



## STATE OF ARKANSAS

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## Term Contract

Vendor No. 100179906  
Contact Greg Silence  
Your reference SP-10-0243

CHARLES H MACK & ASSOCIATES INC  
10101 ALLIANCE RD STE 10  
CINCINNATI OH 45242

Contract No. 4600021538  
Date 05/04/2011

Contact Camber L. Thompson  
Telephone 501-324-9321  
Fax 501-324-9311

Our ref. ST  
Incoterms FOB  
DESTINATION

Send Invoice To:Ship To:

DHS - DAAS  
700 Main Street, Slot S530  
Little Rock, AR 72201

Valid from: 05/04/2011  
Valid to: 05/03/2012

Reference Tracking SP-10-0243  
Commodity: DAAS Universal Assessment System

This is a term contract issued by the Office of State Procurement. This is not authority to ship. A separate purchase order will be issued. This contract constitutes acceptance of your proposal along with all terms and conditions therein and signifies the offerer's knowledge and acceptance of all terms and conditions set forth within the Request for Qualifications.

Type of Contract: Term  
Contract Period: May 4, 2011 through May 3, 2012 with an option to renew six (6) additional times in one (1) year increments or a portion thereof.

OSP Contact Information:  
Camber Thompson, Office of State Procurement  
(P) 501-683-0084 (F) 501-324-9311, camber.thompson@dfa.arkansas.gov

| Item | Material/Description  | Target QtyUM | Unit Price | Amount        |
|------|---|--------------|------------|---------------|
| 0010 | 10116607<br>SOFTWARE,MISC<br>MedCompass License Fee for 125 users | 1 each       | 615,000.00 | \$ 615,000.00 |

## GENERAL CONDITIONS AND INSTRUCTIONS TO VENDOR:

All purchasing rules and regulations defined by the State of Arkansas apply to this document.

Purchasing Official/Fiscal Officer

05/04/2011

Arkansas Department of Human Services

## Statement of Work for Arkansas Universal Assessment Software Suite Development

This document along with the RFQ sets forth the scope of work to be performed by selected software contractor for the Department of Aging & Adult Services (DAAS) pursuant to a contract entered into by and between selected software contractor and the State of Arkansas Department of Human Services (DHS) for implementation of the Arkansas Universal Assessment and Care Planning Suite (the "Arkansas Universal-Assessment"). Drawing from its extensive knowledge from prior interRAI software suite development and guidelines, selected software contractor will direct a joint development team to provide analysis, design, and development of the Arkansas Universal Assessment. This Statement of Work covers all phases of this work effort.

### Project Mission

The purpose of the project is to develop a standardized assessment tool to document the information gathered during a face-to-face assessment process.

The process will:

- Screen potential clients for possible eligibility,
- Assess (face-to-face) a client requesting long-term-care services
- Support the collection of documentation or gather information from other sources in an effort to understand the specific needs of the client,
- Ensure that clients at risk of nursing facility placement are aware of all potential service options,
- Document the client's needs, strengths, limitations, resources, preferences, and level of care requirements using a uniform, automated, comprehensive system,
- Document current and potential care contributions from community resources and the client's informal supports to determine in the individual has unmet needs,
- Develop an automated plan to identify the specific problems and needs. The plan will:
  1. Incorporate elements of client choice
  2. Document how these needs are currently being met or will be met;
  3. Document who is currently or will be meeting these needs, informal supports, community resources, DAAS programs and;
  4. Help providers to be aware of the client's needs so the provider can determine if they can adequately meet the client's needs.

DAAS goals are to:

- Create detailed compatible data across programs for the purpose of program and budget development
- Create budget accountability by ensuring that correct eligibility determinations are consistently determined.
- Standardize inter-rater reliability and promote accurate assessments and service plans.
- Manage client liability and protect vulnerable adults by assessing/identifying risk indicators.

## Functional Decomposition

It is required that selected software contractor will transfer the client assessment, plan of care development, and supporting functionality from existing manual and electronic processes across all assessment forms and plan of care development algorithms. It is anticipated that will be 125 users of this system, with an anticipated expansion to 200 users within two years. The Arkansas Universal Assessment and Plan of Care Development Suite will be an all inclusive tool as indicated in the table below. This functional decomposition will serve as the foundation for the requirements definition tasks described within this document. Other minor Arkansas Universal Assessment and Plan of Care Development Suite requirements may be added as suggested by the selected software vendor. The sections below may be combined as determined by the contractor and DAAS for best functionality.

| Functional Component              | # of Screens | Assumptions / Comments   |
|-----------------------------------|--------------|--|
| Log-in (and User password change) | TBD          | The user will be allowed to type in their log-in ID and password for authentication to the system. The user will also be able to change their password.  |
| Data download/upload              | TBD          | These screens will allow the user to download the person(s) and case data from the central database to the laptop and subsequently upload the same data to the central database.   |
| Intake/Screening                  | TBD          | <p>These screens will allow the user enter client data to discern the likelihood of; functional eligibility, financial eligibility, date stamp entries, refer to DCO and nurse supervisors to initiate eligibility. Collect basic demographic information, record presenting problem, enter minimum data into ADL and financial screens. This information auto-populates to main assessment.</p> <p>These screens will allow the user to enter client data to determine NF LOC and determine possibility of transitioning client from NF to community setting.</p> |
| Client Demographics               | TBD          | These screens included in this section are as follows: Person Search, Name, Address, Identification Numbers, DOB, Sex, Marital Status, Contacts, Education, Employment, Financial, etc.  |
| Assigned Workers                  | TBD          | This screen will enable the assignment of one or more workers to a case. Additionally, a worker can be assigned multiple roles, e.g. financial, eligibility.   |
| Case Overview                     | TBD          | This screen will show some key information regarding the assessment case, e.g. key person information, assigned workers, historical assessments based on the MDS-HC 2.0 + custom fields, RUG levels, CAPs, etc.  |

| Functional Component | # of Screens | Assumptions / Comments   |
|----------------------|--------------|--|
| Case Transfer        | TBD          | This screen will allow the transfer of one or more cases from one worker to another.   |
| Client Assessment    | TBD          | The Client Assessment will be conducted to include MDS-iHC + custom fields directed by Arkansas DAAS. selected software contractor will build the capability to save snapshots of assessments, i.e. keep historical records of assessments.  |
| Client Care Planning | TBD          | The Client Care Planning section includes the following:<br><br>Plan of Care Options<br>Provider Search<br>Resource Search<br>Resource Details<br>Care Planning<br>Need Summary<br>Service Summary (& In-home Service)<br>Equipment/Environment/Physical Concerns/<br>Community Alerts<br>Goals<br>Referrals   |
| Narratives           | TBD          | This screen will allow workers to record "service episodes". The worker can enter text and make modifications only while the case is open; after the case is closed that text cannot be edited or deleted. Further text can be added and appended to the existing text. Two different qualifiers can be attached to the text (in addition to date and user-id), e.g. type of service.<br><br>The rich-text-format functions (like bold, italics, underline typefaces) will not be included and it is assumed that text entry will be in the native database format, e.g. regular ASCII text.<br><br>Spell check functionality will be provided through calls to external (third-party) spell check routines. |
| Forms                | TBD          | There will be one screen that will list the forms and will provide access to three forms – Client Plan, Assessment Summary, and a Provider form.   |
| Reporting/Auditing   | TBD          | There will be one screen that will list the reports and will provide access to individual reporting, populations/group reporting, audit materials, complaint reporting, provider/client service reporting, and individual and group cost reporting.  |

| Functional Component             | # of Screens | Assumptions / Comments  |
|----------------------------------|--------------|---|
| Other                            | TBD          | <p>There will be at least one screen showing the number of waiver slots available, taken, available, and the waiting list numbers for each.</p> <p>A pre-eligibility determination screen will be needed.</p> <p>Automated notifications, reminders, and ticklers will be needed and displayed upon entering a client's record.</p> <p>Assessment complete/not-complete indicators.</p>   |
| Algorithms                       | TBD          | <p>Selected software contractor assumes that there will be high-complexity algorithms (more than 15 logic statements) and low- or medium-complexity algorithms, for Plan of Care development and budget management (individual and client base).</p>  |
| Systems Integration Requirements |              | <p>Data will move from MMIS to Universal Assessment system and vice versa with a daily feed, using a batch method.</p> <p>Universal Assessment Data will be integrated with Arkansas's ACES, ANSWER and Harmony systems.</p>  |
| Data Conversion Requirements     |              | <p>Most of our data sits on the server<br/> //dhhs.arkgov.net/dhsfiles (u: drive)<br/> U:\divisions\DAAS\DAAS_DB\ - database locations<br/> AAPD – folder Alternatives Client Database – data source Copy of Alternatives Database 2000_be.mdb<br/> AAPD – folder Alternatives Provider Database – data source Alternatives Providers.mdb<br/> AAPD - folder Alternatives Provider Database – data source Alternatives Claims System.mdb<br/> EC – folder ElderChoices Provider Database – data source EC Final.mdb<br/> MFP – folder MFP – data source MFP Team Database.mdb<br/> Certification – folder Provider Certification – Provider Certification Gail.mdb<br/> IC – In transition to moving into SQL database and do not have the production server name yet.<br/> ***NOTE: ADD RESOURCE CENTER INFO</p> |

| Functional Component | # of Screens | Assumptions / Comments  |
|----------------------|--------------|---|
| <b>Reports</b>       |              | <p>One of the goals for implementing an automated standardized assessment tool is to enhance DAAS's ability to monitor and analyze data for program adjustments as knowledge and experience expands. Monitoring the impacts of assessment, case management and service levels and models on participant outcomes and costs will provide information to impact decisions on service delivery methods and resource allocations.</p> <p>Selected vendor will have the capability of providing a system that incorporates a series of standardized reporting as well the ability to create ad hoc reports using an analytic tool or "report writer". DAAS Administrators should be able to configure data sets and reporting formats for use by end users while maintaining the ability to define larger data sets that can be filtered for additional reporting flexibility and functionality. In addition DAAS will be able to produce charts by identifying the columns of a grid that represent various axes and series.</p> <p>DAAS will also have the ability to create new reports using preconfigured datasets in the reporting database and upload these reports into the DAAS system.</p> <p>The following data presentations will be available:</p> <ul style="list-style-type: none"> <li>• Assessor by program by client approved/denied</li> <li>• Assessments completed by date, geographic area, program, assessor or unit</li> <li>• Assessment/Reassessments completed and referrals made</li> <li>• Assessment and payment authorizations</li> <li>• Care plans and classification levels</li> <li>• Nursing facility/hospital assessments</li> <li>• Relative providers</li> <li>• Intake totals by workers</li> <li>• Inactive cases</li> <li>• Response times</li> <li>• Clinical scores</li> <li>• Nursing/medical referrals</li> <li>• Fair hearings</li> <li>• Case Management             <ol style="list-style-type: none"> <li>1. Caseload by case manager by acuity</li> <li>2. Referrals</li> <li>3. Program Summary-# of referrals, reassessments, cases closed by reason</li> <li>4. Fair hearings</li> </ol> </li> <li>• Complaints             <ol style="list-style-type: none"> <li>1. Incoming by type</li> <li>2. Complaint resolution</li> </ol> </li> </ul> |

| Functional Component | # of Screens | Assumptions / Comments   |
|----------------------|--------------|--|
|                      |              | <ul style="list-style-type: none"><li>• Disease Management</li></ul> <ol style="list-style-type: none"><li>1. Key conditions</li><li>2. Outcomes and referrals</li></ol> |

| Functional Component | # of Screens | Assumptions / Comments  |
|----------------------|--------------|---|
| <b>Forms</b>         |              | <p><b>The following forms are used by DAAS to collect data and or transmit information. It is required that the new UA system will collect and/or transmit information as defined below:</b></p> <p><b>9518:</b> HCBS Waiver Programs Nurse Counselor Narrative: the primary purpose of the 9518 is for documentation. The interRAI assessment allows for this type of documentation. Additionally the Medcompass plan of care and the referral management part of the assessment system collects this type of information.</p> <p><b>4006:</b> The DHS 4006 is a department requirement to exchange client information via email outside the Arkansas.gov network. This can be created in MedCompass and attached back to the client record.</p> <p><b>9500:</b> Arkansas Department of Human Services DAAS Waiver Applicant Identification and Application Referral Form (9500)-This information is included in the interRAI intake and assessment tool.</p> <p><b>9503:</b> This information is included in the interRAI assessment tool and the plan of care. When the client signs the plan of care that indicates that the client agrees to this plan of care. May need to add a specific field indicating client choice of services.</p> <p><b>9511:</b> DAAS Waiver Provider Communication Form: This information is included in the interRAI assessment and plan of care when a client's condition/status changes, upon reassessment or notification by a provider or family member or the client.</p> <p><b>9510:</b> DAAS Home and Community Based Waiver Programs Start Services Form (9510)- This information is covered in the MedCompass plan of care under referral management.</p> <p><b>703:</b> Evaluation of Medical Need Criteria (703)-This information is collected in the interRAI assessment tool.</p> <p><b>704:</b> Decision for Nursing Home/Waiver Placement (704)-Determined by the algorithm once the assessment is completed.</p> <p><b>9566:</b> Assisted Living Comprehensive Assessment. Tier level determinations will need to be discussed further with selected vendor.</p> <p><b>r.03/08:</b> DAAS Freedom of Choice Notice: Addressed in the assessment</p> <p><b>Independent Choices Designation Forms:</b> Captured in the assessment</p> |

| Functional Component   | # of Screens | Assumptions / Comments  |
|------------------------|--------------|---|
|                        |              |   |
| <b>Forms Continued</b> |              | <b>DAAS -1c-05:</b> Independent Choices Decision Making Partner Screening Questionnaire: This is part of the client profile in the interRAI tool.   |
|                        |              | <b>DAAS -1c-08:</b> Included in the plan of care backup plan  |
|                        |              | <b>4000:</b> Authorization to Disclose Health Information: the, assessment system allows for the client to indicate their approval for sharing of information, the referral management area of the MedCompass system captures information about who the assessor has referred elements of the assessment/service plan to. |
|                        |              | <b>DMS 618:</b> Personal Care Assessment and Service Plan: Included in the interRAI assessment and service plan.  |

### Other Functional Assumptions

|                                   |  |
|-----------------------------------|--|
| Log-in (and User password change) | Users <u>will</u> be allowed to type in their log-in ID and password for authentication to the system and will also be able to change their password.  |
| Data download/upload              | <u>Will</u> allow the user to download the person(s) and case data from the central database to the laptop and subsequently upload the same data to the central database.                                  |
| Client Demographics               | Screens included in this section <u>shall</u> be as follows: Person Search, Name, Address, Identification Numbers, DOB, Sex, Marital Status, Contacts, Education, Employment, Financial, etc.              |
| Assigned Workers                  | <u>Will</u> enable the assignment of one or more workers to a case. Additionally, a worker can be assigned multiple roles, e.g. financial, eligibility.  |
| Case Overview                     | <u>Will</u> show some key information regarding the assessment case, e.g. key person information, assigned workers, historical assessments based on the MDS-HC 2.0 + custom fields, RUG levels, CAPs, etc. |

|                      |   |
|----------------------|---|
| Case Transfer        | <b><u>Will</u></b> allow the transfer of one or more cases from one worker to another.  |
| Client Assessment    | <b><u>Will</u></b> be conducted to include MDS-iHC + custom fields directed by Arkansas DAAS. Selected qualified vendor <b><u>will</u></b> build the capability to save snapshots of assessments, i.e. keep historical records of assessments.  |
| Client Care Planning | <b><u>Shall</u></b> include the following: Plan of Care Options, Provider Search , Resource Search , Resource Details, Care Planning, Need Summary, Service Summary (& In-home Service), Equipment/Environment/Physical Concerns/, Community Alerts, Goals, Referrals.  |
| Narratives           | <p><b><u>Will</u></b> allow workers to record “service episodes”. The worker can enter text and make modifications only while the case is open; after the case is closed that text cannot be edited or deleted. Further text can be added and appended to the existing text. Two different qualifiers can be attached to the text (in addition to date and user-id), e.g. type of service.</p> <p>The rich-text-format functions (like bold, italics, underline typefaces) <b><u>will not</u></b> be included and it is assumed that text entry will be in the native database format, e.g. regular ASCII text.</p> <p>Spell check functionality will be provided through calls to external (third-party) spell check routines.</p> |
| Forms                | <b><u>Shall</u></b> provide access to at least the following three forms – Client Plan, Assessment Summary, and a Provider form.  |
| Reporting/Auditing   | <b><u>Shall</u></b> list the reports and will provide access to individual reporting, populations/group reporting, audit materials, complaint reporting, provider/client service reporting, and individual and group cost reporting.  |

|                        |   |
|------------------------|---|
|                        | <p><b><u>Shall</u></b> show the number of waiver slots available, taken, available, and the waiting list numbers for each.</p> <p><b><u>Shall</u></b> provide pre-eligibility determination screen.</p>   |
| Other                  | <p><b><u>Shall</u></b> display automated notifications, reminders, and ticklers upon entering a client's record.</p> <p><b><u>Shall</u></b> provide assessment complete/not-complete indicators.</p> <p><b><u>Shall</u></b> provide triggers/appointment reminder that can be sent to mobile devices.</p>   |
| Algorithms             | <b><u>Will</u></b> be high-complexity algorithms (more than 15 logic statements) and low- or medium-complexity algorithms, for Plan of Care development and budget management (individual and client base).   |
| Reporting Requirements | The following reports <b><u>shall</u></b> be included: Number of Assessments (per program, if still separate), Number of Reassessments (per program, if still separate), Number of Pending Reassessments for the next month, APS referrals, Queries for specific diagnosis such as dementia, demographic data, tier levels, Tier levels for ALF payment, Queries for waiver services by type, Queries for individual nurses, Service Summary Report |
| Auto Populate          | <b><u>Will</u></b> auto populate fields across all sections.  |
| Change Log             | <b><u>Will</u></b> track changes made within the assessment.  |
| Comments               | Functionality <b><u>will</u></b> be provided to enter text comments on assessment screens; however, selected qualified vendor will not develop a screen to allow viewing all comments in a consolidated manner.   |
| Daily Feed             | Daily feed from most current MMIS data <b><u>must</u></b> be provided for the provider selection and case management purposes.  |
| Electronic Signature   | <b><u>Will</u></b> allow for the capability for all parties involved (clients/representatives, general care providers, physicians, assessors, case managers, etc.)  |
| Risk Indicators        | From the care planning section  |
| Notifications          | <b><u>Will</u></b> include automated email, reminders and ticklers.   |

1. The following Arkansas Universal Assessment and Case Management functions will be provided as part of this Statement of Work:

- a. Risk indicators (from the care planning section)
  - b. Service summary report
  - c. Change log (i.e. keeping track of changes within the assessment).
  - d. Automated email notifications, reminders, and ticklers.
  - e. A daily feed from the most current MMIS data will be needed for provider selection and case management purposes.
  - f. Automatically populate fields across all sections.
  - g. Electronic signature capabilities for all parties involved (clients/representatives, general care providers, physicians, assessors, case managers, etc.)
2. Functionality will be provided to enter text comments on assessment screens; however, selected software contractor will not develop a screen to allow viewing all comments in a consolidated manner. It is our understanding that the narrative functionality, described above, will be used to capture consolidated text.

## Technical Assumptions

|  |   |
|--|---|
| Application built for laptops in a disconnected mode | Three different types of operation <u>will</u> be available:<br>1. View and edit pre-determined data set<br>2. Only view data<br>3. View data and create and append new narrative records to existing records. The existing narrative records <u>will</u> be available for viewing only. In this mode, however, multiple users working on the same case <u>will</u> be able to create and append narrative records. |
| Audit  | Data warehouse system <u>will</u> have database row-level audit whereby the worker id and timestamp corresponding to the most recent edit(s) will be recorded.  |

|                               |   |
|-------------------------------|---|
|                               | <p>The only functions available in the connected mode (i.e. connected to the central consolidated database) <u>will</u> be the following:</p> <ol style="list-style-type: none"> <li>1. Perform person search, create new person if needed</li> <li>2. Log-in</li> <li>3. Transfer case</li> <li>4. Assign worker(s) to a case</li> <li>5. View reports</li> </ol>  |
| Connected mode functionality  | <p>In relation to item #1, it is assumed that the search procedures <u>will</u> perform the search within the central consolidated database. Additional functions (only in the connected mode) may be provided by AR-UA that might search other systems (e.g. MMIS database) provided the AR-UA search functions get the data back in the agreed upon format to the Arkansas Universal Assessment system search functions.</p> <p>The remainder of the functionality <u>will</u> be enabled in the disconnected mode after the person data and the associated case assessments are checked out. Log-in functionality <u>will</u> be provided in the disconnected mode also to maintain data security. The worker <u>will</u> also be able to perform data uploads to the central consolidated database through the synchronization process.</p> |
| Central consolidated database | <p>This <u>will</u> be a Microsoft SQL Server database (OST will determine). This <u>will</u> be the central holding database for all relevant clients and assessment data.</p> <p>In addition to Arkansas Universal Assessment system in the connected mode, DBAs or other similar experts with adequate security rights <u>will</u> be able to access this database for view only purposes.</p> <p>After the Arkansas Universal Assessment system is developed, no direct access <u>will</u> be provided to the client's and assessment data in the central database while that information is checked out. The only exception <u>shall</u> be the narrative functionality. Workers <u>will</u> be able to create new narratives and append them to the existing ones (that are available for viewing only).</p>                              |

|                 |   |
|-----------------|---|
|                 | <p>Database for the laptop <b>will</b> have similar functionality as the central database. Selected software contractor <b>will</b> work with AR-UA to adhere to the Common Business Enterprise framework while designing the data model for client demographics, assessment, and planning, which include:</p> <ul style="list-style-type: none"> <li>• Microsoft SQL 2008R2</li> </ul>   |
| Laptop Database | <ul style="list-style-type: none"> <li>• Microsoft Windows Server 2008R2</li> <li>• Microsoft .Net framework 3.5 SP1</li> <li>• Applications must run with LUA</li> <li>• Applications must be updated with SCCM</li> <li>• Applications must comply with Arkansas Visually Impaired Law</li> <li>• Applications must comply with Security Standards of the state of Arkansas and DHS</li> <li>• Applications must have logging of changes and access to sensitive information through Syslog</li> <li>• </li> </ul>  |
| Mirror Database | <p>Independent of the application, the central consolidated database <b>shall</b> be able to be accessed by the database administrator (DBA) or similar expert with proper security rights. Running queries on the central consolidated database that will contain production data can (potentially) negatively impact synchronization performance because the queries might tie up the hardware and software resources. If there is a need to have access to the production data, it is suggested that AR-UA (DBA) build a mirror database that can be updated nightly with the production data. Consequently, the mirror database can be made available to all interested (and qualified) people for data scanning and reporting needs.</p> |
| Synchronization | <p>Synchronization <b>will</b> occur between databases on the laptops and the central consolidated database. Selected qualified vendor <b>will</b> determine with DHS the appropriate mode that will be used for this synchronization process.</p>  |

|                               |   |
|-------------------------------|---|
|                               | <p>Arkansas DAAS will require CH Mack to perform all data conversions; DAAS has three different types of data formats to be considered: SQL server, MS Access, and an unknown format to be delivered by HP.</p> <p>Arkansas DAAS will provide CH Mack access to all existing data tables, as needed.</p>  |
| Conversions                   | <p>Arkansas DAAS will also require CH Mack to evaluate our existing data storage needs and the storage needs for the next 5 years.</p> <p>The application <u>will</u> only interact with the Microsoft SQL database to retrieve and update clients' data – selected qualified vendor will not be responsible for building any transactions to populate this central consolidated database from any other systems (e.g. legacy client index systems).</p>  |
| Interfaces with other systems | <p>AR-UA will be responsible for developing and testing all interfaces with other systems as needed.</p> <p>AR-UA will be responsible for building any transactions, as required, for interfacing with the legacy systems (e.g. for payments) and also with the Common Business Enterprise components (database, business logic server, etc.).</p>  |
| Security                      | <p>Screens <u>will not</u> be built for managing security issues (like adding worker user-id, screening rights), provider rates, pop-up message texts, and drop-down list elements. The central consolidated database design, however, <u>will</u> include all of these features so that the management of security, provider rates, message texts, and drop-down list elements will be AR-UA database administrator (DBA) tasks. AR-UA will also be responsible for developing the content of the help-text and that will be managed as an AR-UA DBA task as well. Through the synchronization process, these data elements <u>will</u> be available on the laptop database.</p> |

Selected software contractor must build the application for use on laptops in a disconnected mode. In the disconnect mode, three different types of operation are envisioned: 1) View and edit pre-determined data set, 2) Only view data, and 3) View data with additional capability of creating new narrative records and appending them to existing records. The existing narrative records will be available for viewing only. In this mode, however, multiple users working on the same case will be able to create and append narrative records.

While connected to the central (consolidated) database, the worker will be able to perform the following functions: a) Perform person search and create a new person, if needed, b) Log-in, c) Transfer case, d) Assign worker(s) to a case and roles to a worker, and e) View reports. The remainder of the functionality will be enabled in the disconnected mode after the person data and the associated case assessments are checked out. Log-in functionality will be provided in the disconnected mode also to maintain data

security. The worker will also be able to perform data uploads to the central consolidated database through the synchronization process.

It is required that the central database will be a recent version Microsoft SQL as determined by Arkansas DHS/OST and this will serve as a central holding database for all clients and assessment data. AR-UA will be responsible for populating this database initially and also for any conversions that might be needed. After the Arkansas CA/P system is developed, no direct access will be provided to the client's and assessment data in the central database while that information is checked out. For example, if John Smith's demographic and assessment data is checked out by Mary Fernandez (case manager), then no other worker will have editing (data modify, add, delete) access to John Smith's data. The only exception is the narrative functionality – as stated earlier, workers will be able to create new narratives and append them to the existing ones (that are available for viewing only).

Independent of the application, the central consolidated database can be accessed by the database administrator (DBA) or similar expert with proper security rights. Running queries on the central consolidated database that will contain production data can (potentially) negatively impact synchronization performance because the queries might tie up the hardware and software resources. If there is a need to have access to the production data, it is suggested that AR-UA (DBA) build a mirror database that can be updated nightly with the production data. Consequently, the mirror database can be made available to all interested (and qualified) people for data scanning and reporting needs.

The application will only interact with the Microsoft SQL database to retrieve and update clients' data – selected software contractor will not be responsible for building any transactions to populate this central consolidated database from any other systems (e.g. legacy client index systems).

It is required that the accompanying data warehouse system will have database row-level audit whereby the worker id and timestamp corresponding to the most recent edit(s) will be recorded.

Within this Statement of Work, screens will not be built for managing security issues (like adding worker user-id, screening rights), provider rates, pop-up message texts, and drop-down list elements. The central consolidated database design, however, will include all of these features and it is assumed that the management of security, provider rates, message texts, and drop-down list elements will be AR-UA database administrator (DBA) tasks. AR-UA will also be responsible for developing the content of the help-text and that will be managed as an AR-UA DBA task as well. Through the synchronization process, these data elements will be available on the laptop database.

Selected software contractor must provide similar functionality for both the database for the laptop and the central database. This requirement will allow selected software contractor to provide all of the functionality as defined in the Functional Decomposition section set forth above. Selected software contractor will work with AR-UA to adhere to the Common Business Enterprise framework while designing the data model for client demographics, assessment, and planning.

As noted above, selected software contractor must use a recent version of Microsoft SQL, as determined by Arkansas DHS/OST, as the basis of the central consolidated database. Also, the data synchronization between laptop databases and the central consolidated database will be developed by the selected software contractor.

AR-UA will be responsible for building any transactions, as required, for interfacing with the legacy systems (e.g. for payments) and also with the Common Business Enterprise components (database, business logic server, etc.).

Please refer to Appendix C for a technical assumptions matrix that provides more detail regarding the assumptions stated above.

## **Phase I Tasks**

The following tasks will be performed by the joint team as part of Phase I of the Arkansas Universal Assessment project:

### ***Task 1 – Project Management***

During this on-going task, the selected software contractor Project Manager will help keep the project team focused on the project objectives, maintain the project work plan, review deliverables and works in progress to promote quality, and provide the AR-UA Project Manager with weekly status reports.

In addition to scheduled status reports, the selected software contractor Project Manager will work collaboratively with the AR-UA Project Manager to resolve any issues that might arise throughout the Phase I.

### **Project Communication**

Selected software contractor will work with AR-UA Project Manager to coordinate a common strategy for project communication. Selected software contractor will implement defined channels for communication, including:

- Scheduling regular meetings to discuss issues of common interest
- Designating resources as points of contact
- Providing stakeholders with project documentation that may be useful or of interest to them

The selected software contractor and AR-UA Project Managers will also develop a communication and coordination framework within the project team. This includes the following:

- Regular meetings of the whole team to discuss and resolve issues and concerns. These will be represented as milestones on the project work plan
- Regular meetings of sub-team leaders to coordinate activity
- Regular internal sub-team meetings to discuss issues relevant to the team's internal activities and to apply methods of best practice wherever it is deemed appropriate.

This project structure will foster an open environment in which team members and AR-UA staff can freely engage in knowledge exchange. This open environment will allow for communication flow between the project staff at all levels. We will solicit input from project staff members on a regular basis regarding project issues and areas for improvement.

AR-UA will provide resources dedicated to the project for its duration as required to allow the project to proceed in accordance with mutually agreed to schedules. The number and commitment of functional and technical resources will be set forth in the detailed project work plan to be developed by the parties at the beginning of Phase I. AR-UA functional resources will participate in the validation of the transfer requirements and the design of the system and will conduct the user acceptance testing to confirm that the finished product meets the approved transfer requirements. AR-UA technical resources will work with the selected software contractor team to design and develop the Universal Assessment solution selected software contractor will perform regular deliverable walkthroughs with AR-UA project members as the deliverables are being developed. Constant involvement of AR-UA staff in all phases of the project will

help enable staff to keep abreast of, and in agreement with, the design and development. To promote effective deliverable submission, review, and sign-off, selected software contractor will facilitate sessions for early, informal reviews of interim (draft) deliverables between team leaders and AR-UA project personnel. AR-UA will fully participate in the interim deliverable review process. This technique will allow deficiencies to be identified and corrected early in the process, ultimately conserving time and resources. It also helps to maintain quality; by the time a product reaches the formal review stage it would have already undergone much scrutiny. Another benefit to this approach includes a high level of confidence in the deliverable's accuracy. By deliverable sign-off time, AR-UA staff is familiar with the deliverable through ongoing evaluation and has already exerted a strong influence on its final form. A complete description of the deliverable development, submission and approval process is included in Appendix A.

The following sub-tasks will be performed by selected software contractor and AR-UA as part of Task 1 – Project Management:

- Initiate project
- Manage project tasks
- Create and update project work plan
- Coordinate with stakeholders
- Conduct regular project status meetings and deliverable walkthroughs
- Submit project status reports

### **Initiate Project**

This sub-task should be completed during the first two weeks of the project. During this time selected software contractor staff will work with AR-UA staff and other consultants to kick-off the project, assemble the project team, define roles and responsibilities of client and vendor staff, prepare a detailed work plan, establish a timeline and interview schedule, define the policies and procedures for the project, define the format of deliverables and other project documentation, and gather available documentation in preparation for the Phase I tasks.

The joint project team will be responsible for the following during this sub-task:

- Define roles and responsibilities
- Identify AR-UA resources
- Establish detailed work plan
- Establish project procedures and standards
- Establish meeting and interview schedules
- Establish Phase I deliverable formats
- Identify and gather high-level documentation
- Develop project communication plan
- Install/implement project management software (e.g., issue tracking system, eRoom)

*The deliverables for the Project Management task will consist of the following:*

- Project Status Reports
- Phase I Project Management Plan

## ***Task 2 – Document and Validate Business Requirements for Arkansas Universal Assessment Transfer***

We accomplish this task by first introducing the joint project team to the Arkansas Universal Assessment functionality and then conducting requirements sessions to review and document the development and modifications to be included in the Arkansas Universal Assessment. We understand that AR-UA intends to vigilantly monitor the number and complexity of deviations from the existing Arkansas DAAS waiver database functionality and design during this process.

As part of this task, selected software contractor will facilitate sessions with the AR-UA project functional resources and representatives from the end-user community. AR-UA will be responsible for scheduling the requirements sessions and their participants according to the project work plan. During the sessions, the Arkansas Universal Assessment functionality (as outlined in the Functional Decomposition provided in this document) will be presented and reviewed with the AR-UA participants.

It is required that selected software contractor will have the full commitment and dedication of AR-UA project management, the business requirements team, and other resources, as needed, to complete this task within time (and budget) corresponding to the project work plan.

Early in this phase, selected software contractor will work with AR-UA project management to validate the scope of the Arkansas Universal Assessment. We will use Graphical User Interface (GUI) prototyping to animate the “to-be” look and feel of Arkansas Universal Assessment. The “look and feel” of the Arkansas Universal Assessment screens and their navigation will be recreated to the extent reasonable, given that the new GUI environment that will be applied for Arkansas will be different from existing Arkansas waiver database functionality.

This process will enhance our overall understanding of AR-UA’s desired functionality. This phase will provide the foundation upon which subsequent phases will be based. Therefore, the overall objective of this task is to achieve the following:

- Enhance our understanding of the existing business requirements.
- Validate, confirm, and document the Arkansas Universal Assessment business requirements.
- Gain end-user input on our understanding of Arkansas Universal Assessment business environment.

The gap analysis that occurs in Phase I will provide an opportunity to define and agree on the modifications that are necessary. AR-UA anticipates that the modifications will consist of:

- GUI design
- Change/add/move label names
- Modification of drop-down list elements
- Field dependencies which require completion of certain fields before moving to additional field entries

The selected software contractor Team Lead will work with the appropriate AR-UA Team Lead to organize work plan efforts. The participating AR-UA staff will be assigned to the Joint Requirements Planning (JRP) team based on their subject area experience and knowledge.

To validate the Arkansas Universal Assessment business requirements, the joint project team will:

- Conduct Acceptance Testers Team Orientation
- Prepare for Acceptance Testers Sessions
- Conduct Acceptance Testers Sessions
- Create GUI prototype to animate required functionality
- Document Acceptance Testers Sessions

The outcome of our efforts on the business requirements definition and validation process will be an approved Business Requirements Document that clarifies the Arkansas Universal Assessment requirements.

*The deliverable for this task will consist of the following:*

- Business Requirements Document

### ***Task 3 - Validate Technical Requirements***

In this task, the joint project team will work directly with Arkansas DHS OST staff and HP MMIS staff as well as other appropriate resources from other agencies to validate the technical environment for Arkansas Universal Assessment development. We will identify AR-UA and/or DHS standards that should be considered or adhered to when implementing a new system, and will also identify any system performance standards required.

As part of this task, the joint project team will thoroughly document the technical requirements for designing and developing the Arkansas Universal Assessment solution, consisting of software and hardware requirements.

The outcome of the efforts of the joint project team in this identification and validation process will be an approved Technical Requirements document that outlines the technical requirements and constraints of the Arkansas Universal Assessment solution.

*The deliverable for this task will consist of the following:*

- Technical Requirements Document

### ***Task 4 - Plan for Phase II***

In this task, selected software contractor will assist AR-UA in planning for Phase II (design, development, and unit, system, and user-acceptance testing of AR-Universal Assessment). Each phase will build upon the work accomplished in the previous phases and adhere to AR-UA's overall vision for Arkansas Universal Assessment. During Phase I selected software contractor will work with AR-UA to validate the appropriate approach and timelines for designing and developing the Arkansas Universal Assessment solution, using the functional and technical requirements defined and documented during Phase I. This planning will determine the scope of work for Phase II.

At the end of Phase I, a final decision will be made concerning the exact scope of functionality that will be included in the design and development tasks of Phase II. Selected software contractor and AR-UA will mutually agree upon a scope of work, which the parties agree can reasonably be completed in the remaining time and contracted price of Phase II. This will be documented in the Phase II plan.

*The deliverable for this task will consist of the following:*

- Phase II Plan

## **Phase II Tasks**

Selected software contractor understands that AR-UA desires a phased approach for completing the design and development tasks based upon the functional and technical requirements for the Arkansas Universal Assessment solution, as those functional and technical requirements are mutually agreed to by the parties based upon the estimated schedule and contracted price provided by the State of Arkansas for completion of Phase II. Phase II consists of the following tasks:

### ***Task 1 – Provide Project Management Services***

In Phase II selected software contractor will continue to provide the project management services described in Phase I above. The selected software contractor Project Manager will monitor project progress, manage and update the project work plan and communicate status to AR-UA Project Management. The selected software contractor Project Manager will provide weekly status reports (as also stated in Phase I, Task 1).

As part of project management services during Phase II, we will also focus on the following specific aspects of knowledge sharing:

- Supporting team members and other AR-UA staff working on the project to perform the assigned tasks within the scope of work agreed upon at the end of Phase I.
- Sharing information necessary for the decision making process.
- Mentoring AR-UA staff regarding the skills necessary to perform the assigned tasks.
- Maintaining documentation of standards and procedures.

Selected software contractor assumes that relevant AR-UA project staff will have basic knowledge of the toolsets and programming language(s) and scripts that will be used in the development of Arkansas Universal Assessment. selected software contractor will not provide training on the toolsets, programming languages, and scripts.

*The deliverables for this task will consist of the following:*

- Project status reports
- Phase II Project Management Plan

### ***Task 2 – Design Arkansas Universal Assessment***

While the Business Requirements Validation task concentrated on “what” Arkansas Universal Assessment should do, this task concentrates on “how” these requirements are designed, coded, and implemented.

The design process is built upon: 1) analysis conducted by selected software contractor and AR-UA team members, and 2) validated functional requirements within the scope of work mutually agreed upon at the end of Phase I and 3) sessions between project team members and key AR-UA staff. Screen and report standards will be heavily based upon any existing AR-UA standards or previously developed standards

for Arkansas MDS-iHC assessments. Layouts for each screen and report are developed using the appropriate development tools and are incorporated into the design for the transferred system. The process requires a review of functional requirements as they relate to current Arkansas MDS-iHC assessment and plan of care development functionality, definition of the processing changes required, database changes and high level changes to customer views.

Selected software contractor required that there will be some required data conversion from existing Arkansas DAAS data systems as part of the proposed Arkansas Universal Assessment project.

Selected software contractor will work with other consultants and AR-UA staff to develop policies as they relate to DAAS and the AR-UA.

In the Design task, selected software contractor and AR-UA team members will:

- Develop the technical design for Arkansas Universal Assessment, consisting of the screen layouts, data elements by screen, validations by screen, control items on screen (like buttons), and data element dependencies. This design will be based on the InterRAI MDS-iHC with additions directed by AR-UA and DAAS staff. These will be documented in the Technical Design document.
- Prepare Arkansas Universal Assessment data models for the laptop and central consolidated databases, consisting of the physical data model(s), specifications of SQL procedures and database triggers (if any), and data dictionary. These will be documented in the Data Model Definitions document.
- Prepare initial program specifications of modifications to Arkansas DAAS waiver program transfer components as needed. However, selected software contractor assumes no current DAAS waiver program systems will require functional changes, only database schema changes for the transfer to the AR-UA.
- Develop program quality control checklist in collaboration with AR-UA staff

At the completion of the phase, the joint project team will be prepared for the start of development effort.

*The deliverables for this task will consist of the following:*

- Technical Design Document
- Data Model Definitions Document

Note: Existing MDS-iHC will be the basic data model to include Arkansas specific inclusions

### ***Task 3 - Develop Arkansas Universal Assessment***

The selected software contractor and AR-UA project team will construct Arkansas Universal Assessment according to the technical design and data models set forth in the approved Technical Design and Data Model Definitions documents. These documents will form the basis for coding and testing. Selected software contractor has assembled a development team that can leverage past experiences on similar initiatives.

Once the base application has been modified, the joint development team will focus on constructing the Arkansas Universal Assessment solution; develop new functionality into the subsystem modules and perform unit testing prior to migration of the application to the system and user acceptance test environments. We will use a rapid application development method to assist with the Arkansas Universal Assessment development.

The following sub-tasks will be undertaken for this task:

- Update and complete program specifications, consisting of program logic, object usage and interaction description, procedure and trigger calls.
- Develop (code) screens and related functionality.
- Prepare initial test plan.
- Unit test screens and related functionality and review programs for conformance with quality control checklist. It is assumed that unit test of software components is complete when all the program components conform to the quality control checklist and can be executed independently in conformance with the program specifications.
- Support AR-UA staff to unit test related interfaces (to CBE databases and other relevant systems).

*The deliverables for this task will consist of the following:*

- Completed Program Specifications.
- Unit tested Arkansas CA/P Software Components.

#### ***Task 4 – Conduct Arkansas Universal Assessment Testing***

The testing approach to be utilized will address issues of application integrity through the use of test scripts and regression testing. These techniques provide confidence that the applications react as expected and that changes, if necessary, do not unexpectedly influence other portions of the applications.

The following sub-tasks will be performed by the joint project team as part of Task 5 – Conduct Testing:

- Finalize test plan.
- Prepare and conduct system testing according to system test scripts developed in collaboration with AR-UA staff and based upon functional requirements set forth in the scope of work. It is assumed that system test of software is complete when all the system test scripts have been successfully executed (as defined above) on the developed system.
- Support AR-UA staff to conduct user acceptance testing.

The purpose of user acceptance testing is to validate that the developed system components realize the functional requirements set forth in the scope of work. No changes will be made to the approved functional requirements at this stage.

Selected software contractor will assist AR-UA staff to develop user acceptance test scripts. These test scripts will correspond and conform to the business and technical requirements and the technical design and data model definitions. The user acceptance test scripts will also address business scenarios in a reasonable and comprehensive manner, within the domain specified by the deliverables, so that all potential system and business activities that may occur in sequence or at the same time can be accounted for and tested. The number of these scripts and their content will be mutually agreed upon by selected software contractor and AR-UA before user acceptance testing begins.

Throughout the user acceptance testing process, each test script will be executed independently to address the corresponding business scenario. When a test script is successfully run and meets mutually agreed upon performance specifications, it will be deemed complete. Once a test script is complete, it will not be

considered again in the user acceptance testing process. Following this process, when all the identified user acceptance test scripts are passed, the user acceptance test of the Arkansas CA/P system will be deemed complete. Given this rigorous testing process and the aggressive schedule, it is also required that selected software contractor will have the full commitment and dedication of AR-UA project management, the business requirements team, and other resources (e.g. testers), as needed, to complete this task within the time allocated in the approved project work plan.

Selected software contractor will also support AR-UA in its acceptance testing efforts by providing high-level system training and acceptance test execution instruction to the AR-UA testers. AR-UA staff will test the transfer of information between all of the platforms that the system uses. At the conclusion of both system and acceptance testing, selected software contractor will review and evaluate the results of the tests in collaboration with AR-UA, and will resolve system defects (as described in Appendix A, Reviewing the Deliverable, Deliverable Acceptance section) that might arise out of user acceptance tests and that are mutually agreed to be within the contracted scope of work. Selected software contractor will not be responsible for resolving system defects arising out of work done by AR-UA staff as part of the system development effort, for example, coding for interfaces to external systems.

*The deliverables for this task will consist of the following:*

- Test Plan (System, Acceptance)
- System tested Arkansas UA Software Components, and relevant system test scripts
- User acceptance tested Arkansas UA Software Components

### ***Task 5 – Plan for Pilot and Implementation***

In this task, as in Phase I, selected software contractor will assist AR-UA in planning for the potential next phase of the Arkansas Universal Assessment project. Phase II completes the development of the Arkansas Universal Assessment software and user acceptance testing. Selected software contractor will work with AR-UA during this task to provide recommendations and to develop and document a plan for the next phase which may include conducting a pilot test, deploying the Arkansas Universal Assessment solution statewide and training system users. We will also support AR-UA staff to transition relevant activities as needed for the next phase. This will consist of the development of a process description for maintenance of and modifications to the Arkansas UA system as needed in the future.

As stated previously, each phase will build upon the work accomplished in the previous phases and adhere to AR-UA's overall vision for Arkansas Universal Assessment. The Plan for Pilot and Implementation task will be started early enough in Phase II to accommodate the logistics that may be required to implement the subsequent phase (for example, legislative and/or budgetary approvals, advanced planning documentation for matching funding, executive sponsorship, etc.).

*The deliverable for this task will consist of the following:*

- Pilot and Implementation Plan

## **Project Completion**

Delivery of user acceptance tested Arkansas Universal Assessment software and the Plan for Pilot and Implementation, upon approval by AR-UA (according to the procedures described in Appendix A), will conclude selected software contractor's responsibilities for this project as defined by the Statement of Work. Given the very nature of pilot deployment and early implementation stages, system issues might arise. Resolving these issues and taking on-going corrective actions for Arkansas UA system, as needed, during the pilot and implementation phase will be the responsibility of AR-UA staff.

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## **Training**

It is expected that the selected vendor will train at least three DAAS technical support staff on the application. This training will be in addition to the ongoing support agreed to by the vendor.

The duration of the training will be at least three days in duration. Subsequent to the application training for the technical support staff, the vendor will train five policy staff and five nurse supervisors on the application., this training will be two days in duration and will occur at DAAS headquarters. The vendor will assist DAAS in creating multiple training methodologies including lecture and hands-on instruction to ensure success for all learners.

The training for the implementation of the new assessment process will occur in stages by geographic region. The vendor will be available at the first training for staff. The training will be for three days; two days policy training and one day of application training. The vendor will be available for necessary debriefing so that DAAS staff can make adjustments to those aspects of the training needing improvement.

DAAS will take responsibility for identification, scheduling and the cost of the facilities needed to host the policy and application training sessions. DAAS and the vendor will work together to ensure that the facilities are configured to accommodate the training including configured laptops and workstations.

The vendor will assist DAAS in developing a variety of training methodologies to include, but not limited to:

- **Lecture**-all aspects of the various training modules will use lecture style instruction as the base method of presentation. Classroom-style lectures will provide participants with the essential background and technical information needed to use the new system. The lectures will be complemented with examples, demonstrations and hands-on exercises. To facilitate lecture instructions, the training team will use a PC projection device to project the system on screen, providing visual reinforcement to the trainees.
- **Demonstration**-the training team will develop examples and demonstrations to reinforce the materials presented for each function of the system introduced. Each demonstration will be presented in small, sequential steps and participants will be provided with the opportunity to practice at the end of each step.
- **Materials**-the vendor will provide:

1. Training workbooks
  2. Facilitator guides
  3. Quick reference guides
  4. On-line help
  5. Practice Assessment exercises
  6. Internet information
-

## ASSUMPTIONS

- Validation and documentation of the (transferred) system business requirements and approved transfer modifications will be completed in the three months that comprise Phase I.
- The central (holding) database will be a recent version of Microsoft SQL, as determined by Arkansas DHS/OST. The laptop database will be determined by selected software contractor.
- Design and development of the technical infrastructure will be completed according to the selected software contractor framework.
- Selected software contractor will select a product to be used for data synchronization between laptop databases and the central consolidated database.
- Arkansas DAAS will require CH Mack to perform all data conversions; DAAS has three different types of data formats to be considered: SQL server, MS Access, and an unknown format to be delivered by HP. Arkansas DAAS will provide CH Mack access to all existing data tables, as needed. Arkansas DAAS will also require CH Mack to evaluate our existing data storage needs and the storage needs for the next 5 years.
- This Statement of Work does not include costs, with the exception of MedCompass software, incurred by selected software contractor for software or hardware required to design or develop the Arkansas Universal Assessment solution. Selected software contractor assumes that AR-UA will acquire any required hardware for operations through a separate purchasing process. The specific dates will be documented in the work plan developed as part of Phase I Task 2 – Initiate Project.
- AR-UA will be responsible for the adequacy of the technical infrastructure (including all hardware, and telecommunications), which includes installations, configuration, capacity planning, related systems operations, user support, and maintenance, beyond what is identified in the RFQ.
- AR-UA will provide an adequate number of personnel, both user and technical, as agreed upon in the Organization Charts in the Organization section of the selected software contractor proposal and in the project work plan, in a timely manner to support the project. The project work plans for Phases I and II will assume 2 AR-UA project management staff, 2 AR-UA technical staff, and 2 AR-UA subject matter experts in addition to the JRP and TAG teams and other testers as required. These staff will be resourced as needed for the duration of the project. AR-UA will also be responsible for the performance of its employees and agents and for the accuracy and completeness of all data and information provided to us in performing our services. AR-UA, furthermore, will be responsible for making sure that its personnel are at all times educated and trained in the proper use and operation of the software and hardware in the existing environment and in the current business processes.
- AR-UA business staff assigned to the project will have in-depth knowledge of the relevant programs and policies.
- AR-UA will provide suitable project workspace for up to 3 contractor staff. AR-UA will provide the facilities, hardware and software including PCs, printers, fax, office supplies, etc to the selected software contractor team working on the project. These facilities will be made available on 24 hours a day, 7 days a week basis.
- The project team will have reasonable access to the AR-UA and/or DHS staff necessary to complete this project.
- AR-UA will complete all tasks it is responsible for according to the project work plan and the agreement.

- Review and comment on deliverables and other issues resolutions by AR-UA representatives will occur in a cooperative, timely, and ongoing manner. Our work plan is predicated upon 10 days of deliverable acceptance and issue resolution period.
- AR-UA will be responsible for maintaining back-up data necessary to replace AR-UA data that is lost or damaged from any cause.
- Key selected software contractor personnel will not be removed from the project except for reasons beyond control or with prior approval of the AR-UA Project Manager. It is also assumed that AR-UA Project Manager approval will not be unreasonably withheld.
- AR-UA will be responsible for obtaining a copy of the code (including physical database models and data dictionary) of the existing MS Access database systems from DAAS, Department of Human Services, State of Arkansas.
- AR-UA will provide approved contractor staff remote access to Test (UAT) and Production environments to facilitate timely execution of design, development, and testing tasks for the Arkansas Universal Assessment and Plan of Care solution.
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## APPENDIX A

### Deliverable Development, Review and Approval Process

Each project deliverable shall be subject to review by AR-UA to verify that it satisfies the acceptance criteria. The deliverable review and approval process is as crucial to the project schedule as is gathering requirements. With AR-UA's approval, we will establish deliverable sign-off procedures for completing the major tasks and task deliverables specified in the project work plan.

Selected software contractor will work with AR-UA to develop the acceptance criteria for each deliverable. The criteria will be based on mutually agreed upon deliverable outlines. At the beginning of each phase, selected software contractor will provide AR-UA with outlines for all deliverables for that phase. The deliverable outlines will establish the purpose of the deliverable and describe the content. We will agree on standards and formatting issues at the time of approval of the deliverable outlines. In concept, the acceptance process will be based on the degree to which the deliverable adheres to the approved outline. Our deliverables are usually produced using either Microsoft Word or Microsoft PowerPoint.

Approved deliverables, as applicable, will define the scope of and form the basis of subsequent work. Each deliverable will also build upon project work completed to date and previous deliverables.

### *Refining Deliverable Standards*

|                    |   |
|--------------------|---|
| <b>Purpose</b>     | To refine format, content and review process for deliverables   |
| <b>Description</b> | Early in the project, selected software contractor and AR-UA will agree on the format, content, and review process for the deliverables associated with each task of the project. The agreed upon standards will comply with AR-UA's requirements and expectations for project deliverables, both in content and format. The content will be defined by the approved deliverable outline. |

### *Performing Deliverable Walkthroughs*

|                    |   |
|--------------------|---|
| <b>Purpose</b>     | To validate deliverable content and quality during the development process  |
| <b>Description</b> | Constant involvement of AR-UA staff in all phases of the project will help enable staff to keep abreast of, and in agreement with, the design and development. To promote effective deliverable submission, review, and sign-off, selected software contractor will facilitate sessions for early, informal reviews of interim deliverables between team leaders and AR-UA project personnel. AR-UA agrees to fully participate in the interim deliverable review process. This technique will allow deficiencies to be identified and corrected early in the process, ultimately conserving time and resources. It also helps to maintain quality; by the time a product reaches the formal review stage it has already undergone much scrutiny. Another benefit to this approach includes a high level of confidence in the deliverable's accuracy. By deliverable sign-off time, AR-UA staff is familiar with the deliverable through ongoing evaluation and has already exerted a strong influence on its final form. |

### *Submitting the Deliverable*

|                    |  |
|--------------------|--|
| <b>Purpose</b>     | Formal submission of the deliverable for AR-UA approval  |
| <b>Description</b> | Selected software contractor will submit each project deliverable to the AR-UA Project Manager, within the agreed upon time frame specified in the project work plan. Each deliverable will comply with the agreed upon standards and deliverable outline. |

### *Reviewing the Deliverable*

|                    |   |
|--------------------|---|
| <b>Purpose</b>     | Formal review and approval of the deliverable by AR-UA.   |
| <b>Description</b> | <p>Each project deliverable shall be subject to review by AR-UA to verify that the deliverable satisfies the mutually agreed-upon format and content. Selected software contractor staff will be available for questions and answers during AR-UA's review period to provide explanation and clarification of deliverable contents when required.</p> <p>In the event of a deliverable's non-acceptance or partial acceptance by the AR-UA, an additional review period will be designated for AR-UA to examine the re-submitted deliverable.</p> |

|  |  |
|--|--|
|  | <p><b><i>Deliverable Acceptance</i></b></p> <p>Each deliverable reviewed by AR-UA will result in a written notice of decision. AR-UA will provide selected software contractor with one of the following within 30 business days of submission:</p>  |
|  | <ul style="list-style-type: none"> <li>▪ Written notice of acceptance of the project deliverable</li> <li>▪ Written notice of non-acceptance of the entire or partial project deliverable, with written request of deliverable revisions</li> </ul> <p>AR-UA's sign-off will signify that all deliverables have been provided and are accepted, and that selected software contractor has completed the deliverable in accordance with objective criteria, mutually agreed and documented by the parties. A notice of deliverable rejection will include details citing the specifics of the non-acceptance, including a description of the defect, which will be a reproducible and demonstrable defect of the deliverable which renders the deliverable (i) inoperable for its purpose as contemplated by this Statement of Work, or (ii) to be materially out of compliance with the requirements for the deliverable as set out in this Statement of Work or other accepted deliverables. In this case, the process of deliverable evaluation, modification, resubmission, and re-review will follow. Any re-review will focus only on areas originally identified as unacceptable. Requests for deliverable revisions will follow similar procedures for analysis through department review. The cycle of review and resubmission of all project deliverables will continue until selected software contractor receives a letter of acceptance. Should AR-UA not provide written notice within the timeframes identified above, selected software contractor will notify AR-UA in writing. This notification will provide an additional five business days during which AR-UA may provide written notice to the Contractor. Should AR-UA not provide written notice within the additional five business-day timeframe, the deliverable will be deemed accepted.</p> <p><b><i>Deliverable Re-submission by Selected software contractor</i></b></p> <p>Selected software contractor will upon a written notice of rejection of a deliverable correct the deficiencies and bring the rejected portion of the deliverable into compliance with the requirements of this Statement of Work. Selected software contractor will resubmit the deliverable to AR-UA. AR-UA will provide selected software contractor with written notice of acceptance within 5 to 10 business days of re-submission, depending upon the severity of the deficiencies identified for the deliverable.</p> |



# STATE OF ARKANSAS

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## Term Contract

Vendor No. 100179906  
Contact Greg Silence  
Your reference SP-10-0243

Contract No. 4600021538  
Date 05/04/2011  
Our reference ST

| Item                | Material/Description  | Target Qty | UM       | Unit Price | Amount        |
|---------------------|---|------------|----------|------------|---------------|
| 0020                | 10102448<br>SERVICE, INSTALLATION, SOFTWARE, EACH<br>Implementation for Phase 1 and 2             | 1          | each     | 875,000.00 | \$ 875,000.00 |
| 0030                | 10122597<br>FEE, COMPENSATION, TECHNICAL SERVICE<br>Training for 10 people on-site in Little Rock | 1.00       | Lump Sum | 10,000.00  | \$ 10,000.00  |
| 0040                | 10102272<br>SERVICE, MAINTENANCE, SOFTWARE, 1 YR<br>Maintenance and Support for Years 2-5         | 4          | each     | 160,000.00 | \$ 640,000.00 |
| Estimated Net Value |   |            |          |            | 2,140,000.00  |

Suzanne Bierman  
P: 501-683-5449  
Email: suzanne.bierman@arkansas.gov

### TERM AWARD TERMS AND CONDITIONS

- GENERAL:** All terms and conditions stated in the invitation for bid govern this contract.
- PRICES:** Prices are firm and not subject to escalation, unless otherwise specified in the invitation for bid.
- DISCOUNTS:** All cash discounts offered will be taken if earned.
- TAXES:** Most state agencies must pay state sales tax. Before billing, the contractor should contact the ordering agency to find out if that agency must pay sales tax. Itemize state sales tax when applicable on invoices.
- BRAND NAME REFERENCES:** The contractor guarantees that the commodity delivered is the same as specified in the bid.
- GUARANTY:** All items delivered are to be newly manufactured, in first- class condition, latest model and design, including, where applicable, containers suitable for shipment and storage unless otherwise indicated in the bid invitation. The contractor guarantees that everything furnished hereunder will be free from defects in design, workmanship, and material; that if sold by drawing, sample or specification, it will conform thereto and will serve the function for which furnished. The contractor further guarantees that if the items furnished hereunder are to be installed by the contractor, such items will function properly when installed. The contractor also guarantees that all

### GENERAL CONDITIONS AND INSTRUCTIONS TO VENDOR:

All purchasing rules and regulations defined by the State of Arkansas apply to this document.

Arkansas Department of Human Services



# STATE OF ARKANSAS

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## Term Contract

Vendor No. 100179906  
Contact Greg Silence  
Your reference SP-10-0243

Contract No. 4600021538  
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applicable laws have been complied with relating to construction, packaging, labeling, and registration. The contractor's obligations under this paragraph shall survive for a period of one year from the date of delivery, unless otherwise specified in the invitation for bid.

7. **AWARD:** This contract award does not authorize shipment. Shipment against this contract is authorized by the receipt of a purchase order from the ordering agency. A written purchase order mailed or otherwise furnished to the contractor results in a binding obligation without further action by either party.

8. **DELIVERY:** The term of the contract is shown on the face of the contract award. The contractor is required to supply the state's needs during this term. The number of days required to place the commodity in the receiving agency's designated location under normal conditions is also shown. Consistent failure to meet delivery without a valid reason may cause removal from the bidders' list or suspension of eligibility for award.

9. **BACK ORDERS OR DELAY IN DELIVERY:** Back orders or failure to deliver within the time required may be default of the contract. The contractor must give written notice to the Office of State Procurement and ordering agency of the reason and the expected delivery date. If the reason is not acceptable, the contractor is in default. The Office of State Procurement has the right to extend delivery if reasons appear valid. If the date is not acceptable, the agency may buy elsewhere.

10. **DELIVERY REQUIREMENTS:** No substitutions or cancellations are permitted without written approval of the Office of State Procurement. Delivery shall be made during agency work hours only, 8:00 a.m. to 4:30 p.m., unless prior approval for other delivery has been obtained from the agency. Packing memoranda shall be enclosed with each shipment.

11. **STORAGE:** The ordering agency is responsible for storage if the contractor delivers within the time required and the agency cannot accept delivery.

12. **DEFAULT:** All commodities furnished will be subject to inspection and acceptance of the ordering agency after delivery. Default in promised delivery or failure to meet specifications authorizes the Office of State Procurement to cancel this contract or any portion of same and reasonably purchase commodities elsewhere and charge full increase, if any, in cost and handling to the defaulting contractor.

13. **VARIATION IN QUANTITY:** The state assumes no liability for commodities produced, processed or shipped in excess of the amount specified herein.

14. **INVOICING:** The contractor shall submit an original and two copies of an itemized invoice showing the bid number and purchase request number when itemized in the invitation for bid. Invoices must be sent to "Invoice to" point shown on the purchase order.

15. **STATE PROPERTY:** Any specifications, drawing, technical information, dies, cuts, negatives, positives, data or any other commodity furnished to the contractor hereunder or in contemplation hereof or developed by the contractor for the use hereunder shall remain property of the state, be kept confidential, be used only as expressly authorized, and be returned at the contractor's expense to the F.O.B. point, properly identifying what is being returned.

16. **ASSIGNMENT:** This contract is not assignable nor the duties hereunder delegable by either party without the written consent of the other party to the contract.

### GENERAL CONDITIONS AND INSTRUCTIONS TO VENDOR:

All purchasing rules and regulations defined by the State of Arkansas apply to this document.

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## Term Contract

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17. **OTHER REMEDIES:** In addition to the remedies outlined herein, the contractor and the state have the right to pursue any other remedy permitted by law or in equity.

18. **LACK OF FUNDS:** The state may cancel this contract to the extent funds are no longer legally available for expenditures under this contract. Any delivered but unpaid for goods will be returned in normal condition to the contractor by the state. If the state is unable to return the commodities in normal condition and there are no funds legally available to pay for the goods, the contractor may file a claim with the Arkansas Claims Commission. If the contractor has provided services and there are no longer funds legally available to pay for the services, the contractor may file a claim.

19. **QUANTITIES:** The state may order more or less than the estimated quantity in the invitation for bid.

20. **DISCLOSURE:** Failure to make any disclosure required by the Governor's Executive Order 98-04, or any violation of any rule, regulation, or policy adopted pursuant to that order, shall be a material breach of the terms of this contract. Any contractor, whether an individual or entity, who fails to make the required disclosure or who violates any rule, regulation, or policy shall be subject to all legal remedies available to the agency.

### GENERAL CONDITIONS AND INSTRUCTIONS TO VENDOR:

All purchasing rules and regulations defined by the State of Arkansas apply to this document.

**Arkansas Department of Human Services**