

CONTRACT #9
RFS # 317.03-163
FA # 08-24249

Finance & Administration
Office for Information
Resources (OIR)

VENDOR:
Dynamics Research
Corporation (DRC)



RECEIVED
MAY 18 2010
FISCAL REVIEW

STATE OF TENNESSEE
DEPARTMENT OF FINANCE AND ADMINISTRATION
OFFICE FOR INFORMATION RESOURCES
312 ROSA L. PARKS AVENUE
SUITE 1700, TENNESSEE TOWER
NASHVILLE, TENNESSEE 37243-1102
(615) 741-3735
FAX (615) 741-6164

DAVE GOETZ
COMMISSIONER

MARK BENDEL
CHIEF INFORMATION OFFICER

May 18, 2010

Mr. James W. White
Executive Director
Fiscal Review Committee
8th Floor, Rachel Jackson Bldg.
Nashville, TN

Dear Sir:

Please find attached, for the Fiscal Review Committee's consideration, documentation of an Amendment request pertaining to the State's contract with Dynamics Research Corporation (DRC) for the provision of a Statewide Automated Child Welfare Information System (SACWIS) and associated support services for the Department of Children's Services (DCS). The Department of Finance and Administration respectfully requests to be placed on the agenda to present this request at the next Fiscal Review Committee meeting.

To facilitate the Committee's review, we present the following summary of the Amendment:

1. This Amendment:
 - a) Extends the Contract Term end date at Section B.1 for one (1) additional year provided for under Section B.2 of the Contract; and
 - b) Adds additional funding in the amount of \$1,207,274 to Consulting Services at C.3.c.ii and the Contract Maximum Liability at C.1 in order to cover the additional consulting services required to execute Change Request #420 (Knowledge Transfer and Application Support) provided for under Section A.10 (Consulting Services) of the Contract.

The Administration for Children and Families (ACF) will provide 50% federal matching funds for this Contract Amendment thereby reducing the State's funding required to \$603,637.

2. This Amendment is needed for two reasons:
 - a) The Contract Term is not sufficient to cover the Warranty Period and the Post-Implementation Knowledge Transfer and Application Support requested under Change Request (CR) #420.

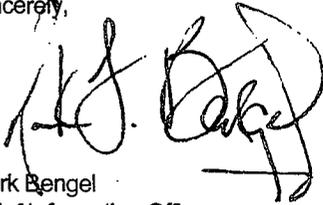
The State has exercised a number of previous change requests provided for under Section A.10 and C.3.c of the Contract, which has increased the project schedule due to the additional CR work beyond the original Implementation date. As a result, the one (1) year Warranty Period that starts after the Implementation Phase is completed is not covered by the original three (3) year Contract term.
 - b) The State has a critical need for the work to be performed in CR #420. Executing CR #420 will:
 - (1) Provide additional support for the DCS Financial Team in preparation for and during pilot implementation. The financial functionality of the TFACTS is more complex and critical to the DCS

business process than most other functionality in the system. Having the DRC TFACTS subject matter expertise assisting the State Financial Team will ensure that any procedural or process issues encountered during pilot are addressed expeditiously. Through the execution of this amendment, the DCS Financial Team will have the added benefit of additional Knowledge Transfer from DRC subject matter experts.

- (2) Expand post implementation support for Knowledge Transfer and Application Support from 4 months in CR #392 to 12 months in CR #420. CR #420 will replace CR #392. ACF has expressed concern that those 4 months in CR #392 was not sufficient for State Staff to become proficient in the operation and maintenance of the new system. TFACTS replaces 13 legacy DCS systems and is based on new technologies and software that DCS staff has not had significant experience with in the past. Increasing the Knowledge Transfer and Application support by DRC from 4 to 12 months is deemed necessary to ensure that DCS staff has the operating experience and technical expertise to be self-sufficient when the 12-month warranty period of the contract is finished.

Thank you for your consideration of this request. We look forward to appearing before the Committee at its next scheduled meeting.

Sincerely,

A handwritten signature in black ink, appearing to read 'M. Bengel', written over a faint, illegible typed name.

Mark Bengel
Chief Information Officer

Supplemental Documentation Required for
Fiscal Review Committee

*Contact Name:	Lee Gregory	*Contact Phone:	253-2354		
*Original Contract Number:	FA 082424900	*Original RFS Number:	317.03-163-08		
Edison Contract Number: <i>(if applicable)</i>		Edison RFS Number: <i>(if applicable)</i>			
*Original Contract Begin Date:	April 14, 2008	*Current End Date:	April 13, 2011		
Current Request Amendment Number: <i>(if applicable)</i>	Amendment 1				
Proposed Amendment Effective Date: <i>(if applicable)</i>	July 20, 2010				
*Department Submitting:	Finance and Administration				
*Division:	Office for Information Resources				
*Date Submitted:	May 18, 2010				
*Submitted Within Sixty (60) days:	Yes				
<i>If not, explain:</i>					
*Contract Vendor Name:	Dynamics Research Corporation				
*Current Maximum Liability:	\$25,575,677.00				
*Current Contract Allocation by Fiscal Year: <i>(as Shown on Most Current Fully Executed Contract Summary Sheet)</i>					
FY: 2008	FY: 2009	FY: 2010	FY: 2011	FY: 2012	FY: 2013
\$1,034,146	\$2,435,249	\$11,931,609	\$10,174,671	\$0	\$0
*Current Total Expenditures by Fiscal Year of Contract: <i>(attach backup documentation from STARS or FDAS report)</i>					
FY: 2008	FY: 2009	FY: 2010	FY: 2011	FY: 2012	FY: 2013
\$0	\$0	\$9,535,249	\$0	\$0	\$0
IF Contract Allocation has been greater than Contract Expenditures, please give the reasons and explain where surplus funds were spent:		The project schedule has fluctuated as approved change orders (Contract section A.10 – Consulting Services) have been executed and added into the baseline schedule delaying completion of other contract deliverables. Funds for FY2008 / 09 were rolled forward into FY2010.			
IF surplus funds have been carried forward, please give the reasons and provide the authority for the carry forward provision:		Funds carried forward to allow payment of delayed deliverables. See preceding section and attached authority letter.			
IF Contract Expenditures exceeded Contract Allocation, please give the reasons and explain how funding was acquired to pay the overage:					

**Supplemental Documentation Required for
Fiscal Review Committee**

*Contract Funding Source/Amount:	State:	\$13,240,528 (See Below)	Federal:	\$12,335,149 (\$12,289,113 - Title IV-E) and (\$46,036 Title XIX)
Interdepartmental:	DCS pays all State costs except TennCare pays \$46,036 from Federal Title XIX funds		<i>Other:</i>	
If "other" please define:				
Dates of All Previous Amendments or Revisions: <i>(if applicable)</i>		Brief Description of Actions in Previous Amendments or Revisions: <i>(if applicable)</i>		
Method of Original Award: <i>(if applicable)</i>		Request for Proposals		
*What were the projected costs of the service for the entire term of the contract prior to contract award?		\$26,000,000.00		

Supplemental Documentation Required for
Fiscal Review Committee

For all new non-competitive contracts and any contract amendment that changes Sections A or C.3. of the original or previously amended contract document, provide estimates based on information provided the Department by the vendor for determination of contract maximum liability. Add rows as necessary to provide all information requested.

If it is determined that the question is not applicable to your contract document attach detailed explanation as to why that determination was made.

Planned expenditures by fiscal year by deliverable. Add rows as necessary to indicate all estimated contract expenditures.

Deliverable description:	FY: 2008	FY: 2009	FY: 2010	FY: 2011	FY: 2012
Requirement Definition			\$400,314.96		
Design			\$800,629.92		
Construction			\$1,200,944.88		
Acceptance Test			\$1,601,259.84		
Change Orders (Multiple Change Requests)			\$1,030,334.88		
Implementation System Integration / Data Conversion / Statewide Training			7,100,000.00		
Implementation Pilot Rollout (60-day)				\$5,345,887.50	
Implementation Statewide Rollout				\$5,345,887.50	
Change Orders (Multiple CRs)				\$2,038,384.11	
CR #420 Tasks				\$1,332,253.50	
½ Retainage Implementation				\$222,397.20	
CR#420 Completion					\$142,259.50
½ Retainage Warranty					\$222,397.20

Proposed savings to be realized per fiscal year by entering into this contract. If amendment to an existing contract, please indicate the proposed savings to be realized by the amendment. Add rows as necessary to define all potential savings per deliverable.

Deliverable description:	FY: 2008	FY: 2009	FY: 2010	FY: 2011	FY: 2012
CR #420 – we estimate a minimum of 25% savings by using existing architects				\$333,063	

Supplemental Documentation Required for
Fiscal Review Committee

and developers who developed TFACTS to provide the knowledge transfer and application maintenance and support for mentoring state staff over outside vendors who are not familiar with the architecture, code or operation of the system.					
CR #420 (same as above)					\$35,565
Comparison of cost per fiscal year of obtaining this service through the proposed contract or amendment vs. other options. List other options available (including other vendors), cost of other options, and source of information for comparison of other options (e.g. catalog, Web site). Add rows as necessary to indicate price differentials between contract deliverables.					
Proposed Vendor Cost: (name of vendor)	FY:	FY:	FY:	FY:	FY:
This amendment is for Knowledge Transfer and Application Maintenance Support which requires an in-depth knowledge of the system DRC developed for the State. There is no vendor that the State is aware of other than the DRC architects and developers with the in-depth knowledge of this system that could step in and provide the State staff the knowledge of the system architecture, and the operation and maintenance support required to enable the State to operate and maintain the system after the warranty period is complete.					
Other Vendor Cost: (name of vendor)	FY:	FY:	FY:	FY:	FY:
Other Vendor Cost: (name of vendor)	FY:	FY:	FY:	FY:	FY:

Document - Vendor Payments by Document Selection

Report Filter:

{Document Number} (ID) = "FA0824249" And ({Document Suffix} (DESC) = "00")

Report Limits:

{Document Payment Amount} <> 0

Page by:

Department: 317:DEPARTMENT OF FINANCE AND ADMINISTRATION

Division: 30:MANAGEMENT INFORMATION SYSTEMS FUND

Funding Year: 2010

Fund Number	Fund DESC	General Ledger Account Number	General Ledger Account Description	Document Number	Document Suffix	Document Description	Document Begin Date	Document End Date	Effective Month	Major Object Code	Major Object Title
15	SYSTEM DEVELOPMENT FUND	0450	CONTRACT ENCUMBRANCES	FA0824249	00	SACWIS AND ASSOCIATED SERVICES	4/14/2008	4/13/2011	NOVEMBER 2009	08	PROFESSIONAL AND ADMINISTRATIVE SERVICES
									JANUARY 2010	08	PROFESSIONAL AND ADMINISTRATIVE SERVICES
									MARCH 2010	08	PROFESSIONAL AND ADMINISTRATIVE SERVICES

Minor Object Code	Minor Object Title	DF Vendor Number	DF Vendor Suffix	DF Vendor Name	DF Invoice Number	DF Payment Due Date	DF Warrant Number	DF Warrant Process Date	DF Redeemed Date	Document Payment Amount
3	CONSULTING SERVICES	V042211809	00	DYNAMICS RESEARCH CORPORATION	006	11/20/2009	S155956	11/18/2009	11/20/2009	\$2,001,574.73
3	CONSULTING SERVICES	V042211809	00	DYNAMICS RESEARCH CORPORATION	007	1/13/2010	S156320	1/13/2010	1/15/2010	\$433,674.61
3	CONSULTING SERVICES	V042211809	00	DYNAMICS RESEARCH CORPORATION	009	3/25/2010	S156831	3/16/2010	3/25/2010	\$7,100,000.00



STATE OF TENNESSEE

DEPARTMENT OF CHILDREN'S SERVICES

Phil Bredesen
Governor

Viola P. Miller
Commissioner

May 18, 2009

M. D. Goetz, Jr.
Commissioner
Department of Finance and Administration
State Capitol
Nashville, TN 37243-0285

Dear Commissioner Goetz:

The Department of Children's Services requests to allot the FY 08 carry-forward for the SACWIS project in the amount of \$2,000,000 in 359.10 Administration (object code 25) for our FY 09 Budget. This transfer is needed so we may transfer the funds to the System Development Fund for the Department's SACWIS project during this fiscal year.

Thank you for your consideration of my request.

Sincerely,


Viola P. Miller
Commissioner
VPM/DCS

SACWIS
359 B



STATE OF TENNESSEE
DEPARTMENT OF FINANCE AND ADMINISTRATION
STATE CAPITOL
NASHVILLE, TENNESSEE 37243-0285

DAVE GOETZ
COMMISSIONER

MEMORANDUM

TO: Mike Corricelli
Director of Accounts

FROM: M. D. Goetz, Jr., Commissioner *MDG*

DATE: June 12, 2009

SUBJECT: 2008-2009 Transfer from the General Fund (11) to Systems Development Fund (15)

You are authorized to transfer from fund 11-359.10, Department of Children's Services, Administration, \$2,000,000 to fund 15-317.00, Department of Finance and Administration, Systems Development Fund. This transfer provides the funding necessary for the development of the SACWIS Project.

The Division of Budget will release allotment revisions, effective May 1, 2009, for this purpose.

The authority for the transfer is Public Acts of 2008, Chapter 1203, Section 45, Item 2.

MDG:jmw

cc: Division of Budget
Chuck Holland, Finance and Administration ✓
Maureen Abbey, Finance and Administration
Doug Swisher, Children's Services

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F & A
BUSINESS & FINANCE

Finance and Administration is authorized to allot, from the amount carried forward under Tennessee Code Annotated, Title 9, Chapter 4, Part 9, to provide funding for state office buildings and support facilities, and is further authorized to make appropriation transfers between the revolving fund and state departments and agencies.

SECTION 45. The provisions of this section shall take effect upon becoming a law, the public welfare requiring it.

Item 1. There is hereby created a Capital Projects Account in the Office of Information Resources for the administration of the Information Systems Capital Projects Budget.

This account is established to provide for:

(a) Implementation of the statewide Management Information Systems Plan;

(b) Ability to separate the operational budget of the Office of Information Resources and the system development projects contained in the MIS Plan; and

(c) Financial control of the system development projects, including equipment replacement for the various agencies of state government.

Item 2. There is hereby authorized the transfer of those sums appropriated for Information Systems Capital Projects in Sections 1 and 4 and in Section 36, Item 1, of this act. Federal aid funds and other departmental revenues shall be adjusted accordingly to reflect the transfer of state appropriations.

Item 3. The Commissioner of Finance and Administration is authorized to transfer to the Capital Projects Account any appropriations made in Sections 1 and 4 of this act resulting from operating savings derived from implementation of information systems funded through this section.

Item 4. From the appropriations made for systems development and other data processing activities in this act and other acts of the legislature, the Commissioner of Finance and Administration is authorized to establish and charge the costs of information systems analyst positions and other data processing positions to said appropriations. The Commissioner of Finance and Administration is further authorized to transfer between departments and agencies existing information systems analysts positions, other data processing positions and the funding provided in this act for transferred positions. This appropriation is subject to approval by the Information Systems Council.

Item 5. Expenditure of any funds, subject to the jurisdiction of the Information Systems Council, appropriated for systems development, the purchase of computer software or the purchase of computer hardware shall be subject to the policies of such Council.

NON-COMPETITIVE AMENDMENT REQUEST:

APPROVED

Commissioner of Finance & Administration

1) RFS #	317.03-163-08	
2) Procuring Agency :	Department of Finance and Administration	
EXISTING CONTRACT INFORMATON		
3) Service Caption :	Statewide Automated Child Welfare Information System (SACWIS) <u>Renamed:</u> Tennessee Family and Child Tracking System (TFACTS)	
4) Contractor :	Dynamics Research Corporation	
5) Contract #	FA-082424900	
6) Contract Start Date :	April 14, 2008	
7) CURRENT Contract End Date : (if ALL options to extend the contract are exercised)	April 13, 2011	
8) CURRENT Maximum Cost : (if ALL options to extend the contract are exercised)	\$ 25,575,677.00	
PROPOSED AMENDMENT INFORMATON		
9) Amendment #	1	
10) Amendment Effective Date : (attached explanation required if < 60 days after F&A receipt)	July 20, 2010	
11) PROPOSED Contract End Date : (if ALL options to extend the contract are exercised)	April 13, 2012	
12) PROPOSED Maximum Cost : (if ALL options to extend the contract are exercised)	\$ 26,782,951.00	
13) Approval Criteria : (select one)	<input checked="" type="checkbox"/> use of Non-Competitive Negotiation is in the best interest of the state	
	<input type="checkbox"/> only one uniquely qualified service provider able to provide the service	
14) Description of the Proposed Amendment Effects & Any Additional Service :		
<p>This amendment:</p> <ol style="list-style-type: none"> 1) Extends the Contract Term end date at Section B.1 for one (1) additional year provided for under Section B.2 of the Contract; and 2) Adds additional funding in the amount of \$1,207,274 to Consulting Services at C.3.c.ii and the Contract Maximum Liability at C.1 in order to cover the additional consulting services required to execute Change Request #420 (Knowledge Transfer and Application Support) provided for under Section A.10 (Consulting Services) of the Contract. <p>The Federal Government (Administration for Children and Families) will provide 50% federal matching funds for this Contract amendment thereby reducing the State's funding required to \$603,637.</p>		

15) Explanation of Need for the Proposed Amendment :

The amendment is needed for two reasons:

- 1) The Contract Term is not sufficient to cover the Warranty Period and the Post-Implementation Knowledge Transfer and Application Support requested under Change Request (CR) #420.

The State has exercised a number of previous change requests provided for under Section A.10 and C.3.c of the Contract, which has increased the project schedule due to the additional CR work beyond the original Implementation date. As a result, the one (1) year Warranty Period that starts after the Implementation Phase is completed is not covered by the original three (3) year Contract term. Change Request #420 will run concurrently with the Warranty Period of the Contract.

- 2) The State has a critical need for the work to be performed in CR #420. To execute CR #420, \$1,207,274 will need to be added to Consulting Services (C.3.c.ii) and the maximum liability of the Contract (C.1).

Executing CR #420 will:

- a) Provide additional support for the State Financial Team in preparation for and during pilot implementation.

The financial functionality of the TFACTS is more complex and critical to the DCS business process than most other functionality in the system. Having the DRC TFACTS subject matter expertise assisting the State Financial Team will ensure that any procedural or process issues encountered during pilot are addressed expeditiously. Through the execution of this amendment, the DCS Financial staff will have the added benefit of additional Knowledge Transfer from DRC subject matter experts.

- b) Expand post implementation support for Knowledge Transfer and Application Support from 4 months in CR #392 to 12 months in CR #420. CR #420 will replace CR #392.

The Federal Government's Administration for Children and Families (ACF) has expressed concern that those 4 months in CR #392 was not sufficient for State Staff to become proficient in the operation and maintenance of the TFACTS.

The DCS Project Team has reevaluated the amount of time that would be sufficient to enable DCS staff to become proficient in the operation and maintenance of this new system. TFACTS replaces 13 legacy systems and is based on new technologies and software that DCS staff has not had significant experience with in the past. Increasing the Knowledge Transfer and Application support by DRC from 4 to 12 months is deemed necessary to ensure that DCS staff has the operating experience and technical expertise to be self-sufficient when the 12-month warranty period of the contract is finished.

16) Name & Address of Contractor's Current Principal Owner(s) : (not required for a TN state education institution)

Dynamics Research Corporation
60 Frontage Road
Andover, MA 01810

17) Office for Information Resources Endorsement : (required for information technology service; n/a to THDA)

Documentation is ... Not Applicable to this Request Attached to this Request

18) eHealth Initiative Endorsement : (required for health-related professional, pharmaceutical, laboratory, or imaging service)

Documentation is ... Not Applicable to this Request Attached to this Request

19) Department of Human Resources Endorsement : (required for state employees training service)

Documentation is ... Not Applicable to this Request Attached to this Request

20) Description of Procuring Agency Efforts to Identify Reasonable, Competitive, Procurement Alternatives :

No attempt was made to identify competitive procurement alternatives. This amendment is for Knowledge Transfer and Application Support which requires an in-depth knowledge of the TFACTS system DRC developed for the State. There is no vendor that the State is aware of other than the DRC architects and developers that have the in-depth

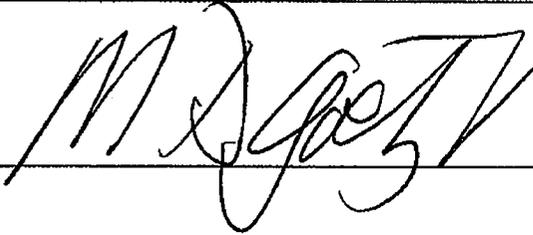
knowledge of this system that could step in and provide the State staff the knowledge of the system architecture, and the operation and maintenance support required to enable the State staff to operate and maintain the TFACTS after the warranty period is complete.

21) Justification for the Proposed Non-Competitive Amendment:

Contract Section B.2 provides for the ability to extend this Contract for an additional period or periods of time representing increments of no more than one (1) year and a total Contract term of no more than five (5) years. To cover the additional time required for the Warranty Period and execution of CR #420, the Office for Information Resources is requesting a one (1) year extension to the current three (3) year Contract, and to increase the funding for Consulting Services from \$3,335,858.00 to \$4,543,232, and increase the maximum liability of the Contract from \$25,575,677.00 to \$26,782,951.00. This is an increase of \$1,207,274, of which 50% federal matching funds will be provided.

AGENCY HEAD SIGNATURE & DATE:

(must be signed & dated by the ACTUAL procuring agency head as detailed on the Signature Certification on file with OCR— signature by an authorized signatory will be accepted only in documented exigent circumstances)

 5/19/10



C O N T R A C T A M E N D M E N T

Agency Tracking # 3 1 7 0 3 - 1 6 3 0 8	Edison ID N / A	Contract # F A - 0 8 - 2 4 2 4 9	Amendment # 1
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Contractor Dynamics Research Corporation	Contractor Federal Employer Identification or Social Security # <input type="checkbox"/> C- or <input checked="" type="checkbox"/> V- 042211809
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Amendment Purpose/ Effects
 Statewide Automated Child Welfare Information System (SACWIS). Amendment extends the Contract term end date and adds dollars.

Contract Begin Date April 14, 2008	Contract End Date April 13, 2012	Subrecipient or Vendor <input type="checkbox"/> Subrecipient <input checked="" type="checkbox"/> Vendor	CFDA #(s)
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FY	State	Federal	Interdepartmental	Other	TOTAL Contract Amount
2008			\$1,034,146.98		\$1,034,146.98
2009			\$2,435,249.34		\$2,435,249.34
2010			\$11,931,609.28		\$11,931,609.28
2011			\$11,239,685.90		\$11,239,685.90
2012			\$142,259.50		\$142,259.50
TOTAL:			\$26,782,951.00		\$26,782,951.00

American Recovery and Reinvestment Act (ARRA) Funding – YES NO

— COMPLETE FOR AMENDMENTS —			Agency Contact & Telephone # Lee Gregory, 615-253-2354	
END DATE AMENDED? <input checked="" type="checkbox"/> YES <input type="checkbox"/> NO				
FY	Base Contract & Prior Amendments	THIS Amendment ONLY	Agency Budget Officer Approval (there is a balance in the appropriation from which this obligation is required to be paid that is not otherwise encumbered to pay obligations previously incurred)	
2008	\$1,034,146.98			
2009	\$2,435,249.34			
2010	\$11,931,609.28			
2011	\$10,174,671.40	\$1,065,014.50		
2012		\$142,259.50	Speed Code	Account Code
TOTAL:	\$25,575,677.00	\$1,207,274.00		

— OCR USE —	Procurement Process Summary (non-competitive, FA- or ED-type only) The Request for Proposals under which this contract was awarded required proposers to competitively bid rates for five years. The additional services will be provided using these previously bid rates.
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**AMENDMENT ONE
TO FA-08-24249-00**

This Contract Amendment is made and entered by and between the State of Tennessee, Department of Finance and Administration, hereinafter referred to as the "State" and Dynamics Research Corporation, hereinafter referred to as the "Contractor." It is mutually understood and agreed by and between said, undersigned contracting parties that the subject Contract is hereby amended as follows:

1. The text of Contract Section B.1 is deleted in its entirety and replaced with the following:

B.1. Contract Term. This Contract shall be effective for the period commencing on April 14, 2008 and ending on April 13, 2012. The State shall have no obligation for services rendered by the Contractor which are not performed within the specified period.

2. The text of Contract Section C.1 is deleted in its entirety and replaced with the following:

C.1 Maximum Liability. In no event shall the maximum liability of the State under this Contract exceed Twenty-Six Million, Seven Hundred Eighty-Two Thousand, Nine Hundred Fifty-One Dollars and No Cents (26,782,951.00). The Service Rates in Section C.3 shall constitute the entire compensation due the Contractor for the Service and all of the Contractor's obligations hereunder regardless of the difficulty, materials or equipment required. The Service Rates include, but are not limited to, all applicable taxes, fees, overheads, and all other direct and indirect costs incurred or to be incurred by the Contractor.

The Contractor is not entitled to be paid the maximum liability for any period under the Contract or any extensions of the Contract for work not requested by the State. The maximum liability represents available funds for payment to the Contractor and does not guarantee payment of any such funds to the Contractor under this Contract unless the State requests work and the Contractor performs said work. In which case, the Contractor shall be paid in accordance with the Service Rates detailed in Section C.3. The State is under no obligation to request work from the Contractor in any specific dollar amounts or to request any work at all from the Contractor during any period of this Contract.

3. The text of Contract Section C.3.c.ii is deleted in its entirety and replaced with the following:

C.3.c.ii. Compensation to the Contractor for such Consulting Services as agreed upon by the State and the Contractor shall not exceed Four Million, Five Hundred Forty-Three Thousand, Two Hundred Thirty-Two Dollars (\$4,543,232) during the period of the Contract. If, at any point during the Contract term, the State determines that spending for such approved Consulting Services would exceed said maximum amount, the State will execute an amendment to address the need.

The Contractor shall not be compensated for travel TIME to the primary location of the Service Provision.

The revisions set forth herein shall be effective on the date of final approval by the appropriate State officials in accordance with applicable Tennessee State laws and regulations. All other terms and conditions not expressly amended herein shall remain in full force and effect.

IN WITNESS WHEREOF,

DYNAMICS RESEARCH CORPORATION:

CONTRACTOR SIGNATURE

DATE

PRINTED NAME AND TITLE OF CONTRACTOR SIGNATORY (above)

APPROVED:

COMMISSIONER OF FINANCE & ADMINISTRATION

DATE

COMPTROLLER OF THE TREASURY

DATE



OIR Pre-Approval Endorsement Request E-Mail Transmittal

TO : Jane Chittenden, OIR Procurement & Contract Management Director
Department of Finance & Administration
E-Mail : Jane.Chittenden@tn.gov

FROM : Lee Gregory
Finance and Administration
E-Mail : Lee.Gregory@tn.gov

DATE : May 18, 2010

RE : Request for OIR Pre-Approval Endorsement

APPLICABLE RFS # 31703-16308
OIR ENDORSEMENT SIGNATURE & DATE :  <u>Mark Bengel</u> Chief Information Officer
5/18/10
<i>NOTE: Proposed contract/grant support is applicable to the subject IT service technical merit.</i>

Office for Information Resources (OIR) pre-approval endorsement appears to be required pursuant to professional service contracting regulations pertaining to procurements with information technology as a component of the scope of service. This request seeks to ensure that OIR is aware of and has an opportunity to review the procurement detailed below and in the attached documents.

Please document OIR endorsement of the described procurement (with the appropriate signature above), and return this document via e-mail at your earliest convenience.

1 SUBJECT PROCUREMENT DOCUMENT TYPE (mark one) : <input type="checkbox"/> RFP <input type="checkbox"/> Competitive Negotiation Request <input type="checkbox"/> Alternative Procurement Method Request <input type="checkbox"/> Non-Competitive Contract Request <input checked="" type="checkbox"/> Non-Competitive Amendment Request <input type="checkbox"/> Contract <input type="checkbox"/> Contract Amendment <input type="checkbox"/> Grant <input type="checkbox"/> Grant Amendment
2 INFORMATION SYSTEMS PLAN (ISP) PROJECT APPLICABILITY : <input checked="" type="checkbox"/> Not Applicable to this Request <input type="checkbox"/> Applicable – RESPONSE CONFIRMED BY : Lee Gregory
3 CONTRACTING AGENCY CONTACT : Lee Gregory 615-253-2354 Lee.Gregory@tn.gov

APPLICABLE RFS # 31703-16308

4 SUBJECT INFORMATION TECHNOLOGY SERVICE DESCRIPTION :

The Tennessee Family and Child Tracking System (TFACTS) run on agency maintained servers within the State's Data Center and use the State's backbone communication network.

5 REQUIRED ATTACHMENT(S) AS APPLICABLE (copies without signatures acceptable) :

- RFP, Competitive Negotiation Request, Alternative Procurement Method Request, or Non-Competitive Contract/Amendment Request
- proposed contract/grant or amendment
- original contract/grant & any prior amendments

**CONTRACT
BETWEEN THE STATE OF TENNESSEE,
DEPARTMENT OF FINANCE AND ADMINISTRATION
AND
DYNAMICS RESEARCH CORPORATION**

This Contract, by and between the State of Tennessee, Department of Finance and Administration, hereinafter referred to as the "State" and Dynamics Research Corporation, hereinafter referred to as the "Contractor," is for the provision of a Statewide Automated Child Welfare Information System (the "System" or "SACWIS") and associated services, as further defined in the "SCOPE OF SERVICES."

The Contractor is A FOR-PROFIT CORPORATION.

Contractor Vendor Identification Number: 042211809

Contractor Address: 60 Frontage Road, Andover, Massachusetts 01810

Contractor Place of Incorporation or Organization: Massachusetts

A. SCOPE OF SERVICES:

A.1. The Contractor shall provide all service and deliverables as required, described, and detailed by this Scope of Services and shall meet all service and delivery timelines specified in the Scope of Services section or elsewhere in this Contract.

A.1.a. General Scope of the SACWIS Project.

The Contractor shall provide a web-based solution for a Statewide Automated Child Welfare Information System (SACWIS) and associated services, tailored to meet the requirements expressed herein, including, by reference, all documents listed in Contract Section E.9 (Incorporation of Additional Documents).

A.1.b. Software Delivery Options. The SACWIS software solution provided by the Contractor may, at the Contractor's discretion, comprise any or all of the following categories of software, as defined in Contract Section E.6:

- i. Contractor-Owned Software
- ii. Custom-Developed Application Software
- iii. Rights Transfer Application Software
- iv. Third-Party Software (includes, if applicable, Open-Source Software)

Depending on the particular combination of software categories proposed by the vendor, the State and the Contractor will be subject to different licensing and software support provisions as defined in Contract Sections A.6 through A.9 below.

A.2. Types of Services.

The Contractor shall provide services including, but not limited to, the following:

- a. Project Management
- b. Business process design and software configuration
- c. Customizations
- d. Reports analysis and development
- e. Tennessee's environment setup, testing and tuning
- f. Workflow / security configuration
- g. Geographic Information System Integration

- h. Mobile Technology Integration
- i. Database Architecture and Administration
- j. Data conversion
- k. Interface development
- l. Functional Testing / Data Conversion Testing / Performance Testing
- m. Knowledge Transfer / Training and documentation
- n. Help Desk
- o. Implementation / deployment support
- p. Post-implementation support
- q. Enhancements and modifications

Services to be provided are described in this section of the Contract and per the Contract Attachments.

A.3. Project Phases. The Contractor shall deliver and implement the SACWIS per the following product development phases and life cycle reviews.

The life cycle review process consists of a series of reviews conducted throughout the product development phases to ensure that each phase of the project is completed successfully. The phases will occur in the order given below and generally each phase must have a life cycle review conducted and State approval prior to moving on to a subsequent phase. However, with the written permission of the SACWIS Steering Committee, a given phase may be started prior to the completion of its predecessor.

Life cycle review participants include the SACWIS Steering Committee, State Project Staff and Contractor Project Staff.

At the end of each phase the State will conduct a life cycle review in order to:

- Ensure that project direction and goals remain consistent with the organization's strategic (business) plan and goals;
- Provide an evaluative process and opportunity to justify termination of projects which fail to demonstrate an adequate return on investment;
- Measure the ongoing progress (i.e., budget, schedule and deliverables) and identify potential problems for corrective actions; and,
- Approve phase results and authorize further work.

A.3.a. Requirements Definition Phase – Develop / Validate Detailed Requirements.

A.3.a.1 General

For purposes of this Contract, the Requirements Definition Phase will combine project start up and planning activities with requirements validation activities. The purpose of this phase is two-fold. First, processes and procedures are put in place that will govern how the project is organized and managed. Second, business and user needs are analyzed to validate existing requirements.

The Contractor is required to adhere to the State's IT Methodology which is based on the Project Management Institute's Project Management Body of Knowledge (PMBOK) processes. PMBOK is a widely recognized standard that brings together the best practices for project management. With the State's approval, the Contractor may use another approach based upon the same best practices.

A project such as the SACWIS development and implementation will require the coordination of skilled information technology professionals and effective communications both within the organization and to external stakeholders. Ongoing project management activities focus on ensuring that project resources are used efficiently and that the project outcome delivers the desired product.

More detailed information can be found in Contract Attachment J, Project Management Requirements.

A.3.a.2 Tasks and Activities (Project Management)

The following Project Management tasks and activities will be provided by the Contractor during this phase:

- i. Create a Project Management Plan that includes:
 - o Management Plan
 - o Communications Plan
 - o Technical Plan and Approach
 - o Work Plan
 - o Quality Management Plan
 - o Configuration Control Plan
 - o Risk Management Plan
 - o Knowledge Transfer Plan
- ii. Conduct On-going Project Management:
 - o Conduct project team meetings
 - o Monitor progress toward the key milestones
 - o Manage open issues
 - o Coordinate project team activities
 - o Brief stakeholders on project progress
 - o Provide weekly work plan / schedule updates
 - o Provide an Open Issues Management Report
 - o Provide a Weekly Status Report
 - o Maintain a "Lessons Learned" database / spreadsheet
- iii. End of Phase Life Cycle Review:
 - o Review deliverables
 - o Obtain deliverable approval / sign-off
 - o Review project progress / issues
 - o Obtain end of phase concurrence
 - o Obtain authorization to proceed to next phase

Refer to Contract Attachment J (Project Management Requirements).

A.3.a.3 Tasks and Activities (Requirements Validation)

The following Requirements Validation tasks and activities will be provided by the Contractor during this phase:

- i. Validate existing requirements. This will involve joint sessions with appropriate State staff to review all requirements and ensure that the Contractor's understanding of the requirement conforms to that of the State
- ii. Modify, clarify, and add detail to system requirements as necessary
- iii. Review and validate business process workflows
- iv. Maintain a mapping and traceability of requirements as they are allocated to design units. This requirements traceability matrix will link the functional requirements to the system design and, ultimately, to the software codes and through to system and acceptance testing. This process facilitates ongoing visibility into how the implemented solution supports all user and technical requirements.
- v. Create a detailed Requirements Document

A.3.a.4 Products and Delivery Schedule

<u>Products</u>	<u>Schedule of Delivery</u>
1. Project Management Plan	60 calendar days from Contract Start Date
Management Plan	60 calendar days from Contract Start Date
Communications Plan	60 calendar days from Contract Start Date

Technical Plan and Approach	60 calendar days from Contract Start Date
Work Plan (MS Project)	60 calendar days from Contract Start Date
Quality Management Plan	60 calendar days from Contract Start Date
Configuration Control Plan	60 calendar days from Contract Start Date
Risk Management Plan	60 calendar days from Contract Start Date
Knowledge Transfer Plan	60 calendar days from Contract Start Date
2. Project Status Report	Weekly Updates (Due Mondays at noon)
3. Open Issues Management Report	Monthly Updates (Close of Business (COB) last Friday each Month)
4. Lessons Learned Report	Monthly Updates (COB last Friday each Month)
5. End of Phase Review	End of Phase
6. Authorization to bill and proceed to next phase	End of Phase Review

A.3.a.5 Deliverables and Delivery Schedule

<u>Deliverables</u>	<u>Schedule of Delivery</u>
1. Detailed Requirements Document	End of Phase Deliverable
Data Requirements Definition	End of Phase Deliverable
Logical Data Model	End of Phase Deliverable
Requirements Traceability Matrix	End of Phase Deliverable

A.3.b. Design Phase – Design the SACWIS to a detailed level and provide the framework for constructing the product.

A.3.b.1 General

The purpose of the Design Phase is to transform the requirements defined in the previous phase into a complete, detailed specification for the system. The analyses of this phase are performed within the framework of the system initiative, converting the functional and data requirements into a complete system design that will guide the work of the construction phase. The decisions made in this phase address in detail how the system will meet the previously defined functional and data requirements.

A.3.b.2 Tasks and Activities

The following tasks and activities will be provided by the Contractor during this phase:

- i. Provide updates to previous deliverables as necessary
- ii. Create the Design Document
- iii. Create the Security Plan
- iv. Create the Data Management Plan
- v. Conduct On-going Project Management:
 - o Conduct project team meetings
 - o Monitor progress toward the development and implementation plan and key milestones
 - o Manage open issues
 - o Coordinate project team activities
 - o Brief stakeholders on project progress (jointly with State project leaders)
 - o Provide weekly work plan / schedule updates
 - o Provide an Open Issues Management Report

- o Provide a Weekly Status Report (the Contractor should submit a proposed format for State approval)
 - o Maintain a "Lessons Learned" database / spreadsheet
- vi. Brief the Architectural Review Committee and obtain concurrence for the Security and Design Plans.
- vii. End of Phase Life Cycle Review:
- o Review deliverables
 - o Obtain deliverable approval / sign-off
 - o Review project progress / issues
 - o Obtain end of phase concurrence
 - o Obtain authorization to proceed to next phase

A.3.b.3 Products and Delivery Schedule

<u>Products</u>	<u>Schedule of Delivery</u>
1. Security Plan	During Design Phase
2. Project Status Report	Weekly Updates (Due Mondays at noon)
3. Open Issues Management Report	Monthly Updates (COB last Friday each Month)
4. Lessons Learned Report	Monthly Updates (COB last Friday each Month)
5. Brief the Architectural Review Committee	During Design Phase
6. End of Phase Review	End of Phase
7. Authorization to bill and proceed to next phase	End of Phase Review

A.3.b.4 Deliverables and Delivery Schedule

<u>Deliverables</u>	<u>Schedule of Delivery</u>
1. Update Previous Phase Deliverables	As changes occur
2. Data Management Plan	End of Phase Deliverable
Configuration and Capacity Planning Information	End of Phase Deliverable
Data Requirements Definition	End of Phase Deliverable
Logical Data Model	End of Phase Deliverable
Physical Data Model	End of Phase Deliverable
Database Design	End of Phase Deliverable
Security Design	End of Phase Deliverable
Production Space Requirements	End of Phase Deliverable
Data Conversion & Migration Requirements	End of Phase Deliverable
Backup and Recovery Requirements	End of Phase Deliverable
<u>Design Document</u>	End of Phase Deliverable
3. General Design	End of Phase Deliverable
-System Overview	End of Phase Deliverable

Deliverables

- System Architecture
- Design Considerations

Schedule of Delivery

- End of Phase Deliverable
- End of Phase Deliverable

4. Detailed Design

- System Overview
- Process Decomposition
- Requirements Allocation to Components
- Detailed Design Specification

- End of Phase Deliverable

A.3.c. Construction Phase – Build and test SACWIS components, integrate and test component assemblies, and prepare for acceptance test.

A.3.c.1 General

The purpose of the Construction Phase is to convert the deliverables of the design phase into a complete information system. Although much of the activity in the Construction Phase addresses the computer programs that make up the system, this phase also puts in place the hardware, software and communications environment for the system, and other important elements of the overall system. The activities of this phase translate the system design produced in the design phase into a working information system capable of addressing the information system requirements. The elements of the system are developed (or acquired), tested, and integrated: hardware, system software, communications, applications, procedures, and associated documentation. At the end of this phase, the system is ready for the activities of the acceptance test phase.

A.3.c.2 Tasks and Activities

The following tasks and activities will be provided by the Contractor during this phase:

- i. Provide updates to previous deliverables as necessary
- ii. Acquire and install system environment
- iii. Provide Base License Initial Licensure
- iv. Create program code and compile and refine the program modules
- v. Develop object and data conversion migration plan
- vi. Create and Test Databases
- vii. Build and test SACWIS components
- viii. Integrate and test component assemblies
- ix. Prepare Test Documentation
- x. Prepare Implementation Plan
- xi. Perform a test readiness review
- xii. Conduct On-going Project Management:
 - o Conduct project team meetings
 - o Monitor progress toward key milestones
 - o Manage open issues
 - o Coordinate project team activities
 - o Brief stakeholders on project progress
 - o Provide weekly work plan / schedule updates
 - o Provide an Open Issues Management Report
 - o Provide a Weekly Status Report
 - o Maintain a "Lessons Learned" database / spreadsheet
- xiii. End of Phase Life Cycle Review:
 - o Review deliverables

- o Obtain deliverable approval / sign-off
- o Review project progress / issues
- o Obtain end of phase concurrence
- o Obtain authorization to proceed to next phase

A.3.c.3 Products and Delivery Schedule

<u>Products</u>	<u>Schedule of Delivery</u>
1. Acquire and Install Systems Environments Provide Base License Initial Licensure	Per the Work Plan Per the Work Plan
2. Create program code and compile and refine the program modules	Per the Work Plan
3. Develop object and data conversion migration plan	Per the Work Plan
4. Create and Test Databases	Per the Work Plan
5. Project Status Report	Weekly Updates (Due Mondays at noon)
6. Open Issues Management Report	Monthly Updates (COB last Friday each Month)
7. Lessons Learned Report	Monthly Updates (COB last Friday each Month)
8. End of Phase Review	End of Phase
9. Authorization to bill and proceed to next phase	End of Phase Review

A.3.c.4 Deliverables and Delivery Schedule

<u>Deliverables</u>	<u>Schedule of Delivery</u>
1. Update Previous Phase Deliverables	As changes occur
2. Prepare Test Documentation	End of Phase Deliverable
Test Strategy	End of Phase Deliverable
Pilot Test Approach	End of Phase Deliverable
Test Management Plan	End of Phase Deliverable
Data Conversion and Migration Test Plan	End of Phase Deliverable
Integration Test Plan	End of Phase Deliverable
System Test Plan	End of Phase Deliverable
Capacity Evaluation Plan	End of Phase Deliverable
Capacity Evaluation Report	End of Phase Deliverable
Acceptance Test Plan	End of Phase Deliverable
- Functional Testing	End of Phase Deliverable
- Performance / Load Testing	End of Phase Deliverable
- Interface Testing	End of Phase Deliverable
3. Prepare Implementation Plan	End of Phase Deliverable

Deliverables

Training Approach
 Implementation Approach
 Contingency Approach

Schedule of Delivery

End of Phase Deliverable
 End of Phase Deliverable
 End of Phase Deliverable

A.3.d. Acceptance Test Phase – Evaluate the ability of the SACWIS to satisfy all product requirements by the customer organization and obtain necessary signoff on the product.

A.3.d.1 General

The primary purpose of the Acceptance Test Phase is to prove that the developed system satisfies the requirements defined in the Requirements Document. The secondary purpose is to perform a system / integration test as specified by the design parameters. This function will be the responsibility of the quality assurance staff and will be heavily supported by the user participants.

A.3.d.2 Tasks and Activities

The following tasks and activities will be provided by the Contractor during this phase:

- i. Provide updates to previous deliverables as necessary
- ii. Prepare Operations Manual
- iii. Prepare Users Manual
- iv. Prepare training plan
- v. Initiate user training
- vi. Conduct unit / module, subsystem integration, system qualification, system acceptance and security tests
- vii. Participate in ACF Technical Assistance SACWIS site visit
- viii. Conduct Pilot Test
- ix. Prepare test analysis reports to document the results of each formal test
- x. Finalize program modules
- xi. Initiate Help Desk Support
- xii. Conduct On-going Project Management:
 - o Conduct project team meetings
 - o Monitor progress toward key milestones
 - o Manage open issues
 - o Coordinate project team activities
 - o Brief stakeholders on project progress
 - o Provide weekly work plan / schedule updates
 - o Provide an Open Issues Management Report
 - o Provide a Weekly Status Report
 - o Maintain a "Lessons Learned" database / spreadsheet
- xiii. End of Phase Life Cycle Review:
 - o Review deliverables
 - o Obtain deliverable approval / sign-off
 - o Review project progress / issues
 - o Obtain end of phase concurrence
 - o Obtain authorization to proceed to next phase

A.3.d.3 Products and Delivery Schedule

<u>Products</u>	<u>Schedule of Delivery</u>
1. Prepare Operations Manual	Per the Work Plan
2. Prepare Users Manual	Per the Work Plan
3. Prepare Training Plan	Per the Work Plan
Classroom based Instructional Materials	Per the Work Plan
On-Line / Computer Based Training	Per the Work Plan
4. Initiate User Training for QA / Testers	Prior to Pilot / Acceptance Testing
5. Conduct Pilot Test	Per the Work Plan
6. Prepare for and assist with the Federal SACWIS Technical Assistance Review with ACF	Prior to Acceptance Testing
7. Prepare Test Analysis Reports	Per the Work Plan
8. Finalize Program Modules	Per the Work Plan
9. Conduct Acceptance Testing	Per the Work Plan
10. Initiate Help Desk Support	Per the Work Plan
Help Desk Scripts	Acceptance Test Phase
Help Desk Transition Plan	6 months prior to Implementation
Help Desk Issue Tracking	Continuous after startup of Help Desk
Help Desk Reporting	Continuous after startup of Help Desk
11. Project Status Report	Weekly Updates (Due Mondays at noon)
12. Open Issues Management Report	Monthly Updates (COB last Friday each Month)
13. Lessons Learned Report	Monthly Updates (COB last Friday each Month)
14. End of Phase Review	End of Phase
15. Authorization to bill and proceed to next phase	End of Phase Review

A.3.d.4 Deliverables and Delivery Schedule

<u>Deliverables</u>	<u>Schedule of Delivery</u>
1. Update Previous Phase Deliverables	As changes occur

A.3.e. Implementation Phase – Complete SACWIS integration, train users, monitor product operation and update documentation as needed.

A.3.e.1 General

The Implementation Phase builds on the results of all prior phases. The Implementation Phase includes efforts required to prepare for implementation of the new system, implementation of the system in a production environment, and resolution of any problems identified during the implementation process. During the Implementation Phase, the system or system modifications are installed and made operational in a production environment; user training is conducted; data conversion is completed; and the SACWIS is turned over to the State of Tennessee.

The Implementation Phase implements the components of the system developed and / or acquired during the construction phase. This phase also uses approaches for data conversion, and training. Any deficiencies in implementing the system will handicap the initial use of the system. Therefore, it is important that deficiencies are addressed prior to fully implementing the system in a production environment because it will be more costly to resolve deficiencies once the system is turned over to the user. Modifications to the system should be completely documented in order to provide accurate documentation to users, operators, and other affected personnel. At the end of this phase, the production baseline is established and it consists of the production system, database(s) and data dictionary.

A.3.e.2 Tasks and Activities

The following tasks and activities will be provided by the Contractor during this phase:

- i. Provide updates to previous deliverables as necessary
- ii. Provide Base License System Support
- iii. Conduct system tuning tests
- iv. Complete user and operator training
- v. Load design data dictionary to production data dictionary
- vi. Deliver SACWIS code and install in production environment
- vii. Convert the database(s) and data to the production environment
- viii. Confirm that the system is ready for operation
- ix. Work with the data administrator to enter information about the SACWIS into the data repository. The project team will coordinate with the OIR DBA regarding what metadata components related to the data will be maintained and its location.
- x. Prepare the Disaster Recovery Plan
- xi. Certify State system security and readiness features (certification and accreditation)
- xii. Prepare the SACWIS Assessment Review Document required by ACF for SACWIS compliance
- xiii. Continue Help Desk Support
- xiv. Conduct On-going Project Management:
 - o Conduct project team meetings
 - o Monitor progress toward key milestones
 - o Manage open issues
 - o Coordinate project team activities
 - o Brief stakeholders on project progress
 - o Provide weekly work plan / schedule updates
 - o Provide an Open Issues Management Report
 - o Provide a Weekly Status Report
 - o Maintain a "Lessons Learned" database / spreadsheet
- xv. End of Phase Life Cycle Review:

- o Review deliverables
- o Obtain deliverable approval / sign-off
- o Review project progress / issues
- o Obtain end of phase concurrence

A.3.e.3 Products and Delivery Schedule

<u>Products</u>	<u>Schedule of Delivery</u>
1. Provide Base System License Support	At Phase Initiation
2. Conduct system tuning tests	Per the Work Plan
3. Complete user and operator training	Per the Work Plan
4. Load design data dictionary to production data dictionary	Per the Work Plan
5. Deliver and install SACWIS in Production	Per the Work Plan
6. Convert Database(s) and data to Production	Per the Work Plan
7. Enter SACWIS information into Data Repository	Per the Work Plan
8. Provide Help Desk Support	Turnover to State at End of Phase
9. Review and certify the system is ready for Production / Conduct cut-over activities	End of Phase
10. Conduct Post-Implementation Review	30 days after cut-over to Production
11. Project Status Report	Weekly Updates (Due Mondays at noon)
12. Open Issues Management Report	Monthly Updates (COB last Friday each Month)
13. Lessons Learned Report	Monthly Updates (COB last Friday each Month)
14. End of Phase Review	End of Phase
15. Authorization to bill and proceed to the Warranty / Maintenance period	End of Phase Review

A.3.e.4 Deliverables and Delivery Schedule

<u>Deliverables</u>	<u>Schedule of Delivery</u>
1. Update Previous Phase Deliverables	As changes occur

2. Prepare the Disaster Recovery Plan

End of Phase Deliverable

3. Prepare the SACWIS Assessment Review Document

End of Phase Deliverable

A.4. Federal SACWIS Requirements.

The Contractor shall provide a solution that meets all Federal SACWIS Requirements for compliance. The State of Tennessee has invested in this SACWIS to ensure the system will be a federally-compliant system as determined by the Administration for Children and Families. As part of this certification process, the State may request the Administration for Children and Families (ACF) to perform an interim visit at some point in the development process. At the earliest opportunity after implementation the State plans to request a Federal review in order to determine if the SACWIS is federally compliant. The Contractor will assist the State in preparing for and conducting these reviews to include:

- a. Assist in the preparation of the SACWIS Assessment Review Guide (SARGe) to be used during the pre-SACWIS Review visit.
- b. Review of ACF findings resulting from both the interim and final ACF reviews
- c. Correction of deficiencies noted by ACF in the interim and formal SACWIS reviews
- d. Written Response to ACF Interim SACWIS Review Findings
- e. Written Response to ACF Final SACWIS Assessment Review Findings

Refer to Contract Attachment F (Federal SACWIS Requirements).

A.5. State SACWIS Business / Functional Requirements.

The Contractor shall provide a solution that meets all State SACWIS Business / Functional Requirements. The State has invested a considerable amount of time and effort in conducting extensive business process mapping and requirements determination for the State's SACWIS. The State has high expectations that these efforts and the Contractor's solution will be a model SACWIS for providing more efficient delivery of services to families, children and the community.

Refer to Contract Attachment E (State and Federal SACWIS Requirement Crosswalk), Contract Attachment G (Mandatory and State Selected Optional Requirements) and Contract Attachment R (Business Requirements).

A.6. Contractor-Owned Software Provisions. In the event that the Contractor's SACWIS software solution contains Contractor-Owned Software (as defined in Section E.6.a.i.), the following Section A.6 provisions shall apply:

A.6.a. Base License Initial Licensure.

- i. The Contractor shall provide a license (or "licenses") to the State that will allow up to one thousand (1,000) concurrent users to use the SACWIS (this license, or these licenses, are referred to herein as the "base license"). The State reserves the right to install multiple instances of the software, on multiple servers, in multiple locations to meet their implementation needs. These installs will include production, test and development systems.
- ii. The Contractor shall provide the base license to the State at the same time that the Contractor installs the software on the State's development environment.
- iii. The State will compensate the Contractor for Base License Initial Licensure as a part of the phase payments that constitute the Development Phase, as described in Contract Section C.3. All costs for multiple instance/distributed installation as described in Section A.6.a.i above shall be included within the costs listed in Section C.3.

A.6.b. Base License System Support.

- i. The Contractor shall provide base license system support and maintenance, including telephone support and services to repair defects and to meet statutory requirements, as described in Contract Section A.25. Base License System Support shall begin when the Implementation Phase commences.
- ii. At the State's option, Base License System Support shall be renewed annually, with renewal fees paid in quarterly installments, at the end of each quarter, throughout the term of the Contract, as described in Contract Section C.3.

A.6.c. Additional Users Initial Licensure. It is possible that the State may eventually require more concurrent users than the 1,000 provided for in the base license. This may occur due to increases in the user base. In any case, when the State reaches 1,000 concurrent users on the system, the State may procure additional user licenses as described below.

- i. The Contractor agrees to provide, at the State's request, additional user licenses to supplement the base license. These additional licenses will be procured in blocks of twenty-five (25) concurrent users. The State may request such additional licenses if its user population exceeds the 1,000 concurrent users allowed by the base license. For each additional block of 25 users, the State will pay the Contractor a one-time, non-recurring fee.
- ii. Additional Users System Support. The Contractor shall provide Additional Users System Support for these user licenses in the same manner as it does for the base license users, as described in Sections A.6.b and A.25.
- iii. The State will compensate the Contractor for Additional Users, Initial Licensure and System Support, in accordance with Contract Section C.3.

A.6.d. Contractor Licensing Agreements. The State recognizes that the Contractor may require the State to agree to certain Contractor licensing provisions for the proposed software. If this is the case, any and all Contractor licensing agreements shall be included (in original or modified form) as addenda to this Contract and the State's signature on this Contract shall constitute the State's written agreement to the provisions so included. **The State will not sign separate Contractor licensing agreements.** Moreover, in the event of any conflict between the terms of this Contract and the terms of any Contractor software licensing provisions, including any Third Party Software, the terms of this Contract shall prevail. In addition, the State reserves the right to modify the Contractor's software licensing provisions prior to agreeing to them, if the State deems this necessary in order to meet State legal requirements.

A.7. Custom-Developed Application Software Provision. In the event that the Contractor's SACWIS software solution contains Custom-Developed Application Software, the State's ownership rights shall be as expressed in Contract Section E.6.b.ii.

A.8. Rights Transfer Application Software Provision. In the event that the Contractor's SACWIS software solution contains Rights Transfer Application Software, the Contractor shall fully arrange for and facilitate the transfer of the application software, and shall, to the extent the Contractor is legally able, ensure the State's full ownership and usage rights thereof, as defined in Contract Section E.6.b.ii. The Contractor shall bear all costs for such transfer.

A.9. Third-Party Software Provisions. In the event that the Contractor's SACWIS software solution contains Third-Party Software, Sections A.9.a through A.9.e shall apply:

A.9.a. Any non-State-standard Third-Party Software (as defined in Section E.6.a.iv) that is required for the operations or maintenance of the proposed SACWIS shall be provided by the Contractor at the same time that the Contractor provides Base License Initial Licensure. Note that this does not include software such as Microsoft SQL server or Oracle server, or any other State-standard Third-Party Software.

A.9.b. The Contractor shall provide System Support services for Third-Party Software, in the same manner as these services are provided for Contractor-Owned Software, as described in Contract Section A.25.

- A.9.c. The Contractor shall provide evidence to the State the Contractor has lawfully purchased this initial licensure, warranty support, and license upgrades, and can extend to the State such licensure, support, and upgrades for the life of the contract.
- A.9.d. Prior to termination of the Contract, the Contractor shall transfer to the State any and all licenses for non-State-standard Third-Party Software.
- A.9.e. The State will procure all State-standard Third-Party software that is required using other State contracts.
- A.9.f. Open-Source Software is considered a special type of Third-Party Software. For Contractual purposes, all provisions that apply to Third-Party Software, herein, including the documents listed in Contract Section E.9, shall also apply to Open-Source Software, with the following additions and exceptions:
- i. All Open-Source Software is deemed to be non-State-Standard Third-Party Software, and shall be provided in accordance with the terms of this Contract Sections A.9.a and A.9.b. The Contractor shall provide licensure, warranty support, Base License Systems Support, upgrades, and security patches in accordance with Contract Sections A.6.b, A.6.d, A.9.c, A.9.d, and A.23.b.
 - ii. The Contractor shall provide to the State the source code for all Open-Source Software used.
- A.10. Consulting Services. The State may request, at its sole discretion, Consulting Services to perform additional work related to the enhancement or modification of the SACWIS. Remuneration for any such Consulting Services shall be based on the applicable "contingent," payment rate(s) detailed in Section C.3.c of this Contract.
- A.10.a. Consulting Services may be required, for example, to analyze, design, develop, and implement additional functionality not specified in this Contract and RFP, including, but not limited to modifications required as a result of federal laws and regulations. The Consulting Services may be provided either on or off-site, at the State's option, and will be billed to the State on a per-hour basis. The types of services provided may include, but not be limited to, on-site technical support, project management, software analysis, design, implementation, and training. These services, if requested, shall be distinct from the System Support described below, in Contract Section A.25. The Consulting Services may consist of any of the following:
- i. Project Manager: Four or more years of project management experience, with experience as a Project Manager of projects employing technology similar to that used in the new SACWIS licensing system.
 - ii. Component Architect: (Depending on the chosen development platform,) Four or more years of experience designing distributive applications and specifically defining and designing component architecture features including architecting and designing (Java 2 Enterprise Edition, Visual Basic/.Net) compliant applications.
 - iii. Lead JAVA / .NET Developer: (Depending on the chosen development platform,) Four years (Java, Visual Basic / .Net) experience developing components and (JSP, ASP) applets. Must have one year of experience leading a team of (Java, .Net) developers.
 - iv. Certified JAVA / .NET Developer: (Depending on the chosen development platform,) (Sun Java, Microsoft .Net) certified developer who is already familiar with the basic structure and syntax of the (Java, .Net) programming language, who has demonstrated advanced proficiency in developing complex, production-level applications using the (Java 2 Standard Edition, .Net) platform.
 - v. Non-Certified JAVA / .NET Developer: (Depending on the chosen development platform,) Two years experience programming, demonstrating proficiency in the fundamentals of programming using the (Java 2 Standard Edition, Visual Basic / .Net) environment.
 - vi. Web Developer: Two years designing and implementing web pages for large complex applications similar to the new SACWIS licensing system. Experience using the specific web design tool to be used is required.

- vii. Business Analyst: Four years experience as a business analyst with relevant experience in SACWIS licensing systems. Should have experience documenting business requirements. Must have good interviewing and presentation skills.

A.10.b. There is no guarantee that the State will use any of the Contractor's Consulting Services. The State retains full control as to the timing and usage of Consulting Services.

A.10.c. The State will compensate the Contractor for Consulting Services as described in Contract Section C.3.c.

A.11. SACWIS Architecture.

A.11.a. The Contractor shall provide a SACWIS that conforms to the *Tennessee Information Resources Architecture* herein incorporated as Contract Attachment L.

A.11.b. The Contractor will present the SACWIS Architecture (General and Detailed Design Documents) to the State's Architectural Review Committee (ARC) for review and approval (See Contract Section A.3.b.2). Once approved by the ARC, any further recommended changes to the baseline SACWIS architecture must be brought back to the ARC for consideration and approval. Included within the General and Detailed Design Documents will be:

- i. Network Diagram – depicts the nodes and connections amongst nodes in a computer network
- ii. Deployment Diagram – models the hardware used in system implementations, the components deployed on the hardware, and the associations between those components
- iii. Data Model – a physical description of the data model instance – concentrating on the implementation features of the particular database hosting the model

Contractor compliance with the State's Architecture achieves the following State objectives:

- iv. Ensures a compatible statewide network of information technology hardware, software, and communications resources;
- v. Enables the interchange of data;
- vi. Allows for the cost effective use of information technology systems while maintaining maximum compatibility statewide; and
- vii. Provides standard prerequisite functional requirements for hardware and software procurements

Refer to Contract Attachment L (Tennessee Information Resources Architecture). Also see Contract Attachment H (Technical Requirements), Contract Attachment K (Spatial Data Architecture), and RFP Attachment 6.11 (State Technical and Architectural Requirements).

A.12. SACWIS Security.

The Contractor shall provide a SACWIS that conforms to Tennessee's *Enterprise Information Security Policies* (See Contract Section A.3.b.2). The Security Plan will be presented to the ARC for review and approval and must be compatible with State firewall hardware / software and Intrusion Detection / Prevention systems. Security solutions must provide defense in depth. The solution must provide a solid risk management approach to application development and deployment in terms of threat and vulnerability identification, analysis and prioritization and mitigation techniques.

Refer to Contract Attachment D (Enterprise Information Security Policies). Also see Contract Attachment B (Acceptable Use Policy and Agreement) and Contract Attachment C (HIPAA Business Associate Agreement).

A.13. Geographic Information System (GIS) Integration.

The Contractor shall provide a SACWIS solution that interfaces with the State's GIS Enterprise location based services system that provides GIS capabilities for integrating, storing, editing, analyzing, sharing and displaying geographically referenced information. The Contractor will meet with State staff during the design, construction, testing, and implementation phases of the GIS interface development.

In addition, the system shall capture / track / display the date and time a contact is entered in the system, the contact's GIS locations, and the name of the user who entered it. Specifically, the system will:

- a. Provide geo-mapping capabilities to be used in determining location of resources relative to the location of children and their families
- b. Provide a means for the user to create / view / print maps and driving directions for any complete address in the system
- c. Provide a means for users to save and re-use maps and driving directions they have created
- d. Provide a means to analyze various aspects of geographic information to include, but not limited to:
 - o Proximity of child / youth to their parents / siblings
 - o Proximity of child / youth to their current school
 - o Preferred sites of worker with child / youth / family visits
 - o Preferred sites of child with sibling / family visits
 - o Preferred sites of child investigative interview
 - o Integration with outside data sources to create graphical inventories of services
 - o GIS reporting solution to integrate data from multiple outside sources or interfaces

Refer to Contract Attachment K (Spatial Data Architecture) and Contract Attachment E (State and Federal SACWIS Requirement Crosswalk).

A.14. Mobile Technology Integration.

The Contractor's SACWIS mobile technology solution will include the recommended types of hardware, software and service(s) necessary to enable case workers to access the full SACWIS via available wireless connectivity (wireless tethered mode), as well as have a SACWIS application on the mobile device that permits the case worker to perform case management functions in remote locations where wireless connectivity is not available (un-tethered mode). The Contractor will be responsible for providing the SACWIS application software for the mobile solution, but will not be responsible for providing the enabling hardware, software or service(s). The State will purchase the enabling hardware, software and service(s) from existing or newly established State contracts, depending on the types recommended in the solution.

The expectation for the SACWIS mobile solution is that State case workers will be able to view, create, update, etc., case information at court, resource family homes or other remote locations whether wireless connectivity exists or not. In a non-wireless / un-tethered mode, the case worker will be able to up-load / synchronize data once wireless connectivity is reestablished or back in the office environment. See Contract Attachment R, Section M for detailed mobile solution requirements.

The Contractor shall provide a SACWIS solution that interfaces with the State's GIS Enterprise location based services system that includes a Mobile Technology capability enabling Social Workers to capture information directly in a mobile device and transfer it to the SACWIS through either "tethered" real-time wireless connectivity and / or an "un-tethered" data synchronization process. The Contractor will meet with State staff during the design, construction, testing, and implementation phases of the GIS interface development.

The solution will put information and computing capabilities in the hands of the workers at the point of service delivery and not just from their desks. Mobile digital devices on the market today hold the promise of un-tethering case managers from their desks and allowing them access to vital information they need at the point of service.

GPS and mapping capabilities in mobile solutions can not only provide driving directions to family service workers, but also serve as a safety measure to track and monitor location of family service workers when they are in the field.

Digital imaging capabilities can provide a means for workers to bring the information to life by attaching faces to cases.

The State seeks to leverage leading-edge technology to enable workers to document their assessments, contacts and other activities more quickly, to access resources and case documentation remotely, and to significantly reduce duplication of effort in documentation.

Refer to Contract Attachment E (State and Federal SACWIS Requirement Crosswalk).

A.15. Database Architecture and Administration.

The Contractor will design the database architecture per State standards in order to meet the functional and performance needs of the State's SACWIS. The Contractor will:

- a. Design data architecture which includes logical and physical data models, and indices
- b. Create, update and communicate data dictionary to include description of data elements, characteristics, and properties
- c. Identify and resolve potential database performance issues
- d. Manage and coordinate database changes

Refer to Contract Attachment I (Conversion Requirements) and Contract Attachment S (Data Resource Management).

A.16. Data Conversion.

The Contractor shall provide conversion of all legacy application data to the SACWIS solution. The State has identified 14 legacy applications that contain data that will need to be converted for use in the SACWIS. In addition, a Youth Level of Service Web Application is under development that will become a part of SACWIS and which will support 500 users.

Refer to Contract Attachment I (Conversion Requirements) and Contract Attachment S (Data Resource Management).

A.17. Interface Development.

The Contractor shall develop interfaces to systems as required to meet State and Federal requirements. The SACWIS must provide an electronic data interface with these systems in order to receive, transmit, and verify case and client information in an efficient, effective and economical manner. SACWIS electronic data interfaces must be robust, bi-directional and dynamic to allow for the automatic exchange of information between the systems.

- a. Title IV-D (Child Support Enforcement System)

The expected results of the SACWIS interface to the Title IV-D system is to (1) provide for the exchange of data necessary to establish a child support case; (2) accurately record child support collections on appropriate Title IV-E Federal reports; (3) identify potential child support resources for the Title IV-E child; (4) allow for the automatic exchange of common and / or relevant data between the two systems (to prevent duplicate data entry), (5) accept and process updated or new case data; (6) capture the data necessary to report AFCARS Foster Care data element number 62 (AFCARS Foster Care data element number 62 indicates whether child support funds are being paid to the State agency on behalf of the child); and finally (7) provide the Title IV-D system with information about the current foster care maintenance payment, either from the SACWIS or the State's financial system.

Tennessee's Title IV-D system, Tennessee Child Support Enforcement System (TCSES), is maintained by the Tennessee Department of Human Services (DHS). The Tennessee DHS is currently involved in the development of the Vision Integration Platform (VIP) system, which will be Tennessee's central system for determining eligibility for programs. An interface is planned between VIP and TCSES for the exchange of child support data.

Tennessee's SACWIS will also interface with VIP. It is assumed that via the SACWIS interface with VIP that the information necessary to generate a referral to start child support proceedings and to begin monitoring and dispersing child support payments to appropriate payees will be accomplished.

Currently, DCS Child Welfare Benefits Counselors enter IV-E and TennCare (Medicaid) eligibility application information directly into DHS' legacy eligibility system, ACCENT. ACCENT sends information, via interface, to TCSES to initiate a child support case. VIP will replace the ACCENT system.

b. Title XIX (TennCare – Medicaid System)

The expected results of the interface to the Title XIX system is to (1) provide for the exchange of information needed by the State Medicaid eligibility system to calculate and track Medicaid eligibility for children in foster care, (2) allow for the automatic exchange of common and / or relevant data between the two systems (to prevent duplicate data entry), and (3) capture the data necessary to report AFCARS Foster Care element number 63 (this element indicates whether the child is eligible for, or receiving assistance under Title XIX).

Tennessee's SACWIS will need to interface to the TennCare Management Information System (TCMIS) for purposes of Targeted Case Management (TCM) billing. The TCMIS application is based on EDS interchange MMIS technology using a collaboration of application tools including PowerBuilder and C+, sitting on an Oracle v9 database residing in a UNIX environment.

Current TCM billing interface operates as follows:

- Client data from ten (10) TNKIDS extracts is compiled and processed by DCS to create a claims file that contains client records that qualify for TCM billing for a specific billing period. This is done through a FoxPro application that formats the TNKIDS data for use in the billing program. These are processed during the first week of each month.
- Then, the file is run through a 'Billing' application on a weekly basis. Billing is a FoxPro application that supports the administration of Medicaid Claims from the TCM billing process into the HCFA1500, a file layout accepted by EDI.
- The HCFA1500 is then sent to EDI, where EDI formats the HCFA1500 file into an ANSI X12 file format, a file layout accepted by TCMIS.
- EDI then sends the file to TCMIS weekly where it is processed for TCM Billing.
- TCMIS sends an 835 remittance file back to EDI where it is processed into Paid and Denied files. This also occurs weekly and then is sent to DCS accounts receivable for processing.
- Accounts receivables then makes adjustments based on those paid and denied claims.

Tennessee's SACWIS will need to provide support for the current process or provide an alternative means to accomplish Targeted Case Management billing.

c. Title IV-A / IV-E (Vision Integration Platform System)

The interface between the State's SACWIS and the Title IV-A (TANF) system must (1) allow for the automatic exchange of common and / or relevant data between the two systems (to prevent duplicate data entry), (2) accept and process updated or new case data and (3) identify potential duplicate payments under Title IV-E and Title IV-A programs.

An accurate determination of a child's eligibility for Federal IV-E foster care or adoption assistance payments is a core component of the State's SACWIS. The interface between the State's SACWIS and the Title IV-E system must achieve the following two goals:

- o Document the data used to establish an individual's complete Title IV-E eligibility in an automated information system so that it is available for independent review and audit. This provides a safeguard for ensuring accurate eligibility determinations, and allows data regarding the factors of eligibility to be available to other child welfare staff during the life of the case.
- o Ensure that all eligibility factors are consistently and accurately applied in every eligibility determination. Automation of the eligibility rules and arithmetic calculations can eliminate much of the potential for error inherent in manual processes.

Currently, there is no existing interface between DCS's legacy child welfare information system (TNKIDS) and the DHS IV-A legacy system (ACCENT). DCS Child Welfare Benefits Counselors (CWBCs) are notified via TNKIDS when children are committed to the custody of DCS. In addition, a paper application for child welfare benefits is completed by the child's Family Service Worker and forwarded, along with supporting documentation such as court orders, birth verifications, etc. to the CWBC. The CWBC then confirms and verifies the existing Title IV-E eligibility information and gathers any additional missing information that is necessary to perform a determination for Title IV-E eligibility. This manual process includes identifying and verifying the presence of the mandatory removal household members, financial and budgeting information, and non-financial information such as citizenship, enumeration (SSN) and deprivation factors for the child and mandatory-removal household members.

Upon completing this manual eligibility determination process, the CWBC then accesses ChipFins (DCS's legacy financial system) and enters the child's eligibility and re-imbursability status. This information is entered in ChipFins to support Title IV-E claiming processes. The CWBC must then also access the ACCENT system to complete an application for TennCare (Medicaid coverage) for children in DCS custody. By completing the application for Medicaid in ACCENT, a child support referral to Tennessee's Child Support Enforcement System (TCSES) is also generated.

The Vision Integration Platform (VIP) will replace ACCENT as Tennessee's IV-A system. In addition to replacing ACCENT functionality, the State of Tennessee envisions that VIP (being developed as a web-based system) will seamlessly provide eligibility determination functionality across all State systems and across all State agencies, including Title IV-E Foster Care, Adoption Assistance, Broker Day Care Services and Subsidized Permanent Guardianship. Because the scheduled implementation date for VIP is earlier than the projected implementation date for Tennessee's SACWIS, DCS is currently participating in design sessions with VIP staff to formulate an interim process for conducting Title IV-E eligibility determinations. The interim process will require DCS Child Welfare Benefits Counselors to enter child / family eligibility data directly into VIP. VIP will then calculate and return a Title IV-E Eligibility determination.

When Tennessee's SACWIS solution is implemented, the exchange of information with VIP will be fully automated, eliminating the direct manual entry of data by the CWBC. It is anticipated that Title IV-E eligibility determinations will be conducted based on information gathered and entered in Tennessee's SACWIS through the natural progression of the case. Through the SACWIS / VIP interface, eligibility determination information will be passed. Upon receipt of the data, VIP will execute search / match functionality to identify if the child and mandatory removal household members are resident in any databases to which VIP has access, lessening the potential for duplicate IV-E / IV-A payments. VIP will also execute eligibility calculations and business rules and will return to Tennessee's SACWIS a Title IV-E eligibility determination. Along with the eligibility determination, the data and the factors that resulted in the determination will also be passed, which will support independent review and audit processes. Any updates in Tennessee's SACWIS which impact Title IV-E eligibility will automatically trigger an eligibility re-determination. The eligibility data will again be passed to VIP via the interface, where Title IV-E

eligibility calculations and business rules will be executed resulting in returning to Tennessee's SACWIS an updated eligibility / re-imbursability determination.

d. Social Security Administration (for Social Security Number verification only)

Currently, DCS' child welfare information system, TNKIDS, interfaces with SSA system through a daily (business days) extract file. The daily extract file contains person demographic information, such as Name, Gender, Date of Birth, SSN as well as the TNKIDS Person Id. Each time a new person is added to TNKIDS, or, any time the specified information is changed/updated for a person in TNKIDS, that person is included in the daily extract file.

The daily extract file is sent to SSA who then runs it through their validation process. Results are sent back from SSA in an extract file. If SSA finds a match, a 'Y' indicator is returned for that person. No other accompanying information is sent on a matched record. If SSA is unable to identify a match, the information that caused the mismatch is returned. TNKIDS reads the extract file and creates an on-screen display to the user to inform of the missing or incorrect information.

Tennessee's SACWIS should support this process.

The State of Tennessee has a current data sharing agreement with the Social Security Administration that conforms to the Information System Security Guidelines for Federal, State and Local Agencies Receiving Electronic Information from the Social Security Administration, version 3, dated March 2007. The SACWIS must also conform to the SSA Information System Security Guidelines.

In addition, the SACWIS will interface with the:

e. State's Accounting and Reporting System (STARS/ Edison)

The vendor must design, develop and implement an automated interface with Tennessee's payment system. The current system is STARS. However, the State is presently implementing Edison, Tennessee's Enterprise Resource Planning (ERP) solution. Edison will replace existing human resources and financial system functionality, including the functionality currently contained in STARS. The current implementation schedule for the Edison Human Resources/Payroll module is January 2008 for all State agencies. The Edison Financial/Logistics module is scheduled for implementation beginning July 2008 with agencies divided into three waves. DCS is in the second wave, currently scheduled for October 2008.

STARS is a mainframe DB2 system that issues checks for all types of payments to vendors as well as employees. The TNKIDS Financials and Chipfins systems send Batch files to STARS for payment to vendors that contain the following information; Group Code, Data Type, Entity, Batch Department, Batch Division, Batch Date, Batch Type, Batch Number, Batch Sequence Number, Operator ID, Terminal ID, Effective Date, FFY, Disbursement Method ID, Transaction Code, Modifier, Reverse, Cost Center, Department, Division, Fund, Fund Detail, Major Object, Minor Object, Agency Object, Major Revenue Source, Minor Revenue Source, Agency Revenue Source, Project, Sub-Project, Location, B Grant, Sub-Grant, Subsidiary Account Number, General Ledger Account, Treasurer Cash Date, Bank Number, Quarterly Information, Vendor Number, Vendor Number Suffix, Invoice Number, Document Date, Current Document Number, Current Document Number Suffix, Reference Document Number, Reference Document Number Suffix, Due Date, Warrant Number (Check Number), Cancel Status, Funding Control Override, Transaction Amount, Description, Redeem Date, Vendor Name, Vendor Address 1, Vendor Address 2, Vendor Address 3, City, State, Vendor Zip Code, Service Date.

The Interface frequency is bi-monthly and monthly depending upon the payment cycles established by program staff.

This same interface is sent back from STARS to TNKIDS Financials with the Warrant Number (Check Number) field populated. Chipfins does not track the Check Number, so this data is not sent back to Chipfins.

Edison's base application is PeopleSoft. In addition, there are 4 other applications that will be used for facilities, fleet, cash processing and bar coding. PeopleSoft is housed on Sun 4600 servers running RedHat Enterprise Linux 4.0. PeopleSoft versions are 8.9 for HCM and FSM while they are on version 9.0 for the ELM, EPM and Portal PeopleSoft application segments. PeopleTools will be implemented at version 8.4.9 and that tool set will be used to establish part of the interface strategy. We also expect to use the Oracle Enterprise Service Bus technology which is a part of the Oracle, Service Oriented Architecture that lives in the Oracle MiddleWare group of support applications.

f. DCS Central Intake I-3 Phone system

The Interactive Intelligence Inc. (I-3) system currently in place is an ACD (automatic call distribution) plus VoIP (voice over IP) solution used by DCS' Centralized CPS Intake unit for responding to phone calls of reported child abuse or neglect. The system captures the phone number of the caller, call duration, agent that accepted the call, time and date of the call, and the path to the recording of the call. By interfacing/integrating the I-3 with Tennessee's SACWIS, capabilities of that system may be optimized such that information from the call could pre-populate the referral in the SACWIS and users may attach the sound file of the phone to the case record.

The I-3 system is fully customizable and can be integrated into any application. The customization can be coded and implemented by a vendor or in-house and be fully supported by I-3 after attendance and certification from I-3. The purchase for the software and system support is provided by Perimeter Technologies off of a State contract. The system resides on windows 2003 servers and information is stored on an SQL 2000 database. Reports are generated from stored .rpt files and viewed from the Crystal Reports viewer that is built into the client.

Additional information on I-3 artifacts can be found at
http://www.tennessee.gov/youth/providers/SACWIS_Doc_Library.htm

g. State's GIS enterprise location based services system

The SACWIS system shall provide for a 2-way interface with the State's GIS Location Based Services (LBS). The State currently uses ESRI's ArcSuite as the technological platform behind this service. The system must provide the capability to parse address data to a level of granularity sufficient for effective geo-coding (i.e. street number, street name, cardinal direction, city, state, zip+4, and county). The interface will provide this data to LBS nightly and receive geo-coded data in return (latitude/longitude for example) to associate with each address. A feedback loop will be incorporated into the system in order to provide a means to automatically clean address data that fails preset geo-coding standards.

The interface will enable Tennessee SACWIS users to determine the distance between a child's origin and their placement location, provide mapping functionality to family service workers out in the field, provide graphical representation of performance measures (average length of stay by county), and perform analysis on resource availability in the counties/regions.

Refer to Contract Attachment E (State and Federal SACWIS Requirement Crosswalk) and Contract Attachment F (Federal SACWIS Requirements).

A.18. Help Desk.

The Contractor will provide help desk support for the SACWIS through implementation. The Contractor will provide:

- a. Tier I and II level help desk support
- b. Help Desk Scripts
- c. Transition Plan

- d. Issue Tracking
- e. Help Desk Reporting

Refer to Contract Attachment O (Help Desk).

A.19. Project Quality Management and Testing Requirements.

Project Quality Management and Testing must be provided per the detailed guidance in Contract Attachment M (Project Quality Management and Testing Requirements).

To satisfy the Quality Management and Testing Requirements outlined in Attachment M, the Contractor must include roles for Quality Assurance Manager, Configuration Manager and Test Manager as part of their proposal. The proposed project team members assigned to these roles should be considered "key personnel."

Deliverables required by Attachment M include:

- i. Quality Management Plan (A.3.a.4 – Requirements Validation Phase)
- ii. Configuration Management Plan (A.3.a.4 – Requirements Validation Phase)
- iii. Application Release Notes (**Application release notes can happen at anytime there is a new release of the application – usually after it is in production (implementation phase) and during the warranty system support period. This is a standard practice.**)
- iv. Test Strategy (A.3.c.4 – Construction Phase)
- v. Test Management Plan (A.3.c.4 – Construction Phase)
- vi. Integration Test Plan (A.3.c.4 – Construction Phase)
- vii. System Test Plan (A.3.c.4 – Construction Phase)
- viii. Capacity Evaluation Plan (A.3.c.4 – Construction Phase)
- ix. Capacity Evaluation Report (A.3.c.4 – Construction Phase)
- x. Acceptance Test Plan (A.3.c.4 – Construction Phase)

A.19.a. With support from State SACWIS program and technical staff, the Contractor will conduct application pilot test(s) using the Contractor's proposed Pilot Test approach as approved by the State. The purpose of the pilot is to certify the system as meeting contract requirements and validate the implementation process. During pilot, known and discovered system errors will be fixed; updated software will be installed. All parts of the change management and implementation process are subject to the results of the pilot. Every category of work reflected in the SACWIS application will be included in the Pilot. It is particularly important that the pilot demonstrate that the SACWIS meets or exceeds federal SACWIS compliance requirements. At completion of the pilot, the Project Team will assess the results and modify implementation and support processes.

During the pilot, the Contractor will provide support to users, both onsite and via the Help Desk. The pilot will include a preliminary capacity benchmark test to analyze the system performance and predict future requirements.

Pilot preparation requires planning, site identification, site and user coordination, training, data readiness, Help Desk support, and follow up reporting. All aspects of this preparation must be specified in the Pilot Test approach and should represent an approach similar to that proposed in the Implementation Plan. The Pilot Test approach document will detail the communication, coordination and training activities, assessment tools, and feedback processes for preparing for and conducting the Pilot. The approach for pilot data conversion and synchronization should be clearly stated. The goal is to validate the

implementation process and tools and certify the SACWIS application, technical environment, and users as ready to move to full production implementation.

The Contractor will ensure that a Help Desk support system is available at the start of pilot. The approach will describe the Help Desk operations, including hours of service, communications, procedures, and reporting mechanisms during the pilot. Prior to pilot, Help Desk staff must be trained in the new SACWIS, Help Desk supporting tools, and the pilot communication procedures. They must clearly understand their role and responsibility as part of the pilot process.

Pilot participants / testers must be fully informed of their responsibilities and understand their important role in the SACWIS Project. Introductory presentations will be used to provide this level of information. They will also require training in the pilot process and communication procedures. User training documentation and additional reference materials will be available. The key to a successful pilot is that all pilot users are engaged in using the new SACWIS in their daily work processes. All major end-user functions of the SACWIS need to be used during the pilot following established protocols and training.

Using State approved testing and training plans, the Contractor will provide pilot-user training and support.

At a minimum, the Contractor will do the following during pilot testing:

- i. Identify criteria and select a pilot site
- ii. Prepare the Pilot approach
- iii. Conduct pilot-user training
- iv. Provide pilot support (Help Desk & onsite)
- v. Convert pilot data (as needed)
- vi. Monitor performance and identify any problems meeting the performance criteria spelled out in this contract.
- vii. Evaluate system reliability and performance (capacity benchmark test)
- viii. Validate & Verify federal SACWIS compliance readiness
- ix. Modify the SACWIS to address problems discovered during the pilot

Problems encountered during the pilot test must be identified and resolved within predefined guidelines. The pilot test should enable the project team to thoroughly evaluate the SACWIS and prepare for system implementation.

A.20. Contractor Personnel.

The Contractor shall assign all key personnel identified in RFP Attachment 6.3, Section B.11 of its proposal to complete all of their planned and assigned responsibilities in connection with performance of the obligations of the Contractor under this contract.

The State shall have the right to approve the assignment and replacement by the Contractor of all key personnel assigned to provide services, including, without limitation, the project manager, other individuals named or described in the Contractor's proposal, and individuals assigned significant managerial responsibilities as mutually agreed by the parties. Before assigning an individual to any of these positions, the Contractor shall notify the State of the proposed assignment, shall introduce the individual to the appropriate representatives of the State, and shall provide to the State a resume and any other information about the individual reasonably requested by the State. The State reserves the right to interview the individual before granting approval. The State will approve or disapprove an individual's assignment no later than one (1) business day after the receipt of all requested information and/or completion of a requested interview, depending on which event occurs last.

The unauthorized removal of key personnel by the Contractor, while those personnel are still actively employed or subcontracted by the Contractor, shall be considered by the State as a material breach of contract per Contract Section E.4 (Breach) and is subject to the terms of Contract Section E.4.a.(2) (Liquidated Damages). The foregoing notwithstanding, removal of key personnel by the Contractor shall not be considered by the State as a breach of Contract if the removal was for one of the following causes: (1) termination of employment or other form of working relationship, such as a subcontract, with the

Contractor or one of its subcontractors; (2) incapacitation (3) legally mandated and protected leave, such as Family Medical Leave; (4) illness; (5) death.

In the event any one of the Key Personnel is reassigned, becomes incapacitated, or ceases to be employed by the Contractor and therefore becomes unable to perform the functions or responsibilities assigned to him or her, the Contractor shall:

- a. within five (5) business days, temporarily replace such person with another person properly qualified to perform the functions of such replaced person, and
- b. within twenty (20) business days, permanently replace such replaced person with another person approved by the State and properly qualified to perform the functions of such replaced person.

The State reserves the right, at its sole discretion, to require the Contractor to replace Contractor and / or subcontractor employees whom the State judges to be incompetent, careless, unsuitable or otherwise objectionable, or whose continued use is deemed contrary to the best interests of the State.

Before a written request is issued, authorized representatives of the State and the Contractor will discuss the circumstances. Upon receipt of a written request from an authorized representative of the State, the Contractor shall be required to proceed with the replacement. The replacement request will include the desired replacement date and the reason for the request. The Contractor shall use its best efforts to effect the replacement in a manner that does not degrade service quality. This provision will not be deemed to give the State the right to require the Contractor to terminate any Contractor employee's employment. Rather, this provision is intended to give the State only the right to require that the Contractor discontinue using an employee in the performance of services for the State.

A.21. Contractor Official Station and Work Hours.

Most work under this Contract, with the exception of program coding and program unit testing, is to be performed, completed and managed at one or more Nashville, Tennessee, State government office sites.

Notwithstanding the above, at the State's discretion the State may require Contractor personnel to be on-site in Nashville during any phase of the project if the State deems this to be necessary and in the best interest of the SACWIS project.

The State may also request that Contractor personnel travel away from the official station of Nashville, Tennessee to perform project-related tasks. See Contract Section C.4 for details.

Normal State work hours are 8:00 a.m. to 4:30 p.m., Central Time, with additional hours worked as necessary to meet project deadlines. All work performed on the State's premises shall be completed during the State's standard business hours, unless otherwise agreed to by the State.

A.22. Knowledge Transfer / Training.

The Contractor shall provide a SACWIS Knowledge Transfer Plan / Training solution.

As part of the Knowledge Transfer Plan, the Contractor will detail the process for transitioning the application from the Contractor to the State staff. The transition details will include roles and responsibilities for both State and Contractor staff; points of contact; methodology; tools; techniques; strategy; schedules; installations; operations; support; conversion; interfaces; maintenance; risks; State resource requirements to maintain the SACWIS after transition; acceptance criteria; management controls; transition reports; transition team; impact; review process; and configuration control.

Knowledge Transfer must be continuous throughout the life of the project. The Contractor's Knowledge Transfer strategy will be a key component to the long-term success of the SACWIS for the State.

Training of SACWIS users, technical staff and other personnel (Quality Assurance / Independent Validation and Verification staff) must be comprehensive and tailored to the specific audience. Specifically training activities will include:

- a. Defining training goals and requirements
- b. Creating classroom-based training curriculum
- c. Creating classroom-based training materials
- d. Creating self-directed, computer-based training modules
- e. Creating self-directed, computer-based training curriculum

Refer to Contract Attachment N (Knowledge Transfer / Training Requirement).

A.23. Warranty.

A.23.a. Warranty Period. The Contractor shall provide a one-year (twelve-month) Warranty Period for the SACWIS. The Warranty Period begins at the conclusion of the Implementation Phase after the State has accepted in writing the SACWIS.

A.23.b. Warranty Coverage

i. During the one-year Warranty Period the Contractor:

- Will correct any function or feature which does not conform to the specifications of the RFP, the proposal submitted by the Contractor, or other standards referred to in the RFP.
- Shall be responsible for correcting any performance which does not meet the standards of the RFP or any design / scalability criteria by correcting the solution or by modifying the SACWIS Solution at no additional cost to the State.
- Will provide new versions of the software to keep the State abreast of the Contractor's current software product. Complete documentation of all system enhancements, upgrades, or revisions will be provided with new releases of software. Documentation must describe, in a user-friendly manner, what the user needs to know to understand each level on which the software operates. The documentation must specifically include documentation of the database, including data entity and attribute definitions, table and field names, data types, data sizes, business rules, and Entity-Relationship Diagrams that depict all relationships between tables and fields in the database using industry and State standards.

ii. As maintenance and administration of the SACWIS will eventually be the responsibility of the State, the Contractor will continue to provide Knowledge Transfer to State SACWIS technical staff during the Warranty Period. The Contractor must involve and integrate State technical staff in the day-to-day maintenance and problem resolution activities during the Warranty Period. The Knowledge Transfer Plan must address all of these issues and have in place a strategy for the transfer of knowledge and skills at least 60 days prior to the expiration of the Warranty Period.

iii. The Contractor may provide Warranty Period support remotely (i.e., not at the State project site) as long as the specific circumstances render such an approach reasonable. However, at the State's discretion, the State may require that Warranty Support be provided by Contractor personnel at the State's project site, if this is determined by the State to be in the best interest of the SACWIS project.

A.23.c. Time Frames for Warranty Services

- i. The Contractor must promptly, at the direction of, and within the time specified by, the State, correct any errors, defects, deficiencies or deviations from specifications and all the SACWIS-related system errors and performance or operational delays.
- ii. The Contractor shall provide emergency maintenance services to correct code problems or any performance or operational problems related to the design or coding of the system software, it's functioning or interfaces on a twenty-four (24) hour, seven (7) days a week basis.

- iii. Products and services shall be either replaced, revised, repaired, or corrected within twenty-one (21) calendar days of written notification by the State of the errors, defects, deficiencies or deviations; provided, however, that if the continued use of a defective or deficient product or service would cause damage to the State system(s) or associated data, or would otherwise seriously impair, as determined by the State, the ability of users of the system(s) to do their jobs or the functions for which the system was established, then Contractor shall act to repair the deficiencies immediately, unless an extension is otherwise granted in writing, by the State.
- iv. The State will determine when any errors, defects, deficiencies, or deviations have been resolved.

A.23.d. Resources Required for Warranty Service

The Contractor shall apply all necessary resources to correct the errors, defects, deficiencies or deviations without cost or expense to the State, and shall make these corrections within the time-frame specified by the State.

A.23.e. Failure to Provide Effective Warranty Services

If the Contractor fails to repair an error, defect, deficiency or deviation for products or services covered by the warranty, the State may, at its option, act to correct or repair the error, defect, deficiency or deviation, and the contractor shall be required to reimburse the State for all costs incurred to conduct the repair. Any repair by the State under such circumstances shall not be deemed to have voided the remainder of the Warranty Period.

A.23.f. Contact for Warranty Services

- i. The Contractor will be the initial contact point for all Warranty notifications and support requests, regardless of the perceived source of the problem, or whether the Contractor or a subcontractor/third party owns and/or directly maintains the faulty software.
- ii. The Contractor may elect to have telephone or on-site warranty repair or support services performed by subcontracted personnel; however, if this is the case, the Contractor shall be responsible for coordinating the effort so that the use of any third-party support is transparent to the State and so that the State shall not have to deal directly with the sub-contractor.
- iii. The State reserves the right to approve Subcontractors for warranty service, and such Subcontractors shall be approved in writing by the State.
- iv. The above notwithstanding, the State reserves the right to contact subcontractors directly if this is deemed to be in the best interest of the SACWIS project. The individuals identified in Contract Attachment P shall be the only State personnel allowed to contact subcontractors directly.

A.23.g. Maintenance of Operations and Services during Warranty Work

The correction of errors, defects, deficiencies or deviations in work products / services shall not detract from or interfere with software maintenance or operational tasks.

A.23.h. Problems Not Caused by Contractor Fault

- i. If Contractor personnel determine that the problem is not the fault of Contractor-provided software or hardware, then the Contractor shall notify State support personnel immediately.
- ii. If the State agrees that the problem is due to software, hardware, or project management decisions that are the responsibility of the State, the State shall resolve the problem.

However, in this case, if requested by the State, contractor personnel shall remain on-site and / or dedicated to the problem to perform any required joint functions until the problem is resolved, and the State shall compensate the Contractor for the time the Contractor has to remain on site.

A.23.i. The Contractor also warrants that all enhancements or modifications to SACWIS resulting from Consulting Services requests (Contract Section A.10) shall be defect free, properly functioning, and compliant with the terms of the Contract and/or Consulting Services request. This Warranty shall extend for three (3) months from the date the State approves the enhancement or modification in writing, or for the remainder of the aforementioned twelve- (12) month Warranty Period, whichever is later. After the expiration of the Warranty Period, the warranty on each enhancement or modification shall extend for three (3) months from the date the State approves the enhancement or modification in writing. The Contractor's responsibilities with regard to enhancement and modification warranties shall be the same as those for the accepted system, as described in this section A.23.

A.24. Performance Standards

The system must be designed and implemented to meet the response time and availability standards described here. For SACWIS, the Contractor should assume a user load of 1,000 concurrent users accessing the SACWIS during an average day. If, through the end of the twelve- (12) month Warranty Period, response time and / or system availability degrades to a level of non-compliance during the periods specified, the Contractor must take the necessary steps to bring the system back to the required level unless the State determines that factors outside the Contractor's control, such as the State's infrastructure, are the cause.

A.24.a. Response times of less than 3 seconds transaction response time from screen-to-screen for 95% of all transactions and less than 1 second for field-to-field activity is required within the system. Response times will be reviewed during the Acceptance Test phase and again during the first month of each implementation of a production version. After the first month of production for each implementation, if the response time degrades to a level of non-compliance with the user-defined standard, then the Contractor will have one (1) month from the date of notice by the State to resolve the performance back to the required response times. Failure to meet the standard can effect the continuation of the Contract and the State will not pay annual maintenance and support fees until such time as the standard is met.

A.24.b. SACWIS shall be available and fully functional 99.95% of the time, exclusive of scheduled downtime. This standard translates into a maximum allowed unscheduled downtime of 22 minutes per month. Scheduled downtime is limited to 2 hours per week and must take place during non-core business hours. Core business hours are defined by the State as 7:00 a.m. to 5:59 p.m. (CST), Monday through Friday including State holidays. Non-core hours are defined by the State as 6:00 p.m. to 6:59 a.m. (CST), Monday through Friday and all day Saturday and Sunday.

A.25. System Support. If the Contractor's SACWIS solution contains Contractor-Owned Software or Third-Party Software, the Contractor shall, at a minimum, provide the following System Support services, including telephone support and services to repair defects and to meet RFP requirements:

A.25.a. Make necessary adjustments and repairs to keep the software operating without abnormal interruptions and to correct latent deficiencies with respect to the software specifications provided in the RFP.

A.25.b. Provide new versions of the software to keep the State abreast of the Contractor's current software product. Complete documentation of all system enhancements or revisions will be provided with new releases of software. Documentation must describe, in a user-friendly manner, what the user needs to know to understand each level on which the software operates. The documentation must specifically include complete documentation of the database, including data entity and attribute definitions; table and field names, data types, data sizes, business rules, and Entity-Relationship Diagrams that depict all relationships between tables and fields in the database using industry and State standards.

A.25.c. Provide services between the hours of 7:00 a.m. and 5:00 p.m. Central Time, Monday through Friday, excluding State Holidays.

A.25.d. Respond to problems, requests for technical support, or requests for information within three business (3) days, by either correcting the problem, providing technical support or information requested, or providing a plan, including a delivery date, for the problem correction, technical support or information requested. Responses to problems identified by the State as urgent will be made within one (1) day.

- A.25.e. Unless otherwise specified in writing by the State to the Contractor, the Contractor shall be the State's sole contact with regard to System Support issues and shall be responsible for the completion of all repairs, regardless of whether the Contractor or a subcontractor/third party owns and/or directly maintains the faulty software. The State reserves the right to contact third-party providers of software or hardware directly, if this is deemed to be in the best interest of the SACWIS.
- A.26. Source Code in Escrow. If the Contractor's SACWIS solution contains Contractor-Owned Software or Third-Party Software, the Contractor shall maintain copies of the Contractor-Owned Software source code and, to the extent that Contractor can legally do so, Third-Party Software source code in escrow with an independent escrow company pre-approved by the State. All costs for establishing and maintaining the source code in escrow shall be borne by the Contractor. The Contractor will notify the State of each update to the software held in escrow.
- A.26.a. Within fifteen (15) calendar days after the State's written acceptance of the implementation of the SACWIS system, the Contractor shall submit to the State a letter naming the escrow company that the Contractor intends to use, with the understanding that the State may approve or disapprove the named company. This letter must include the name, address, and full contact information for the recommended escrow company. The State will indicate its approval or disapproval in writing.
- A.26.b. Within fifteen (15) calendar days after the State has provided to the Contractor the written approval of a recommended escrow company, the Contractor shall place the source code in escrow with the approved escrow company. The Contractor shall provide the State with a signed letter from the escrow company in question stating that the code has been placed in escrow and confirming the State's right to obtain the source code directly from the escrow company in the event of Contractor default as described below. Throughout the term of the contract, the Contractor shall periodically update the source code and notify the State in writing that it has been updated and that the source code in escrow is current with the State's production environment, matches the State's production version level, and includes any upgrades, enhancements, or new releases that are applied to the State's system.
- A.26.c. If for any reason during the term of the contract the Contractor becomes unable to fulfill its obligations as described herein, the Contractor agrees to deliver the source code held in escrow to the State. In the event that the Contractor fails to deliver the source code in a timely manner, as determined by the State, the State may obtain the source code directly from the escrow company.

B. CONTRACT TERM

- B.1. Contract Term. This Contract shall be effective for the period commencing on April 14, 2008 and ending on April 13, 2011. The State shall have no obligation for services rendered by the Contractor which are not performed within the specified period.
- B.2. Term Extension. The State reserves the right to extend this Contract for an additional period or periods of time representing increments of no more than one year and a total Contract term of no more than five (5) years, provided that the State notifies the Contractor in writing of its intention to do so at least thirty (30) days prior to the contract expiration date and provided that such an extension of the Contract term is effected prior to the current, contract expiration date by means of an amendment to the Contract. If the extension of the Contract necessitates additional funding beyond that which was included in the original Contract, the increase in the State's maximum liability will also be effected through an amendment to the Contract, and shall be based upon rates provided for in the original Contract.

C. PAYMENT TERMS AND CONDITIONS:

- C.1. Maximum Liability. In no event shall the maximum liability of the State under this Contract exceed Twenty Five Million Five Hundred Seventy Five Thousand Six Hundred Seventy Seven Dollars, (\$25,575,677.00). The Service Rates in Section C.3 shall constitute the entire compensation due the Contractor for the Service and all of the Contractor's obligations hereunder regardless of the difficulty, materials or equipment required. The Service Rates include, but are not limited to, all applicable taxes, fees, overheads, and all other direct and indirect costs incurred or to be incurred by the Contractor.

The Contractor is not entitled to be paid the maximum liability for any period under the Contract or any extensions of the Contract for work not requested by the State. The maximum liability represents available funds for payment to the Contractor and does not guarantee payment of any such funds to the Contractor under this Contract unless the State requests work and the Contractor performs said work. In which case, the Contractor shall be paid in accordance with the Service Rates detailed in Section C.3. The State is under no obligation to request work from the Contractor in any specific dollar amounts or to request any work at all from the Contractor during any period of this Contract.

C.2. Compensation Firm. The Service Rates and the Maximum Liability of the State under this Contract is firm for the duration of the Contract and is not subject to escalation for any reason unless amended.

C.3. Payment Methodology. The Contractor shall be compensated based on the Service Rates herein for units of service authorized by the State in a total amount not to exceed the Contract Maximum Liability established in Section C.1. The Contractor's compensation shall be contingent upon the satisfactory completion of units of service or project phases defined in Section A.

The Requirement Definition, Design, Construction and Acceptance Testing Phases shall be known collectively as the "Development Phase." The payment for each phase that makes up the Development Phase includes ALL costs associated with, but not limited to, the following (if applicable to the Contractor's solution):

- i. Contractor-Owned Software, Base License Initial Licensure
- ii. Custom-Developed Application Software
- iii. Rights Transfer Application Software
- iv. Third-Party Software, initial licensure
- v. Mobile Technology Integration (See Contract Section A.14)
- vi. Warranty

The only costs not included in these phase payments are specific costs listed in Sections C.3.b and C.3.c, below.

The State calculated the amounts for each Project Phase using the following percentages:

- i. Requirement Definition Phase – 10% of the total cost proposed for the Development Phases.
- ii. Design Phase – 20% of the total cost proposed for the Development Phases.
- iii. Construction Phase – 30% of the total cost proposed for the Development Phases.
- iv. Acceptance Testing Phase - 40% of the total cost proposed for the Development Phases.

The Contractor shall be compensated based upon the following Payment Amounts:

C.3.a. Project Phase Payment Methodology.

SERVICE UNIT / MILESTONE	AMOUNT	RETAINAGE AMOUNT *	PAYMENT AMOUNT
i. SACWIS Requirement Definition Phase – from RFP Attachment 6.4, 6.4.A.1. (Amount equal to 10% of the Development Phases total)	\$444,794.40	\$44,479.44	\$400,314.96

SERVICE UNIT / MILESTONE	AMOUNT	RETAINAGE AMOUNT *	PAYMENT AMOUNT
ii. SACWIS Design Phase - from RFP Attachment 6.4, 6.4.A.1. (Amount equal to 20% of the Development Phases total)	\$889,588.80	\$88,958.88	\$800,629.92
iii. SACWIS Construction Phase - from RFP Attachment 6.4, 6.4.A.1. (Amount equal to 30% of the Development Phases total)	\$1,334,383.20	\$133,438.32	\$1,200,944.88
iv. SACWIS Acceptance Test Phase - from RFP Attachment 6.4, 6.4.A.1. (Amount equal to 40% of the Development Phases total)	\$1,779,177.60	\$177,917.76	\$1,601,259.84
v. Total of Development Phases Retainage accumulated		\$444,794.40	
vi. SACWIS Implementation Phase – from RFP Attachment 6.4, 6.4.A.2.	\$17,791,775.00		\$17,791,775.00
vii. Initial 50% Payment of Retainage for Development Phases (from C.3.a.v, above); to be paid at end of Implementation Phase			\$222,397.20
viii. Remaining 50% Payment of Retainage; to be paid at end of Warranty Period			\$222,397.20

* Where indicated, ten percent (10%) of the Cost by Phase for each Development Phase milestone, as indicated in the table above, will be withheld to be paid in two separate payments. The first payment will be at the end of the Implementation Phase and the second payment at the end of the Warranty Period. The "end of the Implementation Phase" shall be construed to mean the point at which the State accepts, in writing, the Implementation Phase. The Warranty Period begins at the conclusion of the Implementation Phase after the State has accepted in writing the SACWIS. The "end of the Warranty Period" shall be construed to mean the conclusion of the one-year (twelve month) Warranty Period.

C.3.b. Other Required Services Payment Methodology. The Contractor shall be compensated for Other Required Services, as applicable to the Contractor's software solution, based upon the following amounts. The Contractor's compensation shall be contingent upon the satisfactory completion of each of the specified services. The amounts listed in Years 4 and 5 will apply only if the Contract has been extended beyond the initial 3-year term as described in Sections B.1 and B.2.:

Service / Unit	Year 1	Year 2	Year 3	Year 4*	Year 5*
Base License System Support (from RFP Attachment 6.4, 6.4.B.1).	\$0.00 per Quarter				

Service / Unit	Year 1	Year 2	Year 3	Year 4*	Year 5*
<u>Third Party Software System Support Cost</u> (non-State Standard software with an exclusion) - from RFP Attachment 6.4, 6.4.B.2. The State shall make any payments required for 3 rd party software directly to the Contractor, not to the 3 rd party vendor.	\$0.00 per Quarter				
<u>Additional Users Initial Licensure</u> . Each additional block of users (25 user licenses); one-time, non-recurring cost, from RFP Attachment 6.4, 6.4.B.3.	\$0.00 per Block of 25 users				
<u>Additional Users System Support</u> for each additional block of users (25 user licenses); Quarterly Rate in effect during the Year in question, from RFP Attachment 6.4, 6.4.B.4.	\$0.00 per Quarter per Block of 25 users				

* Contingent upon an approved contract amendment.

- i. Invoices for Base License System Support, Third-Party Software Support, and Additional Users System Support shall be submitted quarterly, at the end of the quarter in which the services were provided.
- ii. For purposes of deciding which quarterly rate is in effect at the time the Contractor first begins to bill the State for quarterly services, Year 1 shall begin on the Contract Effective Date defined in Contract Section B.1 and shall run for one (1) year. Subsequent years begin on the anniversary of the Year 1 begin date. The State shall compensate the Contractor at the rate for the Contract Year and Quarter in which the service period falls.
- iii. The Contractor shall invoice the State for Additional Users Initial Licensure at the time the Contractor provides, and of which the State confirms receipt in writing, access for each additional block of users. The Contractor shall submit such invoices no more often than monthly.
- iv. The State's obligation to pay the Contractor for the Base License System Support shall begin on the first day of the Implementation Phase, which is defined as beginning on the first day following the State's signed approval of the Acceptance Test Phase.
- v. Since Base License System Support does not begin until the Implementation Phase has begun, there may be an offset between the Quarters, or three-month periods, of the Contract year and the first Base License System Support period. This means that the billing cycle for the first Base License System Support period may not match Contract year Quarter boundaries, and therefore there may be a partial quarter of Base License System Support at the beginning of the Implementation Phase. In this event, the Contractor agrees to pro-rate the first Base License System Support invoice to accommodate the partial quarter.
- vi. In the event that any quarter of support is shortened, as in the case of the first period described above; or as a result of early contract termination, then the Contractor shall prorate the quarterly Amount to adjust for the shorter quarter, and the State shall pay only this prorated amount.

vii. The Contractor shall include charges for Additional Users System Support as a part of its quarterly Base License System Support invoices. The Contractor shall itemize the charge for each additional block of user licenses separately, and include, for each block, the date when the Additional Users System Support became effective. The Contractor shall prorate the charge for any additional blocks of quarterly Additional Users System Support which were not in effect for the entire quarter, and the State shall pay only for the portion of that quarter during which the license in question was in effect.

C.3.c. Consulting Services Rates. Pursuant to Contract Section A.10, the State may request, at its sole discretion, Consulting Services to perform additional work related to the enhancement or modification of the SACWIS.

i. Remuneration for any such Consulting Services shall be based on the applicable contingent, payment rate(s) detailed below and as approved by the State. The amounts listed in Years 4 and 5 will apply only if the Contract has been extended beyond the initial 3-year term as described in Sections B.1 and B.2.:

Contingent Service Rate	Year 1	Year 2	Year 3	Year 4*	Year 5*
Project Manager	\$225.00	\$232.88	\$241.03	\$249.46	\$258.19
Component Architect	\$215.00	\$222.53	\$230.31	\$238.37	\$246.72
Lead JAVA / .NET Developer	\$200.00	\$207.00	\$214.25	\$221.74	\$229.50
Certified JAVA / .NET Developer	\$125.00	\$129.38	\$133.90	\$138.59	\$143.44
Non-Certified JAVA / .NET Developer	\$100.00	\$103.50	\$107.12	\$110.87	\$114.75
Web Developer	\$80.00	\$82.80	\$85.70	\$88.70	\$91.80
Business Analyst	\$125.00	\$129.38	\$133.90	\$138.59	\$143.44

* Contingent upon an approved contract amendment.

ii. Compensation to the Contractor for such Consulting Services as agreed upon by the State and the Contractor shall not exceed Three Million Three Hundred Thirty Five Thousand Nine Hundred Fifty Eight Dollars (\$3,335,958.00) during the period of the Contract. If, at any point during the Contract term, the State determines that spending for such approved Consulting Services would exceed said maximum amount, the State will execute an amendment to address the need.

The Contractor shall not be compensated for travel TIME to the primary location of the Service Provision.

C.3.d. The Contractor shall submit monthly invoices, in form and substance acceptable to the State with all of the necessary supporting documentation, prior to any payment. Such invoices shall be submitted for completed units of service or project milestones for the amount stipulated.

C.4. Travel Compensation. With regard to Travel, the following provisions shall apply:

C.4.a. The project site "Official Station," which is defined as the location at which Contractor personnel shall perform the major portion of their duties when on site, is Nashville, Tennessee.

- C.4.b. Neither the Contractor, its personnel, nor its agents shall be eligible for reimbursements for any travel expenses related to work performed at Contractor maintained or sanctioned work locations, or at the Official Station. This includes, but is not limited to, travel to and from the Official Station, and food and lodging therein.
- C.4.c. In some cases, at the State's request and with prior written approval, Contractor personnel may be required to travel and work away from the Official Station. Such travel expenses, provided that the destination is greater than fifty (50) miles from the Official Station, shall be reimbursed in accordance with the *State of Tennessee Comprehensive Travel Regulations*, as amended from time to time (see <http://www.state.tn.us/finance/act/policy.html>).
- C.5. Payment of Invoice. The payment of the invoice by the State shall not prejudice the State's right to object to or question any invoice or matter in relation thereto. Such payment by the State shall neither be construed as acceptance of any part of the work or service provided nor as an approval of any of the amounts invoiced therein.
- C.6. Invoice Reductions. The Contractor's invoice shall be subject to reduction for amounts included in any invoice or payment theretofore made which are determined by the State, on the basis of audits conducted in accordance with the terms of this Contract, not to constitute proper remuneration for compensable services.
- C.7. Deductions. The State reserves the right to deduct from amounts which are or shall become due and payable to the Contractor under this or any Contract between the Contractor and the State of Tennessee any amounts which are or shall become due and payable to the State of Tennessee by the Contractor.
- C.8. Automatic Deposits. The Contractor shall complete and sign an "Authorization Agreement for Automatic Deposit (ACH Credits) Form." This form shall be provided to the Contractor by the State. [SEE RFP ATTACHMENT 6.9 FOR A SAMPLE FORM.] Once this form has been completed and submitted to the State by the Contractor all payments to the Contractor, under this or any other Contract the Contractor has with the State of Tennessee shall be made by Automated Clearing House (ACH). The Contractor shall not invoice the State for services until the Contractor has completed this form and submitted it to the State.
- C.9. Total Cost of Ownership (TCO) Estimation Risk. The State acknowledges that, in order to support the system solution described herein, the State must procure the State-standard Hardware and Software in the volumes given in Contract Attachment U. In order for the State to predict its Total Cost of Ownership (TCO), the Contractor has proposed the following dollar amount, which is the total amount the State is expected to pay for the hardware/software listed in Contract Attachment U: \$1,166,198.00 (One Million One Hundred Sixty Six Thousand One Hundred Ninety Eight Dollars).

In the event that the Contractor has underestimated, or failed to enter, the required quantity of State-standard hardware/software, and it becomes necessary, during the term of this Contract, for the State to procure, at the State's expense, additional State-standard hardware/software, as listed in Contract Attachment U, the Contractor shall be responsible for the full cost, at the then-current rates, of any additional hardware/software that must be purchased. Provided however, that the Contractor's financial liability for the additional hardware/software shall be reduced if the Contractor demonstrates, and the State agrees, that the estimate inaccuracy was due to any of the following occurring during the term of the contract:

- a. Substantive change made by the State to the State's system requirements as originally stated in the RFP;
- b. Substantive change made in the number of users of the system;
- c. Substantive change made by the State to the volume of data stored on the system.

In the event that the Contractor is financially liable, such reimbursement to the State may be in the form of a credit against any amount owed by the State to the Contractor, or direct compensation to the State.

D. STANDARD TERMS AND CONDITIONS:

- D.1. Required Approvals. The State is not bound by this Contract or any amendment thereof until it is approved by the appropriate State officials in accordance with applicable Tennessee State laws and regulations.
- D.2. Modification and Amendment. This Contract may be modified only by a written amendment executed by all parties hereto and approved by the appropriate Tennessee State officials in accordance with applicable Tennessee State laws and regulations.
- D.3. Termination for Convenience. The State may terminate this Contract without cause for any reason. Said termination shall not be deemed a Breach of Contract by the State. The State shall give the Contractor at least sixty (60) days written notice before the effective termination date. The Contractor shall be entitled to receive compensation for satisfactory, authorized service completed as of the termination date, but in no event shall the State be liable to the Contractor for compensation for any service which has not been rendered. Upon such termination, the Contractor shall have no right to any actual general, special, incidental, consequential, or any other damages whatsoever of any description or amount.
- D.4. Termination for Cause. If the Contractor fails to properly perform its obligations under this Contract in a timely or proper manner, or if the Contractor violates any terms of this Contract, the State shall have the right to immediately terminate the Contract and withhold payments in excess of fair compensation for completed services. Notwithstanding the above, the Contractor shall not be relieved of liability to the State for damages sustained by virtue of any breach of this Contract by the Contractor.

The Termination Notice must (1) specify in reasonable detail the nature of the breach; (2) provide Contractor with an opportunity to cure, which must be requested in writing no less than 10 days from the date of the Termination Notice; (3) shall specify the effective date of termination in the event Contractor fails to correct the breach. The Termination Notice may specify that the Contractor shall cease operations under this Contract in stages. Contractor must present the State with a written request detailing the efforts it will take to resolve the problem and the time period for such resolution. This opportunity to "cure" shall not apply to circumstances in which the Contractor intentionally withholds its services or otherwise refuses to perform. The State will not consider a request to cure contract performance where there have been repeated problems with respect to identical or similar issues, or if a cure period would cause a delay that would impair the effectiveness of State operations.

- D.5. Subcontracting. The Contractor shall not assign this Contract or enter into a subcontract for any of the services performed under this Contract without obtaining the prior written approval of the State. If such subcontracts are approved by the State, they shall contain, at a minimum, sections of this Contract below pertaining to "Conflicts of Interest," "Nondiscrimination," and "Records" (as identified by the section headings). Notwithstanding any use of approved subcontractors, the Contractor shall be the prime contractor and shall be responsible for all work performed.
- D.6. Conflicts of Interest. The Contractor warrants that no part of the total Contract Amount shall be paid directly or indirectly to an employee or official of the State of Tennessee as wages, compensation, or gifts in exchange for acting as an officer, agent, employee, subcontractor, or consultant to the Contractor in connection with any work contemplated or performed relative to this Contract.
- D.7. Nondiscrimination. The Contractor hereby agrees, warrants, and assures that no person shall be excluded from participation in, be denied benefits of, or be otherwise subjected to discrimination in the performance of this Contract or in the employment practices of the Contractor on the grounds of disability, age, race, color, religion, sex, national origin, or any other classification protected by Federal, Tennessee State constitutional, or statutory law. The Contractor shall, upon request, show proof of such nondiscrimination and shall post in conspicuous places, available to all employees and applicants, notices of nondiscrimination.
- D.8. Prohibition of Illegal Immigrants. The requirements of Public Acts of 2006, Chapter Number 878, of the state of Tennessee, addressing the use of illegal immigrants in the performance of any Contract to supply goods or services to the state of Tennessee, shall be a material provision of this Contract, a breach of which shall be grounds for monetary and other penalties, up to and including termination of this Contract.

- a. The Contractor hereby attests, certifies, warrants, and assures that the Contractor shall not knowingly utilize the services of an illegal immigrant in the performance of this Contract and shall not knowingly utilize the services of any subcontractor who will utilize the services of an illegal immigrant in the performance of this Contract. The Contractor shall reaffirm this attestation, in writing, by submitting to the State a completed and signed copy of the document as Attachment A, hereto, semi-annually during the period of this Contract. Such attestations shall be maintained by the contractor and made available to state officials upon request.
 - b. Prior to the use of any subcontractor in the performance of this Contract, and semi-annually thereafter, during the period of this Contract, the Contractor shall obtain and retain a current, written attestation that the subcontractor shall not knowingly utilize the services of an illegal immigrant to perform work relative to this Contract and shall not knowingly utilize the services of any subcontractor who will utilize the services of an illegal immigrant to perform work relative to this Contract. Attestations obtained from such subcontractors shall be maintained by the contractor and made available to state officials upon request.
 - c. The Contractor shall maintain records for all personnel used in the performance of this Contract. Said records shall be subject to review and random inspection at any reasonable time upon reasonable notice by the State.
 - d. The Contractor understands and agrees that failure to comply with this section will be subject to the sanctions of Public Chapter 878 of 2006 for acts or omissions occurring after its effective date. This law requires the Commissioner of Finance and Administration to prohibit a contractor from contracting with, or submitting an offer, proposal, or bid to contract with the State of Tennessee to supply goods or services for a period of one year after a contractor is discovered to have knowingly used the services of illegal immigrants during the performance of this Contract.
 - e. For purposes of this Contract, "illegal immigrant" shall be defined as any person who is not either a United States citizen, a Lawful Permanent Resident, or a person whose physical presence in the United States is authorized or allowed by the federal Department of Homeland Security and who, under federal immigration laws and/or regulations, is authorized to be employed in the U.S. or is otherwise authorized to provide services under the Contract.
- D.9. Records. The Contractor shall maintain documentation for all charges under this Contract. The books, records, and documents of the Contractor, insofar as they relate to work performed or money received under this Contract, shall be maintained for a period of three (3) full years from the date of the final payment and shall be subject to audit at any reasonable time and upon reasonable notice by the State, the Comptroller of the Treasury, or their duly appointed representatives. The financial statements shall be prepared in accordance with generally accepted accounting principles.
- D.10. Monitoring. The Contractor's activities conducted and records maintained pursuant to this Contract shall be subject to monitoring and evaluation by the State, the Comptroller of the Treasury, or their duly appointed representatives.
- D.11. Progress Reports. The Contractor shall submit brief, periodic, progress reports to the State as requested.
- D.12. Strict Performance. Failure by any party to this Contract to insist in any one or more cases upon the strict performance of any of the terms, covenants, conditions, or provisions of this Contract shall not be construed as a waiver or relinquishment of any such term, covenant, condition, or provision. No term or condition of this Contract shall be held to be waived, modified, or deleted except by a written amendment signed by the parties hereto.
- D.13. Independent Contractor. The parties hereto, in the performance of this Contract, shall not act as employees, partners, joint venturers, or associates of one another. It is expressly acknowledged by the parties hereto that such parties are independent contracting entities and that nothing in this Contract shall be construed to create an employer/employee relationship or to allow either to exercise control or direction over the manner or method by which the other transacts its business affairs or provides its usual services. The employees or agents of one party shall not be deemed or construed to be the employees or agents of the other party for any purpose whatsoever.

The Contractor, being an independent contractor and not an employee of the State, agrees to carry adequate public liability and other appropriate forms of insurance, including adequate public liability and other appropriate forms of insurance on the Contractor's employees, and to pay all applicable taxes incident to this Contract.

- D.14. State Liability. The State shall have no liability except as specifically provided in this Contract.
- D.15. Force Majeure. The obligations of the parties to this Contract are subject to prevention by causes beyond the parties' control that could not be avoided by the exercise of due care including, but not limited to, acts of God, riots, wars, strikes, epidemics or any other similar cause. The State will adjust contract deadlines when required to do so by a Force Majeure event.
- D.16. State and Federal Compliance. The Contractor shall comply with all applicable State and Federal laws and regulations in the performance of this Contract.
- D.17. Governing Law. This Contract shall be governed by and construed in accordance with the laws of the State of Tennessee. The Contractor agrees that it will be subject to the exclusive jurisdiction of the courts of the State of Tennessee in actions that may arise under this Contract. The Contractor acknowledges and agrees that any rights or claims against the State of Tennessee or its employees hereunder, and any remedies arising therefrom, shall be subject to and limited to those rights and remedies, if any, available under *Tennessee Code Annotated*, Sections 9-8-101 through 9-8-407.
- D.18. Completeness. This Contract is complete and contains the entire understanding between the parties relating to the subject matter contained herein, including all the terms and conditions of the parties' agreement. This Contract supersedes any and all prior understandings, representations, negotiations, and agreements between the parties relating hereto, whether written or oral.
- D.19. Severability. If any terms and conditions of this Contract are held to be invalid or unenforceable as a matter of law, the other terms and conditions hereof shall not be affected thereby and shall remain in full force and effect. To this end, the terms and conditions of this Contract are declared severable.
- D.20. Headings. Section headings of this Contract are for reference purposes only and shall not be construed as part of this Contract.

E. SPECIAL TERMS AND CONDITIONS:

- E.1. Conflicting Terms and Conditions. Should any of these special terms and conditions conflict with any other terms and conditions of this Contract, these special terms and conditions shall control.
- E.2. Communications and Contacts. All instructions, notices, consents, demands, or other communications required or contemplated by this Contract shall be in writing and shall be made by facsimile transmission, by overnight courier service, or by first class mail, postage prepaid, addressed to the respective party at the appropriate facsimile number or address as set forth below or to such other party, facsimile number, or address as may be hereafter specified by written notice.

The State:

Ronald Sampson
Department of Finance and Administration
Andrew Jackson Building, 14th Floor
500 Deaderick Street
Nashville, TN 37243
Phone: (615) 253-1024
Fax: (615) 532-8982
Email: Ronald.Sampson@state.tn.us

The Contractor:

James N. Raffa, Contract Manager

Dynamics Research Corporation
60 Frontage Road
Andover, MA 01810
Phone: 978-289-1788
Fax: 978-289-1500
Email: JRaffa@DRC.com

All instructions, notices, consents, demands, or other communications shall be considered effectively given as of the day of delivery; as of the date specified for overnight courier service delivery; as of three (3) business days after the date of mailing; or on the day the facsimile transmission is received mechanically by the telefax machine at the receiving location and receipt is verbally confirmed by the sender if prior to 4:30 p.m. CST. Any communication by facsimile transmission shall also be sent by United States mail on the same date of the facsimile transmission.

- E.3. Subject to Funds Availability. The Contract is subject to the appropriation and availability of State and/or Federal funds. In the event that the funds are not appropriated or are otherwise unavailable, the State reserves the right to terminate the Contract upon written notice to the Contractor. Said termination shall not be deemed a breach of Contract by the State. Upon receipt of the written notice, the Contractor shall cease all work associated with the Contract. Should such an event occur, the Contractor shall be entitled to compensation for all satisfactory and authorized services completed as of the termination date. Upon such termination, the Contractor shall have no right to recover from the State any actual, general, special, incidental, consequential, or any other damages whatsoever of any description or amount.
- E.4. Breach. A party shall be deemed to have breached the Contract if any of the following occurs:
- failure to perform in accordance with any term or provision of the Contract;
 - partial performance of any term or provision of the Contract;
 - any act prohibited or restricted by the Contract, or
 - violation of any warranty.

For purposes of this Contract, these items shall hereinafter be referred to as a "Breach."

- a. Contractor Breach — The State shall notify Contractor in writing of a Breach.
- (1) In event of a Breach by Contractor, the state shall have available the remedy of Actual Damages and any other remedy available at law or equity.
 - (2) Liquidated Damages — In the event of a Breach, the State may assess Liquidated Damages. The State shall notify the Contractor of amounts to be assessed as Liquidated Damages. The parties agree that due to the complicated nature of the Contractor's obligations under this Contract it would be difficult to specifically designate a monetary amount for a Breach by Contractor as said amounts are likely to be uncertain and not easily proven. Contractor hereby represents and covenants it has carefully reviewed the Liquidated Damages contained in above referenced, Attachment T and agree that said amounts represent a reasonable relationship between the amount and what might reasonably be expected in the event of Breach, and are a reasonable estimate of the damages that would occur from a Breach. It is hereby agreed between the parties that the Liquidated Damages represent solely the damages and injuries sustained by the State in losing the benefit of the bargain with Contractor and do not include any injury or damage sustained by a third party. The Contractor agrees that the liquidated damage amount is in addition to any amounts Contractor may owe the State pursuant to the indemnity provision or other section of this Contract.

The State may continue to withhold the Liquidated Damages or a portion thereof until the Contractor cures the Breach, the State exercises its option to declare a Partial Default, or the State terminates the Contract. The State is not obligated to assess Liquidated Damages before availing itself of any other remedy. The State may choose to discontinue Liquidated Damages and avail itself of any other remedy available under this

Contract or at law or equity; provided, however, Contractor shall receive a credit for said Liquidated Damages previously withheld except in the event of a Partial Default.

- (3) Partial Default— In the event of a Breach, the State may declare a Partial Default. In which case, the State shall provide the Contractor written notice of: (1) the date which Contractor shall terminate providing the service associated with the Breach; and (2) the date the State will begin to provide the service associated with the Breach. Notwithstanding the foregoing, the State may revise the time periods contained in the notice written to the Contractor.

In the event the State declares a Partial Default, the State may withhold, together with any other damages associated with the Breach, from the amounts due the Contractor the greater of: (1) amounts which would be paid the Contractor to provide the defaulted service; or (2) the cost to the State of providing the defaulted service, whether said service is provided by the State or a third party. To determine the amount the Contractor is being paid for any particular service, the Department shall be entitled to receive within five (5) days any requested material from Contractor. The State shall make the final and binding determination of said amount.

The State may assess Liquidated Damages against the Contractor for any failure to perform which ultimately results in a Partial Default with said Liquidated Damages to cease when said Partial Default is effective. Upon Partial Default, the Contractor shall have no right to recover from the State any actual, general, special, incidental, consequential, or any other damages whatsoever of any description or amount. Contractor agrees to cooperate fully with the State in the event a Partial Default is taken.

- (4) Contract Termination — In the event of a Breach, the State may terminate the Contract immediately or in stages. The Contractor shall be notified of the termination in writing by the State. Said notice shall hereinafter be referred to as Termination Notice.

The Termination Notice must (1) specify in reasonable detail the nature of the breach; (2) provide Contractor with an opportunity to cure, which must be requested in writing no less than 10 days from the date of the Termination Notice; (3) shall specify the effective date of termination in the event Contractor fails to correct the breach. The Termination Notice may specify that the Contractor shall cease operations under this Contract in stages. Contractor must present the State with a written request detailing the efforts it will take to resolve the problem and the time period for such resolution. This opportunity to "cure" shall not apply to circumstances in which the Contractor intentionally withholds its services or otherwise refuses to perform. The State will not consider a request to cure contract performance where there have been repeated problems with respect to identical or similar issues, or if a cure period would cause a delay that would impair the effectiveness of State operations.

In the event of a termination, the State may withhold any amounts which may be due Contractor without waiver of any other remedy or damages available to the State at law or at equity. The Contractor shall be liable to the State for any and all damages incurred by the State and any and all expenses incurred by the State which exceed the amount the State would have paid Contractor under this Contract. Contractor agrees to cooperate with the State in the event of a Contract Termination or Partial Takeover.

- b. State Breach — In the event of a Breach of Contract by the State, the Contractor shall notify the State in writing within 30 days of any Breach of Contract by the State. Said notice shall contain a description of the Breach. Failure by the Contractor to provide said written notice shall operate as an absolute waiver by the Contractor of the State's Breach. In no event shall any Breach on the part of the State excuse the Contractor from full performance under this Contract. In the event of Breach by the State, the Contractor may avail itself of any remedy at law in the forum with appropriate jurisdiction; provided, however, failure by the Contractor to give the State written notice and opportunity to cure as described herein operates as a waiver of the State's Breach. Failure by the Contractor to file a claim before the appropriate forum in Tennessee with

jurisdiction to hear such claim within one (1) year of the written notice of Breach shall operate as a waiver of said claim in its entirety. It is agreed by the parties this provision establishes a contractual period of limitations for any claim brought by the Contractor.

E.5. Partial Takeover. The State may, at its convenience and without cause, exercise a partial takeover of any service which the Contractor is obligated to perform under this Contract, including but not limited to any service which is the subject of a subcontract between Contractor and a third party, although the Contractor is not in Breach (hereinafter referred to as "Partial Takeover"). Said Partial Takeover shall not be deemed a Breach of Contract by the State. Contractor shall be given at least 30 days prior written notice of said Partial Takeover with said notice to specify the area(s) of service the State will assume and the date of said assumption. Any Partial Takeover by the State shall not alter in any way Contractor's other obligations under this Contract. The State may withhold from amounts due the Contractor the amount the Contractor would have been paid to deliver the service as determined by the State. The amounts shall be withheld effective as of the date the State assumes the service. Upon Partial Takeover, the Contractor shall have no right to recover from the State any actual, general, special, incidental, consequential, or any other damages whatsoever of any description or amount.

E.6. Ownership of Software and Work Products.

E.6.a. Definitions.

- i. "Contractor-Owned Software," which shall mean commercially available software the rights to which are owned by Contractor, including but not limited to commercial "off-the-shelf" software which is not developed using State's money or resources.
- ii. "Custom-Developed Application Software," which shall mean customized application software developed by Contractor solely for State.
- iii. "Rights Transfer Application Software," which shall mean any pre-existing application software owned by, or sourced from, Contractor or a third party, including another government entity, such software to be provided to State and to which Contractor, to the extent that the Contractor is legally able, will grant and assign, or will facilitate the granting and assignment of, all rights, including the source code, to State.
- iv. "Third-Party Software," which shall mean software not owned by the State or the Contractor. This includes "Open-Source Software."
- v. "Work Product," which shall mean all deliverables exclusive of hardware, such as software, software source code, documentation, planning, etc., that are created, designed, developed, or documented by the Contractor for the State during the course of the project using State's money or resources, including Custom-Developed Application Software. If the system solution includes Rights Transfer Application Software, the definition of Work Product shall also include such software.

E.6.b. Rights and Title to the Software

- i. All right, title and interest in and to the Contractor-Owned Software shall at all times remain with Contractor, subject to any license granted herein.
- ii. All right, title and interest in and to the Work Product, and to modifications thereof made by State, including without limitation all copyrights, patents, trade secrets and other intellectual property and other proprietary rights embodied by and arising out of the Work Product, shall belong to State. To the extent such rights do not automatically belong to State, and to the extent that the Contractor is legally able to do so, the Contractor hereby assigns, transfers, and conveys all right, title and interest in and to the Work Product, including without limitation the copyrights, patents, trade secrets, and other intellectual property rights arising out of or embodied by the Work Product. Contractor shall execute any other documents that State or its counsel deem necessary or desirable to document this transfer and/or allow State to register its claims and rights to such intellectual property rights or enforce them against third parties, and Contractor shall cooperate fully in the foregoing endeavors.

- iii. All right, title and interest in and to the Third-Party Software shall at all times remain with the third party, subject to any license granted thereby.
- E.6.c. Acquired Knowledge and Skills. Nothing in this Contract shall prohibit the Contractor's use for its own purposes of the general knowledge, skills, experience, ideas, concepts, know-how, and techniques obtained and used during the course of providing the services requested under this Contract.
- E.6.d. Development of Similar Materials. Nothing in the Contract shall prohibit the Contractor from developing for itself, or for others, materials which are similar to and/or competitive with those that are produced under this Contract.
- E.7. Printing Authorization. The Contractor agrees that no publication coming within the jurisdiction of *Tennessee Code Annotated*, Section 12-7-101, *et. seq.*, shall be printed unless a printing authorization number has been obtained and affixed as required by *Tennessee Code Annotated*, Section 12-7-103 (d).
- E.8. State Furnished Property. The Contractor shall be responsible for the correct use, maintenance, and protection of all articles of nonexpendable, tangible, personal property furnished by the State for the Contractor's temporary use under this Contract. Upon termination of this Contract, all property furnished shall be returned to the State in good order and condition as when received, reasonable use and wear thereof excepted. Should the property be destroyed, lost, or stolen, the Contractor shall be responsible to the State for the residual value of the property at the time of loss.
- E.9. Incorporation of Additional Documents. Included in this Contract by reference are the following documents:
- a. The Contract document and its attachments
 - b. All Clarifications and addenda made to the Contractor's Proposal
 - c. The Request for Proposal and its associated amendments
 - d. Technical Specifications provided to the Contractor
 - e. The Contractor's Proposal

In the event of a discrepancy or ambiguity regarding the Contractor's duties, responsibilities, and performance under this Contract, these documents shall govern in order of precedence detailed above.

- E.10. Workpapers Subject to Review. The Contractor shall make all audit, accounting, or financial analysis workpapers, notes, and other documentation available for review by the Comptroller of the Treasury or his representatives, upon request, during normal working hours either while the analysis is in progress or subsequent to the completion of this Contract.
- E.11. Lobbying. The Contractor certifies, to the best of its knowledge and belief, that:

No federally appropriated funds have been paid or will be paid, by or on behalf of the Contractor, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress in connection with the awarding of any federal contract, the making of any federal grant, the making of any federal loan, and entering into any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any federal contract, grant, loan, or cooperative agreement.

If any funds other than federally appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this contract, grant, loan, or cooperative agreement, the Contractor shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

The Contractor shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including sub-grants, subcontracts, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients of federally appropriated funds shall certify and disclose accordingly.

E.12. Prohibited Advertising. The Contractor shall not refer to this Contract or the Contractor's relationship with the State hereunder in commercial advertising in such a manner as to state or imply that the Contractor or the Contractor's services are endorsed.

E.13. Confidentiality of Records. Strict standards of confidentiality of records and information shall be maintained in accordance with applicable state and federal law. All material and information, regardless of form, medium or method of communication, provided to the Contractor by the State or acquired by the Contractor on behalf of the State shall be regarded as confidential information in accordance with the provisions of applicable state and federal law, state and federal rules and regulations, departmental policy, and ethical standards. Such confidential information shall not be disclosed, and all necessary steps shall be taken by the Contractor to safeguard the confidentiality of such material or information in conformance with applicable state and federal law, state and federal rules and regulations, departmental policy, and ethical standards.

The Contractor's obligations under this section do not apply to information in the public domain; entering the public domain but not from a breach by the Contractor of this Contract; previously possessed by the Contractor without written obligations to the State to protect it; acquired by the Contractor without written restrictions against disclosure from a third party which, to the Contractor's knowledge, is free to disclose the information; independently developed by the Contractor without the use of the State's information; or, disclosed by the State to others without restrictions against disclosure. Nothing in this paragraph shall permit Contractor to disclose any information that is confidential under federal or state law or regulations, regardless of whether it has been disclosed or made available to the Contractor due to intentional or negligent actions or inactions of agents of the State or third parties.

It is expressly understood and agreed the obligations set forth in this section shall survive the termination of this Contract.

E.14. Copyrights and Patents.

E.14.a. The Contractor agrees to indemnify and hold harmless the State of Tennessee as well as its officers, agents, and employees from and against any and all claims or suits which may be brought against the State for third-party ownership and/or infringement of any laws regarding patents or copyrights which may arise from the Contractor's performance of this Contract. In any such action brought against the State, the Contractor shall satisfy and indemnify the State for the amount of any final judgment for infringement. The Contractor further agrees it shall be liable for the reasonable fees of attorneys for the State in the event such service is necessitated to enforce the terms of this Contract or otherwise enforce the obligations of the Contractor to the State. The State shall give the Contractor written notice of any such claim or suit and full right and opportunity to conduct the Contractor's own defense thereof.

E.14.b. If any such work product, or any portion thereof, is found to be such an infringement or unauthorized use, at the State's request the Contractor, at its expense, shall select one of the following options: (1) procure for the State the continued use of such work product, (2) replace such work product with non-infringing work product, or (3) modify such work product so it becomes non-infringing; provided that, if (2) or (3) is the option chosen by Contractor, the replacement or modified work product is capable of performing substantially the same function. The remedies stated in this Section E.14.b shall be in addition to the financial remedies that the State may seek, as described in Section E.14.a.

E.15. Authorized Individuals. Each party hereto has provided the other party hereto with a list identifying the individuals from whom the other party is authorized to accept any notices, requests, demands, or other advice which may be given hereunder by the party providing such list. Said lists, which are attached hereto as Attachment P, shall be valid until revoked or amended by further written notice. The parties hereto shall only be entitled to rely on notices, requests, demands, or other advice given by such individuals.

E.16. Tennessee Consolidated Retirement System. The Contractor acknowledges and understands that, subject to statutory exceptions contained in *Tennessee Code Annotated*, Section 8-36-801, *et. seq.*, the law governing the Tennessee Consolidated Retirement System (TCRS), provides that if a retired member of TCRS, or of any superseded system administered by TCRS, or of any local retirement fund established pursuant to *Tennessee Code Annotated*, Title 8, Chapter 35, Part 3 accepts state employment, the

member's retirement allowance is suspended during the period of the employment. Accordingly and notwithstanding any provision of this Contract to the contrary, the Contractor agrees that if it is later determined that the true nature of the working relationship between the Contractor and the State under this Contract is that of "employee/employer" and not that of an independent contractor, the Contractor may be required to repay to TCRS the amount of retirement benefits the Contractor received from TCRS during the period of this Contract.

- E.17. Debarment and Suspension. The Contractor certifies, to the best of its knowledge and belief, that it and its principals:
- a. are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal or State department or agency;
 - b. have not within a three (3) year period preceding this Contract been convicted of, or had a civil judgment rendered against them from commission of fraud, or a criminal offense in connection with obtaining attempting to obtain, or performing a public (Federal, State, or Local) transaction or grant under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification, or destruction of records, making false statements, or receiving stolen property;
 - c. are not presently indicted for or otherwise criminally or civilly charged by a government entity (Federal, State, or Local) with commission of any of the offenses detailed in section b. of this certification; and
 - d. have not within a three (3) year period preceding this Contract had one or more public transactions (Federal, State, or Local) terminated for cause or default.
- E.18. HIPAA Compliance. The State and Contractor shall comply with obligations under the Health Insurance Portability and Accountability Act of 1996 (HIPAA) and its accompanying regulations.
- a. Contractor warrants to the State that it is familiar with the requirements of HIPAA and its accompanying regulations, and will comply with all applicable HIPAA requirements in the course of this Contract.
 - b. Contractor warrants that it will cooperate with the State, including cooperation and coordination with State privacy officials and other compliance officers required by HIPAA and its regulations, in the course of performance of the Contract so that both parties will be in compliance with HIPAA.
 - c. The State and the Contractor will sign documents, including but not limited to business associate agreements, as required by HIPAA and that are reasonably necessary to keep the State and Contractor in compliance with HIPAA. This provision shall not apply if information received by the State under this Contract is NOT "protected health information" as defined by HIPAA, or if HIPAA permits the State to receive such information without entering into a business associate agreement (See Contract Attachment C) or signing another such document.
- E.19. Contractor Commitment to Diversity. The Contractor shall comply with and make reasonable business efforts to exceed the commitment to diversity represented by the Contractor's proposal responding to RFP-317.03-163-08 (Attachment 6.3, Section B, Item B.13.) and resulting in this Contract.
- The Contractor shall assist the State in monitoring the Contractor's performance of this commitment by providing, as requested, a quarterly report of participation in the performance of this Contract by small business enterprises and businesses owned by minorities, women, and persons with a disability. Such reports shall be provided to the state of Tennessee Governor's Office of Business Diversity Enterprise in form and substance as required by said office.
- E.20. Limitation of Liability. The parties agree that the total liability of the Contractor for breach of this Contract shall not exceed one (1) times the value of this contract. The value shall be established by the Contract Maximum Liability in Section C.1 and increased by subsequent amendments if any. The foregoing provision shall not limit the contractor's liability for intentional torts, criminal acts or fraudulent conduct.

- E.21. Acceptable Use Policy and Agreement. Contractor personnel who require a physical and / or logical presence (remote connection) within the State of Tennessee networked and / or physical environment must adhere to the following:
- a. Ensure that all networked device hardware and software Operating Systems remain in conformance with the *Tennessee Information Resources Architecture* and State deployment standards, including:
 - i. Laptops and desktops imaged per State standards
 - ii. Operating System(s) managed by the State of Tennessee Microsoft Software Update Services (SUS) process.
 - iii. Operating System(s) anti-virus protection managed by the State of Tennessee Symantec Enterprise solution.
 - b. Ensure that, in addition to the Operating System(s), all other required networked device software is first reviewed and approved by the State of Tennessee Office for Information Resources. All software installed on laptops and desktops must be properly licensed and maintained.
 - c. Ensure that all contractor personnel maintain an awareness of and remain subject to the State of Tennessee Acceptable Use Policy

Contractor acceptance will be evidenced by the execution of the State's Acceptable Use Policy and Agreement for applicable Contractor personnel. A sample form that all Contractor personnel will be required to sign is included herein as Contract Attachment B.

- E.22. Because Federal funding is involved, 45 CFR Section 95.615 (Access to systems and records) and CFR part 74 apply. Therefore, the State will allow Federal access to the system in all of its aspects, including design developments, operation, and cost records of contractors and subcontractors at such intervals as are deemed necessary by the U.S. Department of Health and Human Services Administration for Children and Families (ACF) to determine whether the conditions for Federal financial participation approval are being met and to determine the efficiency, economy and effectiveness of the system. The Contractor shall comply with the conditions for Federal financial participation approval, and, at the State's request, the Contractor shall facilitate the performance of any such audits by Federal representatives.
- E.23. Per 45 CFR Section 95.611(b)(iii), the State will obtain from the Federal Government specific prior approval for this federal financial participation Contract and any subsequent contract modifications/changes that may be required.
- E.24. As 45 CFR 95.617 requires, the State will have all ownership rights to all software, modifications, and associated documentation thereof prepared by the Contractor in connection with the performance of the services under this contract. The Contractor waives any author rights and similar retained interests in the software, modifications, and associated documentation prepared in connection with the performance of the services under this contract.

In addition, per 45 CFR 95.617(b) (Software and ownership rights), the Federal Government reserves a royalty-free, nonexclusive, and irrevocable license to reproduce, publish, or otherwise use and to authorize others to use for Federal Government purposes, such software, modifications, and associated documentation prepared by the Contractor in connection with the performance of the services under this federal financial participation contract.

The above provisions of this Section E.24 notwithstanding, the Contractor and/or third parties shall retain all right, title and interest in Contractor-Owned and Third Party software, as described in Contract Sections E.6.b.i and E.6.b.iii.

IN WITNESS WHEREOF:

DYNAMICS RESEARCH CORPORATION:

Deborah A. Brunetti
CONTRACTOR SIGNATURE

February 20, 2008
DATE

Deborah A. Brunetti, Vice President / General Manager, Contracts
PRINTED NAME AND TITLE OF AUTHORIZED CONTRACTOR SIGNATORY (above)

DEPARTMENT OF FINANCE AND ADMINISTRATION:

M. D. Goetz, Jr.
M. D. GOETZ, JR., COMMISSIONER

4-11-08
DATE

APPROVED:

DEPARTMENT OF FINANCE AND ADMINISTRATION:

PER AUTHORIZED
SIGNATURE
M. D. Goetz, Jr.

M. D. GOETZ, JR., COMMISSIONER

APR 15 2008
DATE

COMPTROLLER OF THE TREASURY:

John G. Morgan
JOHN G. MORGAN, COMPTROLLER OF THE TREASURY

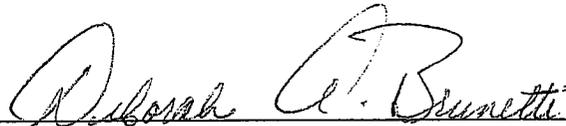
4/16/08
DATE

ATTESTATION RE PERSONNEL USED IN CONTRACT PERFORMANCE

SUBJECT CONTRACT NUMBER:	
CONTRACTOR LEGAL ENTITY NAME:	Dynamics Research Corporation
FEDERAL EMPLOYER IDENTIFICATION NUMBER: (or Social Security Number)	042211809

The Contractor, identified above, does hereby attest, certify, warrant, and assure that the Contractor shall not knowingly utilize the services of an illegal immigrant in the performance of this Contract and shall not knowingly utilize the services of any subcontractor who will utilize the services of an illegal immigrant in the performance of this Contract.

SIGNATURE & DATE:



February 20, 2008

NOTICE: This attestation MUST be signed by an individual empowered to contractually bind the Contractor. If said individual is not the chief executive or president, this document shall attach evidence showing the individual's authority to contractually bind the Contractor.

Contract Attachment B – Acceptable Use Policy and Agreement

STATE OF TENNESSEE

Acceptable Use Policy

Network Access Rights and Obligations

Purpose:

To establish guidelines for State-owned hardware and software, computer network access and usage, Internet and email usage, telephony, and security and privacy for users of the State of Tennessee Wide Area Network.

Reference:

Tennessee Code Annotated, Section 4-3-5501, et seq., effective May 10, 1994.

Tennessee Code Annotated, Section 10-7-512, effective July 1, 2000.

Tennessee Code Annotated, Section 10-7-504, effective July 1, 2001.

State of Tennessee Security Policies.

Objectives:

- Ensure the protection of proprietary, personal, privileged, or otherwise sensitive data and resources that may be processed in any manner by the State, or any agent for the State.
- Provide uninterrupted network resources to users.
- Ensure proper usage of networked information, programs and facilities offered by the State of Tennessee networks.
- Maintain security of and access to networked data and resources on an authorized basis.
- Secure email from unauthorized access.
- Protect the confidentiality and integrity of files and programs from unauthorized users.
- Inform users there is no expectation of privacy in their use of State-owned hardware, software, or computer network access and usage.
- Provide Internet and email access to the users of the State of Tennessee networks.

Scope:

This Acceptable Use Policy applies to all individuals who have been provided access rights to the State of Tennessee networks, State provided email, and / or Internet via agency issued network or system User ID's. The scope does not include State phone systems, fax machines, copiers, State issued cell phones or pagers unless those services are delivered over the State's IP network.

Use and Prohibitions:

A. Network Resources

State employees, vendors / business partners / sub recipients, local governments, and other governmental agencies may be authorized to access state network resources to perform business functions with or on behalf of the State. Users must be acting within the scope of their employment or contractual relationship with the State and must agree to abide by the terms of this agreement as evidenced by his / her signature. It is recognized that there may be incidental personal use of State Network Resources. This practice is not encouraged and employees should be aware that all usage may be monitored and that there is no right to privacy. Various transactions resulting from network usage are the property of the state and are thus subject to open records laws.

Prohibitions

- Sending or sharing with unauthorized persons any information that is confidential by law, rule or regulation.
- Installing software that has not been authorized by the Office for Information Resources of the Department of Finance and Administration.
- Attaching processing devices that have not been authorized by the Office for Information Resources of the Department of Finance and Administration.
- Using network resources to play or download games, music, or videos that are not in support of business functions.
- Leaving workstation unattended without engaging password protection for the keyboard or workstation.
- Utilizing unauthorized peer-to-peer networking or peer-to-peer file sharing.
- Using network resources in support of unlawful activities as defined by federal, state, and local law.
- Utilizing network resources for activities that violate conduct policies established by the Department of Personnel or the Agency where the user is employed or under contract.

B. Email

Email and calendar functions are provided to expedite and improve communications among network users.

Prohibitions

- Sending unsolicited junk email or chain letters (e.g. "spam") to any users of the network.
- Sending any material that contains viruses, Trojan horses, worms, time bombs, cancel bots, or any other harmful or deleterious programs.
- Sending copyrighted materials via email that is either not within the fair use guidelines or without prior permission from the author or publisher.
- Sending or receiving communications that violate conduct policies established by the Department of Personnel or the Agency where the user is employed or under contract.
- Sending confidential material to an unauthorized recipient or sending confidential e-mail without the proper security standards (including encryption if necessary) being met.

Email created, sent, or received in conjunction with the transaction of official business are public records in accordance with T.C.A 10-7-301 through 10-7-308, and the rules of the Public Records Commission. A public record is defined as follows:

"Public record(s)" or "state record(s)" means all documents, papers, letters, maps, books, photographs, microfilms, electronic data processing files and output, films, sound recordings or other material, regardless of physical form or characteristics made or received pursuant to law or ordinance or in connection with the transaction of official business by any governmental agency. (T.C.A. 10-7-301 (6)).

State records are open to public inspection unless they are protected by State or Federal law, rule, or regulation. Because a court could interpret state records to include draft letters, working drafts of reports and what are intended to be casual comments, be aware that anything sent as electronic mail could be made available to the public.

C. Internet Access

Internet access is provided to network users to assist them in performing the duties and responsibilities associated with their positions.

Prohibitions

- Using the Internet to access non-State provided web email services.
- Using Instant Messaging or Internet Relay Chat (IRC).
- Using the Internet for broadcast audio for non-business use.
- Utilizing unauthorized peer-to-peer networking or peer-to-peer file sharing.
- Using the Internet when it violates any federal, state or local law.

Statement of Consequences

Noncompliance with this policy may constitute a legal risk to the State of Tennessee, an organizational risk to the State of Tennessee in terms of potential harm to employees or citizen security, or a security risk to the State of Tennessee's Network Operations and the user community, and / or a potential personal liability. The presence of unauthorized data in the State network could lead to liability on the part of the State as well as the individuals responsible for obtaining it.

Statement of Enforcement

Noncompliance with this policy may result in the following immediate actions.

1. Written notification will be sent to the Agency Head and to designated points of contact in the User Agency's Human Resources and Information Technology Resource Offices to identify the user and the nature of the noncompliance as "cause". In the case of a vendor, sub recipient, or contractor, the contract administrator will be notified.
2. User access may be terminated immediately by the Systems Administrator, and the user may be subject to subsequent review and action as determined by the agency, department, board, or commission leadership, or contract administrator.

STATE OF TENNESSEE

**Acceptable Use Policy
Network Access Rights and Obligations
User Agreement Acknowledgement**

As a user of State of Tennessee data and resources, I agree to abide by the Acceptable Use Network Access Rights and Obligations Policy and the following promises and guidelines as they relate to the policy established:

1. I will protect State confidential data, facilities, and systems against unauthorized disclosure and/or use.
2. I will maintain all computer access codes in the strictest of confidence; immediately change them if I suspect their secrecy has been compromised, and will report activity that is contrary to the provisions of this agreement to my supervisor or a State-authorized Security Administrator.
3. I will be accountable for all transactions performed using my computer access codes.
4. I will not disclose any confidential information other than to persons authorized to access such information as identified by my section supervisor.
5. I agree to report to the Office for Information Resources (OIR) any suspicious network activity or security breach.

Privacy Expectations

The State of Tennessee actively monitors network services and resources, including, but not limited to, real time monitoring. Users should have no expectation of privacy. These communications are considered to be State property and may be examined by management for any reason including, but not limited to, security and / or employee conduct.

I acknowledge that I must adhere to this policy as a condition for receiving access to State of Tennessee data and resources.

I acknowledge that I have read the Computer Crimes Act and the State of Tennessee Security Policy 4.00 Access. I understand the willful violation or disregard of any of these guidelines, statute or policies may result in my loss of access and disciplinary action, up to and including termination of my employment, termination of my business relationship with the State of Tennessee, and any other appropriate legal action, including possible prosecution under the provisions of the Computer Crimes Act as cited at TCA 39-14-601 et seq., and other applicable laws.

I have read and agree to comply with the policy set forth herein.

Type or Print Name

Last 4 digits of Social Security Number

Signature

Date

Contract Attachment C – HIPAA Business Associate Agreement

HIPAA BUSINESS ASSOCIATE AGREEMENT COMPLIANCE WITH PRIVACY AND SECURITY RULES

THIS BUSINESS ASSOCIATE AGREEMENT (hereinafter "Agreement") is between The State of Tennessee, Department of Finance and Administration (hereinafter "Covered Entity") and Dynamics Research Corporation (hereinafter "Business Associate"). Covered Entity and Business Associate may be referred to herein individually as "Party" or collectively as "Parties."

BACKGROUND

Covered Entity acknowledges that it is subject to the Privacy and Security Rules (45 CFR Parts 160 and 164) promulgated by the United States Department of Health and Human Services pursuant to the Health Insurance Portability and Accountability Act of 1996 (HIPAA), Public Law 104-191 in certain aspects of its operations.

Business Associate provides services to Covered Entity pursuant to one or more contractual relationships detailed below and hereinafter referred to as "Service Contracts."

Contract Awarded Pursuant to RFP #317.03-163-08

In the course of executing Service Contracts, Business Associate may come into contact with, use, or disclose Protected Health Information (defined in Section 1.8 below). Said Service Contracts are hereby incorporated by reference and shall be taken and considered as a part of this document the same as if fully set out herein.

In accordance with the federal privacy and security regulations set forth at 45 C.F.R. Part 160 and Part 164, Subparts A, C, and E, which require Covered Entity to have a written memorandum with each of its internal Business Associates, the Parties wish to establish satisfactory assurances that Business Associate will appropriately safeguard "Protected Health Information" and, therefore, make this Agreement.

DEFINITIONS

- 1.1 Terms used, but not otherwise defined, in this Agreement shall have the same meaning as those terms in 45 CFR §§ 160.103, 164.103, 164.304, 164.501 and 164.504.
- 1.2 "Designated Record Set" shall have the meaning set out in its definition at 45 C.F.R. § 164.501.
- 1.3 "Electronic Protected Health Care Information" shall have the meaning set out in its definition at 45 C.F.R. § 160.103.
- 1.4 "Health Care Operations" shall have the meaning set out in its definition at 45 C.F.R. § 164.501.
- 1.5 "Individual" shall have the same meaning as the term "individual" in 45 CFR § 160.103 and shall include a person who qualifies as a personal representative in accordance with 45 CFR § 164.502(g).
- 1.6 "Privacy Official" shall have the meaning as set out in its definition at 45 C.F.R. § 164.530(a)(1).
- 1.7 "Privacy Rule" shall mean the Standards for Privacy of Individually Identifiable Health Information at 45 CFR Part 160 and Part 164, subparts A, and E.
- 1.8 "Protected Health Information" shall have the same meaning as the term "protected health information" in 45 CFR § 160.103, limited to the information created or received by Business Associate from or on behalf of Covered Entity.
- 1.9 "Required by Law" shall have the meaning set forth in 45 CFR § 164.512.

1.10 "Security Rule" shall mean the Security Standards for the Protection of Electronic Protected Health Information at 45 CFR Parts 160 and 164, Subparts A and C.

2. OBLIGATIONS AND ACTIVITIES OF BUSINESS ASSOCIATE (Privacy Rule)

- 2.1 Business Associate agrees to fully comply with the requirements under the Privacy Rule applicable to "business associates," as that term is defined in the Privacy Rule and not use or further disclose Protected Health Information other than as permitted or required by this Agreement, the Service Contracts, or as Required By Law. In case of any conflict between this Agreement and the Service Contracts, this Agreement shall govern.
- 2.2 Business Associate agrees to use appropriate procedural, physical, and electronic safeguards to prevent use or disclosure of Protected Health Information other than as provided for by this Agreement. Said safeguards shall include, but are not limited to, requiring employees to agree to use or disclose Protected Health Information only as permitted or required by this Agreement and taking related disciplinary actions for inappropriate use or disclosure as necessary.
- 2.3 Business Associate shall require any agent, including a subcontractor, to whom it provides Protected Health Information received from, created or received by, Business Associate on behalf of Covered Entity or that carries out any duties for the Business Associate involving the use, custody, disclosure, creation of, or access to Protected Health Information, to agree, by written contract with Business Associate, to the same restrictions and conditions that apply through this Agreement to Business Associate with respect to such information.
- 2.4 Business Associate agrees to mitigate, to the extent practicable, any harmful effect that is known to Business Associate of a use or disclosure of Protected Health Information by Business Associate in violation of the requirements of this Agreement.
- 2.5 Business Associate agrees to require its employees, agents, and subcontractors to promptly report, to Business Associate, any use or disclosure of Protected Health Information in violation of this Agreement. Business Associate agrees to report to Covered Entity any use or disclosure of the Protected Health Information not provided for by this Agreement.
- 2.6 If Business Associate receives Protected Health Information from Covered Entity in a Designated Record Set, then Business Associate agrees to provide access, at the request of Covered Entity, to Protected Health Information in a Designated Record Set, to Covered Entity or, as directed by covered Entity, to an Individual in order to meet the requirements under 45 CFR § 164.524, provided that Business Associate shall have at least twenty (20) business days from Covered Entity notice to provide access to, or deliver such information.
- 2.7 If Business Associate receives Protected Health Information from Covered Entity in a Designated Record Set, then Business Associate agrees to make any amendments to Protected Health Information in a Designated Record Set that the Covered Entity directs or agrees to pursuant to the 45 CFR § 164.526 at the request of Covered Entity or an Individual, and in the time and manner designated by Covered Entity, provided that Business Associate shall have at least ten (10) days from Covered Entity notice to make an amendment.
- 2.8 Business Associate agrees to make its internal practices, books, and records including policies and procedures and Protected Health Information, relating to the use and disclosure of Protected Health Information received from, created by or received by Business Associate on behalf of, Covered Entity available to the Secretary of the United States Department of Health in Human Services or the Secretary's designee, in a time and manner designated by the Secretary, for purposes of determining Covered Entity's or Business Associate's compliance with the Privacy Rule.
- 2.9 Business Associate agrees to document disclosures of Protected Health Information and information related to such disclosures as would be required for Covered Entity to respond to a request by an Individual for an accounting of disclosure of Protected Health Information in accordance with 45 CFR § 164.528.

- 2.10 Business Associate agrees to provide Covered Entity or an Individual, in time and manner designated by Covered Entity, information collected in accordance with this Agreement, to permit Covered Entity to respond to a request by an Individual for and accounting of disclosures of Protected Health Information in accordance with 45 CFR § 164.528, provided that Business Associate shall have at least twenty (20) days from Covered Entity notice to provide access to, or deliver such information which shall include, at minimum, (a) date of the disclosure; (b) name of the third party to whom the Protected Health Information was disclosed and, if known, the address of the third party; (c) brief description of the disclosed information; and (d) brief explanation of the purpose and basis for such disclosure.
- 2.11 Business Associate agrees it must limit any use, disclosure, or request for use or disclosure of Protected Health Information to the minimum amount necessary to accomplish the intended purpose of the use, disclosure, or request in accordance with the requirements of the Privacy Rule.
- 2.11.1 Business Associate represents to Covered Entity that all its uses and disclosures of, or requests for, Protected Health Information shall be the minimum necessary in accordance with the Privacy Rule requirements.
- 2.11.2 Covered Entity may, pursuant to the Privacy Rule, reasonably rely on any requested disclosure as the minimum necessary for the stated purpose when the information is requested by Business Associate.
- 2.11.3 Business Associate acknowledges that if Business Associate is also a covered entity, as defined by the Privacy Rule, Business Associate is required, independent of Business Associate's obligations under this Memorandum, to comply with the Privacy Rule's minimum necessary requirements when making any request for Protected Health Information from Covered Entity.
- 2.12 Business Associate agrees to adequately and properly maintain all Protected Health Information received from, or created or received on behalf of, Covered Entity.
- 2.13 If Business Associate receives a request from an Individual for a copy of the individual's Protected Health Information, and the Protected Health Information is in the sole possession of the Business Associate, Business Associate will provide the requested copies to the individual and notify the Covered Entity of such action. If Business Associate receives a request for Protected Health Information in the possession of the Covered Entity, or receives a request to exercise other individual rights as set forth in the Privacy Rule, Business Associate shall notify Covered Entity of such request and forward the request to Covered Entity. Business Associate shall then assist Covered Entity in responding to the request.
- 2.14 Business Associate agrees to fully cooperate in good faith with and to assist Covered Entity in complying with the requirements of the Privacy Rule.

3 OBLIGATIONS AND ACTIVITIES OF BUSINESS ASSOCIATE (Security Rule)

- 3.1 Business Associate agrees to fully comply with the requirements under the Security Rule applicable to "business associates," as that term is defined in the Security Rule. In case of any conflict between this Agreement and Service Agreements, this Agreement shall govern.
- 3.2 Business Associate agrees to implement administrative, physical, and technical safeguards that reasonably and appropriately protect the confidentiality, integrity, and availability of the electronic protected health information that it creates, receives, maintains, or transmits on behalf of the covered entity as required by the Security Rule.
- 3.3 Business Associate shall ensure that any agent, including a subcontractor, to whom it provides electronic protected health information received from or created for Covered Entity or that carries out any duties for the Business Associate involving the use, custody, disclosure, creation of, or access to Protected Health Information supplied by Covered Entity, to agree, by written contract (or the appropriate equivalent if the agent is a government entity) with Business Associate, to the same restrictions and conditions that apply through this Agreement to Business Associate with respect to such information.

- 3.4 Business Associate agrees to require its employees, agents, and subcontractors to report to Business Associate within five (5) business days, any Security Incident (as that term is defined in 45 CFR Section 164.304) of which it becomes aware. Business Associate agrees to promptly report any Security Incident of which it becomes aware to Covered Entity.
- 3.5 Business Associate agrees to make its internal practices, books, and records including policies and procedures relating to the security of electronic protected health information received from, created by or received by Business Associate on behalf of, Covered Entity available to the Secretary of the United States Department of Health in Human Services or the Secretary's designee, in a time and manner designated by the Secretary, for purposes of determining Covered Entity's or Business Associate's compliance with the Security Rule.
- 3.6 Business Associate agrees to fully cooperate in good faith with and to assist Covered Entity in complying with the requirements of the Security Rule.

4. PERMITTED USES AND DISCLOSURES BY BUSINESS ASSOCIATE

- 4.1 Except as otherwise limited in this Agreement, Business Associate may use or disclose Protected Health Information to perform functions, activities, or services for, or on behalf of, Covered Entity as specified in Service Contracts, provided that such use or disclosure would not violate the Privacy and Security Rule, if done by Covered Entity.
- 4.2 Except as otherwise limited in this Agreement, Business Associate may use Protected Health Information as required for Business Associate's proper management and administration or to carry out the legal responsibilities of the Business Associate.
- 4.3 Except as otherwise limited in this Agreement, Business Associate may disclose Protected Health Information for the proper management and administration of the Business Associate, provided that disclosures are Required By Law, or provided that, if Business Associate discloses any Protected Health Information to a third party for such a purpose, Business Associate shall enter into a written agreement with such third party requiring the third party to: (a) maintain the confidentiality, integrity, and availability of Protected Health Information and not to use or further disclose such information except as Required By Law or for the purpose for which it was disclosed, and (b) notify Business Associate of any instances in which it becomes aware in which the confidentiality, integrity, and / or availability of the Protected Health Information is breached.
- 4.4 Except as otherwise limited in this Agreement, Business Associate may use Protected Health Information to provide Data Aggregation services to Covered Entity as permitted by 42 CFR § 164.504(e)(2)(l)(B).
- 4.5 Business Associate may use Protected Health Information to report violations of law to appropriate Federal and State Authorities consistent with 45 CFR 164.502(j)(1).

5. OBLIGATIONS OF COVERED ENTITY

- 5.1 Covered Entity shall provide Business Associate with the notice of Privacy Practices that Covered Entity produces in accordance with 45 CFR § 164.520, as well as any changes to such notice. Covered Entity shall notify Business Associate of any limitations in its notice that affect Business Associate's use or disclosure of Protected Health Information.
- 5.2 Covered Entity shall provide Business Associate with any changes in, or revocation of, permission by an Individual to use or disclose Protected Health Information, if such changes affect Business Associate's permitted or required uses.
- 5.3 Covered Entity shall notify Business Associate of any restriction to the use or disclosure of Protected Health Information that Covered Entity has agreed to in accordance with 45 CFR § 164.522, to the extent that such restriction may affect Business Associate's use of Protected Health Information.

6. PERMISSIBLE REQUESTS BY COVERED ENTITY

- 6.1 Covered Entity shall not request Business Associate to use or disclose Protected Health Information in any manner that would not be permissible under the Privacy or Security Rule, if done by Covered Entity.

7. TERM AND TERMINATION

- 7.1 Term. This Agreement shall be effective as of the date on which it is signed by both parties and shall terminate when all of the Protected Health Information provided by Covered Entity to Business Associate, or created or received by Business Associate on behalf of Covered Entity, is destroyed or returned to Covered Entity, or, if it is infeasible to return or destroy Protected Health Information, Section 7.3. below shall apply.

7.2 Termination for Cause

- 7.2.1. This Agreement authorizes and Business Associate acknowledges and agrees Covered Entity shall have the right to immediately terminate this Agreement and Service Contracts in the event Business Associate fails to comply with, or violates a material provision of, requirements of the Privacy and / or Security Rule or this Memorandum.

- 7.2.2. Upon Covered Entity's knowledge of a material breach by Business Associate, Covered Entity shall either:

7.2.2.1. provide a reasonable opportunity for Business Associate to cure the breach or end the violation, or

7.2.2.2. if Business Associate has breached a material term of this Agreement and cure is not possible or if Business Associate does not cure a curable breach or end the violation within a reasonable time as specified by, and at the sole discretion of, Covered Entity, Covered Entity may immediately terminate this Agreement and the Service Agreement.

7.2.2.3. If neither cure nor termination is feasible, Covered Entity shall report the violation to the Secretary of the United States Department of Health in Human Services or the Secretary's designee.

7.3. Effect of Termination

7.3.1. Except as provided in Section 7.3.2. below, upon termination of this Agreement, for any reason, Business Associate shall return or destroy all Protected Health Information received from Covered Entity, or created or received by Business Associate on behalf of, Covered Entity. This provision shall apply to Protected Health Information that is in the possession of subcontractors or agents of Business Associate. Business Associate shall retain no copies of the Protected Health Information.

7.3.2. In the event that Business Associate determines that returning or destroying the Protected Health Information is not feasible, Business Associate shall provide to Covered Entity notification of the conditions that make return or destruction unfeasible. Upon mutual agreement of the Parties that return or destruction of Protected Health Information is unfeasible, Business Associate shall extend the protections of this Memorandum to such Protected Health Information and limit further uses and disclosures of such Protected Health Information to those purposes that make the return or destruction unfeasible, for so long as Business Associate maintains such Protected Health Information.

8. MISCELLANEOUS

- 8.1 Regulatory Reference. A reference in this Agreement to a section in the Privacy and / or Security Rule means the section as in effect or as amended.

- 8.2 Amendment. The Parties agree to take such action as is necessary to amend this Memorandum from time to time as is necessary for Covered Entity to comply with the requirements of the Privacy and Security Rules and the Health Insurance Portability and Accountability Act, Public Law 104-191. Business Associate and Covered Entity shall comply with any amendment to the Privacy and Security Rules, the Health Insurance Portability and Accountability Act, Public Law 104-191, and related regulations upon the effective date of such amendment, regardless of whether this Agreement has been formally amended.
- 8.3 Survival. The respective rights and obligations of Business Associate under Section 7.3. of this Memorandum shall survive the termination of this Agreement.
- 8.4 Interpretation. Any ambiguity in this Agreement shall be resolved in favor of a meaning that permits Covered Entity and the Business Associate to comply with the Privacy and Security Rules.
- 8.5 Notices and Communications. All instructions, notices, consents, demands, or other communications required or contemplated by this Agreement shall be in writing and shall be delivered by hand, by facsimile transmission, by overnight courier service, or by first class mail, postage prepaid, addressed to the respective party at the appropriate facsimile number or address as set forth below, or to such other party, facsimile number, or address as may be hereafter specified by written notice.

COVERED ENTITY:

Ronald Sampson
 SACWIS IT Project Director
 Department of Finance and Administration
 Office for Information Resources
 Andrew Jackson Building, 14th floor
 500 Deaderick Street
 Nashville, TN 37243
 Email: Ronald.Sampson@state.tn.us
 Phone: (615) 253-1024
 Fax: (615) 532-8982

BUSINESS ASSOCIATE:

Michael Latham
 Project Director
 Dynamics Research Corporation
 60 Frontage Road
 Andover, MA 01810
 Email: mlatham@drc.com
 Phone: 614-893-4198
 Fax: 978-289-1882

All instructions, notices, consents, demands, or other communications shall be considered effectively given as of the date of hand delivery; as of the date specified for overnight courier service delivery; as of three (3) business days after the date of mailing; or on the day the facsimile transmission is received mechanically by the facsimile machine at the receiving location and receipt is verbally confirmed by the sender.

- 8.6 Strict Compliance. No failure by any Party to insist upon strict compliance with any term or provision of this Agreement, to exercise any option, to enforce any right, or to seek any remedy upon any default of any other Party shall affect, or constitute a waiver of, any Party's right to insist upon such strict compliance, exercise that option, enforce that right, or seek that remedy with respect to that default or any prior, contemporaneous, or subsequent default. No custom or practice of the Parties at variance with any provision of this Agreement shall affect, or constitute a waiver of, any Party's right to demand strict compliance with all provisions of this Agreement.
- 8.7 Severability. With respect to any provision of this Agreement finally determined by a court of competent jurisdiction to be unenforceable, such court shall have jurisdiction to reform such provision so that it is enforceable to the maximum extent permitted by applicable law, and the Parties shall abide by such court's determination. In the event that any provision of this Agreement cannot be reformed, such provision shall be deemed to be severed from this Agreement, but every other provision of this Agreement shall remain in full force and effect.
- 8.8 Governing Law. This Agreement shall be governed by and construed in accordance with the laws of the State of Tennessee except to the extent that Tennessee law has been pre-empted by HIPAA.

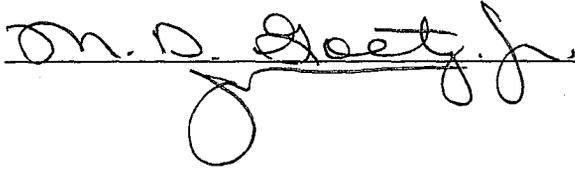
8.9 Compensation. There shall be no remuneration for performance under this Agreement except as specifically provided by, in, and through, existing administrative requirements of Tennessee State government and services contracts referenced herein.

IN WITNESS WHEREOF,



Deborah A. Brunetti, Vice President/General Manager, Contract 2/20/08

Date:



4-11-08

Date:

Contract Attachment D – Enterprise Information Security Policies

D. Security Standards and Policies

D.1 Introduction

The SACWIS will conform to the State’s Enterprise Information Security Policies.

The State’s Enterprise Information Security Policies are based on the International Standards Organization (ISO) 17799 standard framework and can be found on the Tennessee State public website at:

<http://www.state.tn.us/finance/oir/secpolicy.html>

D.2 State Roles and Responsibilities

Security of the SACWIS will be the joint responsibility of the State’s central IT organization (OIR) and DCS. In general, the Enterprise Security Division of OIR ensures the confidentiality, integrity and availability of the application and its related databases, servers and networks while DCS controls end user access and compliance with security policies.

The Enterprise Information Security Policies cover information assets owned by the State of Tennessee and the methodologies and practices of external entities that require access to the State’s information resources. The State’s Enterprise Information Security Policies are designed to protect:

- All desktop computing systems, servers, data storage devices, communication systems, firewalls, routers, switches, hubs, personal digital assistants (PDAs) and mobile devices (computing platforms) owned by the State of Tennessee where lawfully permitted.
- Any computing platforms, operating system software, middleware or application software under the control of third parties that connect in any way to the State of Tennessee’s enterprise computing or telecommunications network.
- All data, information, knowledge, documents, presentations, databases or other information resource stored on the State of Tennessee’s computing platforms and / or transferred by the State’s enterprise network.

The enterprise policies apply to all full- and part-time employees of the State of Tennessee and all independent contractors or other third parties who work on State premises or remotely connect their computing platforms to the State’s computing platforms.

These State roles are further described below.

Security Area	OIR Role	DCS Role
Access Control	Provide access control audits and reviews for enterprise infrastructure applications and systems.	Control individual user access to the SACWIS application.
Incident Response	Assist in the development, planning and implementation of agency- specific security incident response plans and teams.	Respond to SACWIS security incidents.
Information Security	Offer information security	Monitor compliance with

Security Area	OIR Role	DCS Role
Contract Consulting	consulting on agency contracts and agreements.	security provisions in contracts and agreements.
Information Security Awareness and Training	Offer information security training, awareness campaigns, and educational presentations.	Guide System Integration Vendor (SIV) development of a security module to be delivered with the SACWIS training curriculum.
Information Security Monitoring	Monitor enterprise resources and devices at all times.	Monitor DCS users and desktop devices.
Information Security Policy Development	Develop and maintain enterprise security policies, and assist agencies in the development of supplemental policies.	Develop and maintain security policies that are required to address specific agency needs.
Network Security	Provide vigilant monitoring of network resources in order to keep the State's network secure and virus-free.	Respond to network security incidents within DCS.
Secure Application Design	Provide consulting for application designers and developers concerned with deploying safe and secure technology applications.	Provide consulting for application designers and developers concerned with deploying safe and secure technology applications.
Secure Architecture Design	Consult with technology designers and developers concerned with deploying safe and secure technology architectures.	Consult with technology designers and developers concerned with deploying safe and secure technology architectures.
Technology Forensics and Investigations	Act as a technology liaison with law enforcement and the State agencies.	Perform computer forensics for departmental investigations.

D.3 Mandatory Security Elements

The solution must adhere to the following mandatory security elements:

- a. The System must ensure data confidentiality, including protection from unauthorized access:
 - i. While in transit – either through execution of secure, authenticated, two-way transactions as well as ensuring that all other data is encrypted beyond the reasonable threat of a successful brute force attack, or comparable risk-based mechanisms.
 - ii. While in storage – ensure that confidential data in databases from which public data is being extracted will not be compromised.
 - iii. Through preventive and detective access controls, and reporting mechanisms, ensuring a timely and reliable process for notification to the user, custodian, owner and / or customer in the event of a security breach.

- iv. Through strictly enforceable and auditable access controls.
- b. The System must ensure data integrity – maintain data and transaction integrity and confidentiality; where applicable address legal and regulatory issues with regard to unauthorized access, misuse or fraud audit trails, and options for resolution.
- c. The System must ensure data reliability – maintain sufficient detail and summary information to ensure statutory and regulatory reporting and compliance responsibilities.
- d. The System must ensure data availability – maintain data and network access continuity ensuring its availability for required business processes.
- e. The System must ensure physical and environmental control – identify mechanisms ensuring only authorized operations personnel access data or computer facilities unless expressly approved by the Data Owner, and determine environmental control required to mitigate the risk of loss.
- f. The System must ensure application audit capabilities – implement date-time stamp, or other mechanism sufficient to provide an audit trail for identifying critical data and resource application activity, and the reporting of unauthorized intrusions and activity or attempted breaches.
- g. The System must ensure a rigorous change management and configuration management implementation – implement processes to maintain data integrity, confidentiality, and availability in the application change management processes. A rigorous change management process will include preventive and detective controls ensuring only authorized changes are implemented.

D.4 Additional Security Guidance

- a. The System must have the capability of identifying information products, e.g., displays, reports, etc., that could potentially contain individually identifiable health information (Protected Health Information or "PHI") and therefore must be protected as a HIPAA requirement.
- b. The System must maintain an audit trail of creation, changes, and access to PHI stored by the System. Appropriate administrative procedures must exist for the management of the audit trail, including reporting, achieving, and selective destruction of audit trail records no longer necessary.
- c. The System must provide a means of recording the release of PHI, as required by the "Accounting for Disclosures" provisions of HIPAA. This capability must be easily available to users and must record the data elements required by HIPAA, including the identity of the person about whom PHI was disclosed, the date of the disclosure, to whom the disclosure was made, the person making the disclosure, the reason for the disclosure, the date before which the accounting of a specific disclosure has been suppressed, and the reason for suppression of disclosure accounting. The system must have the capability of extracting the disclosure records for a specific person, not including those records for which accounting has been suppressed as of the date of accounting, and producing a printed document containing these records.
- d. Testing: The use of production data for testing is not permitted, except in exceptional circumstances, e.g. capacity evaluation testing. These circumstances must be documented in the Test Plan and specifically approved in advance of testing.
- e. Training: Any use of production data in a training environment must be approved in advance. Production data must not be used in any handouts, training aids, work sheets, etc., unless such materials will be collected and destroyed at the conclusion of the training.
- f. System requires all users must be compliant with the current State Security Standard and user passwords must be encrypted both in transmission and in storage. Hard coded universal

passwords will not be allowed. The system must support one time passwords and/or multi-factor authentication. This is the authentication portion of the SACWIS security system.

- g. System must be able to limit users to defined Operating System tasks.
- h. System must assign role-based security levels to all users.
- i. The role-based authorization must not be accomplished with different versions of the application or server operating system domain accounts, but instead must use "soft configuration" with database table entries that allow a highly scalable implementation of this type of security. Roles must represent common groups that define which components of the application that users can access at runtime with read-only or read-write functional capabilities of records and fields located in the SACWIS database tables. If a user has the authorization to access an application form or component with read-only capabilities, then they can only call database query stored procedures or read-only views. They would not be authorized for non-query stored procedures calls that allow transactional updating, deleting, or inserting of data presented by the client view. This is an example of the "concept of least privilege" as specified within the State of Tennessee's Enterprise Information Security Policies. The system must be compliant with this requirement.
- j. The system must have a flexible ability to maintain additional "roles" with the capability of allowing hierarchical viewing of a lower level person's role and security permissions by a higher level user in the chain of authority above the subordinate position. For example, managers must be able to view all subordinate security levels in their chain of managerial authority.
- k. Role-based security means that the individual's security level is determined by the functions inherent in their role as well as the need to view particular information.
- l. Hierarchical Business Security Structure is defined as having access to the data within the structure of the Department. For example the structure tree is defined as follows: Department / Division / Board / Profession. One has access to subordinate positions within their tree and structure.

Contract Attachment E – State and Federal SACWIS Requirement Crosswalk

E.1 SACWIS Requirements Matrix Table

The following SACWIS Requirements Matrix Table provides a crosswalk between the State and Federal SACWIS Requirements based upon the Federal SACWIS Requirements at Contract Attachment F and the DCS Business Requirements at Contract Attachment R.

Req# #	State SACWIS Requirement Description Child Protective Services – Central Intake (CI)	Federal SACWIS Element(s)
CI001	The system shall provide a means to support the DCS Central Intake call center format.	1, 2, 3, 4, 5, 6, 7, 8, 9, 49, 65, 68
CI002	The system shall support data entry and search returns in order to accommodate average daily entry in excess of 1,200 referrals by the existing number of staff positions.	1, 2, 3, 4, 5, 6, 7, 8, 9, 49
CI003	The system shall interface with the DCS Central Intake I-3 phone system to optimize the capabilities of that system in order to derive information available for each call such as reporter name, phone number, address and Date / Time / Duration of call. Refer to A-17 (Interfaces) for additional information on this I-3 phone system interface.	1
CI004	The system shall provide on-line access for professional reporters (medical, school, and law enforcement personnel) as well as DCS Staff to record referrals of child maltreatment and submit that information directly to Central Intake for screening.	1, 2, 3, 49
CI005	The system shall provide functionality such as on-screen cue questions and prompts (derived based on the allegation (s)) to guide the Central Intake Specialist through the Intake process.	1, 2, 3, 49
CI006	The system shall provide a means for the user to capture referrals of child abuse and / or neglect.	1, 2, 3, 49
CI007	The system shall support the capture and tracking of reports of Serious Incidents that occur at contract agencies, DCS Resource Family Homes, DCS Facilities and during Child Protective Services Investigations.	1, 2, 3, 49
CI008	The system shall allow the user to record and track the identifying information on children at risk, persons allegedly responsible, family and other pertinent individuals or organizations associated with the referral.	1, 2, 3, 49
CI009	The system shall provide a means for the user to indicate whether drug involvement (use, sale or manufacturing) is present and was a contributing factor to the alleged abuse / neglect of a child.	2, 13
CI010	The system shall allow the user to record child / caregiver risk factors (NCANDS).	2, 13, 86
CI011	The system shall provide a robust search function to allow users to search the database for individuals, organizations, providers, or referrals / cases.	3
CI012	The system shall provide a means for the user to select and include specific referral / case information from previous history returned in search results to the current referral.	3, 5, 7
CI013	The system shall provide a means for the user to link the current referral to an existing / prior case.	1, 5, 7
CI014	The system shall provide functionality for the user to record a 'Resource Linkage' referral.	4, 9, 52
CI015	The system shall provide a means for the user to record a "No Services Needed" referral.	1, 9, 16, 31
CI016	The system shall provide an automated tool to support the user in determining a screening decision.	5, 6, 7

Req# #	State SACWIS Requirement Description Child Protective Services – Central Intake (CI)	Federal SACWIS Element(s)
CI017	The system shall provide a means to support the Central Intake Specialist in assigning a Response Priority to a referral	5, 6, 7, 8, 9
CI018	The system shall provide a means for the Central Intake Specialist to submit a completed referral to a shift supervisor or other authorized user for approval.	5, 6, 7, 8, 9
CI019	The system shall allow the Intake Shift Supervisor or other authorized user to override the screening decision and response priority.	5, 6, 7, 8, 9
CI020	The system shall allow the Shift Supervisor or other authorized user to submit the referral to a specific county for assignment.	8, 67, 68
CI021	The system shall provide the ability for county / regional supervisors to route referrals back to a Central Intake Shift Supervisor or other authorized user for reconsideration of the screening decision or Response Priority.	5, 6, 7, 8, 9
CI022	The system shall allow the Intake Shift Supervisor or another authorized user to change the screening decision and / or response priority of a referral submitted for reconsideration.	5, 6, 7, 8, 9
CI023	The system shall provide a means to freeze intake data and prevent workers from modifying referral data after the referral has been assigned for investigation or Assessment.	10, 11
CI024	The system shall provide a means for each county / office or unit to record / track their on-call schedule.	67
CI025	The system shall provide a means for the user to complete extended intakes (referrals with incomplete information which require follow-up with the reporter or collateral individuals).	1, 2, 5, 6, 41
CI026	The system must include role-based security using unique user identifications, mandatory password standards and profile / group access assignments.	75, 76
CI027	The system shall restrict the ability to add an individual to the Central Intake Unit to a Central Intake Director or other authorized user.	65, 66
CI028	The system shall support the preparation of alerts, notifications, and reports required during, and as a result of intake, investigation, assessment, or any other case management or financial management activity recorded in the system.	8, 12, 26, 28, 34, 38, 68, 79
CI029	The system shall provide a means for the user to generate management reports to track Central Intake business activities in hard copy or electronic format.	12, 73, 74
CI030	The system shall provide a means for the user to generate documents to reflect information gathered and actions taken during the Intake process.	1, 2, 4, 5, 6, 12
CI031	The system shall provide maintenance facilities for technical and non-technical administrative users to add / modify / delete values in administrative tables, modify wording on existing error messages, and add / modify / delete wording on standard documents / forms produced in the system.	80

Req# #	State SACWIS Requirement Description Termination of Parental Rights and Adoption (AD)	Federal SACWIS Element(s)
AD001	The system shall provide a means to document and track Adoption information for a child / youth who is currently in an on-going family custody services case with a goal of adoption.	29, 60
AD002	The system shall support requirements related to the Adoption and Safe Families Act (ASFA)	21, 22, 24, 29, 44, 59, 64, 84
AD003	The system shall provide a means for the user to generate and complete a referral for Adoption to a Permanency Specialist.	8, 31
AD004	The system shall provide a means for the user to document and track potential relative and kinship care adoptive resources.	2, 16, 29, 31, 33, 44, 48, 84
AD005	The system shall provide support in the identification and matching of clients with available placement alternatives.	33
AD006	The system shall provide a means for recording and tracking Child & Family Team Meetings (CFTM) both those required by policy and ad-hoc meetings.	17
AD007	The system shall provide a means for the user (Permanency Specialist / Private Provider) to update the Resource Family home study.	44, 46, 48
AD008	The system shall allow the user to document information related to the placement resource / location of a child in out-of-home care.	23, 29
AD009	The system shall allow the user to document information related to the finalization of the Adoption.	29, 60
AD010	The system shall automatically pre-populate adoption / case checklists with required tasks and deadlines as set forth in DCS Policies.	68, 80
AD011	The system shall provide a means for the user to create / generate a comprehensive Assessment that shall derive information from specific tools and functional areas of the system, such as results/outcomes of specific assessment tools and permanency plans.	13, 14, 15, 16, 17, 18, 19, 20, 29, 30, 31, 32, 33, 34
AD012	The system shall provide for the recording of client / case contacts in the electronic case folder.	17, 31, 41
AD013	The system shall provide a means for a Team Leader / Designee to assign the Permanency Specialist as a primary or secondary worker to a child's case.	8, 67
AD014	The system shall provide a means for the user to create a new adoption identity for the child.	7
AD015	The system shall provide a means for the user to document information related to the Adoption Assistance subsidy paid to the adoptive family.	21, 22, 23, 25, 29
AD016	The system shall provide a means for the user to submit a referral to DHS' Vision Integration Platform (VIP) system for purposes of generating the child's TennCare card once the child is approved for adoption assistance.	
AD017	The system shall support the process of re-determining eligibility for Adoption Assistance.	27, 28
AD018	The system shall provide a means for the user to track the adoption assistance appeals process. (e.g. resource families Adoption Assistance Agreement has been denied or subsidy has been changed or terminated.)	44, 45, 54, 55, 60
AD019	The system shall provide a means for the user to document information to support the continuation of adoption assistance payment when a child is in state custody or in an out of home care placement.	21, 22, 23, 25, 54, 55, 60
AD020	The system shall provide a means to automate adoption assistance Case Review for the user to complete online.	27, 32, 38, 39, 40
AD021	The system shall provide a means for the user to document adoption dissolution.	7, 29, 60, 64

AD022	The system shall provide a means to document and track information related to the termination of parental rights to a child for individuals who are designated in the system with an active parental relationship to the child.	2, 7
AD023	The system shall provide a means for the user to document diligent search efforts to locate parents, guardians and relatives.	2, 3, 24, 84
AD024	The system shall provide a means for an authorized user to document information related to the termination of birth / legal parental rights as a result of a TPR Order.	2, 60
AD025	The system shall provide a means for the user to document information related to the TPR order appeals process.	2, 60
AD026	The system shall provide a means for an authorized user to document information related to the termination of parental rights for a putative father accomplished through the signing of a Waiver.	2, 24, 60
AD027	The system shall provide a means for recording information related to an individual's Surrender of their legal / parental rights to a child.	1, 60
AD028	The system shall provide a means to allow a birth parent / legal parent's rights to a child to be terminated whenever the parent is deceased and a copy of the parent's Certification of Death documented in the file.	2, 60
AD029	The system shall support the preparation of alerts required during, and as a result of the adoption, adoption assistance and TPR process activity recorded in the system.	26, 27, 28, 34, 38, 45, 53, 56
AD030	The system shall support the preparation of notifications required during, and as a result of the adoption, adoption assistance and TPR process activity recorded in the system.	26, 27, 28, 34, 38, 45, 53, 56
AD031	The system shall support the preparation of reports and forms required during, and as a result of the On-going Services / Adoption / Adoption Assistance / TPR process activity recorded in the system.	26, 27, 28, 34, 38, 45, 53, 56
AD032	The system shall provide a means for the user to generate / complete the Adoption Assistance Agreement (Contract).	54, 55, 57
AD033	The system shall include role-based security using unique user identifications, mandatory password standards, and profile / group access assignments.	75, 76
AD034	The system shall provide maintenance facilities for technical and non-technical administrative users to add / modify / delete values in administrative tables, modify wording on existing error messages, and add / modify / delete wording on standard documents / forms produced in the system.	80

Req# #	State SACWIS Requirement Description Child Placement (CP)	Federal SACWIS Element(s)
CP001	The system shall provide an automated assessment (leveling) tool to support the user in identifying a child's placement / level of care needs	13, 14, 15, 16
CP002	The system shall provide a means for the user to generate a Placement Needs Summary to reflect the placement needs for a child	13, 15, 16
CP003	The system shall provide a means to support the identification of potential relative or kinship placements	2, 16, 29, 33, 44, 48
CP004	The system shall provide support in the identification and matching of clients with available placement alternatives	33
CP005	The system shall provide a means to record and track information related to placement of sibling groups	2, 16, 29, 33, 44
CP006	The system shall provide the ability for authorized users to maintain a placement waiting list(s) of all custody and /or post custody children waiting to be placed in a specific placement type and / or placement location	16, 29, 30, 33, 44
CP007	The system shall allow the user to generate / submit referrals for placement to providers for review / consideration	18, 31
CP008	The system shall provide a means for recording and tracking Child & Family Team meetings, both those required by policy and ad-hoc meetings	17, 41
CP009	The system shall provide a means to generate a Placement Exception Request (PER)	16, 20, 33, 34, 43, 44, 45, 51
CP010	The system shall provide a means for the user to capture and track placement information about a child	16, 23, 29
CP011	The system shall support all aspects of the resource placement approval / authorization process for an identified placement option	30, 31, 36, 42, 44, 45, 46, 47, 48, 49, 50, 51, 52, 53, 54, 55, 56, 57, 62, 63, 64
CP012	The system shall provide a means for authorized users to record placement authorizations, re-authorizations and de-authorizations for establishing child placements	16, 42, 44, 62, 63, 64
CP013	The system shall also support the use of the system by identified non-DCS users and private providers for both administrative and case management-type functions	17, 30, 31, 33, 41, 44, 47, 50, 52
CP014	The system must include role-based security using unique user identifications, mandatory password standards, and profile / group access assignments	75, 76
CP015	The system shall support the preparation of alerts required during, and as a result of intake, investigation, assessment, or any other case management activity recorded in the system	8, 12, 26, 28, 34, 38, 68, 79
CP016	The system shall support the preparation of notifications required during, and as a result of intake, investigation, assessment, or any other case management activity recorded in the system	8, 12, 20, 26, 28, 34, 38, 40, 43, 45, 46, 51, 53, 59
CP017	The system shall provide a comprehensive document generation solution. Specific forms / documents to be generated from the SACWIS are identified in the forms appendix of the requirements documents for each functional area	20, 40, 43, 58
CP018	The system shall provide maintenance facilities for technical and non-technical administrative users to add / modify / delete values in administrative tables, modify wording on existing error messages, and add / modify / delete wording on standard documents / forms produced in the system	90

Req. #	State SACWIS Requirement Description In Home Services / Out-of-Home Services (IHOH)	Federal SACWIS Element(s)
IHOH001	The system shall provide a means for the user to record and track Child & Family Team meetings, both those required by policy and ad-hoc meetings.	17
IHOH002	The system shall provide for the recording of client / case contacts in the electronic case folder	17, 31, 41
IHOH003	The system shall provide a means for the user to create / generate a comprehensive Assessment that shall derive information from specific tools and functional areas of the system, such as results / outcomes of specific assessment tools and permanency plans.	13, 14, 15, 16, 17, 18, 19, 20, 29, 30, 31, 32, 33, 34
IHOH004	The system shall provide a means for the user to document a Permanency Plan for the child / family	29
IHOH005	The system shall require that an active referral, assessment, investigation or case have a primary worker assigned at all times and allow as many secondary worker assignments as needed	8, 67, 68
IHOH006	The system shall provide a means for the user to record and track education information for children / youth who are members of the family case	15, 87, 87i
IHOH007	The system shall allow the user to record and capture medical and behavioral health information for children / youth who are members of the family case. Information may include, but not be limited to: Medical Conditions, Medications, Disabilities/Special Needs, Immunizations and any ongoing health services provided to the child.	15
IHOH008	The system shall provide automated support in the identification, matching and linking of service needs and available resources.	30, 33, 44
IHOH009	The system shall provide a means for the user to capture episodes of custody / removal for a child	7, 23, 29
IHOH010	The system shall provide the user a means to capture court order information	60
IHOH011	The system shall allow authorized users to create / capture petition information	58, 60
IHOH012	The system shall provide a means to support the determination of eligibility for Subsidized Permanent Guardianship for a custodial child (age birth to 18 years)	25, 26, 27, 28, 29
IHOH013	The system shall provide a means for the user to capture and track placement information about a child	16, 23, 29
IHOH014	The system shall provide a means for the end user to document information related to a Foster Care Review Board (FCRB) review of a case	38, 39, 88
IHOH015	The system shall provide a means for the user to document and track a visitation schedule for a child in DCS custody	17, 29, 41
IHOH016	The system shall support requirements related to the Adoption and Safe Families Act (ASFA)	21, 22, 24, 29, 44, 59, 64, 84
IHOH017	The system shall provide a means for the user to capture whether substance abuse / involvement (use, sale or manufacturing) was a contributing factor in the child's removal	2, 13, 16, 29
IHOH018	The system shall provide a means for the user to capture and track case information related to the family's participation in In Home Services	29
IHOH019	The system shall provide a means to document Voluntary Services and Transitional Services for youth / young adults that have aged out	29
IHOH020	The system shall support the preparation of service requests / referrals required for acquisition of needed goods / services / resources.	29
IHOH021	The system shall provide for a periodic electronic data interface with the Title IV-D (Child Support Enforcement) system.	16, 18, 31
IHOH022	The system shall provide for a periodic electronic data interface with the Title XIX (TennCare - Medicaid) system and any Medicaid fiscal agent.	24, 84

IHOH023	The system shall provide an interface with Tennessee's Title IV-A / IV-E system, the Vision Integration Platform (VIP) for the purposes of releasing eligibility data for the foster child to VIP to serve as an on-line referral for an initial determination of eligibility for Title IV-E foster care and / or Adoption Assistance.	24, 85
IHOH024	The system must include role-based security using unique user identifications, mandatory password standards, and profile / group access assignments.	21, 22, 23, 25, 82, 83
IHOH025	The system shall provide a comprehensive document generation / management solution. Specific forms / documents to be generated from the SACWIS are identified in the forms appendix of the requirements documents for each functional area.	75, 76
IHOH026	The system shall support the preparation of alerts required during and as a result of intake, investigation, assessment, or any other case management activity recorded in the system.	12, 20, 26, 28, 34, 40, 43, 46, 53, 57, 71, 72, 73, 74
IHOH027	The system shall support the preparation of notifications required during and as a result of intake, investigation, assessment, or any other case management activity recorded in the system.	12, 59, 61, 64

Req# #	State SACWIS Requirement Description Interstate Compact on Juveniles & Interstate Compact on the Placement of Children (IC)	Federal SACWIS Element(s)
IC001	The system shall provide a means to capture and track both incoming and outgoing ICJ / ICPC transmittal data.	90
IC002	The system shall provide a means for the TN ICJ / ICPC Administrator to send and receive forms to / from other state's ICJ / ICPC administrators. (Method will depend on the system capabilities of the state sending / receiving the forms.)	20, 40, 43
IC003	The system shall provide a means to capture information related to the placement of sibling groups for ICPC referrals.	2, 3, 16, 33
IC004	The system shall provide a means for the user to generate / complete an outgoing ICJ / ICPC referral for any youth who has an active case in the system.	18, 29, 31
IC005	The system shall provide a means for the user to submit the completed outgoing ICJ / ICPC referral to the TN ICJ / ICPC Administrator.	18, 31, 67
IC006	The system shall allow the TN ICJ / ICPC Administrator to indicate the receiving state's decision regarding an outgoing ICJ / ICPC referral.	34, 40, 43
IC007	The system shall provide the TN ICJ / ICPC Administrator with a means of managing / tracking the dates when Quarterly Reports for TN youth in other states are due and when they have been received.	38, 39, 73
IC008	The system shall provide a means to document the termination of an interstate compact case between TN and the receiving state.	7
IC009	The system shall provide the TN ICJ / ICPC Administrator with the means to receive and / or document incoming referrals from other states / territories.	1, 2, 9
IC010	The system shall provide the TN ICJ / ICPC Administrator with a means to submit an incoming referral from another state to the appropriate Team Leader or private agency for assignment.	8
IC011	The system shall provide a means for the user to create one or more home evaluations for a child / youth being referred for placement / supervision from another state.	44, 46, 47, 48, 50
IC012	The system shall allow the user to create an ICPC / ICJ case for the child / youth in the system.	7
IC013	The system shall provide the TN ICJ / ICPC Administrator with a means of managing / tracking the dates when Quarterly Reports for youth TN is supervising for other states are due and when they have been received.	38, 39, 73
IC014	The system shall provide a means for the TN ICJ Administrator to document confirmation from the sending state that supervision is no longer needed or the TN ICPC Administrator to document confirmation that services are no longer needed and recommend permanency or closure.	29, 34, 39, 41
IC015	The system shall provide for the capture and tracking of information related to a youth considered to be on Runaway Status.	16, 29
IC016	The system must include role-based security using unique user identifications, mandatory password standards, and profile / group access assignments.	75, 76
IC017	The system shall support the preparation of alerts, notifications, and reports required during and as a result of intake, investigation, assessment, or any other case management activity recorded in the system.	20, 34, 38, 40, 43
IC018	The system shall provide a means for the user to generate management reports to track ICJ / ICPC business activities in hard copy or electronic formats.	72, 73, 74
IC019	The system shall provide a means for the user to generate documents to reflect information gathered and actions taken during the ICJ / ICPC business process.	20, 34, 40, 43
IC020	The system shall provide maintenance facilities for technical and non-technical administrative users to add / modify / delete values in administrative tables, modify wording on existing error messages, and add / modify / delete wording on standard documents / forms produced in the system.	90

Req# #	State SACWIS Requirement Description General Requirements (G)	Federal SACWIS Element(s)
G001	The vendor shall grant the State of Tennessee ownership rights to software, software modifications, and associated documentation that is designed, developed, installed or enhanced for the Department of Children's Services using Federal and / or State of Tennessee financial funding.	
G002	The system shall include the conversion of data from DCS legacy systems applications.	
G003	The system shall provide for immediate, real-time entry and access of data maintained on a centralized statewide database.	
G004	The system must provide the capability of providing batch processes to support SACWIS business functions.	
G005	The system shall provide a user interface that is consistent, easy to navigate and representative of the business workflow.	
G006	The system shall provide a robust search function to allow users to search the database for individuals, organizations, providers, or referrals / cases.	3, 33, 88
G007	The system shall be designed to minimize the occurrence of duplicate entries of the same person.	88
G008	The system shall validate input for completeness and display error messages appropriately across all functions indicating to the user where within the application they would need to go to correct the error.	88
G009	The system shall not require users to enter redundant data. Data should be shared within the system between modules and phases / functions within the life of the case.	
G010	The system shall provide maintenance facilities for technical and non-technical administrative users to add / modify / delete values and their related information in administrative tables, modify wording on existing error messages, and add / modify / delete wording on standard documents / forms produced in the system.	
G011	The system shall provide automatic save functionality for saving current information as the user navigates through the system.	
G012	The system shall have the ability to freeze data at pre-determined points in the life of a case to prevent workers from modifying that data after a certain period of time or after a specific action has been committed to the record.	1, 6, 7, 11, 17, 25, 32, 35, 39, 88
G013	The system shall support the preparation of alerts, notifications, and reports required during, and as a result of intake, investigation, assessment, or any other case management or financial management activity recorded in the system.	12, 20, 26, 28, 34, 38, 40, 43, 45, 46, 51, 53, 59
G014	The system shall provide a comprehensive document generation / management solution. Specific forms / documents to be generated from the SACWIS are identified in the forms appendix of the requirements documents for each functional area.	20, 40, 43, 58
G015	The system shall be capable of auditing / tracking activity specific to each and every user and process involved with the SACWIS, including but not limited to invalid login attempts, system errors, and all data request / transaction activities.	22, 23, 27, 75, 76, 88
G016	The system shall provide Geographic Information System (GIS) capabilities for integrating, storing, editing, analyzing, sharing and displaying geographically referenced information.	16, 30, 33
G017	The system shall provide the user with a means to generate and print pictorial tools that are representative of the family case. Tools may include, but not be limited to: Genograms, Timelines, Ecomaps, and Family Maps.	90
G018	The system shall support a family-centered practice model where cases are identified by family composition and all individuals associated with the family, and their related information, can be referenced via the family case.	2, 7
G019	The system shall provide a case summary that will display critical case information at a quick glance.	90

G020	The system shall provide users with the ability to create / view / print a case file summary report.	12, 20, 26, 28, 34, 38, 40, 43
G021	The system shall automatically determine the phases of the pieces of work (tasks or deliverables specific to each business process) within the case (e.g. referral, investigation / assessment, custody, probation, etc.) and logically move the pieces of work from one phase to the next, based on predefined business rules. SACWIS must support the business workflow and provide prompts and support to users in determining required 'next steps' in managing a case.	5, 6, 7, 11
G022	The system shall provide functionality to identify referrals / cases where worker safety issues may exist.	1, 2
G023	The system shall provide for the routing of work to Team Leaders and other supervisory staff for approvals / authorizations. Specific items requiring supervisory approval will be identified in requirements for each specific functional area.	35
G024	The system shall support the capture and tracking of reports of serious incidents that occur at contract agencies, DCS Resource Family Homes, DCS Facilities and during Child Protective Services investigations.	10, 89
G025	The system shall support requirements related to the Adoption and Safe Families Act (ASFA).	21, 22, 24, 29, 44, 59, 64, 84
G026	The system shall support requirements related to the Indian Child Welfare Act (ICWA).	2, 61
G027	The system shall be developed in compliance with the <i>Americans With Disabilities Act (ADA Compliance)</i> .	90
G028	The system shall be developed to support the implementation of <i>MEPA / IEPA (Multi-Ethnic Placement Act / Inter-Ethnic Placement Act of 1996)</i> .	2, 16, 33
G029	The system shall be developed in compliance with the <i>McKinney – Vento Homeless Education Act of 2001</i> .	15, 16
G030	The system shall provide a mobile solution to allow authorized users to view and update information in Tennessee's SACWIS from remote locations.	
G031	The system shall provide a means for the user to record initial contacts regarding allegations of abuse or neglect, as well as input of formal referrals for investigation, assessment, court / juvenile justice and other services.	1, 2, 4
G032	The system shall provide a means to allow for input and maintenance of available situation and demographic information.	2
G033	The system shall provide for the recording of information only request calls or contacts that do not involve a specific allegation or referral.	1, 4
G034	The system shall support the evaluation of the received information to determine the necessity of establishing a case.	5
G035	The system shall provide for the recording of the determination resulting from the screening process.	6
G036	The system shall provide for the establishment of a new case, the association of a new allegation with an existing open case, or the re-opening of a closed case.	7
G037	The system shall provide authorized users with the means to close / end a family case in the system.	7
G038	The system must support and provide a means to document the assignment / transfer of the case to a user and for the tracking of that case through the process.	8, 67
G039	The system shall provide for the input, maintenance, and query of information collected during the Investigative / Assessment process. This includes but is not limited to recording or noting that: a. Photographs of trauma areas on child and of child's environment were taken b. Medical and psychological exam / evaluation with appropriate consent were secured, and c. Any relevant records were secured.	10, 11, 17

G040	The system shall support the determination of risk factors and family strengths affecting the family case. The system shall also provide automated assessment tools that shall use rules-based technology to determine levels of risk or needs for children and families.	13, 14, 15, 16, 30
G041	The system shall provide a means for the user to create / generate a comprehensive Assessment that shall derive information from specific tools and functional areas of the system such as results / outcomes of specific assessment tools and permanency plans.	13, 14, 15, 19, 29
G042	The system shall support the preparation of State Agency documents for the courts, notifications to relevant parties of impending court actions, and the monitoring / tracking of court-related events and their outcomes.	58, 59
G043	The system shall allow the user to record and capture medical and behavioral health information for children / youth who are members of the family case. Information may include, but not be limited to: Medical Conditions, Medications, Disabilities / Special Needs, Immunizations and any ongoing health services provided to the child.)	15
G044	The system shall provide a means for the user to record and track education information for children / youth who are members of the family case.	15, 19
G045	The system shall provide for the recording of client / case contacts in the electronic case folder.	1, 17, 41
G046	The system shall provide a means for the user to update and maintain a directory / inventory of available resources and services.	52, 53
G047	The system shall provide automated support in the identification and matching of child / family service needs and available resources.	16, 30, 33
G048	The system shall provide support in the identification and matching of clients with available placement alternatives.	33
G049	The system shall support the preparation of service requests / referrals required for acquisition of needed goods / services resources.	18, 31
G050	The system shall support Permanency Plan development by documenting the services available in the State that are required to meet the specific child & family needs identified in the assessment function in such areas as Adoption, Foster Care, Interdependent Living and Interstate Compact.	29
G051	The system shall provide a means for the user to document a permanency plan for a child / family.	29
G052	The system shall provide the capability to estimate and track actual costs of required / provided resources and services to assist in Permanency Plan management and tracking.	36, 42, 44
G053	The system shall provide support for the capture of the types, duration and frequency of services identified in the Permanency Plan and provided to the child / family.	42
G054	The system shall provide the capability to identify and track state-defined program outcome measures.	37
G055	The system shall provide a means for recording and tracking Child & Family Team Meetings (CFTM), both those required by policy and ad-hoc meetings.	17, 29, 32, 43
G056	The system shall provide a means for users to perform ad-hoc reviews of cases using the on-line, automated review tools for purposes of review practice and self-assessment / self-adjustment.	38, 39, 40, 88
G057	The system shall support the collection and maintenance of provider information and the generation of alerts / notification related to reviews due or provider status changes.	44, 45, 46
G058	The system shall support the collection and maintenance of resource home information including processing of resource home applications, home approvals and closures, training received and abuse / neglect allegations and investigation results.	48, 49, 50, 51
G059	The system shall support authorized users in executing the Contract Support function (e.g., creation, processing, monitoring, modification, etc.)	54, 55, 56, 57

G060	The system shall support authorized users in executing the Accounts Payable function with regard to both residential and non-residential services provided by contracted and non-contracted providers.	62
G061	The system shall support authorized users in executing the Accounts Receivable function (overpayments, trust funds, child support, SSI, etc.)	63
G062	The system shall provide a means to automatically reconcile all provider expenditures, services, and payments charged to the contract and support provider access to such a summary online to address discrepancies and negotiate a repayment schedule. Track the status of provider recoveries and remaining contract receivable balances.	64
G063	The system shall provide an employee database that will contain records of employees showing demographic information as well as active periods of employment and job code / class information.	65, 66
G064	The system shall support the organizational structure of the department's case management function by allowing teams or units of workers to be created within a county.	67
G065	The system must provide for the assignment of cases to workers, track workload assignments and identify on-call staff.	67
G066	The system shall provide case-based activity checklists (to-do lists) to assist in prompting the users in the completion of required case activities according to business rules.	68
G067	The system must provide a comprehensive reporting solution that will produce standard operating, pre-defined or operational reports as well as allow for ad-hoc reporting without an adverse effect on system performance or response time.	12, 20, 26, 28, 34, 40, 43, 46, 53, 57, 71, 72, 73, 74
G068	The system shall capture all data elements needed to generate and submit complete reporting requirements for the following (including, but not limited to): <ul style="list-style-type: none"> • AFCARS • NCANDS • John H. Chafee Foster Care Independence Act / National Youth in Transition Database (NYTD) • Child and Family Services Review / Program Improvement Plan • P2E (Path To Excellence) • Road to Reform • Brian A. Settlement Reporting • Adoption and Safe Families Act • CAPTA • NCA Trak 	37, 71, 72, 73, 74
G069	The system shall support the generation and capture of Random Moment Sample data necessary to meet Federal requirements.	72
G070	The system shall provide a means for authorized users to create statistical reports to measure departmental and program outcomes.	74
G071	The system shall provide a means for authorized users to execute a data extract function to produce a subset or subsets of data from the database. Specific data extracts are required to meet federal and State SACWIS annual child welfare program reporting requirements as needed.	90
G072	All production applications must be protected against software and human error. Protection must be adequate and reasonable as defined by the Department of Children's Services.	75, 76
G073	Security systems must both restrict access and protect against the failure of those access restrictions.	75, 76
G074	Users are to be given access rights to only the information they need to do their job.	76
G075	Applications shall be designed to incorporate archival and purge capability.	78
G076	The system shall provide office automation tools apart from and in addition to those tools available within program functions.	79

G077	<p>The SACWIS will provide an online help utility that will</p> <ul style="list-style-type: none"> • Provide the user assistance in completing records, glossary definitions, or other information about the Tennessee SACWIS system • Provide a help link to provide information about the current screen, including its purpose, how to complete it, field definitions, or any State policies related to it • Have a link to the Web-based Training for users who are new to the Tennessee SACWIS and want to learn how to use it or want to practice using it • Have a link to Rules, regulations, & Policy for users who need to refer to State policies for job-related assistance • Have a link on a screen-level help topic for users who want to refer to State policies that are related to subject matter of the current screen. 	80
G078	The system shall display a message box that will contain a tip or system usage guideline upon user login.	80
G079	The system must provide a comprehensive on-line system training solution	81
G080	The system shall support electronic links / interface between Tennessee's SACWIS and other systems to receive, transmit and verify client and case information.	82, 83, 84, 85, 86, 87b, 87c

Req #	State SACWIS Requirement Description Interdependent Living (IL)	Federal SACWIS Element(s)
IL001	The system shall provide a means to determine eligibility for Interdependent Living Services (ILS).	29
IL002	The system shall provide a means for recording and tracking Child and Family Team meetings (CFTM), both those required by policy and ad-hoc meetings.	17, 29, 32, 41
IL003	The system shall provide a method for Interdependent Living Director or designee to assign one-to-many cases to workers at a time, and assign / transfer an entire caseload from one worker to another.	8, 67
IL004	The system shall provide a means for the user to document a Life Skills Assessment.	13, 14, 15, 16, 17, 18, 19, 20, 29
IL005	The system shall provide a means for the user to produce an Interdependent Living Plan.	29, 34
IL006	The system shall provide for the recording of client / case contacts in the electronic case folder.	17, 31, 41
IL007	The system shall provide automated support in the identification and matching of service needs and available resources.	16, 30
IL008	The system shall provide a means for the user to document information about Mentor/Host Parents for young adults participating in Post-custody Services.	30, 44
IL009	The system shall allow the user to document the resources to which the youth / young adult has been referred in preparation for case closure.	18, 30, 31
IL010	The system shall provide a means for the user to submit approval request for service payment to the Interdependent Living Director or designee.	35
IL011	The system shall provide a means for the user to document the youths / young adults discharge checklist.	68
IL012	The system shall provide a means to document DCS Voluntary Post-Custody Services and Non DCS Transitional Living Services for youth / young adults.	16, 29, 42
IL013	The system shall provide the means to document DCS Voluntary Post-Custody Services for young adults that have emancipated from State custody.	16, 29, 42
IL014	The system shall provide the means to document the provision of Non DCS Transitional Living Services.	16, 29, 42
IL015	The system shall allow the user to close the DCS Voluntary Post-Custody case.	7
IL016	The system shall provide a means for the user to track a Post-Custody appeals process (e.g. Post-Custody services have been denied or subsidy has been changed or terminated.)	24, 25, 26, 27, 28
IL017	The system shall provide a means for authorized user to capture National Youth in Transition information for youth / young adults on a closed case.	72
IL018	The system shall support the preparation of alerts required during, and as a result of Interdependent Living Services activity recorded in the system.	26, 28, 34, 38, 51, 53, 68, 79
IL019	The system shall support the preparation of notifications required during, and as a result of Interdependent Living Services activity recorded in the system.	20, 26, 28, 34, 40, 43, 53, 59
IL020	The system shall provide a means to generate documents to reflect information gathered and actions taken during the Interdependent Living process.	20, 26, 28, 34, 40, 43, 58
IL021	The system shall provide a means for the youth / young adult to create, submit, and print a budget on-line.	20, 29

Req. #	State SACWIS Requirement Description Child Protective Services – (CPS) / Investigations	Federal SACWIS Element(s)
CPS001	The system shall provide the ability for county / regional supervisors to route referrals back to a Central Intake Shift Supervisor or other authorized user for reconsideration of the screening decision or Response Priority.	5, 6, 7, 8, 9
CPS002	The system shall provide a means for a Team Coordinator or other authorized user to change the track of a referral / case at any point prior to closure of the referral / case.	4, 5, 6, 7, 8, 9, 11, 13, 61
CPS003	The system must support and provide a means to document the assignment / transfer of the case to a user and for the tracking of that case through the process.	8, 67, 68
CPS004	The system shall provide a means for the user to capture and track information related to the family's participation in the Family Crisis Intervention Program (FCIP).	
CPS005	The system shall provide a means for the user to indicate that a referral of child abuse or neglect involves a Native American child or child of a Native American parent. (Indian Child Welfare Act of 1978)	2, 58, 59, 61
CPS006	The system shall calculate and display the due date of the Investigation / Assessment.	12, 20
CPS007	The system shall provide a means for the assigned Team Leader to change the case stage / phase from Assessment to on-going family services to provide short-term services after the Due Date for completion of the Assessment has passed.	9, 11
CPS008	The system shall allow the user to document and update Investigation / Assessment information while maintaining the integrity of the associated referral(s).	10, 11, 12, 13, 14, 15, 16, 17, 18, 19, 20
CPS009	The system shall provide a means for the user to indicate whether drug involvement (use, sale or manufacturing) is present and was a contributing factor to the alleged abuse/neglect of a child.	2, 13, 16, 29
CPS010	The system shall provide a means for the user to capture episodes of custody / removal for a child.	1, 4, 58, 59, 60, 61
CPS011	The system shall allow the user to record and track other agencies involvement in conducting the Assessment / Investigation, such as law enforcement, childcare licensing, and the Office of the Inspector General.	10, 17, 18, 19, 49
CPS012	The system shall provide a means for the user to create / generate a comprehensive Assessment.	13, 14, 15, 16, 17, 18, 19, 20, 29, 30, 31, 32, 33, 34
CPS013	The system shall provide an automated Safety and Risk Assessment Tool (such as the SDM Safety and SDM Risk Assessment) for the user during an Investigation or Assessment referral / case.	13, 14, 15, 16, 49
CPS014	The system shall require the user to record a classification decision for each allegation on the Investigation / Assessment.	11, 49
CPS015	The system shall provide for the routing of work to Team Leaders and other supervisory staff for approvals / authorizations. Specific items requiring supervisory approval will be identified in requirements for each specific functional area.	35
CPS016	The system shall automatically determine the phases of the pieces of work within the case (e.g. referral, investigation/assessment, custody, probation, etc.) and logically move the pieces of work from one phase to the next, based on predefined business rules.	5, 6, 7, 10, 11, 29
CPS017	The system shall provide case-based activity checklists (to-do lists) to assist in prompting the users in the completion of required case activities according to business rules.	68, 80

Req# #	State SACWIS Requirement Description Child Protective Services – (CPS) / Investigations	Federal SACWIS Element(s)
CPS018	The system shall provide a means for the user to document an Immediate Protection Plan, Plan of Action and / or Corrective Action Plan related to an Investigation or Assessment.	11, 12, 16, 20, 29
CPS019	The system shall provide a means to support the identification of service providers where allegations of abuse / neglect have been reported and indicated.	1, 49
CPS020	The system shall provide a means for the user to generate a Placement Needs Summary to reflect the placement needs for a child.	16, 29, 33, 34
CPS021	The system shall provide support for the preparation and documentation of referrals for service to other agencies.	18
CPS022	The system shall provide a means for the user to provide investigation results to individuals / organizations as required by policy.	11, 12, 20
CPS023	The system shall provide for the recording of client / case contacts in the electronic case folder.	1, 4, 17, 31, 41
CPS024	The system shall provide a means for the user to document diligent search efforts to locate parents, guardians and relatives.	2, 3, 24, 84
CPS025	The system shall allow the user to document information related to the CPIT (Child Protective Investigation Team) review of any Investigation where a classification decision results in the indication of a Perpetrator for an allegation involving severe physical abuse or sexual abuse.	11, 12, 38, 39, 40, 88
CPS026	The system shall allow the user to document information related to the CART (Child Abuse Review Team) review of any Investigation where a classification decision results in the indication of a Perpetrator for an allegation involving physical abuse.	11, 12, 38, 39, 40, 88
CPS027	The system shall provide a means for recording and tracking Child and Family Team meetings (CFTMs) both those required by policy and ad-hoc meetings.	17
CPS028	The system shall provide a means for authorized users to document and maintain a monthly on-call staff schedule to ensure that a person (and back-up) are assigned the responsibility of accepting referrals 24 hours per day, 7 days per week.	67
CPS029	The system shall provide a means to support the initiation and completion of the Child Protective Services Due Process.	
CPS030	The system shall provide a means to support authorized staff in completing CPS Case Reviews as a management function to ensure that Investigative / Assessment tasks are completed timely and appropriately.	11, 12, 38, 39, 40, 88
CPS031	The system shall include role-based security using unique user identifications, mandatory password standards, and profile / group access assignments.	75, 76
CPS032	The system shall support the preparation of alerts during, and as a result of Investigation, Assessment, or Due Process activity recorded in the system.	12, 20, 26, 28
CPS033	The system shall support the preparation of notifications required during, and as a result of Investigation, Assessment, or Due Process activity recorded in the system.	12, 20, 26, 28
CPS034	The system must provide a comprehensive reporting solution that will produce standard (canned) reports as well as allow for ad-hoc reporting without an adverse effect on system performance or response time.	12, 20, 26, 28, 73, 74
CPS035	The system shall provide a means for an authorized user to generate / complete a petition to Juvenile Court for custody of a child / youth as a result of or in response to a CPS / SIU Investigation / Assessment.	58
CPS036	The system shall provide maintenance facilities for technical and non-technical administrative users to add / modify / delete values in administrative tables, modify wording on existing error messages, and add / modify / delete wording on standard documents / forms produced in the system.	80

Req#	State SACWIS Requirement Description Juvenile Justice (JJ)	Federal SACWIS Element(s)
JJ001	The system shall provide a means for the user to record referral information for a child / youth that has been ordered into DCS custody or DCS-supervised probation or diversion via Juvenile Court order.	1, 2, 3, 60
JJ002	The system shall provide the user a means to capture court order information.	60
JJ003	The system shall provide a means for users to document a pre-disposition report.	15, 16, 19, 20, 58
JJ004	The system shall provide a means to submit court referrals to a specific county / facility for assignment to a user.	8, 67, 68
JJ005	The system shall provide a means to initiate and update a Comprehensive Assessment.	13, 15, 16, 19
JJ006	The system shall provide an automated assessment tool (such as the Community Risk Assessment, CANS, or YLS / CMI) for use in determining and documenting the risks a child / youth may pose to the community.	13, 14, 15, 16
JJ007	The system shall provide for the recording of client / case contacts in the electronic case folder.	17
JJ008	The system shall provide a means to document and track Child and Family Team Meeting (CFTM)/Family Services Team Meeting (FSTM) information and outcomes for Juvenile Justice cases.	15, 16, 17
JJ009	The system shall provide a means to support the determination and documentation of the level of supervision for a child / youth.	13, 14, 15, 16
JJ010	The system shall provide a means to create a Supervision Plan for a non-custodial child / youth.	29, 30, 32, 34, 35, 38, 39
JJ011	The system shall provide the user with a means to capture information related to a child / youth who has violated the terms of a court-ordered probation, diversion, or aftercare.	58, 59, 60
JJ012	The system shall provide the user with the ability to create a discharge packet for a child / youth who is in an active Probation, Diversion, or Aftercare episode.	34, 43, 58, 59, 60
JJ013	The system shall provide a means to submit a referral for placement to Placement Services Division (PSD).	33, 34
JJ014	The system shall provide a means to submit a referral to the transportation unit to request transportation of the child / youth to a placement / facility.	31
JJ015	The system shall provide a means to indicate the determinate commitment expiration date for a child / youth.	60
JJ016	The system shall allow the user to record and track Youth Commitment Reduction Credits (YCRCs) for a child / youth with a determinate commitment type.	90
JJ017	The system shall provide a means to record and track information related to Foster Care Review Board and judicial / court reviews of the child / family case.	38, 39, 88
JJ018	The system shall provide the user with a means to document and update a Permanency Plan.	29, 30, 31, 32, 35
JJ019	The system shall provide a means for an authorized user to generate and complete a release from custody packet for a custodial child / youth committed delinquent.	34, 58, 59, 60
JJ020	The system shall provide a means to record / track information related to a youth's release from custody to aftercare.	58, 59, 60
JJ021	The system shall provide the user with the ability to receive placement referrals from Placement Services Division (PSD) or other facilities.	33
JJ022	The system will provide the ability for authorized users to maintain a placement waiting list(s) of all custody and / or post custody children waiting to be placed in a specific placement type and / or placement location.	16, 18, 30, 33
JJ023	The system shall provide a means to record and track information related to the classification of a youth while placed in a YDC.	13, 14, 15, 16

Req# #	State SACWIS Requirement Description Juvenile Justice (JJ)	Federal SACWIS Element(s)
JJ024	The system shall provide a means to create an Individual Program Plan (IPP) for a child / youth in a DCS Facility	29, 30, 32, 35, 37, 38, 39
JJ025	The system shall provide a means for the user to document and track activity / information associated with Major Disciplinary reports	90
JJ026	The system shall allow the user to indicate when a youth has been placed on Suicide Watch status at the facility	15, 90
JJ027	The system shall provide the user with the ability to record and track education information for youth attending a school in the DCS school system	43, 90
JJ028	The system shall provide a means to record and track Critical Incident Reports.	90
JJ029	The system shall provide a means to capture and track information associated with the transfer of a youth to another facility due to immediate health / safety / security of the facility or youth OR for the purpose of meeting identified treatment needs	18, 31, 33
JJ030	The system shall support the preparation of alerts, notifications, and reports required during and as a result of intake, investigation, assessment, or any other case management activity recorded in the system	26, 28, 34, 38, 51, 53, 59
JJ031	The system shall provide a means for the user to generate management reports to track Juvenile Justice activities in hard copy or electronic formats	71, 72, 73, 74
JJ032	The system shall provide a means for the user to generate documents to reflect information gathered and actions taken during the Juvenile Justice business process	20, 26, 28, 34, 40, 43, 46, 58
JJ033	The system shall provide maintenance facilities for technical and non-technical administrative users to add / modify / delete values in administrative tables, modify wording on existing error messages, and add / modify / delete wording on standard documents / forms produced in the system	90

Req#	State SACWIS Requirement Description Non-Residential Resources (NR)	Federal SACWIS Element(s)
NR001	The system shall support the preparation of service requests / referrals required for acquisition of needed goods / services resources.	16, 18, 31
NR002	The system shall provide automated support in the identification and matching of child / family service needs and available resources.	16, 30
NR003	The system shall provide support to the user in identifying the services that are covered by TennCare / Medicaid	24, 52
NR004	The system shall provide a Family Service Summary	20, 34
NR005	The system shall provide a means for the user to submit all referrals for goods / services, indicated as approved by Team Leader and / or Regional Administrator, to the appropriate Fiscal user for authorization	35
NR006	The system shall provide a means for authorized users to re-authorize a service authorization	54, 62, 63, 64
NR007	The system shall provide a means for authorized users to de-authorize a service authorization	35, 54
NR008	The system shall allow the user to record retroactive goods / services referral / authorization information	52
NR009	The system shall support the department's Accounts Payable function by using service authorizations to generate invoices for provider payment	16, 42, 44, 62, 64
NR010	The system shall provide a means for authorized Fiscal users to document and submit a request for approval for a new vendor / provider resource to the authorized staff	16, 62, 64
NR011	The system shall provide a means for an authorized user to approve / deny a request for approval for a new vendor / provider resource	16, 31, 35, 42, 64
NR012	The system will provide authorized users with a means to update resource information in the resource directory	75, 76
NR013	The system shall include role-based security using unique user identifications, mandatory password standards, and profile / group access assignments	34, 38, 45, 53, 56
NR014	The system shall support the preparation of alerts required during, and as a result of Non-Residential Resource process activity recorded in the system	34, 43, 46, 53, 57, 59, 64
NR015	The system shall support the preparation of notifications required during, and as a result of Non-Residential Resource activity recorded in the system	34, 40, 43, 46, 53, 57, 72, 73, 74
NR016	The system shall support the preparation of reports required during, and as a result of Non-Residential Resource activity recorded in the system	64
NR017	The system shall provide a means for the user to generate, complete and submit a Standard Claims invoice to Fiscal for payment for services received	35, 42, 64
NR018	The system shall provide a means for the user to generate, complete and submit a Procurement Request to Fiscal for approval	90
NR019	The system shall provide maintenance facilities for technical and non-technical administrative users to add / modify / delete values in administrative tables, modify wording on existing error messages, and add / modify / delete wording on standard documents / forms produced in the system	80

Req#	State SACWIS Requirement Description Relative Caregiver / Families First Kinship Care Programs (RK)	Federal SACWIS Element(s)
RK001	The system shall provide a means for users to capture a referral to the Relative Caregiver Program (RCP) and /or Families First Kinship Care Program (FFKC).	7, 9, 16, 18, 29, 31
RK002	The system shall support the provision of Relative Caregiver / Families First Kinship Care services.	
RK003	The system shall provide a method for authorized users to assign one-to-many cases to the Family Advocate, and assign / transfer an entire caseload from one Family Advocate to another.	8, 67
RK004	The system shall provide for the recording of client / case contacts in the electronic case folder.	17, 31, 41
RK005	The system shall provide a means for the user to capture and track the relative family participation in support activities as part of the Relative Caregiver Program.	29
RK006	The system shall integrate the result / outcome of the automated assessment tool (like Family Needs Scale and / or In-Home Assessment) with the Assessment.	13, 14, 15, 16, 19, 29, 30, 31, 32, 33, 34
RK007	The system shall provide a means for recording and tracking Child & Family Team Meetings (CFTM), both those required by policy and ad-hoc meetings.	17, 41
RK008	The system shall support Permanency Plan development by documenting the services available in the State that are required to meet the specific child & relative family needs identified in the assessment.	16, 29, 30, 33, 44
RK009	The system shall provide a means for the user to capture information to support the determination of the relative family's eligibility for the Relative Caregiver Program.	2, 24, 25, 26, 29
RK010	The system shall provide a means for Relative Caregiver Staff to make referrals of child maltreatment to DCS Central Intake.	1, 2, 3, 49
RK011	The system shall provide automated support in the identification and matching of service needs and available resources.	16, 30, 33
RK012	The system shall provide a means to indicate if the relative family is receiving Subsidized Guardianship / Kinship Care funds.	25, 26, 27, 28, 29, 62, 64
RK013	The system shall provide a means for the user to capture the Families First Kinship Care Program payment agreement information.	24, 25, 54, 55
RK014	The system shall provide a means for authorized users to search the SACWIS database to determine if the relative family and child (ren) have current or previous history with DCS. (Note: Due to client information confidentiality concerns, DCS may strictly limit the capability for private providers (non-DCS employees) to conduct a search of the SACWIS database. The ability to search and view of results may be limited to a DCS employee who would then have the discretion as to how to share the results with the Family Advocate and specifically what information could be disclosed.)	3, 24
RK015	The system shall support the preparation of alerts required during and as a result of intake, investigation, assessment, or any other case management or financial management activity recorded in the system.	12, 26, 28, 34, 38, 68, 79
RK016	The system shall support the preparation of notifications required during and as a result of intake, investigation, assessment, or any other case management activity recorded in the system.	12, 20, 26, 28, 34, 38, 40, 43, 45, 46, 51, 53, 59
RK017	The system shall provide a comprehensive document generation solution. Specific forms / documents to be generated from the SACWIS are identified in the forms appendix of the requirements documents for each functional area.	20, 40, 43
RK018	The system shall include role-based security using unique user identifications, mandatory password standards, and profile / group access assignments.	75, 76

Req#	State SACWIS Requirement Description Resource Family (RF)	Federal SACWIS Element(s)
RF001	The system shall provide a means to capture and track information related to the inquiry of potential Resource Families regarding the DCS resource family homes program.	44, 48, 50
RF002	The system shall create a prospective Resource Family Home record in the Resource Directory from the documented inquiry information.	52
RF003	The system shall provide for the recording of client / case contacts in the electronic case folder.	31, 48
RF004	The system shall allow the user to capture information about PATH training classes and other required specialized training for each region.	47, 48
RF005	The system shall provide a means to record and track Resource Home Application related data for each Resource Home's activation period as part of the approval process.	44, 48, 50, 52
RF006	The system shall provide a means for the user to document any barriers identified that may present issues for the family's successful completion of the Resource Home approval process.	47
RF007	The system shall allow the user to update the Resource Family record with information gathered during the initial application approval process.	44, 48, 50
RF008	The system shall provide a means for the authorized user to document and track information related to the re-assessment / approval process, the annual re-evaluation or when changes occur for resource family homes.	44, 45, 46, 48, 49, 51
RF009	The system shall allow authorized users to indicate that a Resource Home is approved for the expedited placement of a child.	48, 50, 51
RF010	The system shall allow authorized users to update and maintain information recorded for resource families.	48, 49, 50, 51
RF011	The system shall allow authorized users to place the status of a resource family home 'On Hold'.	48, 49, 51
RF012	The system shall allow authorized users to update a resource family home to 'Closed' status.	48, 49, 50, 51
RF013	The system shall provide a means for members of the Resource Home Eligibility Team (RHET) to verify Private Provider Resource Homes comply with the requirements of the Title IV-E program.	
RF014	The system shall provide a means for the user to view a Resource Home Summary for all resource homes in the system, both active and inactive.	52
RF015	The system shall support the preparation of alerts, notifications, and reports required during, and as a result of intake, investigation, assessment, or any other case management or financial management activity recorded in the system.	45, 51, 53, 56
RF016	The system shall support the preparation of alerts, notifications, and reports required during, and as a result of intake, investigation, assessment, or any other case management or financial management activity recorded in the system.	45, 46, 51, 56
RF017	The system shall include role-based security using unique user identifications, mandatory password standards, and profile / group access assignments.	75, 76
RF018	The system must provide a comprehensive reporting solution that will produce standard operating, pre-defined or operational reports as well as allow for ad-hoc reporting without an adverse effect on system performance or response time.	20, 34, 40, 43, 46, 53, 57, 71, 72, 73, 74
RF019	The system shall provide a comprehensive document generation / management solution. Specific forms/documents to be generated from the SACWIS are identified in the forms appendix of the requirements documents for each functional area.	46
RF020	The system shall allow for the creation of a Resource Family Support Unit whose responsibility it will be to manage DCS Resource Homes.	8, 67
RF021	The system shall allow for the creation of a Resource Home Eligibility Team (RHET), whose responsibility it will be to confirm Private Provider Resource Homes for Title IV-E compliance.	

Req# #	State SACWIS Requirement Description Evaluation & Monitoring (E&M)	Federal SACWIS Element(s)
E&M001	The system shall allow authorized users to generate a stratified random sample of cases to be reviewed for each region	88
E&M002	The system shall support Case Process Review by providing a means for authorized users to document a review of each case that is assigned to them included in the sample	88
E&M003	The system shall provide the user with a means to generate pictorial tools that are representative of the family case. Tools may include, but not be limited to Genograms, Timelines, Ecomaps, and Family Maps	90
E&M004	The system shall provide a means to support users in preparation of a Family Case Summary to be included in the Quality Service Review data packet	90
E&M005	The system shall provide a means for automatic generation of <i>General Case Information</i> for cases that have been designated for Quality Service Review	90
E&M006	The system shall provide an automated on-line version of a Quality Service Review Protocol Instrument	88
E&M007	The system shall provide a means for the Quality Service Reviewer to document a Case Review Summary as part of the Quality Service Review	88
E&M008	The system shall support the Peer Review Process by providing the user a means to document the review of cases assigned to them	88
E&M009	The system shall provide a means for users to perform ad-hoc reviews of cases using the on-line automated review tools for purposes of review practice and self-assessment / self-adjustment	88
E&M010	The system shall provide a means for authorized users to view a roster or listing of users who have been designated as authorized QSR reviewers	89
E&M011	The system shall provide support to the user in the analysis of the data collected during the Case Process, Quality Service, and Peer Reviews	88
E&M012	The system shall provide a maintenance facility to allow authorized non-technical users to update the language on the on-line review tools / instruments	90
E&M013	The system must include role-based security using unique user identifications, mandatory password standards, and profile / group access assignments	75
E&M014	The system shall provide a means to generate alerts based upon activities related to Case Process, Quality Service, and Peer Reviews	20, 38, 40

Req# #	State SACWIS Requirement Description IV-E Foster Care, Adoption Assistance, and Broker Day Care Eligibility (EL)	Federal SACWIS Element(s)
EL001	The system shall provide a means for a Family Service Worker or other appropriate staff to record all available initial Title IV-E Foster Care eligibility data for each custody episode for the child.	2, 7, 15, 19, 21, 22, 23, 24, 25, 26, 27, 28
EL002	The system shall provide a means for DCS Child Welfare Benefits Counselors to document the verification of child / family and court order language information.	21, 22, 23
EL003	The system shall interface with Tennessee's Title IV-A/IV-E system, Vision Integration Platform (VIP), for the purposes of eligibility determination for Title IV-E Foster Care.	21, 23, 25, 27, 83
EL004	The system shall determine if a child's placement is Title IV-E Foster Care reimbursable.	21, 23
EL005	The system shall provide for the processing of regularly scheduled and as needed eligibility re-determinations.	27, 28
EL006	The system shall provide a means to store Title IV-E Foster Care eligibility determination / re-determination decisions.	21, 23, 25, 26, 27, 28
EL007	The system shall provide a means for the Child Welfare Benefits Counselor to document the child's eligibility for other benefits.	24
EL008	The system shall provide case assignment / workload capabilities for users identified as Child Welfare Benefits Counselors and Supervisors.	8
EL009	The system shall provide a means for authorized users to conduct a Title IV-E Foster Care Case File Reviews.	38, 39
EL010	The system shall support the preparation reports and forms required during, and as a result of intake, investigation, assessment, or any other case management activity recorded in the system.	21, 26, 28
EL011	The system shall support the preparation of notifications required during, and as a result of eligibility determination / re-determination activities.	26, 28
EL012	The system shall support the preparation of alerts required during and as a result of eligibility determination / re-determination activities.	26, 28
EL013	The system shall provide a means for a Family Service Worker or other appropriate staff to record initial Adoption Assistance eligibility data when parent(s) parental rights have been terminated on a child and the adoption resource has been identified.	2, 7, 15, 19, 21, 22, 23, 24, 25, 26, 27, 28
EL014	The system shall provide a means for Permanency Assistance Designee to verify and document child Adoption Assistance eligibility information.	21, 22, 23, 24, 25, 26, 27, 28
EL015	The system shall support an interface with Tennessee's Title IV-A/IV-E system Vision Integration Platform (VIP), to support the determination of Adoption Assistance eligibility and to facilitate Medicaid / TennCare eligibility determination.	21, 23, 25, 27, 83
EL016	The system shall provide for the processing of regularly scheduled and as needed Adoption Assistance eligibility re-determinations.	27, 28
EL017	The system shall provide a means to store the Title IV-E Adoption Assistance eligibility determination / re-determination in the client record.	21, 23, 25, 26, 27, 28
EL018	The system shall provide a means to facilitate and capture the application and receipt of benefits for a child who is Title IV-E Adoption Assistance eligible.	24
EL019	The system shall support the preparation of alerts required during and as a result of eligibility determination / re-determination activities.	26, 28
EL020	The system shall provide a means for users to generate and complete a referral for Broker Day Care Services for a custodial or a non-custodial child, as well as for a child who is enrolled in the Relative Caregiver Program.	18, 31
EL021	The system shall provide a means for an authorized user to indicate approval / denial of the referral for day care services.	35
EL022	The system shall provide a means for an authorized user to indicate approval / denial of the referral for day care services.	35
EL023	The system shall support a means for the Regional Designee for Broker Day Care Services to authorize the provision of Broker Day Care Services.	18, 83

Req #	State SACWIS Requirement Description IV-E Foster Care, Adoption Assistance, and Broker Day Care Eligibility (EL)	Federal SACWIS Element(s)
EL024	The system shall provide a means for the user to generate and complete a referral to change or transfer authorized Broker Day Care Services.	18
EL025	The system shall support the re-determination process for Broker Day Care Services.	24
EL026	The system shall maintain and track the status and history of all Broker Day Care referrals generated in the system.	18
EL027	The system shall provide a means for authorized users to view and track budget information related to Broker Day Care Services.	90
EL028	The system shall support the preparation of reports and forms required during and as a result of intake, investigation, assessment, or any other case management activity recorded in the system.	18, 26, 28
EL029	The system shall support the preparation of alerts required during and as a result of eligibility determination / re-determination activities.	38

Req# #	State SACWIS Requirement Description Financial Management (FM)	Federal SACWIS Element(s)
FM001	The system shall provide fully integrated financial management functions, to include Contract Management, Budgeting, Accounts Payable, and Accounts Receivable capabilities, in order to manage the department's financial transactions related to children, families, and providers.	53, 54, 55, 56, 57, 62, 63, 64
FM002	The system shall support authorized users in the creation and maintenance of contracts / amendments with providers for services to children and families.	54, 55, 56, 57
FM003	The system shall provide a means for authorized users to establish and maintain tables for rates to be paid for each contract / amendment type.	54, 55, 56, 57
FM004	The system shall provide support in both the physical and financial monitoring of contracts / amendments.	54, 55, 56, 57
FM005	The system shall provide the capacity to manage financial resources through budgeted allocations, fund obligation authorization, and analytical reporting.	54, 55, 56, 57, 62, 63, 64, 90
FM006	The system shall support authorized users in executing the Accounts Payable function with regard to both residential and non-residential services provided by contracted and non-contracted providers.	62, 64
FM007	The system shall provide a means for authorized DCS Fiscal users to capture track and maintain specific information about each of DCS' major funding sources, including grant awards and adjustments, as well as payments and other adjustments, that affect the availability of funds.	62, 63, 64
FM008	The system shall provide a means for authorized users to establish and maintain a funding hierarchy for payments.	62, 63, 64
FM009	The system shall provide the capability to capture and maintain data needed to establish Federal reimbursement and cost allocation for services provided.	90
FM010	The system shall provide a means to fund direct services at the time of service authorization based on the established funding hierarchy.	63
FM011	The system shall have the capability to allow adjustments to the funding mix due to changes in child / service / provider eligibility after payment has been made.	63, 90
FM012	The system shall provide a means for authorized DCS Fiscal users to capture track and maintain specific information about each of DCS' specific grants that are not considered major funding sources, including grant information and restrictions, and awards and adjustments, as well as payments and other adjustments, that affect the availability of funds.	63, 90
FM013	The system shall provide a means to support TennCare / Medicaid billing processes for services and Targeted Case Management.	85, 90
FM014	The system shall provide a means to capture and track Child Support funds due and received by DCS from Department of Human Services.	84, 90
FM015	The system shall provide a means for authorized users to capture and track information related to the receipt of cash / checks for fees and overpayments.	63
FM016	The system shall support the initiation and completion of final accounting process on a case when child leaves custody, reaches the age of 18, or when DCS is no longer the Payee for benefits the child is receiving.	90
FM017	The system shall be capable of generating refunds to the Social Security Administration when a child who is receiving SSI benefits has reached the resource limit.	62, 63
FM018	The system shall be capable of capturing and tracking information regarding overpayments to service providers.	63
FM019	The system shall provide Trust Accounting capabilities for capturing and tracking information about deposits, withdrawals and available balances of client trust accounts for benefits received, such as SSI, SSA and VA payments.	62, 63
FM020	The system shall provide Student Trust Account capabilities for capturing and tracking information about deposits, withdrawals and available balances of student trust accounts for those youth in DCS Group Homes and Youth Development Centers who earn an allowance or are employed.	90

Req#	State SACWIS Requirement Description Financial Management (FM)	Federal SACWIS Element(s)
FM021	The system shall provide a means for the capture and tracking of system usage information for the purposes of operational cost allocation.	90
FM022	The system must include role-based security using unique user identifications, mandatory password standards, and profile / group access assignments.	76
FM023	The system shall support the preparation of alerts required during, and as a result of intake, investigation, assessment, or any other case management or financial management activity recorded in the system.	56, 57, 62, 63, 64
FM024	The system shall support the preparation of notifications required during, and as a result of intake, investigation, assessment, or any other case management or financial management activity recorded in the system.	56, 57, 62, 63, 64
FM025	The system must provide a comprehensive reporting solution that will produce standard operating, pre-defined or operational reports as well as allow for ad-hoc reporting without an adverse effect on system performance or response time.	57, 90
FM026	The system shall provide a comprehensive document generation solution. Specific forms / documents to be generated from the SACWIS include, but are not limited to those that are identified in the forms appendix of the requirements document.	57, 76

Req# #	State SACWIS Requirement Description Mobile Technology (MT)	Federal SACWIS Element(s)
MT001	The Tennessee SACWIS must include a mobile solution.	90
MT002	The system shall provide a mobile solution to allow authorized users to view and update information in Tennessee's SACWIS from remote locations.	2, 5, 10, 14, 17, 19, 90
MT003	The mobile solution shall provide a means to allow for input and maintenance of available situation and demographic information.	2, 5, 10, 14, 17, 19, 90
MT004	The mobile solution shall provide a means for the user to create / generate a comprehensive Assessment that shall derive information from specific tools and functional areas of the system, such as results / outcomes of specific assessment tools and Permanency Plans.	10, 14, 15, 17, 90
MT005	The system shall provide for the recording of client / case contacts in the electronic case folder.	17, 90
MT006	The mobile solution shall provide a means for the user to document a Permanency Plan for a child / family.	29, 90
MT007	The mobile solution shall provide a means for referral data to be captured.	1, 2, 90
MT008	The mobile solution shall provide a means for authorized users to document activity related to a CPS Investigation or Assessment.	10, 90
MT009	The mobile solution shall provide a means for the user to record referral information for a child / youth that has been ordered into DCS custody or DCS-supervised probation or diversion via Juvenile Court order.	2, 90
MT010	The mobile solution shall provide a means for the user to update the Resource Family record with information gathered during the initial application approval process.	41, 90
MT011	The mobile solution shall provide a means for the user to document a review of a case.	39, 89, 90
MT012	The mobile solution shall provide a means for the user to capture a digital photograph utilizing a mobile device.	90
MT013	The mobile solution shall provide a means for the user to capture the GPS (Global Positioning System) coordinates of a location.	90
MT014	The mobile solution must include mapping software.	90
MT015	The mobile solution shall provide case-based activity checklists (to-do lists) to assist in prompting the users in the completion of required case activities according to business rules.	68, 90

Req #	State SACWIS Requirement Description Subsidized Permanent Guardianship (SPG)	Federal SACWIS Element(s)
SPG001	The system shall provide a means to document and track Subsidized Permanent Guardianship information for a child / youth who is currently placed with Relative or Kin.	29, 60
SPG002	The system shall provide a means to support the determination of eligibility for Permanent Guardianship / Subsidized Permanent Guardianship for a custodial child (age birth to 18 years).	21, 22, 23, 24, 25, 26, 27, 28
SPG003	The system shall provide a means for the user to document and track potential relative and kinship care resources.	2, 16, 29, 31, 33, 44, 48, 84
SPG004	The system shall provide support in the identification and matching of clients with available placement alternatives.	33
SPG005	The system shall support requirements related to the Adoption and Safe Families Act (ASFA).	21, 22, 24, 29, 44, 59, 64, 84
SPG006	The system shall provide a means for the user to generate and complete a referral for Subsidized Permanent Guardianship to a Permanency Specialist.	8, 31
SPG007	The system shall provide a means for recording and tracking Child & Family Team Meetings (CFTM), both those required by policy and ad-hoc meetings.	17
SPG008	The system shall allow the user to document information related to the placement resource / location of a child in out-of-home care.	29, 60
SPG009	The system shall allow the user to document information related to the transfer of custody to the relative / kin.	29, 60
SPG010	The system shall automatically pre-populate Subsidized Permanent Guardianship case checklists with required tasks and deadlines as set forth in DCS Policies.	68, 80
SPG011	The system shall provide a means for the user to create / generate a comprehensive Assessment that shall derive information from specific tools and functional areas of the system such as results / outcomes of specific assessment tools and permanency plans.	13, 14, 15, 16, 17, 18, 19, 20, 29, 30, 31, 32, 33, 34
SPG012	The system shall provide for the recording of client/case contacts in the electronic case folder.	17, 31, 41
SPG013	The system shall provide a means for the user to document information related to the Subsidized Permanent Guardianship paid to the relative / kin family.	21, 22, 23, 25, 29
SPG014	The system shall provide a means for the user to submit a referral to DHS' Vision Integration Platform (VIP) system for purposes of generating the child's TennCare card once the child is approved for Subsidized Permanent Guardianship.	
SPG015	The system shall support the process of re-determining eligibility for Subsidized Permanent Guardianship.	27, 28
SPG016	The system shall provide a means for the user to track the Subsidized Permanent Guardianship appeals process (e.g. resource families Subsidized Permanent Guardianship Agreement has been denied or subsidy has been changed or terminated.)	44, 45, 54, 55, 60
SPG017	The system shall provide a means for the user to document information to support the continuation of Subsidized Permanent Guardianship payment when a child re-enters state custody and / or in an out of home care placement.	21, 22, 23, 25, 54, 55, 60
SPG018	The system shall provide a means to automate Subsidized Permanent Guardianship Case Review for the user to complete online.	27, 32, 38, 39, 40
SPG019	The system shall support the preparation of alerts required during, and as a result of the Permanent Guardian / Subsidized Guardianship process activity recorded in the system.	26, 27, 28, 34, 38, 45, 53, 56
SPG020	The system shall support the preparation of notifications required during, and as a result of the Permanent Guardian / Subsidized Guardianship process activity recorded in the system.	26, 27, 28, 34, 38, 45, 53, 56
SPG021	The system shall support the preparation of reports and forms required during, and as a result of the Subsidized Permanent Guardianship process activity recorded in the system.	26, 27, 28, 34, 38, 45, 53, 56

Req# #	State SACWIS Requirement Description Subsidized Permanent Guardianship (SPG)	Federal SACWIS Element(s)
SPG022	The system shall provide a means for the user to generate / complete the Subsidized Permanent Guardianship Agreement (Contract).	54, 55, 57
SPG023	The system shall include role-based security using unique user identifications, mandatory password standards, and profile / group access assignments.	75, 76
SPG024	The system shall provide maintenance facilities for technical and non-technical administrative users to add / modify / delete values in administrative tables; modify wording on existing error messages; and add / modify / delete wording on standard documents / forms produced in the system.	80

Contract Attachment F – Federal SACWIS Requirements

F.1 Federal SACWIS Requirements

The following Requirements Matrix Table lists the Federal SACWIS requirements that must be met as part of this SACWIS contract.

Area	Subsection	#	Name	Type	Description	SARGE Description
I. Intake Management	A. Intake	1	Record Contact / Referral	M	The automated system must record initial contacts regarding allegations of abuse or neglect, or provide for the input of a formal referral for protective services, voluntary placement services, juvenile corrections and other services.	(1) <u>Record contact / referral</u> * — Describe how the automated system :a) records initial contacts regarding allegations of abuse or neglect, and / or b) provides for the input of a formal referral for protective services, voluntary placement services, juvenile corrections, and other services. c) The State response should also indicate when the "Intake Report" is frozen in the system.
I. Intake Management	A. Intake	2	Collect Intake / Referral Information	M	The automated system must allow for input of available situation and demographic information, including the cross-referencing of relationships among participants and the reason for referral.	(2) <u>Collect intake / referral information</u> * — Describe how the automated system: a) allows for the input of available situation and demographic information, b) including the cross-referencing of relationships among participants and c) the reason for referral.
I. Intake Management	A. Intake	3	Search for Prior History	M	The automated system must provide for a search to the database(s) to check for prior incidents and other available information. For a single incident, the system must allow for more than one report of that incident by including information on each individual or agency making a report (such additional reports may or may not be counted in the total number of reports, depending on State policy).	(3) <u>Search for prior history (persons / incidents)</u> * — a) Describe how the automated system searches the database(s) to check for prior incidents and other available information. b) For a single incident, does the system allow for multiple reports of an incident by including information on each individual or agency making a report?

Area	Subsection	#	Name	Type	Description	SARGe Description
I. Intake Management	A. Intake	4	Record "Information Only" Contacts	O	The automated system may provide for the recording of calls or contacts which do not involve a specific allegation or referral.	(4) <u>Record "information only" requests</u> — Describe how the automated system records calls or contacts which do not involve a specific allegation or a referral concerning abuse and / or neglect.
I. Intake Management	B. Screening	5	Evaluate Intake Information	M	The automated system must support the evaluation of the received information to determine the necessity of establishing a case.	(5) <u>Evaluate intake information *</u> — Describe how the automated system supports the evaluation of the available information to determine the necessity of establishing a case.

Area	Subsection	#	Name	Type	Description	SARGe Description
I. Intake Management	B. Screening	6	Record Results of Screening Evaluation	M	The automated system must provide for the recording of the determination resulting from the screening process.	(6) <u>Record the results of the screening evaluation *</u> — Describe how the automated system provides for the recording of the determination resulting from the screening process.
I. Intake Management	B. Screening	7	Establish Case Record	M	The automated system must provide for the establishment of a new case, the association of a new allegation with an existing open case, or the re-opening of a closed case.	(7) <u>Establish case record *</u> — Describe how the automated system provides for: a) the establishment of a new case, b) the association of a new allegation with an existing open case, or c) the re-opening of a closed case.
I. Intake Management	B. Screening	8	Assign Case to Worker	M	The automated system must support and record the assignment of the case to a worker and for the tracking of that case through the process.	(8) <u>Assign case to worker *</u> — Describe how the automated system: a) supports and records the assignment of the case to a worker, and b) provides for the tracking of that case through the process.
I. Intake Management	B. Screening	9	Refer for Investigation and / or Services	M	The automated system must support the referral / transfer of the case for investigation, if necessary, or for assessment, if the allegation is not related to maltreatment.	(9) <u>Refer for investigation and / or services, as appropriate *</u> — Describe how the automated system supports the referral / transfer of the case: a) for investigation, if necessary, or b) for the assessment, if the allegation is not related to maltreatment.

Area	Subsection	#	Name	Type	Description	SARGE Description
I. Intake Management	C. Investigation	10	Collect and Record Investigation Information	O	The automated system <u>may</u> provide for the input of information collected during the investigation process, including the recording of contacts made during the investigation.	(10) <u>Collect and record investigation information</u> — Describe how the automated system: a) provides for the input of information collected during the investigation process, b) including the recording of contacts made during the investigation.
I. Intake Management	C. Investigation	11	Record Investigation Decision	M	The automated system must provide for the recording of the decision resulting from the investigation.	(11) <u>Record investigation decision *</u> — a) Describe how the automated system provides for the recording of the decision resulting from the investigation. For informational purposes b) What disposition categories are used? c) Is information on investigation dispositions, including findings with respect to each allegation of maltreatment, linked to the perpetrator's record?

Area	Subsection	#	Name	Type	Description	SARGE Description
I. Intake Management	C. Investigation	12	Generate Documents As Needed in Response to Investigation	M	The system must support the preparation of alerts, notifications and reports required during, and as a result of, the investigative process.	(12) <u>Generate documents as needed in response to investigation</u> * — Describe how the system supports the preparation of: a) alerts / ticklers, b) notifications, and c) reports required during, and as a result of, the investigative process. (Please Note -- This is a common functional requirement and appears in various parts of this Guide. The State Response to this question should address the system capabilities related to the generation of alerts / ticklers, notices, and reports as well as the specifics related to this functional area. Similar questions appearing in other functional areas can then refer to this question and limit the subsequent response to the specific functional area in question.)
I. Intake Management	D. Assessment	13	Determine and Record Risk Assessment	M	The automated system must support the evaluation and determination of risk factors affecting the case (this may be initiated during intake or investigation).	(13) <u>Determine and record risk assessment</u> * — Describe how the automated system supports the evaluation and determination of risk factors affecting the case.
I. Intake Management	D. Assessment	14	Perform Risk Assessment	O	The automated system may perform an automated risk assessment, which may use rules-based technology to determine the relative level of risk.	(14) <u>Perform risk assessment</u> — Describe how the automated system performs an automated risk assessment to determine the relative level of risk.

Area	Subsection	#	Name	Type	Description	SARGE Description
I. Intake Management	D. Assessment	15	Collect and Record Special Needs / Problems	M	The automated system must assist in the determination and documentation of special needs / problems (e.g., special education, developmental disabilities, medical assessment, etc.).	(15) <u>Collect and record special needs / problems</u> * — a) Describe how the automated system supports the determination and documentation of special needs / problems (e.g., special education, developmental disabilities, medical assessment, etc.). b) Considering that AFCARS is a SACWIS requirement, the response should also indicate how the categorization of disabilities and family problems in the system correspond to AFCARS and NCANDS (if applicable) data reporting elements.
I. Intake Management	D. Assessment	16	Determine and Record Needed Services	M	The automated system must support the determination of needed services and record those services, including the assignment and recording of the level of care (placement locations, in-home care, etc.).	(16) <u>Determine and record needed services</u> * — Describe how the automated system: a) supports and records the determination of needed services, b) including the assignment and level of care (placement locations, in-home care, etc.).
I. Intake Management	D. Assessment	17	Record Client Contacts	O	The automated system may provide for the recording of client contacts in the electronic case folder.	(17) <u>Record client contacts</u> — Describe how the automated system provides for the recording of client contacts in the electronic case folder.
I. Intake Management	D. Assessment	18	Prepare and Record Referrals to other Agencies	O	The automated system may provide for the preparation and recording in the electronic case folder of referrals to other agencies.	(18) <u>Prepare and record referrals to other agencies</u> — Describe how the automated system provides for the preparation and recording in the electronic case folder of referrals to other agencies.
I. Intake Management	D. Assessment	19	Collect and Record further Case Information	O	The automated system may provide for the recording in the electronic case record of additional case information gathered during the assessment process.	(19) <u>Collect and record further case information</u> — Describe how the automated system provides for the recording in the electronic case record of additional case information gathered during the assessment process.

Area	Subsection	#	Name	Type	Description	SARGe Description
I. Intake Management	D. Assessment	20	Generate Documents, Notices and Reports Based on Review	M	The automated system must support the generation of documents, notices, and reports during, or resulting from, the assessment process.	(20) <u>Generate documents, notices and reports based on review as needed</u> * — Describe how the automated system supports the generation of: a) documents, b) notices, and c) reports during, or resulting from, the assessment process. (The State may refer to sequential question number twelve (12) for a description of the general system capabilities related to this component of the system.)
II. Eligibility					This function consists of determining programs for which funding support is available for clients receiving services. Program eligibility may include funding for foster care / adoption payments and determining the type of programs that will allow a client to receive Medicaid coverage. This function is usually initiated sometime during the Intake Function.	
II. Eligibility	A. Initial Eligibility Determination	21	Determine Title IV-E Eligibility	M	The automated system must provide for the exchange and referral of information necessary to determine eligibility under Title IV-E through an interface with the Title IV-A system.	(21) <u>Determine Title IV-E eligibility</u> * — How does the State use the automated system to support the determination of AFDC-related eligibility for Title IV-E?
II. Eligibility	A. Initial Eligibility Determination	22	Record / Track Legal Requirements (judicial determination)	M	Complete Title IV-E automation and audit of that information.	(22) How does the State use the automated system to record / track the legal requirements (judicial determinations) related to IV-E eligibility? *
II. Eligibility	A. Initial Eligibility Determination	23	Determine / Track IV-E Eligibility in Out of Home Placement	M	Complete Title IV-E automation and audit of that information.	(23) How does the automated system determine / track a child's IV-E eligibility in an out-of-home placement (e.g., type of facility, license status, etc)? *

Area	Subsection	#	Name	Type	Description	SARGe Description
II. Eligibility	A. Initial Eligibility Determination	24	Verify Eligibility for Other Programs	M	The automated system must provide for the exchange and referral of information necessary to determine eligibility / status under other related programs such as Title XIX (Medicaid) and Title IV-D.	(24) <u>Verify eligibility for other programs</u> * — How does the automated system provide for the exchange and referral of information necessary to determine eligibility / status under other related programs such as: a) Title XIX (Medicaid) and b) Title IV-D?
II. Eligibility	A. Initial Eligibility Determination	25	Record Authorization Decisions	M	The automated system must provide for the recording of the eligibility authorization decisions.	(25) <u>Record authorization decisions</u> * — Describe how the automated system provides for recording the eligibility authorization decisions.
II. Eligibility	A. Initial Eligibility Determination	26	Generate Documents Related to Eligibility Determination	M	The automated system must produce the alerts, notices and reports (e.g., exception reports) needed to provide information on and track the initial eligibility determinations.	(26) <u>Generate documents related to eligibility determinations</u> * — Describe how the automated system produces: a) alerts / ticklers, b) notices, and c) reports needed to provide information on and track the initial eligibility determinations. (The State may refer to sequential question number twelve (12) for a description of the general system capabilities related to this component of the system.)
II. Eligibility	B. Changes in Eligibility	27	Re-determinations (a. & b.)	M	The automated system must provide for the processing of regularly scheduled and as needed program re-determinations and recording of re-determination decisions.	(27) <u>Re-determinations</u> * — Describe how the automated system provides for the: a) processing of regularly scheduled and as-needed program re-determinations, and b) recording of re-determination decisions.

Area	Subsection	#	Name	Type	Description	SARGE Description
II. Eligibility	B. Changes in Eligibility	28	Generate Documents Related to Eligibility Determination (a., b. c. & d.)	M	The automated system must produce the alerts, notices and reports (e.g., exception reports) needed to provide information on and track the changes in eligibility status.	(28) <u>Generate documents related to eligibility re-determinations</u> * — Describe how the automated system produces: a) alerts/ticklers, b) notices, and c) reports (e.g., exception reports) needed to provide information on and track the changes in eligibility status. d) Are the Child Welfare Workers alerted to changes made in the Title IV-A, Title IV-D, and Title XIX systems (the mandatory interfaces)? (The State may refer to sequential question number twelve (12) for a description of the general system capabilities related to this component of the system.)
III. Case Management					This function entails the preparation of service plans, determining whether the agency can provide the services, authorizing the provision of services, and managing the delivery of those services. The service / case plan must include the required elements specified in section 475.	

Area	Subsection	#	Name	Type	Description	SARGe Description
III. Case Management	A. Service / Case Plan	29	Prepare and Document Service / Case Plan	M	The automated system must support case plan development by documenting the services, available in the State, that are required to meet the specific needs identified in the assessment function in such areas as: (1) adoption: record and track information about adoptive placements and post-adoptive services, including subsidy benefits. (2) family preservation: institute in-home services to prevent the need for placement. (3) foster care: determine and track level of care, placement information, reunification services, legal requisites. (4) independent living: determine and track services to provide transitional living assistance for State foster care youths. (5) interstate compact: process / submit supervision requests from / with other states for children and youth.	(29) <u>Prepare and document service / case plan</u> * — a) Describe how the automated system supports the development of case plans for children and families by documenting services that are required to meet the specific needs identified in the assessment function. b) The State's response should address how the SACWIS supports case plan development in the following areas: 1) Adoption (records and tracks information about adoptive placements and post-adoptive services, including subsidy benefits); 2) Family preservation (institute in-home services to prevent the need for placement); 3) Foster care (determines and tracks level of care, placement information, reunification services, and legal requisites); 4) Independent living (determines and tracks services to provide transitional living assistance for State foster care youths); and 5) Interstate compact (process / submit supervision requests from / with other States for children and youth).
III. Case Management	A. Service / Case Plan	30	Identify and Match Services to Meet Clients Case Plan Needs	O	The system <u>may</u> provide automated support in the identification and matching of service needs and available resources.	(30) <u>Identify and match services to meet the client's case plan needs</u> — Describe how the system provides automated support in the identification and matching of service needs and available resources.
III. Case Management	A. Service / Case Plan	31	Record Contact with and Acquisition of Needed Resources / Services	O	The automated system <u>may</u> support and record the preparation of necessary service requests or referrals.	(31) <u>Record contact with and acquisition of needed resources / services</u> — Describe how the automated system: a) supports and b) records the preparation of necessary service requests or referrals.

Area	Subsection	#	Name	Type	Description	SARGe Description
III. Case Management	A. Service / Case Plan	32	Track and Update Service / Case Plan	M	The automated system must support the monitoring of the progress of plan and update of the service / case plan in the electronic case folder.	(32) <u>Track and update service / case plan</u> * — Describe how the automated system supports the: a) monitoring, b) progress, and c) update of the service / case plan in the electronic case folder.
III. Case Management	A. Service / Case Plan	33	Match Client to Placement Alternatives, if Needed	O	The system <u>may</u> provide automated support in the identification and matching of clients with available placement alternatives.	(33) <u>Match client to placement alternatives, if needed</u> — Describe how the system provides automated support in the identification and matching of the client with available placement alternatives.
III. Case Management	A. Service / Case Plan	34	Generate Documents as Needed	M	The automated system must support the generation of alerts, notices, and reports as necessary to track the progress of the service / case plan.	(34) <u>Generate documents as needed</u> * — Describe how the automated system supports the generation of: a) alerts / ticklers, b) notices, and c) reports as necessary to track the progress of the service / case plan. (The State may refer to sequential question number twelve (12) for a description of the general system capabilities related to this component of the system.)
III. Case Management	A. Service / Case Plan	35	Request and Record Supervisory Approval of Plan, if Needed	O	The automated system <u>may</u> provide support for obtaining supervisory approval of the service / case plan.	(35) <u>Request and record supervisory approval of plan, if needed</u> — Describe how the automated system provides support for obtaining supervisory approval of the service / case plan.
III. Case Management	A. Service / Case Plan	36	Compute Estimated and Track Actual Costs of Resources / Services	O	The automated system <u>may</u> include a component which estimates and tracks the costs of required / provided resources and services to assist in service / case plan management and tracking.	(36) <u>Estimate and track actual costs of resources / services</u> — Does the automated system include a component which: a) estimates and b) tracks the costs of required / provided resources and services to assist in service / case plan management and tracking? (If the answer is "yes" to either part of this question, please describe how this works.)

Area	Subsection	#	Name	Type	Description	SARGe Description
III. Case Management	A. Service / Case Plan	37	Identify Program Outcome Measures	O	The automated system <u>may</u> include a component which identifies and tracks program outcome measures.	(37) <u>Identify program outcome measures</u> — Does the automated system include a component that: a) identifies and b) tracks program outcome measures? (If the system supports this component, please describe how it works.)
III. Case Management	B. Case Review / Evaluation	38	Generate Alerts to Conduct Case Review / Evaluation	M	The automated system must support the timely identification and continued tracking of cases requiring review / evaluation.	(38) <u>Generate alerts / ticklers to conduct case review / evaluation as needed.</u> * — Please describe how the automated system supports the: a) timely identification and b) continued tracking of cases that require review and / or evaluation. (The State may refer to sequential question number twelve (12) for a description of the general system capabilities related to this component of the system.)
III. Case Management	B. Case Review / Evaluation	39	Conduct and Record Results of Case Review	M	The automated system must support the case review process and provide for documentation of the reassessment decisions in the electronic case folder, including documentation of action items resulting from the reassessment.	(39) <u>Conduct and record results of case review</u> * — Describe how the automated system: a) supports the case review process, and b) provides for documentation of the reassessment decisions and c) identifies needed action items in the electronic case folder.
III. Case Management	B. Case Review / Evaluation	40	Generate Documents, Notices and Reports based on Review	M	The automated system must support the generation of documents, notices, and reports during, or resulting from, the evaluation process.	(40) <u>Generate documents, notices and reports based on review, as needed</u> * — Describe how the automated system supports the: a) generation of documents, b) notices, and c) reports during, or resulting from, the evaluation process. (The State may refer to sequential question number twelve (12) for a description of the general system capabilities related to this component of the system.)
III. Case Management	B. Case Review / Evaluation	41	Record Collateral Contacts	O	The automated system <u>may</u> provide for the recording of client collateral contacts and information resulting from those contacts.	(41) <u>Record collateral contacts</u> - Describe how the automated system provides for the recording of: a) client collateral contacts, and b) the information resulting from those contacts.

Area	Subsection	#	Name	Type	Description	SARGe Description
III. Case Management	C. Monitoring Service / Case Plan Services	42	Track and Record Services Identified in the Service / Case Plan	O	The automated system <u>may</u> provide for the recording in the electronic case folder of the types, duration, and frequency of services.	(42) <u>Track and record services identified in the service / case plan</u> — Describe how the automated system provides for the recording in the electronic case folder of the: a) types, b) duration, and c) frequency of services.
III. Case Management	C. Monitoring Service / Case Plan Services	43	Generate Documents, Notices and Reports	M	The automated system must support the generation of documents, notices, and reports to track the services needed and provided to the client.	(43) <u>Generate documents, notices and reports</u> * — Describe how the automated system supports the generation of: a) documents, b) notices, and c) reports to track the services needed and provided to the client. (The State may refer to sequential question number twelve (12) for a description of the general system capabilities related to this component of the system.)
IV. Resource Management	A. Facilities Support	44	Record and Update Provider Information	M	This function supports the maintenance and monitoring of information on an array of service providers, including prevention programs, placement services, and foster care providers. The automated system must support the collection and maintenance of provider information such as license / certification status, types of services, level of care provided, level of care compliance and cost of care.	(44) <u>Record and update provider information</u> * — Describe how the automated system supports the collection and maintenance of provider information such as: a) license / certification status, b) types of services, c) level of care provided, d) level of care compliance, and e) cost of care.
IV. Resource Management	A. Facilities Support	45	Generate Alerts / Action Items on Licensing Status Changes	M	The automated system must support the timely identification and continued tracking of cases and / or facilities requiring a review or other action as a result of a change in provider information.	(45) <u>Generate alerts / action items on licensing status changes</u> . * — Describe how the automated system supports the: a) timely identification and b) continued tracking of cases and / or facilities requiring a review or other action as a result of a change in provider information.

Area	Subsection	#	Name	Type	Description	SARGe Description
IV. Resource Management	A. Facilities Support	46	Generate Reconciliation and Evaluation Reports	M	The automated system must support the generation of documents, notices, and reports, as needed.	(46) <u>Generate reconciliation and evaluation reports as needed</u> * — Describe how the automated system supports the generation of: a) documents, b) notices, and c) reports, as needed. (The State may refer to sequential question number twelve (12) for a description of the general system capabilities related to this component of the system.)
IV. Resource Management	A. Facilities Support	47	Record Track Provider Training	O	The system may be used to record and track provider training needs and training received.	(47) <u>Record and track provider training</u> — Describe how the system records and tracks provider: a) training needs and b) training received.
IV. Resource Management	B. Foster / Adoptive Homes Support	48	Maintain and Update Foster Care and Adoptive Home Information	M	As appropriate to the type of home, the automated system must support the collection and maintenance of foster care and adoptive home information such as licensing decisions, violations and revocations, required AFCARS information and received training.	(48) <u>Maintain and update foster care and adoptive home information as needed</u> * — Describe how the automated system supports the: a) collection and b) maintenance of foster care and adoptive home information, such as 1) licensing decisions, 2) violations and revocations, 3) required AFCARS information, and 4) completed training (as appropriate to the type of home).
IV. Resource Management	B. Foster / Adoptive Homes Support	49	Record Foster Home Abuse / Neglect Allegation & Investigation Results	M	The automated system must support the identification of foster care families where allegations of abuse / neglect have been reported and substantiated, as required by State law. The automated system must support the investigation of such allegations and document the results.	(49) <u>Record foster care home abuse / neglect allegations and investigation results</u> * — a) Describe how the automated system supports the identification of foster care families where allegations of abuse / neglect have been reported and substantiated, as required by State law. b) Does the automated system also support the investigation of such allegations and document the results? c) If yes, please describe. d) Is the information on these incidents integrated with other information on child abuse and neglect?

Area	Subsection	#	Name	Type	Description	SARGe Description
IV. Resource Management	B. Foster / Adoptive Homes Support	50	Process Foster Care / Adoption Home Applications	O	The automated system may provide for the recruitment and processing of foster care family applications.	(50) <u>Process foster care / adoptive home applications</u> — Describe how the automated system provides for the a) recruitment, and b) processing of foster care family applications.
IV. Resource Management	B. Foster / Adoptive Homes Support	51	Generate Alerts / Action Items as Needed if Foster Care License Revoked	O	The automated system may support the identification and tracking of cases requiring a review or other action as a result of changing information.	(51) <u>Generate alerts / action items as needed if a foster care license is revoked</u> — Describe how the automated system supports the a) identification and b) tracking of cases requiring a review or other action because of changing information.
IV. Resource Management	C. Resource Directory	52	Maintain Directory	O	The automated system <u>may</u> provide a directory / inventory of available resources and services.	(52) <u>Maintain directory</u> — Does the automated system provide a directory / inventory of available resources and services? If yes, please describe how it works.
IV. Resource Management	C. Resource Directory	53	Generate Reports	O	The automated system <u>may</u> support the generation of management reports, as well as other alerts, bulletins, and notices related to resource availability.	(53) <u>Generate reports</u> — Describe how the automated system supports the generation of: a) management reports, b) other alerts, c) bulletins, and d) notices related to resource availability. (The State may refer to sequential question number twelve (12) for a description of the general system capabilities related to this component of the system.)
IV. Resource Management	D. Contract Support	54	Process Contract and Contract Changes	O	The automated system may support the creation, processing, monitoring and modification of contracts.	(54) <u>Process contracts and contract changes</u> — Describe how the automated system supports the: a) creation, b) processing, c) monitoring, and d) modification of contracts.
IV. Resource Management	D. Contract Support	55	Record Contract-Monitoring Results	O	The automated system may support efforts to monitor contractual compliance.	(55) <u>Record contract-monitoring results</u> — Describe how the automated system supports efforts to monitor contractual compliance.

Area	Subsection	#	Name	Type	Description	SARGe Description
IV. Resource Management	D. Contract Support	56	Generate Alerts / Action Items	O	The automated system <u>may</u> support the timely identification and continued tracking of cases requiring a review or other action as a result monitoring activities.	(56) <u>Generate alerts / action items as needed.</u> — Describe how the automated system supports the: a) timely identification and b) continued tracking of cases requiring a review or other action as a result of monitoring activities.
IV. Resource Management	D. Contract Support	57	Generate Documents	O	The automated system <u>may</u> support the generation of notices and reports such as reconciliation and evaluation reports during, or resulting from, the monitoring of contract support.	(57) <u>Generate documents as needed -</u> Describe how the automated system supports the generation of: a) notices and b) reports such as reconciliation and evaluation reports during, or resulting from, the monitoring of contract support. (The State may refer to sequential question number twelve (12) for a description of the general system capabilities related to this component of the system.)
V. Court Processing					This function encompasses an array of legal activities and documentation procedures involving judicial events requiring action on the part of the State agency.	
V. Court Processing	A. Court Documents	58	Court Documents	O	The automated system <u>may</u> provide for the preparation of State agency documents for the courts, such as petitions, letters, attorney approvals, and supervisory approvals.	(58) Describe how the automated system provides for the preparation of State agency documents for the courts, such as petitions, letters, attorney approvals, and supervisory approvals.
V. Court Processing	B. Notifications	59	Notifications	O	The automated system <u>may</u> provide notifications to inform relevant parties of impending court actions.	(59) Describe how the automated system notifies relevant parties of impending court actions.

Area	Subsection	#	Name	Type	Description	SARGE Description
V. Court Processing	C. Tracking	60	Tracking	O	The automated system may be used to monitor & track court-related events requiring State agency action, such as recording & outcomes for all petitions, trials, hearings, detention proceedings, periodic reviews, adoptions, & change of placements. Court decisions <u>may</u> be recorded in electronic case folder.	(60) Describe how the automated system: a) monitors and b) tracks court-related events requiring State agency action, such as recording the initial request and final outcome of all: 1) petitions, 2) trials, 3) hearings, 4) detention proceedings, 5) periodic reviews, 6) adoptions, and 7) change of placements. c) Are court decisions recorded in the electronic case folder?
V. Court Processing	D. Indian Child Welfare Act	61	Indian Child Welfare Act Support	O	The automated system <u>may</u> be used to support the Indian Child Welfare Act requirements.	(61) Describe how the automated system supports the requirements of the Indian Child Welfare Act.
VI. Financial Management					This function tracks and manages financial transactions. It may be part of the SACWIS itself or may be an automated interface to a department or statewide financial system.	
VI. Financial Management	A. Accounts Payable	62	Accounts Payable	M	The automated system must provide support for accounts payable to providers (billing, vouchers, etc.).	(62) Describe how the automated system supports the accounts payable process (billing, vouchers, etc.). *
VI. Financial Management	B. Accounts Receivable	63	Accounts Receivable	M	The automated system must provide support for accounts receivable (e.g., overpayments, trust funds, SSI, etc.).	(63) Describe how the automated system supports the accounts receivable process, such as: a) overpayments, b) trust funds, and c) other income or resources (e.g., SSI, etc.). *
VI. Financial Management	C. Claims	64	Provider Claims Processing	M	The automated system must provide support for the generation of provider payment and remittance advice. The automated system must support the update procedures necessary to adjust the claims process as a result of notification of status changes (including information received from Title IV-A and other Federal / State programs), including termination of the case.	(64) Provider Claims Processing. * a) Describe how the automated system supports the generation of provider payments and remittance advice based on authorized services. b) The response should describe how the automated system supports provider claims processing resulting from the notification of status changes - including 1) termination of the case and / or 2) information received from other Federal / State programs.

Area	Subsection	#	Name	Type	Description	SARGe Description
VII. Administration					This function incorporates procedures for ensuring support for efficient management of as well as reliable and accurate operation of the system.	
VII. Administration	A. Staff Management	65	Record and Update Employee Information	M	The system must contain records of employees, showing name, employee number and office.	(65) <u>Record and update employee information</u> * — Does the system contain records of employees, showing: a) name, b) employee number and c) office?
VII. Administration	A. Staff Management	66	Record and Update Employee Information	O	Employee Information, cont'd. These records may also contain demographic information and results of Background Criminal Investigation (BCI) checks.	(66) <u>Record and update employee information</u> — Do employee records contain: a) demographic information and b) results of Background Criminal Investigation checks?
VII. Administration	A. Staff Management	67	Record and Track Case Assignment	M	The system must provide for the assignment of cases to workers, track workload assignments and identify on-call staff.	(67) <u>Record and track case assignment</u> * — Describe how the system: a) provides for the assignment of cases to workers, b) tracks workload assignments, and c) identifies on-call staff.
VII. Administration	A. Staff Management	68	Assist in Workload Management	O	The system may support the decision-making process in the assignment of cases to workers and help workers to manage their own caseloads by providing "to do" lists and prioritization of alerts.	(68) <u>Assist in workload management</u> — Describe how the automated system: a) supports the decision-making process in the assignment of cases to workers and b) how it helps workers to manage their own caseloads (such as providing "to do" lists and prioritization of alerts).
VII. Administration	A. Staff Management	69	Track Employee Training	O	The system may be used to track employee training needs and training received.	(69) <u>Track employee training</u> — Does the system track employee: a) training needs and b) training received.
VII. Administration	A. Staff Management	70	Document Employee Performance	O	The system may be used to support the staff review and evaluation process.	(70) <u>Document employee performance</u> — Describe how the automated system supports the staff review and evaluation process.

Area	Subsection	#	Name	Type	Description	SARGe Description
VII. Administration	B. Reporting	71	Produce AFCARS Report	M	The system must generate required State and Federal reports (e.g., AFCARS) in either paper or electronic formats as required	(71) <u>Produce AFCARS Report</u> * — Describe how the system: a) is used to capture required AFCARS information and b) produces the report in the specified format. c) This discussion should note the date that the first AFCARS data submission was generated exclusively from the new SACWIS and d) address the following topics: 1) The quality assurance edits used to insure that complete, timely and accurate data are entered into the system; 2) The extraction methodology and quality assurance provisions that are used to insure that the report is accurate; 3) Action plans to correct any AFCARS deficiencies identified through the use of the Data Quality Utility (DQU) or the Data Compliance Utility (DCU); and 4) If an AFCARS review has been conducted, the progress the State has made towards completing changes that may have been identified in a Corrective Action Plan.
VII. Administration	B. Reporting	72	Produce Other Federal Reports (e.g., IV-E 1)	M	The system must generate other required State and Federal reports in either paper or electronic formats as required.	(72) <u>Produce other Federal Reports</u> * — Describe how the system generates required Federal reports (e.g., IV-E-1 in either paper or electronic formats as required).
VII. Administration	B. Reporting	73	Produce State Reports (a. & b.)	M	The system must generate regular and ad hoc management reports (e.g., workload status, client / case status, performance factors, outcome measures, etc.).	(73) <u>Produce State reports</u> * — Describe the system's capability to generate: a) regular b) ad hoc management reports (e.g., workload status, client / case status, performance factors, outcome measures, etc.).
VII. Administration	B. Reporting	74	Produce Statistical Reports	M	The system must generate statistical reports needed to assist in the analysis of the program.	(74) <u>Produce statistical reports</u> * — Describe the system's capability to generate statistical reports needed to assist in the analysis of the program.

Area	Subsection	#	Name	Type	Description	SARGe Description
VII. Administration	C. Administrative Support	75	Provide Hardware and Software Security (Hardware, Telecommunications, SW Application and Data)	M	The hardware, telecommunications network, software applications and data must be secured to protect from damage, destruction and loss, as well as fraud and abuse. Contingency plans and disaster recovery plans should be tested and readied in case of an emergency.	(75) <u>Provide hardware and software security</u> * — Describe how the State has secured the: a) system hardware, b) telecommunications network, c) software applications, and d) data to protect those resources from damage, destruction and loss, as well as fraud and abuse.
VII. Administration	C. Administrative Support	76	Provide Hardware and Software Security (Confidentiality & CAPTA Requirements)	M	The hardware, telecommunications network, software applications & data must be secured to protect from damage, destruction & loss, as well as fraud & abuse. Contingency plans & disaster recovery plans should be tested & readied in case of an emergency.	(76) <u>Provide hardware and software security</u> * — Describe how the system satisfies: a) the confidentiality requirements granted under section 471(a)(8) of the Social Security Act and b) section 106(b)(2)(A)(v) of the Child Abuse Prevention and Treatment Act, if child abuse and neglect information is captured in the system.
VII. Administration	C. Administrative Support	77	Provide Hardware & Software Security (Contingency and Disaster Recovery Plans)	M	The hardware, telecommunications network, software applications and data must be secured to protect from damage, destruction and loss, as well as fraud and abuse. Contingency plans and disaster recovery plans should be tested and readied in case of an emergency.	(77) <u>Provide hardware and software security</u> * — a) Are contingency plans and disaster recovery plans available in case of an emergency? b) In addition, are they tested?

Area	Subsection	#	Name	Type	Description	SARGe Description
VII. Administration	C. Administrative Support	78	Archive and Purge	M	The system must provide for purging and archiving, as needed, of inactive records and closed cases.	(78) <u>Archive and purge</u> * — Describe how the system provides for purging and archiving of: a) inactive records and b) closed cases. c) Additionally, the State should respond to the following questions: 1) How long is information maintained in the system? 2) How is information archived? 3) Can the information be "sealed" and "unsealed?" 4) Does the system track who enters and changes information? 5) Has the State used and/or tested the process?
VII. Administration	C. Administrative Support	79	Provide Office Automation	O	The system <u>may</u> provide office automation tools (e.g., word processing, ticklers, alerts, calendaring, electronic mail, system broadcast, etc.) apart and in addition to those tools available within the program functions.	(79) <u>Provide office automation</u> — a) Does the system provide office automation tools (e.g., word processing, ticklers, alerts, calendaring, electronic mail, system broadcast, etc.) apart and in addition to those tools available within the program functions? b) Please list their use and capabilities in the SACWIS system.
VII. Administration	C. Administrative Support	80	Provide On-Line System Documentation	O	The system <u>may</u> provide an on-line policy / procedures manual, user guides, and other system documentation as needed, such as field help screens.	(80) <u>Provide on-line system documentation</u> — Does the system provide an: a) on-line policy / procedures manual, b) user guides, and c) other system documentation as needed, such as field-help screens? d) Please describe.
VII. Administration	C. Administrative Support	81	Provide On-Line Training	O	The system <u>may</u> provide on-line, computer-based training for system users.	(81) <u>Provide on-line training</u> — a) Does the system provide on-line, computer-based training for system users? b) Please describe.
VIII. Interfaces	A. Required Interfaces	82	Required Interfaces	M	This function creates an electronic link between the child welfare and other systems, to receive, transmit, and verify case and client information.	(82) Does the automated system provide for an electronic data interface with the following systems? *: Title IV-A (TANF), Title IV-D (Child Support Enforcement), Title XIX (Medicaid), Child abuse and neglect data system. For each, is the Interface Operational? Effective Date that the Interface Became (or Will Become) Operational.

Area	Subsection	#	Name	Type	Description	SARGe Description
VIII. Interfaces	A. Required Interfaces	83	Title IV-A (TANF)	M	To the extent practicable, the automated system must provide for a periodic electronic data interface with Title IV-A (AFDC) system.	(83) <u>Title IV-A (TANF)</u> : Describe how the interface with the Title IV-A system is used to: a) Capture and exchange relevant information; b) Identify potential resources for the IV-E child; and c) Avoid duplicate payments under the Title IV-E and Title IV-A programs.
VIII. Interfaces	A. Required Interfaces	84	Title IV-D (Child Support Enforcement)	M	To the extent practicable, the automated system must provide for a periodic electronic data interface with Title IV-D (Child Support Enforcement).	(84) <u>Title IV-D (Child Support Enforcement)</u> . Describe how the interface with the Child Support Enforcement system is used to: a) Establish a child support case; and, b) Identify potential resources for the IV-E child.
VIII. Interfaces	A. Required Interfaces	85	Title XIX (Medicaid)	M	To the extent practicable, the automated system must provide for a periodic electronic data interface with Title XIX (Medicaid).	(85) <u>Title XIX (Medicaid)</u> . Describe how the interface is used to establish title XIX eligibility?
VIII. Interfaces	A. Required Interfaces	86	Child Abuse and Neglect Data System	M	To the extent practicable, the automated system must provide for a periodic electronic data interface with the Child Abuse and Neglect Data System (NCANDS).	(86) <u>Child abuse and neglect data system or Central Registry</u> . a) Is the Child Abuse and Neglect system integrated into the SACWIS system? b) If yes, does the system produce the NCANDS report, including both the Summary Data Component and Detailed Case Data Component? c) If no, describe how the interface between the Child Abuse and Neglect System will be used support the foster care and adoption process?
VIII. Interfaces	B. Optional Interfaces	87	Optional Interfaces (as applicable)	O	The automated system may provide for interfaces with other automated systems within the State, such as: State Central Registry, SSA / SSI, State financial system, state licensing system, Vital Statistics, Court system, Juvenile Justice, Mental Health / retardation, State Dept. of Education.	(87) Does the automated system provide additional interfaces with automated systems within the State, such as: State Central Registry, SSA / SSI, State financial system, state licensing system, Vital Statistics, Court system, Juvenile Justice, Mental Health / Retardation, State Department of Education. For each, is the Interface Operational? Effective Date that the Interface Became (or Will Become) Operational.

Area	Subsection	#	Name	Type	Description	SARGE Description
VIII. Interfaces	B. Optional Interfaces	87 a	State Central Registry on Child Abuse & Neglect	O	Same as above.	Same as above.
VIII. Interfaces	B. Optional Interfaces	87 b	SSA for Title II and SSI Information	O	Same as above.	Same as above.
VIII. Interfaces	B. Optional Interfaces	87c	State Financial System	O	Same as above.	Same as above.
VIII. Interfaces	B. Optional Interfaces	87 d	State Licensing System	O	Same as above.	Same as above.
VIII. Interfaces	B. Optional Interfaces	87 e	Vital Statistics	O	Same as above.	Same as above.
VIII. Interfaces	B. Optional Interfaces	87f	Court System	O	Same as above.	Same as above.
VIII. Interfaces	B. Optional Interfaces	87 g	Juvenile Justice	O	Same as above.	Same as above.
VIII. Interfaces	B. Optional Interfaces	87 h	Mental Health / Retardation	O	Same as above.	Same as above.
VIII. Interfaces	B. Optional Interfaces	87i	State Department of Education	O	Same as above.	Same as above.
IX. Quality Assurance	A. Quality Assurance	88	Quality Assurance	O	Does the automated system provide appropriate edits, range checks, and prompts for critical or incomplete data?	(88) Which of the following Quality Assurance features does the system incorporate? (17 Indicators)
IX. Quality Assurance	A. Quality Assurance	88	Quality Assurance	O	Does the automated system incorporate procedures for appropriate supervisory oversight and authorization related to case-file review?	Same as above
IX. Quality Assurance	A. Quality Assurance	88	Quality Assurance	O	Does the automated system allow for random sampling based on variable characteristics for audit purposes?	Same as above
IX. Quality Assurance	A. Quality Assurance	88	Quality Assurance	O	Is the system capable of recording and tracking the results of an audit as well as any necessary corrective actions	Same as above

					identified?	
IX. Quality Assurance	A. Quality Assurance	88	Quality Assurance	O	Does the automated system facilitate the establishment and tracking of outcome measures by program managers, and support trend analysis of results?	Same as above
IX. Quality Assurance	A. Quality Assurance	88	Quality Assurance	O	Does the automated system generate summary management reports on client demographics and needs?	Same as above
IX. Quality Assurance	A. Quality Assurance	88	Quality Assurance	O	Does the automated system produce reports on the length of time in foster care categorized by identified service needs and services provided?	Same as above
IX. Quality Assurance	A. Quality Assurance	88	Quality Assurance	O	Does the automated system track referrals and all required time-sensitive actions for title IV-B and IV-E related cases, such as initial and ongoing Administrative Case Reviews, investigations, and time sensitive treatment and service plans?	Same as above
IX. Quality Assurance	A. Quality Assurance	88	Quality Assurance	O	At the point a required action is delayed beyond a Federal, State, or court mandated time frame, does the system alert line, supervisory and management staff, when appropriate?	Same as above
IX. Quality Assurance	A. Quality Assurance	88	Quality Assurance	O	In cases where a reviewer enters information on an apparent problem of abuse or neglect in a foster home, does the automated system automatically request an investigation and track the case to ensure its completion?	Same as above
IX. Quality Assurance	A. Quality Assurance	88	Quality Assurance	O	Does the automated system maintain and link variable and static data used to determine eligibility for title IV-E payments?	Same as above

IX. Quality Assurance	A. Quality Assurance	88	Quality Assurance	<input type="radio"/>	Does the automated system also establish data entity relationships between providers, clients, and payments?	Same as above
IX. Quality Assurance	A. Quality Assurance	88	Quality Assurance	<input type="radio"/>	Does the automated system (or separate financial system) account for appropriate financial reconciliation of payments, including overpayments and recovery, by occurrence?	Same as above
IX. Quality Assurance	A. Quality Assurance	88	Quality Assurance	<input type="radio"/>	Does the automated system contain all data necessary to effectively manage a case?	Same as above
IX. Quality Assurance	A. Quality Assurance	88	Quality Assurance	<input type="radio"/>	Is the automated system able to track a child across multiple occurrences and/or cases?	Same as above
IX. Quality Assurance	A. Quality Assurance	88	Quality Assurance	<input type="radio"/>	Does the quality assurance function support the review of case files for accuracy, completeness, and compliance with Federal requirements and State standards?	Same as above
IX. Quality Assurance	A. Quality Assurance	88	Quality Assurance	<input type="radio"/>	Does the system capture and transmit all known cases in the AFCARS report, including cases with incomplete information or untimely actions?	Same as above
IX. Quality Assurance	A. Quality Assurance	89	Other Quality Assurance	<input type="radio"/>		(89) Please describe other quality assurance functions or related features supported by the SACWIS.
X: Other Functionality	Other Functionality	90	Other	<input type="radio"/>		(90) Does the automated system provide additional functionality not described above?

Contract Attachment G – Mandatory and State Selected Optional Requirements

G.1 Mandatory and State Selected Optional Requirements Table

The following Requirements Table annotates the mandatory and optional requirements that the State will implement as part of this SACWIS Implementation contract.

SARR #	Sub-component	Type Mandatory or Optional	State Selected Options	Comments
Section A	<i>Intake</i>			
1	Record Contact / Referral	M		
2	Collect Intake / Referral Information	M		
3	Search for Prior History	M		
4	Record "Information Only" Contacts	O	Yes	Included as an option in Intake / Investigation alternative response process to support mandate of State Legislature
Section B	<i>Screening</i>			
5	Evaluate Intake Information	M		
6	Record Results of Screening Evaluation	M		
7	Establish Case Record	M		
8	Assign Case to Worker	M		
9	Refer for Investigation and / or Services	M		
Section C	<i>Investigation</i>			
10	Collect and Record Investigation Information	O	Yes	End-to-end investigation / assessment capture
11	Record Investigation Decision	M		
12	Generate Documents As Needed in Response to Investigation	M		
Section D	<i>Assessment</i>			
13	Determine and Record Risk Assessment	M		
14	Perform Risk Assessment	O	Yes	Automation of Family Risk and Safety Assessment as part of

SARR #	Sub-component	Type Mandatory or Optional	State Selected Options	Comments
				Investigation and Assessment process
15	Collect and Record Special Needs / Problems	M		
16	Determine and Record Needed Services	M		
17	Record Client Contacts	O	Yes	Case notes / recordings for client, family, and provider
18	Prepare and Record Referrals to other Agencies	O	Yes	System support of creation and distribution of referrals for placement and non-residential services
19	Collect and Record further Case Information	O	Yes	Integrated family assessment available to all case types
20	Generate Documents, Notices and Reports Based on Review	M		
Section A	<i>Initial Eligibility Determination</i>			
21	Determine Title IV-E Eligibility	M		
22	Record / Track Legal Requirements (judicial determination)	M		
23	Determine / Track IV-E Eligibility in Out of Home Placement	M		
24	Verify Eligibility for Other Programs	M		
25	Record Authorization Decisions	M		
26	Generate Documents Related to Eligibility Determination	M		
Section B	<i>Changes in Eligibility</i>			
27	Re-determinations (a & b)	M		
28	Generate Documents Related to Eligibility Determination (a – d)	M		
Section A	<i>Service / Case Plans</i>			
29	Prepare and Document Service / Case Plan	M		
30	Identify and Match Services to Meet Clients Case Plan Needs	O	Yes	Resource Directory to support search for services based on availability and identified needs
31	Record Contact with and Acquisition of Needed Resources/Services	O	Yes	
32	Track and Update Service / Case Plan	M		
33	Match Client to Placement Alternatives, if Needed	O	Yes	Resource Directory to support search for services based on availability and identified needs
34	Generate Documents as Needed	M		

SARR #	Sub-component	Type Mandatory or Optional	State Selected Options	Comments
35	Request and Record Supervisory Approval of Plan, if Needed	O	Yes	Supervisory approval of permanency plan and assessments
36	Estimate and Track Actual Costs of Resources / Services	O	Yes	
37	Identify Program Outcome Measures	O	Yes	
Section B				
<i>Case Review / Evaluation</i>				
38	Generate Alerts to Conduct Case Review / Evaluation	M		
39	Conduct and Record Results of Case Review	M		
40	Generate Documents, Notices and Reports based on Review	M		
41	Record Collateral Contacts	O	Yes	Case notes / recordings
Section C				
<i>Monitoring Service / Case Plan Service</i>				
42	Track and Record Services Identified in the Service / Case Plan	O	Yes	
43	Generate Documents, Notices and Reports	M		
Section A				
<i>Facilities Support</i>				
44	Record and Update Provider Information	M		
45	Generate Alerts / Action Items on Licensing Status Changes	M		
46	Generate Reconciliation and Evaluation Reports	M		
47	Record and Track Provider Training	O	Yes	Tracking of DCS Resource Family (PATH) training
Section B				
<i>Foster / Adoption Homes Support</i>				
48	Maintain and Update Foster Care and Adoptive Home Information	M		
49	Record Foster Home Abuse / Neglect Allegation & Investigation Results	M		
50	Process Foster Care / Adoption Home Applications	O	Yes	Resource Family Inquiry and Approval processes
51	Generate Alerts / Action Items as Needed if Foster Care License Revoked	O	Yes	Resource Family Approval process
Section C				
<i>Resource Directory</i>				
52	Maintain Directory	O	Yes	Capture providers and available services statewide
53	Generate Reports	O	Yes	Identify unavailability of services and monitor resource utilization

SARR #	Sub-component	Type Mandatory or Optional	State Selected Options	Comments
Section D	Contract Support			
54	Process Contract and Contract Changes	O	Yes	Contract creation and monitoring included in financial management
55	Record Contract-Monitoring Results	O	Yes	Same as above
56	Generate Alerts / Action Items	O	Yes	Same as above
57	Generate Documents	O	Yes	Same as above
Sec. A (58)	Court Documents	O	Yes	Creation of petitions for custody, adoption petitions, etc.
Sec. B (59)	Notifications	O	Yes	Creation of notification letters to perpetrators, employers, attorneys, and families
Sec. C (60)	Tracking	O	Yes	Capture and track permanency hearings, reasonable efforts and "contrary to welfare" language
Sec. D (61)	Indian Child Welfare Act Support	O	Yes	Capture tribal affiliation; generate letter to tribal counsel upon receipt of maltreatment referral involving child of Native American heritage
Sec. A (62)	Accounts Payable	M		
Sec. B (63)	Accounts Receivable	M		
Sec. C (64)	Provider Claims Processing	M		
Section A	Staff Management			
65	Record and Update Employee Information (name, employee number and office)	M		
66	Record and Update Employee Information (demographics and results of Background Criminal Investigation checks)	O	Yes	Capture employee demographics and active periods of employment
67	Record and Track Case Assignment	M		
68	Assist in Workload Management	O	Yes	Caseload 'to-do' lists; calendaring function, alerts management

SARR #	Sub-component	Type Mandatory or Optional	State Selected Options	Comments
69	Track Employee Training	O	No	
70	Document Employee Performance	O	No	
Section B Reporting				
71	Produce AFCARS Report	M		
72	Produce Other Federal Reports (e.g., IV-E 1)	M		
73	Produce State Reports (a. & b.)	M		
74	Produce Statistical Reports	M		
Section C Administration Support				
75	Provide Hardware and Software Security (Hardware, Telecommunications, Software Application and Data)	M		
76	Provide Hardware and Software Security (Confidentiality & CAPTA Requirements)	M		
77	Provide Hardware & Software Security (Contingency and Disaster Recovery Plans)	M		
78	Archive and Purge	M		
79	Provide Office Automation	O	Yes	Alerts, notifications, bulletin boards / system broadcasts, and calendaring functions
80	Provide On-Line System Documentation	O	Yes	Provide links to policy / procedure and on-line help features
81	Provide On-Line Training	O	Yes	On-line system training within SACWIS
Section A Required Interfaces				
83	Title IV-A (TANF)	M		
84	Title IV-D (Child Support Enforcement)	M		
85	Title XIX (Medicaid)	M		
86	Child Abuse and Neglect Data System	M		
Sec. B (87) Optional Interfaces (as applicable)				
	State Central Registry on Child Abuse & Neglect	O	No	
	SSA for Title II and SSI Information	O	Yes	For SSN validation only
	State Financial System	O	Yes	STARS / Edison interface for payments (checks)
	State Licensing System	O	No	
	Vital Statistics	O	No	

SARR #	Sub-component	Type Mandatory or Optional	State Selected Options	Comments
	Court System	O	No	
	Juvenile Justice	O	No	
	Mental Health / Retardation	O	No	
	State Department of Education	O	No	

Contract Attachment H – Technical Requirements

Technical Requirements

H.1 Introduction

Tennessee's SACWIS must be developed utilizing technology that provides the ability to quickly build, deploy and manage solutions. Ease of maintenance and the ability to quickly respond to requests for system modification are overriding requirements. The solution must support the Office of Information Systems in being agile and responsive in meeting the business needs of the Department of Children's Services (DCS), while also controlling and maintaining operational costs. The development tools employed must not define the life of the product. The dependency of Tennessee's SACWIS on tools, hardware and software must be minimized as much as possible. The solution must be supported within the State architecture and must be interoperable and independent of the hardware, software and operating systems as much as possible.

Currently, DCS Social Workers spend a majority of their time in the field. They often have to return to their offices and workstations to update or retrieve information. Tennessee's SACWIS solution must be accessible to Social Workers from locations outside the office, preferably via the Internet. There is a need to implement a technology that is capable of mobile computing, enabling Social Workers to capture information directly in a mobile device and transfer it to the SACWIS through either "tethered" real-time wireless connectivity or an "un-tethered" data synchronization process.

The vision is to use technology that will enable the DCS to integrate Tennessee's SACWIS solution with other systems to enhance the availability of information. This technology must be secure, extensible, scalable and portable to a multitude of devices. The preferred technology is one that assists in making more effective decisions, in developing alternatives and solutions and in providing the opportunity to increase productivity.

In developing this document, the State of Tennessee's Information Technology Standards were reviewed by Tennessee's SACWIS project staff. The elements within the document that were directly applicable to this development effort were identified and have been incorporated in these technical requirements. This document more globally defines the State of Tennessee's Technical Requirements.

H.2 Technical Requirements

Rqmt. #	Requirement Description - Technical Requirements (TR)	
TR001	Construction Standards	
	1.1	Programs shall conform to their design specification.
	1.2	Programs shall be written using the constructs of structured development: sequence, selection (if...endif and case), and repetition (do until).
	1.3	Programs shall have a single entry point and a single exit for normal termination.
	1.4	Program code shall not include unused data or statements.
	1.5	Program code shall include comments only to: Meet the requirements in these standards. Explain complex or unusual algorithms.
	1.6	Function (paragraph) names shall contain an action verb and identify the object of that action, thereby communicating the object's functional nature or use.
	1.7	Function size (number of source statements) shall be balanced between cohesiveness (expressing a complete functional operation) and comprehension (typically 25-50 statements).
TR002	Source Code	
	2.1	Source code organization shall indicate the structure (functional decomposition) of the program. Downward flow shall be preserved in branching; broader, more abstract functions shall be coded above their subordinate, more detailed functions.
	2.2	The format of source text shall visually indicate the program structure and shall be consistent throughout the module. White space, such as indentation and blank lines, shall be used to indicate logically cohesive statement groups ("blocks"). Consistently increasing indentation shall be used to indicate successive levels of subordination ("nesting").
	2.3	Each source statement shall be coded as a separate line of text. Continuation line(s), if needed, shall be indented from the beginning line of the statement.
	2.4	Comments in source code shall be easily identifiable. They shall be separated from executable statements. Their content shall not resemble source language syntax.
	2.5	Comments shall be at all times an accurate representation of the program function they describe; they shall be updated to match any changes to the source code they describe.
	2.6	Source code written in a standardized language shall not use vendor-specific or version-specific statements extending or modifying the standard language.
	2.7	Source code shall not assume specific characteristics of a target platform (hardware and operating system) such as byte ordering, storage organization, addressing, or internal data representations, and shall not depend on such characteristics for correct operation. For example: On-line applications must not have terminal name dependent code.

Rqmt. #	Requirement Description - Technical Requirements (TR)	
TR003	Module Identification	
	3.1	All stand-alone executable modules shall have identifying data embedded in static storage, consisting at least of: A unique identifying number or code traceable to the source code file and design specification, including related components such as screen and report definitions; A revision number, also traceable to the related version of the source code and design specifications; The date and time the executable module was generated (compiled).
TR004	Processing/Audit Trail	
	4.1	All programs shall include the capability to output their identifying data.
	4.2	Non-interactive programs shall print identifying data as their first action.
	4.3	Interactive programs shall output identifying data when terminating abnormally due to a detected unrecoverable error condition.
	4.4	Interactive programs may output identifying data by user request, e.g., Help / About.
	4.5	Non-interactive programs shall print record counts of all input files and all output files, except under these conditions: A report is produced which reflects these totals. The file always consists of one record. The file is a print file.
TR005	Re-use	
	5.1	All custom-developed software shall use common routines and data from State-standard libraries where these provide the needed functional capability for final or intermediate results.
TR006	Error Handling	
	6.1	All programs shall check for and handle normally occurring conditions such as end of file.
	6.2	All programs shall detect unrecoverable error conditions and provide an unambiguous indication of failure and accurate, descriptive problem resolution information.
TR007	Databases	
	7.1	Applications must use the State standard databases, which excludes databases designated for use on the desktop only.
TR008	Structured Query Language	
	8.1	Application programs shall not contain nor execute Data Definition Language and Data Control Language statements.
	8.2	Application programs shall not dynamically execute SQL statements.
	8.3	Application programs shall not specify ownership of database objects such as tables.

Rqmt. #	Requirement Description	Technical Requirements (TR)
	8.4	All programs shall use consistent definitions of database objects they access. These definitions shall be obtained via the host language's facilities for incorporating external source code.
	8.5	All SQL statements to be embedded in host programs shall be developed and tested independently of host program logic.
	8.6	All SQL statements shall be checked using the EXPLAIN function. All SQL statements that access data on a remote subsystem shall be checked on that subsystem.
	8.7	On-line update applications must COMMIT updates at the end of every logical unit of work done.
	8.8	SELECT statements that access data on a remote subsystem shall specify FOR READ ONLY.
	8.9	SELECT statements shall specify each column to be retrieved by name. SELECT * shall not be used.
TR009	SQL - Statement Formatting	
	9.1	Embedded SQL statements shall be isolated from host program logic. Each SQL statement shall be coded in its own named block. This block shall only contain statement documentation, initialization of used or affected host variables, the SQL statement and error checking logic.
	9.2	Embedded SQL shall be formatted in a block structure. Each statement, each major clause and each column name shall begin on a separate line. Each major clause shall be indented consistently within the statement.
	9.3	Each embedded SQL statement shall be documented using the host language's commenting facility. This documentation shall describe the statement's purpose and operation.
TR010	SQL - Error Handling	
	10.1	Each SQL statement execution result (SQLCODE) shall be checked using host language facilities (If-Then-Else, Switch, Select Case, etc.).
	10.2	Database operations resulting in error conditions shall be reported in an accurate and consistent manner. The information to be reported includes the plan name, program name, point of failure in the program, table or view being accessed, connection-ID and / or other relevant troubleshooting information provided by the DBMS.
TR011	SQL - Cursor Usage	
	11.1	Cursors shall be declared following all host language statements that define data (internal or external) and prior to any host language executable statements in source files.
	11.2	Each cursor used in an application program shall be uniquely identifiable with the tables or views it processes. The cursor name shall include the prefix "C_" and the table or view name(s).
TR012	SQL - Predicate Coding	

Rqmt. #	Requirement Description - Technical Requirements (TR)	
	12.1	WHERE clauses shall be qualified with all criteria available for and relevant to limiting the result set, with the most limiting criteria specified first.
	12.2	Negative comparison logic (not equal) shall be used only when the same results cannot be obtained by either positive comparison logic or the BETWEEN function.
	12.3	An arithmetic expression shall not be used as a predicate operand when the needed value can be calculated using the host language.
	12.4	Literal constants shall be used as predicate operands rather than using a host variable set to the constant value.
	12.5	Comparison of columns in predicates shall use only columns of the same data type and length.
	12.6	BETWEEN shall be used instead of compound conditions specifying "greater than or equal to" and "less than or equal to."
	12.7	BETWEEN shall be used instead of LIKE host-variable.
	12.8	A wildcard character shall not be the leftmost character of the operand of the LIKE comparison operator.
	12.9	The IN clause shall be used instead of multiple "equal" comparisons to the same column.
	12.10	NOT EXISTS shall be used in subqueries instead of NOT IN.
	12.11	Joins shall be used instead of correlated subqueries.
	12.12	OUTER JOIN, IN, or OR joins shall be used instead of correlated subqueries.
	12.13	ORDER BY shall specify columns by name.
TR013	Program Revisions	
	13.1	The program version number shall be maintained (incremented) with each functional change made to the code after initial implementation.
	13.2	Revisions after initial implementation shall be documented by comments in the source code. This documentation shall Identify the author of the code change. Summarize the functional nature of the change. Provide traceability to the change request.
	13.3	Large software development projects must use the State standard configuration management / change management tracking tool.
TR014	Software Distribution (Note: Before electronically distributing software on the network an understanding of the network issues including design, capacity, traffic patterns, bandwidth, and health is required.)	
	14.1	All software installations, which include new applications, new versions of applications, new software products, and new releases of software products, shall be scheduled.
	14.2	Deploy the current version of an application to only the workstations that should run that application.
	14.3	All workstations shall run the same version of the application at the same time.

Rqmt. #	Requirement Description - Technical Requirements (TR)	
	14.4	Software distribution must be planned.
	14.5	Security must be planned.
	14.6	Use state standard distribution software tools. For current distribution software, see the State Architecture.
	14.7	Distributed software must be modular. Modules should be as small as practical so that changes to a functional area such as presentation, edits, or computations can be changed and distributed in a small data transfer operation.
TR015	Design Standards	
	15.1	All applications shall be designed to store and process dates correctly across millennia.
	15.2	All design specifications must have a unique identifying number or code, which will ultimately be traceable to the source code
TR016	Screen Design	
	16.1	Screen design shall be consistent throughout the application.
	16.2	Common elements, such as titles, message lines, status lines or navigation bars and buttons in the case of web application and publishing screens, shall occupy the same position on all screens in a system or site.
	16.3	Function key assignments shall be consistent throughout the application.
	16.4	The difference between modifiable and non-modifiable fields (and available and non-available selections) shall be obvious and unambiguous.
	16.5	Screen layout (placement and sequencing of fields) and screen flow shall facilitate efficient data entry.
	16.6	All business data fields shall be labeled and the label shall clearly indicate the business name of the data item.
	16.7	Each screen shall display information that uniquely identifies it. This information shall include the application name, screen title, and a unique identifying code which is traceable to the program(s) that handle this screen.
TR017	Report Design	
	17.1	Report design shall define format (field size and placement).
	17.2	All reports that could print multiple pages shall calculate and print sequential page numbers.
TR018	Report Identification	
	18.1	Each report shall include information that uniquely identifies it. This information shall include the application name.
	18.2	All reports shall identify the date.
	18.3	All reports shall identify the data selection criteria used.
	18.4	All report header / footer formatting shall be consistently utilized.
TR019	Program Design for Structured Languages	
	19.1	Programs shall be designed in compliance with the principles of structured development.

Rqmt. #	Requirement Description	Technical Requirements (TR)
	19.2	Programs shall be designed to maintain the integrity of data under reasonable foreseeable error conditions (primarily by detecting and rejecting invalid input data).
TR020	Program Specifications	
	20.1	Programs shall be specified using the constructs of structured development: sequence, selection (if...end if and case), and repetition (do until).
	20.2	A program specification shall exist for each program module identified in an application.
	20.3	The program specification shall be developed or revised, reviewed and approved prior to developing or revising the specified program module.
	20.4	The program specification shall include the following identifying information: Identification Number (a code, conforming to the naming conventions in the Asset Management - Identification section of the standards, that uniquely identifies the program within the application) Descriptive Title Date originally written and date of latest revision Original author and author of latest revision System and subsystem name(s) Identification of all input and output: files, screens, reports, databases, and parameters A brief description of the program's purpose, written in non-technical language, so as to be understood by the business unit staff
	20.5	The program specification body shall clearly and concisely define the functional structure of the program. Mundane details required for completeness but not for understanding, such as lists of field edits, selection criteria, and formatting steps, shall be tabulated in attachments and referenced in the specification body. Program functions or features common throughout the application or across all applications shall be specified externally to program specifications, yet referenced by the specifications.
	20.6	Specifications of related software components such as screens, reports, database views, or flat file records shall be provided with program specifications.
	20.7	Descriptive names from the application data dictionary shall be used to identify data and specify conditions.
	20.8	A functional narrative (overview) shall be included with program specifications.
	20.9	The field source shall be specified for all output files and calculations to insure the proper selection of data.
TR021	Design Revisions	
	21.1	When an application change is required, the affected design documentation shall be updated to specify the change.

Rqmt. #	Requirement Description	Technical Requirements (TR)
	21.2	Revised design documentation shall be reviewed and approved prior to implementing the change.
	21.3	Revisions to design document(s) shall be identifiable as such and shall be traceable to the associated change request(s).
TR022	Documentation Standards	
	22.1	All applications shall have user, operations and technical documentation.
	22.2	User, operations and technical documentation shall be maintained and available in electronic format.
	22.3	Documentation shall be an accurate and complete definition of current application features in production use. It shall be kept current with changes in application functions.
	22.4	Documentation shall be protected against unauthorized changes.
	22.5	Documentation shall be accessible to and made known to all employees responsible for performing the documented tasks.
TR023	User Documentation	
	23.1	User documentation shall describe use of the application in the business.
	23.2	It shall be non-technical and sufficiently detailed to allow program area staff to complete their work correctly and efficiently.
	23.3	User documentation shall be available at the module, screen and field level.
	23.4	User documentation shall be accessible electronically and in hard-copy printed format, directly from the application.
	23.5	It shall allow program area staff to recover from input error conditions, by using the application.
TR024	Operations Documentation	
	24.1	Operations documentation shall define all technical procedures required to configure the application, perform batch processing, recover from failures and otherwise support day-to-day business use of the application.
TR025	Batch Processing Documentation	
	25.1	Documentation of the application batch processing design structure shall include schedules, sequences, and frequencies of periodic processing cycles. It shall cover dependencies between jobs (predecessors and successors).
	25.2	Individual jobs shall be documented. This documentation shall include: An overview description of the processing task the job performs; A listing of the platform's command language code that performs the processing, including library routines, if any; The procedure for recovering data to a known good state in the event of batch processing failure; A description of the usage, format, and coding method of any data (including replaceable or optional parameters) used to control individual executions of the batch process.
TR026	Technical Documentation	

Rqmt. #	Requirement Description	Technical Requirements (TR)
	26.1	Technical documentation shall provide all information needed to maintain and enhance the application.
	26.2	Technical documentation shall cover all development tools or facilities used to modify software components (source code; database, file, and screen definitions; etc.).
TR027	Shared Utilities and Objects Standards - Subroutines, Utilities and Functions	
	27.1	Subroutines and utilities written in-house and purchased utilities and functions, intended to be shared across application systems, shall be accessible within their intended sharing scope (departmental or statewide) and secured against unauthorized changes.
TR028	Testing Standards - Reviews	
	28.1	All application documentation shall be reviewed and approved prior to subsequent use in development or maintenance work, or prior to delivery to the customer.
	28.2	Reviewers shall be knowledgeable of the information upon which the document under review is based and shall have sufficient technical knowledge to understand the document. The following roles, at least, must participate in each review: Project Leader (or author of source document(s)) - Application knowledge Moderator - Assures efficient operation of the review process Author - Creator of the document under review
	28.3	Reviewers shall, at a minimum, consider correctness, conformance to State standards, user specifications, and adherence to generally accepted best practices (such as structured development, efficiency, and maintainability). All reviews shall be documented.
	28.4	Review documentation shall identify the item reviewed, the author, the reviewer(s), the date reviewed, and the disposition of the review (approval or rejection with reasons).
	28.5	Documentation of approval shall be retained as long as the approved version of the document is in production status.
TR029	Testing Standards - Walk-through	
	29.1	Use the walk-through method for "walking through the material." This method, when used for reviewing applications, can detect inconsistencies between the specifications and the application, state standards and the application or within the application itself.
TR030	Testing	
	30.1	All applications shall be thoroughly tested to prove that they perform all specified functions correctly and maintain data integrity under all expected conditions.

Rqmt. #	Requirement Description - Technical Requirements (TR)
30.2	Test Plans shall be created for each application; one for the project and one for each level of testing. The test plan for the project shall be called a Test Management Plan while the test plans for each level of testing take on the level name, such as System Test Plan.
30.3	Test Plans shall specify the scope, resources, schedule of testing activities and the method or approach to testing that the project team will use. IEEE, a standard setting organization, identifies the following as subjects to be addressed in a Test Plan: Test Items Features to be Tested Features Not to be Tested Approach Item Pass / Fail Criteria Suspension Criteria and Resumption Requirements Test Deliverables Testing Tasks Environmental Needs Responsibilities Staffing Needs Training Needs Schedule Risks and Contingencies Approvals
30.4	Test Management Plans shall address management of the test process for the project and shall be developed according to test plan standards.
30.5	Levels of Testing shall be Unit, Integration, System and Acceptance for all application development or maintenance work.
30.6	Test Cases shall document the preconditions (what relevant data must exist at the start of the test case execution), inputs, and the expected results.
30.7	Test Results shall be recorded in a form that can be validated after the test case is executed.
30.8	Test Results shall be reviewed to verify correctness.
30.9	Test Documentation shall be retained as long as the tested version of the application remains in production.
30.10	Test Documentation shall be reviewed and approved prior to testing.
30.11	Unit Testing: All new or modified software units (modules, programs, job streams, scripts, etc.) shall be dynamically tested.
30.12	Unit Testing shall be performed by the developer.
30.13	Unit Test Results shall prove that the unit performs all specified functions correctly and maintains data integrity under all specified conditions. Unit Test Results shall be recorded in a form that can be validated after the test case is executed.

Rqmt. #	Requirement Description	Technical Requirements (TR)
30.14	A Unit Test Plan shall be developed prior to unit testing. The test plan shall cover, at a minimum, test conditions and expected results for the program's main functions.	
30.15	Unit Test Cases shall comprise preconditions (what relevant data exists at the start of the test case execution), inputs (both valid and invalid), boundary conditions such as loop exit criteria and expected results for units.	
30.16	Unit Test Documentation (plans, input data, execution scripts, etc.) and test results shall be retained as long as the tested version of the module remains in production.	
30.17	An Integration Test Plan shall be developed prior to integration testing according to test plan standards.	
30.18	System Tests shall be performed on all new and significantly modified applications and verified before release of the application to the customer.	
30.19	System Tests shall prove that the application functions correctly as integrated.	
30.20	System Testing for functionality shall be completed before acceptance testing for that functionality begins.	
30.21	A System Test Plan shall be developed prior to system testing according to test plan standards.	
30.22	System Test Results shall be recorded in a form that can be validated after the system test case is executed.	
30.23	Acceptance Tests shall be based on business functionality.	
30.24	Acceptance Tests shall be performed by the customer.	
30.25	An Acceptance Test Plan shall be developed prior to acceptance testing according to test plan standards.	
TR031	Backup and Recovery	
31.1	All production applications must be protected against software and human error. Protection must be adequate and reasonable as defined by the Department of Children's Services.	
31.2	Backup, restart and recovery features must be in place. Such features must be appropriate as defined by the Department of Children's Services.	
31.3	All data must be protected against unauthorized modification.	
31.4	Sufficient production image copy files to cover a minimum of 15 days must be retained.	
31.5	Production servers should be backed up completely.	
31.6	Production servers should be backed up as often as needed, depending on use, and weekly at a minimum. If used daily, such as production servers, back up daily. If used only Monday through Friday, such as development servers, back up Monday through Friday. If the files on the server seldom change, such as Firewall servers, back up weekly.	
31.7	An off-site backup should be maintained for each server.	

Rqmt. #	Requirement Description - Technical Requirements (TR)
	31.8 Backup should be done in such a way as to be able to recover on a file-by-file basis.
	31.9 Backups must occur on a regularly scheduled basis. The frequency of data backups depends on the criticality of the data. The frequency of server backups depends on how often the server is used or how often the files are changed.
	31.10 Backup and Recovery must be planned and must document: responsibility what is to be backed up how often and when how many versions are to be kept where backup volumes are to be stored (on-site or off-site or both) how to recover volumes how to access off-site volumes how to restore a single volume
TR032	Disaster Recovery - The loss of one file is handled by a recovery procedure while the loss of the entire operation facility is handled by a disaster recovery plan
	32.1 A disaster recovery plan shall exist for Tennessee's SACWIS solution.
	32.2 The Tennessee SACWIS disaster recovery plan shall be backed up off site.
	32.3 A copy of the Tennessee SACWIS disaster recovery plan shall be in the possession of the Information Technology division responsible for carrying out the recovery.
	32.4 The disaster recovery plan for Tennessee's SACWIS must identify critical functionality in a priority order and document what business must continue and what business can cease temporarily and for how long.
	32.5 The plan must identify what is to be restored after one day, two days, and several days of being down.
	32.6 The Tennessee SACWIS disaster recovery plan must make provisions for operating from another facility and / or from replacement equipment in the same facility.
	32.7 The Tennessee SACWIS disaster recovery plan must be tested.
TR033	Business Resumption - The loss of an entire operation facility is handled by a disaster recovery plan while the loss of business or service is handled by a business resumption plan
	33.1 The Tennessee SACWIS business resumption plan will encompass all critical business functions along with information processing activities for recovery to include restoration of computer operations.
	33.2 The Tennessee SACWIS business resumption plan must address employee duties.
	33.3 The Tennessee SACWIS business resumption plan must address the possibility of resuming business in a different location.
TR034	Change Management

Rqmt. #	Requirement Description - Technical Requirements (TR)
	34.1 Every shared application must be maintained under a change management process.
	34.2 Server software must be maintained under a change management process.
	34.3 Must be able to install or release the previous version.
	34.4 Requests for change and all action taken on them must be documented.
	34.5 Large software development projects must use the State standard change-tracking tool.
	34.6 Only authorized changes will be made.
	34.7 Only tested and approved changes will be installed or released.
	34.8 Must protect changes from being lost or overwritten.
	34.9 Must protect the current version. All development must be performed in an area isolated from Production.
	34.10 Must assure the intended version is in production.
TR035	Data Modeling
	35.1 Entity names must be in the form of a singular noun.
	35.2 Entity names must be unique.
	35.3 Entity names must be based on business terminology.
	35.4 Entity names must reflect their descriptions.
	35.5 Entity descriptions are required for every entity.
	35.6 Entity descriptions must describe the content and use of the entities.
	35.7 Business personnel must easily understand entity descriptions.
	35.8 Entity descriptions must be clear, concise, and complete.
	35.9 Attribute names must be based on business terminology.
	35.10 Attribute names must reflect their descriptions.
	35.11 Business personnel must understand attribute descriptions.
	35.12 Attribute descriptions must be clear, concise, and complete.
	35.13 Attribute descriptions must include domain values, when applicable.
	35.14 Attribute descriptions must include derivation formulas, when applicable.
	35.15 Entity sub typing must not be used at the cost of understanding.
	35.16 Entity relationship diagrams must use information-engineering notation.
	35.17 Relationship names must be defined for all relationships (both directions).
	35.18 Each relationship must display at least one name on the diagram.
	35.19 Relationship names must be descriptive and meaningful.
	35.20 Relationship names must be understandable by business personnel.
	35.21 Relationship names must be worded to support the formation of business rule statements.
	35.22 Optional attributes remain with their primary entity, instead of being moved into a separate entity, unless this violates third normal form.
	35.23 De-normalization is a performance-enhancing technique and should not be used in a logical model because performance is not a consideration at this level.

Rqmt. #	Requirement Description	Technical Requirements (TR)
35.24	Code-type attributes in entities must be supported by separate entities containing all of the possible code and decode values. It is recommended that code values and entities not be included in logical models as it only makes the model more complex and harder to verify.	
35.25	Physical table and column names must meet naming standards.	
35.26	The physical model must support the logical model.	
35.27	Each Entity Type must participate in at least one relationship.	
35.28	Entity Type Names shall be in the form of singular nouns. Adjectives may be added for clarity.	
35.29	Entity Type Names must be unique within the scope of the data model.	
35.30	Entity Type Names shall be those most commonly used in the business to identify the entity (If business usage refers to the same entity type by more than one name: a single name must be chosen as the primary name. All other commonly used names also must be documented as synonyms).	
35.31	Each Entity Type must have at least one attribute.	
35.32	Each Entity Type must have one primary identifier that uniquely identifies an occurrence of the entity type.	
35.33	Entity Type Identifiers must have values that do not change.	
35.34	Only relationship types that have business significance shall be documented.	
35.35	All relationship types must be modeled as binary (associating only two entity types or associating a single entity type with itself).	
35.36	All relationship types must be named.	
35.37	The optionality of each relationship must be documented.	
35.38	The cardinality of each relationship must be documented.	
35.39	Only relationship types that have business significance shall be documented.	
TR036	Database Administration	
36.1	Database designs shall be developed using state standard modeling tools.	
36.2	Database designs shall be developed to support the business data requirements documented in a data model.	
36.3	Views, if used, shall use their base table column names without modification.	
36.4	Standard definitions of database objects shall be created for use in host programs. These definitions shall be made available for use via the host language's facilities for incorporating external source code.	
36.5	Application systems shall be designed to minimize contention for database access.	

Rqmt. #	Requirement Description	Technical Requirements (TR)
36.6	Locking: The number, size, and duration of locks shall be minimized. On-line update application programs shall be designed to perform the smallest possible logical unit of work per transaction. Applications shall be designed to minimize SQL execution including cursor opens and closes. Joins shall be limited to no more than 4 tables for on-line application programs and no more than 8 for batch application programs. Tables shall be joined only according to defined relationships, that is, primary and foreign keys. Batch update processing shall be designed to minimize contention for database resources, use available indexes, and enable concurrent processing.	
36.7	Batch update processing shall be designed to prevent having to reapply successful updates in case of a failure (checkpoint / restart capability). All programs having checkpoint / restart capability shall: Use a shared table in the application database to maintain positioning data needed for restart; Use common code to implement the capability.	
36.8	Batch update processing shall be designed to assure that all related data is synchronized prior to batch updating.	
36.9	Applications shall be designed to incorporate archival and purge capability.	
36.10	Backup and recovery processes (automated and manual) shall be defined, implemented, documented and practiced for each application system.	
36.11	Applications shall be designed to assure that all related database data is synchronized prior to backing up the database.	
36.12	Application automated backup processes shall be designed to use inexpensive, high capacity media that can be stored away from the processing site.	
36.13	Each application system shall have a backup / recovery strategy documented and maintained. This document shall be available to development staff and database administrators responsible for the application. This document shall cover: All related data accessed and updated by the application, regardless of location, platform, and implementation (database or file management system); Data relationships enforced through the DBMS referential integrity (or similar) facilities; Data relationships maintained by application logic; Operational relationships and dependencies of on-line and batch processes.	
TR037	Security Standards - Note: All State systems are subject to audit and those not adhering to security standards may be removed from the network.	
37.1	There must be a topology and architecture for each firewall.	
37.2	Protocols and applications permitted must be determined.	
37.3	Rules for permissible traffic must be defined, in coordination with OIR, and documented for every firewall implementation.	

Rqmt. #	Requirement Description - Technical Requirements (TR)
37.4	Firewall traffic must be monitored; intrusion must be detected and monitored; response mechanisms must be in place, and monitoring and response must be coordinated with OIR.
37.5	Firewall configuration and effectiveness must be audited and tested periodically.
37.6	Firewalls must not be relied upon to provide full protection from attacks.
37.7	Security systems must both restrict access and protect against the failure of those access restrictions.
37.8	ID's must be located and configured properly.
37.9	Information gathered must be retained in a manner to ensure authenticity and integrity in order to be usable by law enforcement.
37.10	Users are to be given access rights to only the information they need to do their job.
37.11	If temporary access to information is needed, remove access rights as soon as the need is fulfilled.
37.12	Access rights must be removed upon termination.
37.13	Sensitive information should be restricted to a minimum number of users.
37.14	User ID's must be reviewed on a regular basis and accounts that are no longer needed must be deleted.
37.15	Dial-up connections directly to servers are not allowed on servers connected to the State network.
37.16	X Display Manager Access must be limited to systems in the local department. Global access in Xaccess must be disabled.
37.17	Remote access to workstations and servers must be configured to employ password authentication for access to the network / server. Anonymous FTP is not allowed. Users may only be logged into a single workstation at a time.
37.18	Guest accounts (no password required) are not allowed unless specifically approved and documented by the State Security Administrator.
37.19	Host system consoles must be locked when left unattended.
37.20	The use of filters within the TN tree is prohibited.
37.21	All users will be required to sign on to the network using a valid password.
37.22	User ID's will be revoked after five consecutive attempts to login with an invalid password.
37.23	User ID / 125 password combinations must not be shared unless specifically approved and documented by the State's security coordinator.
37.24	Passwords must contain a minimum of 6 characters and a combination of alpha, numeric, and special characters.
37.25	Administrative passwords must contain a minimum of 8 characters. Administrative passwords must contain alpha, numeric, and special characters where possible.

Rqmt. #	Requirement Description	Technical Requirements (TR)
37.26	Temporary or default passwords assigned by system administrators or dictated by the operating system must be changed immediately after initial login.	
37.27	All passwords must be changed (as a maximum) every 90 days (30 days for system administrators). New passwords must be at least 3 characters different from the old password.	
37.28	System design for all information technology resources must provide for the security of the data that is accessible from those resources.	
37.29	Data integrity must be ensured for all information technology resources owned and operated by the State of Tennessee.	
37.30	Confidentiality of data must be maintained at the defined level for that data for all accesses through the information technology resources owned and operated by the State of Tennessee.	
37.31	Confidential data stored on Direct Access Storage media (disk) for all platforms must be erased, destroyed, or over-written prior to releasing the media to another entity.	
37.32	Privacy of data maintained on State of Tennessee information technology resources systems must be considered in information activities involving personal information.	
37.33	Regularly scheduled backups are required in order to ensure data security for all State maintained data.	
37.34	All State systems that reside on the network are required to adhere to security standards.	
37.35	All Web servers accessible from the Internet must be on different physical equipment than the database server. Intranet web servers should be on different physical equipment than the database server.	
37.36	Web server functions running on a desktop must be configured to allow only 'local host' access. Web server functions running on a desktop may be used for desktop development.	
37.37	Turnkey and federally supplied or mandated systems must adhere to industry standard security practices.	
37.38	Anti-virus software must be installed on all workstations and servers and must be state standard software and must be set up to automatically get the latest virus patterns from an OIR approved source.	
37.39	Configurations for all devices on the State's network that have Internet routable IP addresses must be reviewed and approved by OIR.	
TR038	Web Application	
38.1	Internet and Intranet <i>applications</i> should adhere to the application development standards and web application standards published on the Statewide Information Technology Standards web site.	
38.2	Internet and Intranet <i>applications</i> are excluded from the Governor's Web Publishing Policy.	

Rqmt. #	Requirement Description - Technical Requirements (TR)
38.3	Intranet web publishing sites are excluded from the Governor's Web Publishing Policy.
38.4	Internet web publishing sites must adhere to the Governor's Web Publishing Policy.
38.5	Web Applications must use the State Standard server databases. Databases designated for use on the desktop only (i.e., MS Access, FoxPro, etc.) are unacceptable.
38.6	Web Applications must be developed with the State Standard Web Development Tools.
38.7	Web Applications shall validate inputs, being certain to filter input for scripting language commands or HTML tags that might be maliciously inserted into input fields.
38.8	Web Application sites shall be organized around a home page that serves as an entry to the site. All pages in the web site shall contain a direct link back to the home page.
38.9	Each page must provide a link to the home page and such link must be consistently displayed throughout the web application.
38.10	Provide a contact number (and name if possible) for the user to call for help in using the Web Application. At a minimum, display contact information on the Web Application home page and if possible, on every page in the Web Application.
38.11	Provide navigation for the web application site and provide it consistently. For example, if there is a menu of choices for this web application, put the choices in a navigation bar and display the same navigation bar in the same place on each page.
38.12	Display the site menu in the form of a navigation bar on the left side of the page.
38.13	Menu items displayed in a horizontal navigation bar at the top of the page are generally reserved for navigating outside the website. Examples are linking to a Department home page, a Search engine, a Help site, a similar application, a glossary, etc.
38.14	For forms or reports that take more than one page to display, provide a clear and consistent means of navigating to the next or previous page. For instance, use a left arrow and a right arrow. Use the words "next" and "previous." If using an icon, consider putting the words next and previous under the icons. Always place the link to the next page on the right side and the link for the previous page on the left.
38.15	Internet pages may not link to Intranet sites without an appropriate warning or disclaimer to the public that they are about to enter a secured area and may not have access.

Rqmt. #	Requirement Description - Technical Requirements (TR)
38.16	Clearly communicate options. Determine what is clear to the user. An example is when navigating through a document, and the user may display the next page or the previous page, then display the words "Previous" and "Next" and display "Previous" on the left and "Next" on the right.
38.17	Icons must represent to the user the action intended. For example, an arrow pointing left may be used in lieu of or in addition to the word "Previous" to allow the user to display the previous page in a document or report by clicking on the arrow.
38.18	Identify what icons represent by displaying a descriptive word(s) under the icon or by displaying a descriptive word(s) when the mouse is rolled over the icon.
38.19	Each page in the Web Application must consistently indicate the Web Application it belongs to.
38.20	Each page in an Internet Web Application must indicate it belongs to the State of Tennessee. The means of identification must be consistent throughout the Web Application. For example, if a logo is chosen as the means of indicating State of Tennessee ownership, then the same logo must be used throughout the Web Application. Furthermore, if the logo is given a hotspot that links to the State of Tennessee home page then every page in the Web Application must have a logo with a hotspot that links to the State of Tennessee home page.
38.21	Clearly label the action of each button. For example, if the action is to submit a form, then label the button "Submit."
38.22	Indicate what information is required and what information is optional.
38.23	Display the first input field inside the viewing screen. In other words, do not force users to scroll down to the first input field. This could happen if a large amount of introductory text is placed on the screen above the form.
38.24	Put the cursor directly into the first input field when the form is displayed.
38.25	Provide help information when applicable.
38.26	Fill input fields with default values when applicable.
38.27	Display input field labels on the left and the field on the right. Guideline: Align labels and align fields. For example, place the labels in the first column of a table and the fields in the second column.
38.28	Control Input Field size where possible and appropriate.
38.29	Provide a confirmation message. Guideline: At a minimum clearly confirm that the form has been received - send the user a receipt message display on a Web page. Also it is helpful to tell the user what happens next, such as, "Your feedback will be answered within two business days", or "Your order will be processed within 72 hours."

Rqmt #	Requirement Description - Technical Requirements (TR)	
38.30		Page Navigation Design - Guideline: Navigation using the browser's back and forward buttons needs to be thought through because of the effects on updating and retaining entered data and SSL activity (The back and forward browser buttons can be disabled at times when pressing either would loose or corrupt data that is entered but not yet processed).
38.31		All screens shall provide a means to exit (typically to return to the previous screen or menu).
38.32		Screens that update data shall provide a means to exit without updating.
38.33		Each screen shall indicate, unambiguously, the available exit method(s) to the user.
38.34		All screens that provide multiple options/selections for transfer or processing shall indicate the valid (available) selections.

Contract Attachment I – Conversion Requirements

I.1 Conversion Requirements

DCS has identified 14 legacy applications that contain data that will need to be converted into the new SACWIS. In addition, a Youth Level of Service Web Application is under development that will become a part of SACWIS and which will support 500 users. The Table below provides detail on each of these legacy applications, including the number of base tables to be converted. Additional technical artifacts for these legacy applications can be found at: http://www.tennessee.gov/youth/providers/SACWIS_Doc_Library.htm.

#	Application	Database	Software Platform	Base Table Count	SACWIS Req't Ref.	Description
1	TNKids	Oracle 10g	Powerbuilder 10	1750+	All requirements	DCS's core case management tool, used by field and central office staff to track a wide array of data elements and narrative related to the child's custody status, placement, medical conditions, etc.
2	Contracts	FoxPro	Powerbuilder 7	11	Financial Mgmt. reqts. #002, 003, & 004	Used to manage contract documents. Data includes elements of a DCS contract - vendor data, contract period, rates, funding sources, and contract activities.
3	Putative Father Registry	FoxPro	Visual FoxPro 6.0	47	Adoption / TPR reqt. #022.3	Captures and tracks registration of putative fathers and children who have been placed for adoption.
4	Medical Claims	FoxPro	FoxPro 2.6, Visual FoxPro 8.0	475	Financial Mgmt. reqt. #006	Facilitates data entry and processing of batches of medical vendor invoices submitted to DCS for payment.
5	Student Account System	FoxPro	Visual FoxPro 6.0	22	Financial Mgmt. reqt. #012	Records allowances, disbursements and receipts. Maintains checking and saving account balances by student.
6	CHIPFINS	DB2	COBOL	35	Financial Mgmt. reqt. #006	Pays DCS foster and adoptive parents, maintains payment history, records trust fund receipts, and tracks eligibility for IV-E and TennCare by child.
7	TNKids Financials	Oracle 10g	Oracle 11i, PLSQL	2100+	Financial Mgmt. reqt. #001	Handles contract, authorization, invoice, and payment processes for residential placements with private contract providers.
8	Serious Incident Reporting	Oracle 10g	Oracle 11i, PLSQL	5	General Req't. #024	Tracks and reports all serious incidents for children in DCS care, except those in Juvenile Justice facilities.
9	Random Moment Sample	Oracle 10g	Classic ASP, PL SQL	23	General Req't. #069	Gathers employee moment-in-time work task information to support federal funding of the Department's activities.
10	Permanency Support	Oracle 10g	.net framework, C#, ASP.net	13	General Req't. #051	Allows users to enter and update Permanency Support Plan data for all children in custody through the DCS Intranet.
11	Critical Incident Reporting	Oracle 10g	Classic ASP, PL SQL	22	General Req't. #024 & Juvenile Justice Req't. #028	Tracks and reports critical incidents at DCS juvenile justice facilities.
12	Functional Assessment	Oracle 10g	.net framework, C#, ASP.net, PLSQL	7	General Req't. #041	Supports DCS's assessment protocol, which focuses on family strengths and needs.
13	Relative Caregiver	Oracle 10g	.net framework, C#, ASP.net, PLSQL	47	General Req't. #031.4 and Relative Caregiver Req'ts.	Tracks children receiving care from relatives.
14	Child and Adolescent Needs and Strengths Assessment	Oracle 10g	.net framework, C#, ASP.net, PLSQL	New App	General Req't. #040.4	Assessment tool that helps case managers identify the level of care for children at risk for out-of-home care.

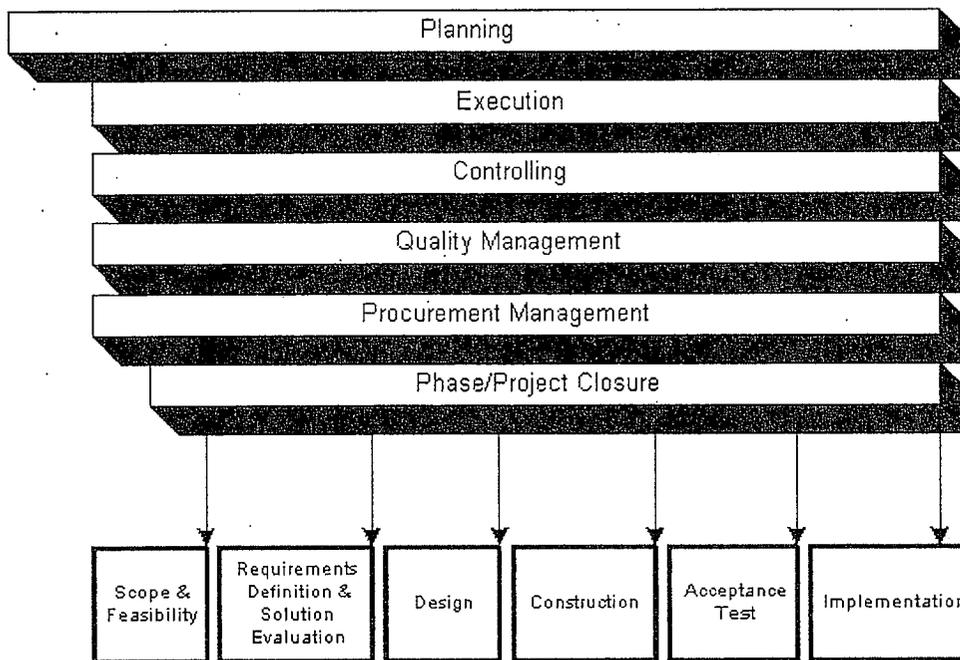
Contract Attachment J – Project Management Requirements

J Project Management Requirements

J.1 IT Methodology

OIR, the State's Central IT Agency, developed and maintains an IT Methodology (ITM) Model based on the Project Management Institute's Project Management Body of Knowledge (PMBOK). The model and its related descriptions, templates and tools are intended as a guide for managing all State IT projects. This model, which has been used to develop the SACWIS project schedule, has two major components – Project Management Processes, which are concerned with organizing and controlling the work of the project and extend over one or more phases of the project, and Product Development Phases.

State of Tennessee IT Methodology Model Project Management Processes and Product Development Phases



The State's ITM is defined at a high level for use on all types and sizes of projects. DCS expects that SACWIS Implementation Vendors (SIV) will propose their own project management methodologies (PMM), and that these methodologies and related deliverables will vary somewhat depending on whether their proposed solution is custom, transfer or commercially-available software. However, the State will require that the SIV's PMM be consistent with the State's PMBOK-based model. The methodology must be submitted to and approved by the State, which reserves the right to require any changes needed to bring the Vendor's PMM in line with State standards and project needs. DCS has a PMI credentialed Project Management Professional (PMP) on staff that will work closely with the SACWIS Project Director and the SIV's Project Director in developing and closely monitoring the project management methodology and plan.

J.2 Project Schedule

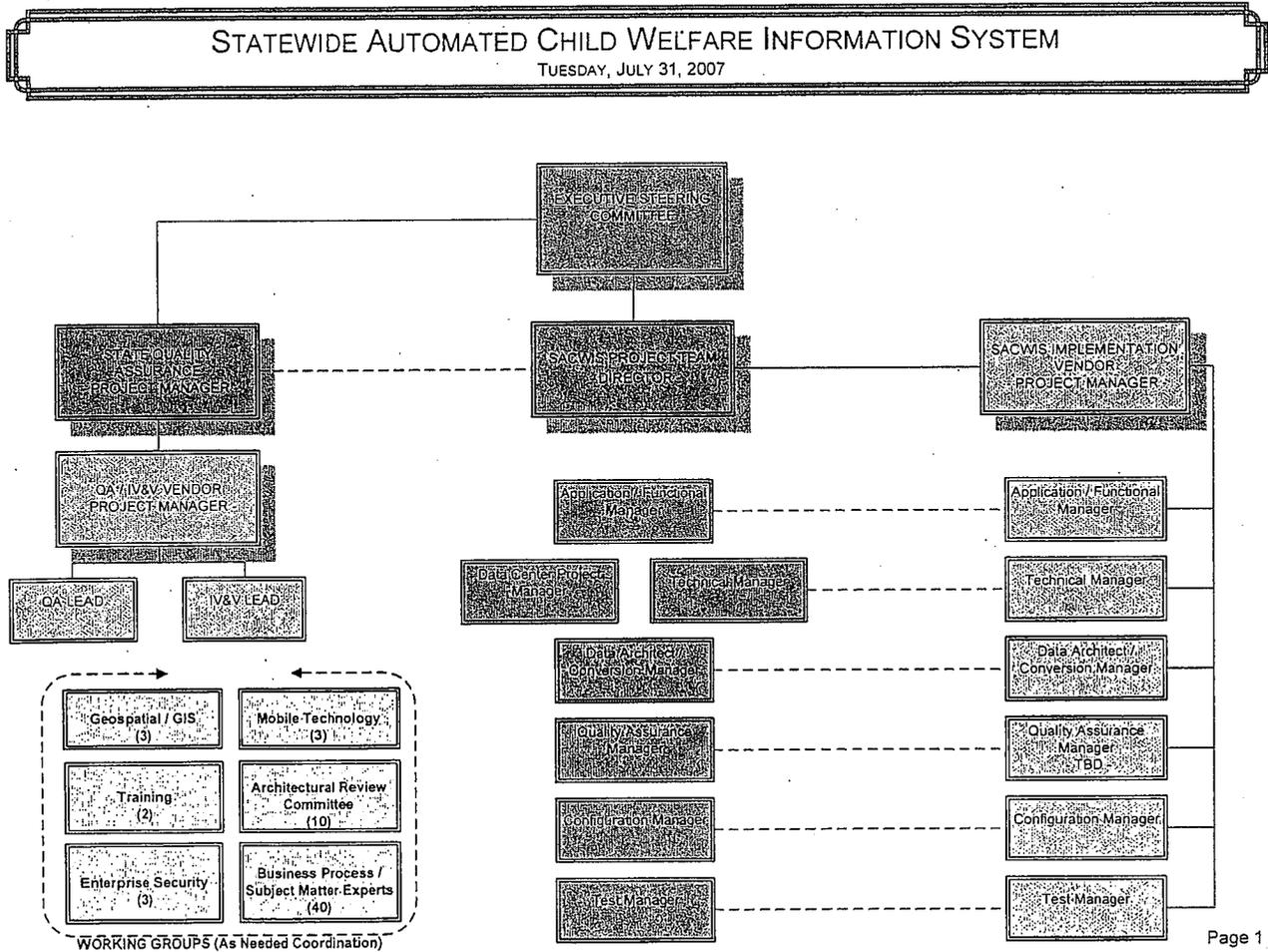
The Project Team developed an initial SACWIS project schedule using the State's IT Methodology together with project schedules from similar projects within Tennessee and in other states. The following table presents a representative schedule for each of the major project phases.

NOTICE: This project schedule should not be construed as to any particular timeline for which the Proposer's solution should conform. While it is the State's desire to complete the SACWIS project in 24 to 36 months, the State expects that each Proposer will develop a realistic schedule based upon the Requirements contained within this RFP.

PHASE	SCHEDULE
Requirement Definition & Solution Evaluation	April – September 2008
Design	October 2008 – February 2009
Construction	March – August 2009
Acceptance Test	August – January 2010
Implementation	February – November 2010

J.3 Project Organization

The anticipated project organization for SACWIS is as follows:



J.4 Project Roles

A successful SACWIS project requires the collaboration of several key organizations:

- Tennessee Department of Children's Services (DCS)
- US DHHS Administration for Children and Families (ACF)
- Tennessee Office for Information Resources (OIR)
- Quality Assurance / Independent Verification & Validation Vendor (QA / IV&V)
- SACWIS Implementation Vendor (SIV)

The SACWIS project will be supported by the following State entities:

Project Unit	Responsible For
SACWIS Project Steering Committee	Monitoring project progress, addressing issues and planning next steps. The PSC has ultimate responsibility for the project.
Quality Assurance	Reviewing and monitoring the Quality Management Plan and performing quality assessments.
DCS OIS Executive Director	Providing departmental leadership for the SACWIS project. The Executive Director is staff to the SACWIS Steering Committee.
SACWIS Project Management	Coordinating the activities of all project staff in order to deliver a successful application.
Infrastructure – Desktop and Technical Support	Providing on-site technical support, including desktop hardware installation and maintenance, to all DCS computer users.
Infrastructure – Server Support, R&D	Identifying, installing and configuring the servers required to operate the SACWIS.
Infrastructure – Help Desk and 2 nd Tier Support	Providing telephone support to DCS computer users during business hours.
Infrastructure – Asset Management	Procuring and controlling technology assets owned by the Department.
Infrastructure – Application and Inventory Security	Developing and executing the SACWIS Security Plan.
Infrastructure – Advance Technology and Telecommunication	Providing any additional networking or telecommunications devices required by the project.
Budgeting and Planning	Developing and maintaining federal and state SACWIS planning documents and related budgets, and tracking project expenditures.
Administration	Administrative support, including facilities and contracts required by the project.
Development – Configuration Management	Maintaining appropriate repositories for project deliverables.
Development – Database Administration	Data modeling and administration.
Development – Software Development	Creating and unit testing programs required by the project, including those required for conversion and interfaces.
Business Analysis	Documenting business requirements and ensuring that those requirements are met by the SACWIS.
Testing	Providing support for all required testing to include unit, integration, system, full system/integration, capacity evaluation, and acceptance (refer to Section M.2 for detailed testing requirements).

Project Unit	Responsible For
Project Management Office	Developing and maintaining project schedules for all units.
Subject Matter Experts	Providing expertise regarding specific areas of the Department's business during analysis and design, and participating in acceptance testing.
Data Quality and Program Support	Coordinating pre-conversion and post-conversion data activities.
Application Support	Providing on-site application support in each region and serving as subject matter experts.
Data Analysis and Reporting	Developing and unit testing SACWIS reports.
Curriculum Development	Assist in developing curriculum documentation.
Training Delivery	Assist in delivering and monitoring online and classroom SACWIS training.

J.5 Project Oversight

The delivery of a SACWIS that meets or exceeds requirements on schedule and within budget is the highest IT priority for DCS. The State recognizes that effective project oversight is critical to achieving this goal. Tennessee's SACWIS project oversight will consist of three central components:

- Adherence to the PMBOK project methodology
- Well-structured project organization
- Use of an independent Quality Assurance Vendor

J.5.1 Adherence to PMBOK Project Methodology

The State's IT Methodology is based on the Project Management Institute's PMBOK processes. PMBOK is a widely recognized standard that brings together the best practices for project management. The selected SIV will be required to adhere to the State's implementation of PMBOK. Alternatively, the SIV can propose another approach based upon the same best practices. Agreement between the State and the Vendor on the project management methodology will be a key consideration for contract award.

DCS and the selected vendor will also agree, before contract award, on a baseline project plan. The plan will include the scheduling and related documentation that specifically define the management processes and development phases. Although this plan is expected to be a living document, the project will ultimately be tracked and managed by meeting or exceeding the scheduled milestones.

The SIV, in association with the State SACWIS project director, will publish a communications plan. This plan will dictate the frequency and methods that the project status will be reported. It is expected that the report will provide enough information for the stakeholders to determine the project status on a task-by-task basis.

The Vendor will conduct a meeting of the SACWIS Project Steering Committee at least bi-weekly. At this meeting, the project status will be discussed in detail. Issues and risks to the established schedule shall be aired. This committee shall have the ultimate responsibility for ensuring that all resources are available for successful on-schedule completion of this project.

J.5.2 Well-Structured Project Organization

The State's SACWIS project organization structure, presented earlier in this document, is well defined. The SIV will submit a similar detailed organizational chart and roles. The focal point for the organizational structure will be the two project directors as appointed by OIR and the SIV.

The SIV Project Director will be responsible for supervising all vendor activities and the day-to-day project plan. DCS will have approval rights to ensure that the director who is assigned to the project has the experience and background appropriate for a project of this scale. The SIV Project Director shall have the authority necessary to maintain the project schedule.

The OIR-appointed project director will coordinate the activities of the State and monitor the overall project status. The OIR project director will work closely with the SIV Project Director to ensure that the project remains on schedule, and will have access to resources and support as determined by the DCS OIS Executive Director and the OIR Chief Technology Officer.

The SACWIS Project Steering Committee, augmented by appropriate vendor representatives, will mediate surfaced issues that have a potential to affect the project adherence to requirements, budget or scheduling.

J.5.3 Quality Assurance / Independent Verification & Validation (QA / IV&V) Vendor

Recognizing the complexity of a SACWIS project, the State will procure a QA / IV&V Vendor for the project. The QA / IV&V vendor will provide Quality Assurance / Independent Verification & Validation (QA / IV&V) Services that provides the following general scope of work:

- Quality Management (QM) – the processes required to ensure that the project will satisfy the needs for which it was undertaken. QM consists of quality planning, quality assurance, and quality control. The QM activities determine the quality policy, objectives and responsibilities, and implement them by means such as quality planning, quality control, quality assurance, and quality improvements.
- Quality Planning – identifies and / or verifies quality standards that are relevant to the project and determines how to satisfy them. Quality Planning involves determining how to satisfy each quality standard via the project schedule, resources and internal procedures. The QAV's QM Plan produced must address how these quality standards will be implemented, inspected, controlled and reported.
- Quality Assurance (QA) – periodic executive reviews and evaluation of the complete project and all the work units that make up the project. QA includes evaluating, identifying, and recommending adjustments to required activities, tasks (and associated resources), schedule, and scope that must be performed in the project to provide confidence that the project will satisfy the relevant quality standards.
- Quality Control (QC) – monitors specific project results and deliverables to determine if they comply with relevant quality standards and identifying ways to eliminate causes of unsatisfactory performance and / or unacceptable work products. QC involves monitoring both the processes and products, to determine if the project is meeting the quality standards and identifying ways to mitigate risks.
- Independent Verification and Validation (IV&V) – independent evaluation of the SACWIS Implementation Vendor (SIV) and State testing to verify that such testing adequately proves that the system is functional, stable, and secure and complies with business, functional and technical requirements. The QAV will provide support from just prior to the arrival of the SIV until project completion. This includes all project phases and management of the project.

J.5.3.1 QA / IV&V Types of Services

The QA / IV&V Contractor shall provide services including, but not limited to, the following:

- Project Quality Management – develop and implement the QM Plan, standards and quality management processes, quality checklists, quality controls, metrics, monitoring and analysis. Provide oversight of the baseline project plan. Provide QM presentations as necessary.
- Assessment – review of key project documentation (i.e., business requirements, technical documentation, management plans and project reports) and interviews with key business and technical staff.

- Quality control activities over products and processes and deliverables. Monitor and review and report on QC activities and deliverables.
- Monitoring and reporting of activities and deliverables of the SIV.
- Independent quality assurance activities and reports. Review and evaluate and report on QA for all major activities and phases of the SACWIS project.
- Evaluate, identify and recommend adjustments to required activities, tasks, resources, schedule and scope.
- Review, evaluate and report on Risk Assessment. Ongoing risk notification and monitoring. Quarterly risk analysis and QA on the Project.
- Review, evaluate and report on security test plans and execution
- Conduct IV&V activities. Review, evaluate and report on IV&V activities.

J.6 State Project Management and Development Phases

The "IT Methodology" product was developed to promote an initial foundation of project development best practices across the IT organization.

ITM purpose is meant to be a "framework", and to provide guidelines, tools and templates that can be used as the State's methodology for executing Information Technology projects.

One key element of our approach is to make the methodology items available to IT staff on the Intranet. HTML-based process definitions will include on-line links (as appropriate) to document deliverable templates (e.g., Project Plan document, Detailed Requirements document, Implementation Plan) and tools. The templates and tools (themselves) will be maintained in their native representation (e.g. MS Word, MS Excel) so that they can be reused by IT staff.

The methodology includes process definitions, guidelines, document deliverable templates, and tools that support two basic categories of processes:

- Project management processes that are concerned with organizing and controlling the work of the project, and extend over one or more product development phases.
- Product development phases that are concerned with developing the product that the project is intended to produce.

The templates and tools are designed with "hidden text" instructions for guiding the user through the documents. Other tools are examples of useful diagrams and charts to help the user in managing the project and developing the product.

J.6.1 Project Management Processes

- Planning – Devise and maintain the "Project Plan" using input from the initiation of the project proposal to accomplish the business need.
- Execution – Carry out the activities included in the "Project Plan" which includes developing the project team, coordinating activities, distributing information and verifying work results.
- Controlling – Ensure project's objectives are met by monitoring and measuring its progress.
- Quality Management – Identify quality policies, objectives, and responsibilities to be used for the project, and ensure that these are implemented and monitored throughout the life of the project.
- Procurement Management – Acquire goods and services from vendors, contractors, and / or suppliers, and to manage the contracts that are established through contract completion.

- Phase / Project Closure – Evaluate the aspects of the project's status, make go / no go decisions and obtains final project sign off.

J.6.2 Product Development Phases

- Scope and Feasibility – Establish high-level requirements, assess impacts, constraints and recommendations for the product to be developed.
- Requirement Definition and Solution Evaluation – Establish detailed requirements and evaluate high-level solution alternatives for satisfying requirements.
- Design – Design the product to a detailed level and provide the framework for constructing the product.
- Construction – Build and test product components, integrate and test component assemblies, and prepare for acceptance test.
- Acceptance Test – Evaluate the ability of the product to satisfy all product requirements by the customer organization and obtain necessary signoff on the product.
- Implementation – Complete product integration, train users, monitor product operation and update documentation as needed.

Pilot Implementation

Pilot Implementation consists of training all staff that will be involved in the pilot process, conducting the Pilot Implementation, and resolving any issues that are discovered. One week has been allotted for a Federal Review of the Pilot Implementation. The Pilot is considered to be the final stage of testing. At the end of the Pilot, a "go / no go" decision will be made on readiness to proceed with statewide implementation.

Statewide Implementation

Statewide Implementation will begin with training of all remaining staff and then the system will be implemented statewide. DCS plans to monitor statewide operation of the system during the one-year warranty period. One week has been allotted for the Federal SACWIS Assessment Review at the end of the warranty period. Upon completion of this review, the team will update all documentation and formally close out the project.

Contract Attachment K – Spatial Data Architecture

K.1 Spatial Data Architecture

Geographic Information Systems (GIS) manage, analyze, and display spatial data. Spatial data is made up of two components, a spatial component and an attribute component. The spatial component is a geometric representation of a real world object or feature, while the attribute component describes something about the feature. Spatial data can be referenced explicitly using a street address or geographic coordinate, or it can be referenced implicitly using a code to reference a defined geographic area such as a census tract, zip code, or county boundary.

Spatial Data incorporated as part of the SACWIS will conform to the State's Spatial Data Architecture. The Spatial Data Architecture for the State of Tennessee can be found at:

<http://gis.state.tn.us/sda.pdf>

Contract Attachment L – Tennessee Information Resources Architecture

L.1 Tennessee Information Resources Architecture

The Tennessee Information Resources Architecture will begin on the following page.