ownership and rights for the duration set forth in the contract to use, copy, modify, distribute, or adapt Products as follows:

1. Existing Products: Title to all Existing Licensed Product(s), whether or not embedded in, delivered or operating in conjunction with hardware or Custom Products, shall remain with Contractor or third party proprietary owner, who retains all rights, title and interest (including patent, trademark or copyrights). Effective upon payment, the District shall be granted an irrevocable, non-exclusive, worldwide, paid-up license to use, execute, reproduce, display, perform, adapt (unless Contractor advises the District as part of Contractor’s bid that adaptation will violate existing agreements or statutes and Contractor demonstrates such to the District’s satisfaction), and distribute Existing Product to District users up to the license capacity stated in the contract with all license rights necessary to fully effect the general business purpose of the project or work plan or contract. Licenses shall be granted in the name of the District. The District agrees to reproduce the copyright notice and any other legend of ownership on any copies authorized under this paragraph.
2. Custom Products: Effective upon Product creation, Contractor hereby conveys, assigns, and transfers to the District the sole and exclusive rights, title and interest in Custom Product(s), whether preliminary, final or otherwise, including all patent, trademark and copyrights. Contractor hereby agrees to take all necessary and appropriate steps to ensure that the Custom Products are protected against unauthorized copying, reproduction and marketing by or through Contractor.

F.4.3.2 Transfers or Assignments of Existing or Custom Products by the District

The District may transfer or assign Existing or Custom Products and the licenses thereunder to another District agency. Nothing herein shall preclude the Contractor from otherwise using the related or underlying general knowledge, skills, ideas, concepts, techniques and experience developed under a project or work plan in the course of Contractor’s business.

F.4.3.3 Subcontractor Rights

Whenever any data, including computer software, are to be obtained from a subcontractor under the contract, the Contractor shall use this clause, **Rights in Data**, in the subcontract, without alteration, and no other clause shall be used to enlarge or diminish the District's or the Contractor's rights in that subcontractor data or computer software which is required for the District.

F.5 Source Code Escrow

F.5.1 For all computer software furnished to the District with the rights specified in section F.1, the Contractor shall furnish to the District, a copy of the source code with such rights of the scope as specified in section F.1 of this clause. For all computer software furnished to the District with the restricted rights specified in section F.1 of this clause, the District, if the Contractor either directly or through a successor or affiliate shall cease to provide the maintenance or warranty services provided the District under the contract or any paid-up maintenance agreement, or if the Contractor should be declared insolvent by a court of competent jurisdiction, shall have the right to obtain, for its own and sole use only, a single copy of the current version of the source code supplied under the contract, and a single copy of the documentation associated therewith, upon payment to the person in control of the source code the reasonable cost of making each copy.

F.5.2 If the Contractor or Product manufacturer/developer of software furnished to the District with the rights specified in section F.1 of this clause offers the source code or source code escrow to any other commercial customers, the Contractor shall either: (1) provide the District with the source code for the Product; (2) place the source code in a third party escrow arrangement with a designated escrow agent who shall be named and identified to the District, and who shall be directed to release the deposited source code in accordance with a standard escrow arrangement acceptable to the District; or (3) will certify to the District that the Product manufacturer/ developer has named the District as a named beneficiary of an established escrow arrangement with its designated escrow agent who shall be named and identified to the District, and who shall be directed to release the deposited source code in accordance with the terms of escrow.

F.5.3 The Contractor shall update the source code, as well as any corrections or enhancements to the source code, for each new release of the Product in the same manner as provided above, and certify such updating of escrow to the District in writing.

F.6 Indemnification and Limitation of Liability

The Contractor shall indemnify and save and hold harmless the District, its officers, agents and employees acting within the scope of their official duties against any liability, including costs and expenses, (i) for violation of proprietary rights, copyrights, or rights of privacy, arising out of the publication, translation, reproduction, delivery, performance, use or disposition of any data furnished

under this contract, or (ii) based upon any data furnished under this contract, or based upon libelous or other unlawful matter contained in such data.

**** END SECTION F ****

SECTION G: INSURANCE

- A. **GENERAL REQUIREMENTS.** The Contractor at its sole expense shall procure and maintain, during the entire period of performance under this contract, the types of insurance specified below. The Contractor shall have its insurance broker or insurance company submit a Certificate of Insurance to the CO giving evidence of the required coverage prior to commencing performance under this contract. In no event shall any work be performed until the required Certificates of Insurance signed by an authorized representative of the insurer(s) have been provided to, and accepted by, the CO. All insurance shall be written with financially responsible companies authorized to do business in the District of Columbia or in the jurisdiction where the work is to be performed and have an A.M. Best Company rating of A- / VII or higher. The Contractor shall require all of its subcontractors to carry the same insurance required herein.

All required policies shall contain a waiver of subrogation provision in favor of the Government of the District of Columbia.

The Government of the District of Columbia shall be included in all policies required hereunder to be maintained by the Contractor and its subcontractors (except for workers' compensation and professional liability insurance) as an additional insureds for claims against The Government of the District of Columbia relating to this contract, with the understanding that any affirmative obligation imposed upon the insured Contractor or its subcontractors (including without limitation the liability to pay premiums) shall be the sole obligation of the Contractor or its subcontractors, and not the additional insured. The additional insured status under the Contractor's and its subcontractors' Commercial General Liability insurance policies shall be effected using the ISO Additional Insured Endorsement form CG 20 10 11 85 (or CG 20 10 07 04 **and** CG 20 37 07 04) or such other endorsement or combination of endorsements providing coverage at least as broad and approved by the CO in writing. All of the Contractor's and its subcontractors' liability policies (except for workers' compensation and professional liability insurance) shall be endorsed using ISO form CG 20 01 04 13 or its equivalent so as to indicate that such policies provide primary coverage (without any right of contribution by any other insurance, reinsurance or self-insurance, including any deductible or retention, maintained by an Additional Insured) for all claims against the additional insured arising out of the performance of this Statement of Work by the Contractor or its subcontractors, or anyone for whom the Contractor or its subcontractors may be liable. These policies shall include a separation of insureds clause applicable to the additional insured.

If the Contractor and/or its subcontractors maintain broader coverage and/or higher limits than the minimums shown below, the District requires and shall be entitled to the broader coverage and/or the higher limits maintained by the Grantee and subcontractors.

1. Commercial General Liability Insurance ("CGL") - The Contractor shall provide evidence satisfactory to the CO with respect to the services performed that it carries a CGL policy, written on an occurrence (not claims-made) basis, on Insurance Services Office, Inc. ("ISO") form CG 00 01 04 13 (or another occurrence-based form with coverage at least as broad and approved by the CO in writing), covering liability for all ongoing and completed operations of the Contractor, including ongoing and completed operations under all subcontracts, and covering claims for bodily injury, including without limitation sickness, disease or death of any persons, injury to or destruction of property, including loss of use

resulting therefrom, personal and advertising injury, and including coverage for liability arising out of an Insured Contract (including the tort liability of another assumed in a contract) and acts of terrorism (whether caused by a foreign or domestic source). Such coverage shall have limits of liability of not less than \$1,000,000 each occurrence, a \$2,000,000 general aggregate (including a per location or per project aggregate limit endorsement, if applicable) limit, a \$1,000,000 personal and advertising injury limit, and a \$2,000,000 products-completed operations aggregate limit.

The vendor should be named as an additional insured on the applicable manufacturer's/distributor's Commercial General Liability policy using Insurance Services Office, Inc. ("ISO") form CG 20 15 04 13 (or another occurrence-based form with coverage at least as broad).

2. Automobile Liability Insurance - The Contractor shall provide evidence satisfactory to the CO of commercial (business) automobile liability insurance written on ISO form CA 00 01 10 13 (or another form with coverage at least as broad and approved by the CO in writing) including coverage for all owned, hired, borrowed and non-owned vehicles and equipment used by the Contractor, with minimum per accident limits equal to the greater of (i) the limits set forth in the Contractor's commercial automobile liability policy or (ii) \$1,000,000 per occurrence combined single limit for bodily injury and property damage.
3. Workers' Compensation Insurance - The Contractor shall provide evidence satisfactory to the CO of Workers' Compensation insurance in accordance with the statutory mandates of the District of Columbia or the jurisdiction in which the contract is performed.

Employer's Liability Insurance - The Contractor shall provide evidence satisfactory to the CO of employer's liability insurance as follows: \$500,000 per accident for injury; \$500,000 per employee for disease; and \$500,000 for policy disease limit.

All insurance required by this paragraph 3 shall include a waiver of subrogation endorsement for the benefit of Government of the District of Columbia.

4. Cyber Liability Insurance - The Contractor shall provide evidence satisfactory to the Contracting Officer of Cyber Liability Insurance, with limits not less than \$10,000,000 per occurrence or claim, \$10,000,000 aggregate. Coverage shall be sufficiently broad to respond to the duties and obligations as is undertaken by Contractor in this agreement and shall include, but not limited to, claims involving infringement of intellectual property, including but not limited to infringement of copyright, trademark, trade dress, invasion of privacy violations, information theft, damage to or destruction of electronic information, release of private information, alteration of electronic information, extortion and network security. The policy shall provide coverage for breach response costs as well as regulatory fines and penalties as well as credit monitoring expenses with limits sufficient to respond to these obligations. This insurance requirement will be considered met if the general liability insurance includes an affirmative cyber endorsement for the required amounts and coverages.
5. Employment Practices Liability - The Contractor shall provide evidence satisfactory to the Contracting Officer with respect to the operations performed to cover the defense of claims arising from employment related wrongful acts including but not limited to: Discrimination,

Sexual Harassment, Wrongful Termination, or Workplace Torts, whether between employees of contractor or against third parties. Contractor will indemnify and defend the District of Columbia should it be named co-defendant or be subject to or party of any claim. Coverage shall also extend to Temporary Help Firms and Independent Contractors hired by Contractor. The policy shall provide limits of not less than \$1,000,000 for each wrongful act and \$2,000,000 annual aggregate for each wrongful act.

6. Professional Liability Insurance (Errors & Omissions) - The Contractor shall provide Professional Liability Insurance (Errors and Omissions) to cover liability resulting from any error or omission in the performance of professional services under this Contract. The policy shall provide limits of \$1,000,000 per claim or per occurrence for each wrongful act and \$2,000,000 annual aggregate. The Contractor warrants that any applicable retroactive date precedes the date the Contractor first performed any professional services for the Government of the District of Columbia and that continuous coverage will be maintained or an extended reporting period will be exercised for a period of at least ten years after the completion of the professional services.
7. Commercial Umbrella or Excess Liability - The Contractor shall provide evidence satisfactory to the CO of commercial umbrella or excess liability insurance with minimum limits equal to the greater of (i) the limits set forth in the Contractor's umbrella or excess liability policy or (ii) \$10,000,000 per occurrence and \$10,000,000 in the annual aggregate, following the form and in excess of all liability policies. **All** liability coverages must be scheduled under the umbrella and/or excess policy. The insurance required under this paragraph shall be written in a form that annually reinstates all required limits. Coverage shall be primary to any insurance, self-insurance or reinsurance maintained by the District and the "other insurance" provision must be amended in accordance with this requirement and principles of vertical exhaustion.

B. PRIMARY AND NONCONTRIBUTORY INSURANCE

The insurance required herein shall be primary to and will not seek contribution from any other insurance, reinsurance or self-insurance including any deductible or retention, maintained by the Government of the District of Columbia.

- C. DURATION. The Contractor shall carry all required insurance until all contract work is accepted by the District of Columbia, and shall carry listed coverages for ten years for construction projects following final acceptance of the work performed under this contract and two years for non-construction related contracts.
- D. LIABILITY. These are the required minimum insurance requirements established by the District of Columbia. **HOWEVER, THE REQUIRED MINIMUM INSURANCE REQUIREMENTS PROVIDED ABOVE WILL NOT IN ANY WAY LIMIT THE CONTRACTOR'S LIABILITY UNDER THIS CONTRACT.**
- E. CONTRACTOR'S PROPERTY. Contractor and subcontractors are solely responsible for any loss or damage to their personal property, including but not limited to tools and equipment, scaffolding and temporary structures, rented machinery, or owned and leased equipment. A waiver of subrogation shall apply in favor of the District of Columbia.

- F. **MEASURE OF PAYMENT.** The District shall not make any separate measure or payment for the cost of insurance and bonds. The Contractor shall include all of the costs of insurance and bonds in the contract price.
- G. **NOTIFICATION.** The Contractor shall ensure that all policies provide that the CO shall be given thirty (30) days prior written notice in the event of coverage and / or limit changes or if the policy is canceled prior to the expiration date shown on the certificate. The Contractor shall provide the CO with ten (10) days prior written notice in the event of non-payment of premium. The Contractor will also provide the CO with an updated Certificate of Insurance should its insurance coverages renew during the contract.
- H. **CERTIFICATES OF INSURANCE.** The Contractor shall submit certificates of insurance giving evidence of the required coverage as specified in this section prior to commencing work. Certificates of insurance must reference the corresponding contract number. Evidence of insurance shall be submitted to:

The Government of the District of Columbia

And mailed to the attention of:

(Name of Contracting Officer/Agency)

(Address)

(Phone Number)

(E-mail Address)

The CO may request and the Contractor shall promptly deliver updated certificates of insurance, endorsements indicating the required coverages, and/or certified copies of the insurance policies. If the insurance initially obtained by the Contractor expires prior to completion of the contract, renewal certificates of insurance and additional insured and other endorsements shall be furnished to the CO prior to the date of expiration of all such initial insurance. For all coverage required to be maintained after completion, an additional certificate of insurance evidencing such coverage shall be submitted to the CO on an annual basis as the coverage is renewed (or replaced).

- I. **DISCLOSURE OF INFORMATION.** The Contractor agrees that the District may disclose the name and contact information of its insurers to any third party which presents a claim against the District for any damages or claims resulting from or arising out of work performed by the Contractor, its agents, employees, servants or subcontractors in the performance of this contract.
- J. **CARRIER RATINGS.** All Contractor's and its subcontractors' insurance required in connection with this contract shall be written by insurance companies with an A.M. Best Insurance Guide rating of at least A- VII (or the equivalent by any other rating agency) and licensed in the in the District.

**** END SECTION G ****

SECTION H: ATTACHMENTS

The following attachments are incorporated into the contract by reference

Attachment Number	Document
J.1	Government of the District of Columbia Standard Contract Provisions for Use with the Supplies and Services Contracts (July 2010) available at www.ocp.dc.gov click on "Solicitation Documents"
J 2	U.S. Department of Labor Wage Determination No.: 2015-4281 Revision No.: 12, dated December 26, 2018 or most current revision of the clause
J 3	Office of Local Business Development Equal Employment Opportunity Information Report and Mayor's Order 85-85 available at www.ocp.dc.gov click on "Solicitation Documents"
J 4	Department of Employment Services First Source Employment Agreement available at www.ocp.dc.gov click on "Solicitation Documents"
J 5	Way to Work Amendment Act of 2006 - Living Wage Notice available at www.ocp.dc.gov click on "Solicitation Documents"
J 6	Way to Work Amendment Act of 2006 - Living Wage Fact Sheet available at www.ocp.dc.gov click on "Solicitation Documents"
J 7	Tax Certification Affidavit available at www.ocp.dc.gov click on "Solicitation Documents"
J 8	Subcontracting Plan available at www.ocp.dc.gov click on "Solicitation Documents under Additional Attachments that May be Required"
J 9	Cost/Price Disclosure Certification available at www.ocp.dc.gov click on "Solicitation Documents"
J 10	CFSA Architecture Summary
J 11	Functional Requirements
J 12	Technical Requirements
J 13	RESERVED
J 14	RESERVED

Attachment Number	Document
J 15	RESERVED
J 16	RESERVED
J 17	RESERVED
J 18	RESERVED
J 19	CFSA As-Is Business Process Flows 1.0
J 20	RESERVED
J 21	RESERVED
J 22	RESERVED
J 23	RESERVED
J 24	RESERVED

**** END SECTION H ****

SECTION I: INSTRUCTIONS

I.1 RESPONSE ORGANIZATION AND CONTENT

I.1.1 RESPONSE ORGANIZATION

I.1.1.1 This response will be conducted electronically using the District's Ariba E-Sourcing system. To be evaluated, an offeror must pre-register for access to the Sourcing system and submit the questions and comments via the Ariba E-Sourcing system before the closing date and time. Paper, telephonic, telegraphic, and facsimile responses may not be accepted.

I.1.1.2 The response and any attachments shall be submitted as .pdf files. The District will not be responsible for corruption of any file submitted. If the submitted file cannot be viewed and printed as submitted, it will not be considered.

I.1.1.3 The offeror can submit one (1) attachment in its electronic submittal. Please note that each attachment is limited to a maximum size of 25 MB. All pages of Response volumes shall be consecutively numbered from beginning (Page 1) to end (Page "x").

I.1.1.4 The offeror shall label each page, i.e., "RFI DCRL-2019-I-0054 – Offeror Name".

I.1.2 RESPONSE CONTENT

I.1.2.1 The comments and questions in response to this RFI shall be organized using the sections enumerated below:

Table of Contents

SECTION A: Specifications/Work Statement
SECTION B: Project Expectations of the Vendor
SECTION C: Deliverables
SECTION D: Special Contract Requirements
SECTION E: Contract Clauses
SECTION F: Insurance
SECTION G: Attachments

I.2 RESPONSE SUBMISSION DATE AND TIME, AND LATE SUBMISSIONS, LATE MODIFICATIONS, WITHDRAWAL OR MODIFICATION OF RESPONSES AND LATE RESPONSES

I.2.1 Comment and Question Submission

- I.2.1.1 Responses must be fully uploaded into the District's E-Sourcing system no later than *May 2, 2019 at 2:00 PM Eastern Standard Time*. The system will not allow late Responses, modifications to Responses, or requests for withdrawals after the exact closing date and time.
- I.2.1.2 Paper, telephonic, telegraphic, and facsimile Responses will not be accepted or considered.
- I.2.1.3 It is solely the offeror's responsibility to ensure that it begins the upload process in sufficient time to get the the response uploaded into the District's E-Sourcing system before the closing time. You may use Microsoft Internet Explorer versions 6, 7, 8, 9, 10, or 11, Mozilla Firefox (esr 17 or esr 24), Safari (4 or 5), Mobile Safari (6 or 7), or Google Chrome 26 to upload the attachments.
- I.2.1.4 Withdrawal or Modification of Responses

An offeror may modify or withdraw its Response via the District's E-Sourcing system at any time before the closing date and time for receipt of Responses.

**** END SECTION I ****