



NEW YORK
STATE OF
OPPORTUNITY™

**Department
of Health**

Request for Proposals

RFP # 16593

Special Supplemental Nutrition Program

for

Women, Infants, and Children (WIC)

Management Information System (MIS)

Transfer and Implementation Services

Issued: March 25, 2016

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1. CALENDAR OF EVENTS

RFP 16593 – NYWIC Transfer and Implementation Services	
Event	Date
Issuance of Request for Proposals	March 25, 2016
Deadline for Submission of Written Questions	April 15, 2016
Bidder's Conference Webinar	April 27, 2016
Response to Written Questions Distributed	May 20, 2016
Deadline for Submission of Proposals	June 3, 2016 by 4:00 PM
Notification to Bidders Invited for Presentations	June 17, 2016
Anticipated Bidder's Presentations	June 27- July 8, 2016
Anticipated Notification to Successful Bidder	August 12, 2016
Anticipated Contract Award	November 4, 2016

2. OVERVIEW

Through this Request for Proposals (“RFP”), the New York State (NYS) Department of Health (“DOH”) is seeking competitive proposals from qualified and responsible firms to provide Transfer & Implementation (T&I) Services, as further detailed in Section 3, Scope of Work. It is the DOH’s intent to award one (1) contract from this procurement.

2.1 Introductory Background

The DOH, Division of Nutrition (DON), Bureau of Supplemental Food Programs (BSFP), administers the Special Supplemental Nutrition Program for Women, Infants, and Children (WIC), herein known as NYS WIC. NYS WIC provides nutrition assessment, health education, referral to medical services, and supplemental nutritional foods to eligible women, infants, and children up to five years of age. NYS WIC currently has 554,122 active Participants, ninety-two (92) Local Agencies (LAs), five (5) Vendor Management Agencies (VMAs) and 3,467 Vendors.

For the past sixteen (16) years, NYS WIC has operated a statewide management information system and benefit issuance tool, known as “WICSIS” (WIC Statewide Information System). NYS WIC has implemented many improvements to WICSIS over time, as a result of user feedback and changing requirements from the United States Department of Agriculture (USDA) Food and Nutrition Service (FNS), which administers this federal program. However, WICSIS is based on old technology that no longer conforms to the NYS Information Technology Policies and Standards; using a software platform that is out of support, difficult and expensive to maintain, and does not support Electronic Benefit Transfer (EBT) technology.

The USDA/FNS has mandated that all state WIC programs implement EBT technology by the year 2020 and demonstrate progress toward this goal during monthly status meetings with the FNS. Therefore, NYS WIC is embarking on a project to replace WICSIS with a new, automated .Net web-based system called “NYWIC,” that will enable WIC participants to redeem food benefits using an EBT card (instead of paper checks), the same technology that is used with debit cards.

NYS WIC has performed the analysis required by USDA/FNS Handbook 901 to select a Management Information System (MIS) for T&I and a WIC EBT (eWIC) system for procurement. It is the intent of NYS WIC to develop and implement the MIS and eWIC systems concurrently, and referred to collectively as NYWIC.

The DOH has identified Michigan’s MI-WIC system as most closely aligning to its requirements. There are variations of the MI-WIC application in Florida, Connecticut, and a number of other states. The DOH intends to implement the most current version of MI-WIC, along with improved functionality and latest enhancements, and the specified customizations to create NYWIC.

The NYS Office of Information Technology Services (ITS) was established in November 2012 to provide centralized IT services to NYS and its governmental entities, with the awareness that NYS residents are reliant on those services. ITS sets technology policy for all state government agencies and monitors all large technology expenditures, seeking efficiencies, lower costs, and innovative solutions. For this project, ITS will work collaboratively with the DOH and the selected contractor on the technology solution. The ITS staff will provide oversight for information technology activities, including but not limited to security policies, project management reporting, and system design, development, and implementation. In addition, the solution will be hosted in the NYS Data Center located at the SUNY Polytechnic Institute’s College of Nanoscale Science and Engineering (CNSE) in Albany, NY.

The DOH will partner with the NYS Office of Temporary and Disability Assistance (OTDA) to leverage the existing Supplemental Nutrition Assistance Program (SNAP) infrastructure to implement EBT functionality for NYS WIC. The OTDA/SNAP EBT contract is being fulfilled by Xerox. The DOH will use the term eWIC to refer to the WIC EBT functionality and to avoid confusion with OTDA/SNAP EBT.

2.2 Important Information

The Bidder is required to review, and is requested to have legal counsel review, ATTACHMENT E, DOH Contract Agreement, as the Bidder must be willing to enter into an Agreement substantially in accordance with the terms of Attachment E, should they be selected for contract award. Please note that this RFP, and the awarded Bidder’s proposal, will become part of the contract as Appendix B and C, respectively.

It should be noted that Appendix A of Attachment E, "Standard Clauses for New York State Contracts," contains important information related to the contract to be entered into as a result of this RFP and will be incorporated, without change or amendment, into the contract entered into between the DOH and the successful Bidder. By submitting a response to this RFP, the Bidder agrees to comply with all provisions of Appendix A.

Note, ATTACHMENT A, Bidder's Certified Statements, shall be submitted and includes a statement that the Bidder accepts, without any added conditions, qualifications, or exceptions, the contract terms and conditions contained in this RFP, including any exhibits and attachments. Attachment A also includes a statement that the Bidder acknowledges that, should any alternate proposals or extraneous terms be submitted with the proposal, such alternate proposals or extraneous terms will not be evaluated by the DOH.

Any qualifications or exceptions proposed by a Bidder to this RFP shall be submitted in writing using the process set forth in Section 6.2, Submission of Written Questions, prior to the deadline for the submission of written questions indicated in Section 1, Calendar of Events. Any amendments the DOH makes to the RFP as a result of questions and answers will be publicized on the DOH website.

2.3 Term of the Agreement

It is anticipated that a contract resulting from this RFP will be effective on or about the anticipated start date shown in the Calendar of Events, and the contract term will be for a period of four (4) years and six (6) months. After the initial contract term expires, at the discretion of the DOH, the contract may be extended, at the same rates, for up to one (1) additional year by amendment signed by both parties, with all required approvals. The contract term is subject to the availability of sufficient funding, successful contractor performance, and approvals from the New York State Attorney General (AG) and the Office of the State Comptroller (OSC).

2.4 Definitions and Acronyms

AG	NYS Attorney General
Bidder	Organization responding to this RFP
BSC	NYS OGS Business Service Center
BSFP	DON Bureau of Supplemental Food Programs
BSI	DON Bureau of Special Investigations
CMP	Civil Monetary Penalty
Contractor	Bidder awarded the Contract to perform T&I services
Data Migration Period	Eight (8) years of data in the current WICSIS Sybase database shall be migrated to the new NYWIC systems. This period is expected to be eight (8) years prior to the date data is being collected in the NYWIC database.
Day	The word day used throughout this document refers to NYS business days.
DED	Deliverables Expectation Document
DFDD	Detailed Functional Design Document
DOH	NYS Department of Health
DON	NYS DOH Division of Nutrition
DTF	Department of Tax and Finance
DTSD	Detailed Technical Specifications Document
EBT	Electronic Benefit Transfer
EEO	Equal Employment Opportunity
EISO	New York State Enterprise Information Security Office
ERD	Entity Relationship Diagram
EST	Executive Sponsor Team

eWIC	Electronic WIC Benefits
FL-WiSE	Florida WIC System
FMNP	Farmers' Market Nutrition Program
FNS	Food and Nutrition Services (USDA/FNS)
FOIL	Freedom of Information Law
FReD	USDA/FNS Functional Requirements Documents
GFO	Guide to Financial Operations
HCARB	Health Cluster Architecture Review Board
HIPAA	Health Insurance Portability and Accountability Act
Invited Bidder	Bidder who, based on the Preliminary Composite Score ranking, is invited to give a presentation to the Technical Evaluation Committee
ITS	NYS Office of Information Technology Services
IV&V	Independent Verification and Validation
LA	Local Agency
MIS	Management Information System
MI-WIC	Michigan WIC System
MBE	Minority-owned Business Enterprises
M/WBE	Minority and Women-owned Business Enterprises
My NY.gov	NYS online services web portal that will be the login point for NYWIC
NUPC	USDA/FNS National UPC database
NWA	National WIC Association
NYS	New York State
NYSTEC	New York State Technology Enterprise Corporation
NYWIC	New York WIC MIS and EBT Systems
NYWIC PM	NYWIC Project Manager who will coordinate and collaborate with all involved organizations (e.g., DOH, ITS, T&I, eWIC and IV&V)
OBIEE	Oracle Business intelligence Enterprise Edition
OCFS	NYS Office of Children and Family Services
OGS	NYS Office of General Services
OLTP	Online Transaction Processing
OSC	NYS Office of the State Comptroller
OTDA	NYS Office of Temporary and Disability Assistance
PLU	Product Look Up
PM	Project Manager
PM&QM	Project Management and Quality Management
PMI PMBOK	Project Management Institute – Project Management Body of Knowledge
RDBMS	Relational Database Management System
RFP	Request for Proposal
SCR	System Change Request
Server	Refers to hardware or virtual machines housing specialized software
SNAP	Supplemental Nutrition Assistance Program

SOW	Scope of Work
T&I	Transfer & Implementation
TOT	Tactical Oversight Team
UAT	User Acceptance Testing
UPC	Universal Product Code
USDA/FNS	United States Department of Agriculture – Food and Nutrition Services
VMA	Vendor Management Agency
WBE	Women-owned Business Enterprises
WCL	Workers' Compensation Law
WIC	Supplemental Nutrition Program for Women, Infants, and Children
WICSIS	WIC Statewide Information System
WUMEI	WIC Universal MIS EBT Interface

3. SCOPE OF WORK

This Section describes the T&I services that are required to be provided by the selected bidder. The selected bidder must be able to provide all of these services throughout the contract term.

PLEASE NOTE: Bidders will be required to provide responses that address all of the requirements of this RFP as part of its Technical Proposal.

The DOH is contracting for T&I services for NYWIC through the competitive RFP bid solicitation process. T&I services include transferring the MI-WIC software; installing the WIC software in the ITS development environment; making required modifications to support the DOH and ITS business needs (including module customization and development, improved clinic scheduling, revising participant certification questions, adaptation to the latest versions of web browsers, federated authentication, integration with NYS ITS infrastructure and services, etc.); implementing the WIC Universal MIS EBT Interface (WUMEI) with the EBT system; working with existing and future third-party vendors to ensure integration of functionality for eligibility and benefit issuance; testing and piloting the integrated system; implementing the new system statewide; and providing the knowledge transfer, training, and system documentation to allow DOH and ITS staff to maintain the NYWIC post implementation. During this time, DOH and ITS staff shall work alongside Contractor staff and participate in the design, development, testing, and implementation of the changes and enhancements.

For purposes of this RFP, the use of the terms “shall,” “must,” and “will” are used interchangeably when describing the Contractor’s/Bidder’s duties. The terms bidders, vendors, and proposers are also used interchangeably.

3.1 System Standards & Expectations

The MI-WIC System is capable of handling caseloads comparable to those in NYS, as demonstrated in Florida’s implementation (FL-WiSE). MI-WIC is a highly scalable system built on the Microsoft .NET Framework and can be easily configured to meet a wide range of processing requirements. Capacity can be expanded by adding processing capability to the existing production configuration, as needed. Database throughput can also be enhanced by splitting the workload across multiple database servers, thus reducing the load on each and providing more rapid throughput.

While NYS WIC plans to operate this proven system with required enhancements, the system should operate successfully in the ITS development environment. The Contractor shall assist ITS to assess any hardware and clustering solutions needed to increase capacity and throughput of the NYWIC System without having to modify the underlying base architecture. Along with examining the hardware platforms for unacceptable performance, the Contractor shall work with ITS staff to review software configuration and application code, including long running scripts and queries for code concerns and to improve efficiencies.

Through testing of the platform “as delivered and enhanced,” the Contractor will confirm that the system will meet the performance requirements. A set of performance and load tests will be conducted to identify and address any performance issues with the initial baseline MIS and the enhanced NYWIC System.

The NYWIC System shall be capable of integration with the NY.gov ID single sign-on application or other ITS single sign-on solutions using industry standards for federated identity management to provide enterprise identity management and authentication functions. The Contractor shall design customizations as needed to support these account management and access control objectives. The NYWIC application has been evaluated and determined to be Identity Assurance Level 3 (AL-3) in accordance with the Identity Assurance Policy NYS-P10-006 (see Appendix 3).

The Contractor shall be required to comply with NYS Information Security Policies and Standards (see Appendix 3) and shall be responsible for ensuring that the appropriate security measures are put in place to protect the NYWIC System from intrusions and other attacks, as well as safeguarding the confidentiality, integrity, and availability of data. This includes data while it is created, entered, processed, communicated, transported, disseminated, stored, or disposed of. Any unauthorized breach/access, theft, or release of NYS data shall be immediately disclosed to ITS and the EISO. The State also reserves the right to conduct periodic risk assessments.

NYWIC shall be hosted within the NYS Data Center located at the SUNY Polytechnic Institute’s College of Nanoscale Science and Engineering (CNSE) in Albany, NY. ITS will also provide a disaster recovery (DR) solution that meets DOH requirements. All hardware shall be provided by ITS and shall use virtual environments wherever possible.

ITS performs hardware upgrades as required by Agency or Business needs, in conjunction with managing End of Life (EOL) considerations, and when applications need upgrades to support new functions and requirements. NYS will provide the Data Center services that are listed in the Vendor and ITS Services Responsibility Matrix (Appendix 4). The contractor will participate in any planning, requirements, design, and code changes/testing to facilitate the hardware or operating system/platform upgrades for the life of this contract.

NYWIC will be running Oracle 12c database on the database tier. The database will initially be populated with selected data to be migrated from the current WICSIS Sybase database.

In addition, NYWIC shall comply with these specifications and requirements: (see Appendix 3 for links)

- USDA/FNS WIC Universal MIS–EBT Interface Functional Requirements Specification (latest version)
- USDA/FNS Functional Requirements Documents (FReD) for a Model WIC MIS System (latest version)
- USDA/FNS WIC EBT Technical Implementation Guide (latest version)

3.2 Organization, Duties, and Responsibilities

The DOH is embarking on the NYWIC project to replace WICSIS with a new, automated, web-based Management Information System (MIS) that will enable WIC participants to redeem benefits using an online EBT card system, the same technology that is used with debit cards.

This is a large and complex project that will be accomplished through a collaborative effort by NYS WIC and ITS staff and several contractors, as shown in the table below, hereafter referred to collectively as the NYWIC Project Team.

Table 1 - NYWIC Project Organizations

NYS WIC Program & ITS Implementation Team			
Project Management & Quality Management Contractor (PM&QM)	Transfer & Implementation Contractor (T&I)	Independent Verification & Validation Contractor (IV&V)	Electronic Benefit Transfer Contractor (eWIC)

Although not all inclusive, to provide a better understanding of the intent of the DOH, the types of duties and responsibilities of each organization are represented in Table 2 below. Appendix 4 describes the service responsibilities of ITS, T&I Contractor and joint responsibilities. Specific deliverables of the T&I Contractor are described in Section 3, Scope of Work.

Table 2 – Contractor and NYS WIC & ITS Staff Duties & Responsibilities

Organization	Duties & Responsibilities
Transfer and Implementation Contractor	<p>The T&I Team is led by the T&I Contractor's Project Manager (PM). Duties and responsibilities include, but are not limited to:</p> <ul style="list-style-type: none"> ○ Provide the T&I Project Manager (T&I PM) ○ Develop, maintain, and monitor the T&I Contractor work plan, schedule, budget, and scope ○ Collaborate with the NYWIC PM and eWIC Contractor PM for integration of plans ○ Develop and facilitate T&I Contractor project processes (change management, risk management, communications management) ○ Collaborate with NYS WIC & ITS Implementation team, eWIC Contractor PM, and the NYWIC PM for integration of processes ○ Transfer and implement the MI-WIC MIS ○ Fulfill all T&I Contractor SOW deliverables and collaborate with other Contractors for quality oversight ○ Collaborate with other members of the NYWIC Project Team ○ Submit project status reports and participate in project management and status meetings as required by the DOH ○ Review and evaluate the functional requirements and gap analyses in comparison to the recommended state system ○ Complete design, development, coding, and testing of all Module Customizations as defined in Appendix 1 ○ Implement MIS account management functions (including user roles, provisioning, and de-provisioning) ○ Provide helpdesk support during pilot and statewide implementation ○ Build a new Oracle relational database for the MIS ○ Data conversion, cleanup, migration, and validation ○ System testing and defect remediation ○ Training of NYS WIC and ITS, local agency and vendor management agency staff ○ Knowledge transfer, training, and system documentation to allow DOH and ITS staff to maintain and enhance the MIS post-implementation ○ Pilot rollout and evaluation ○ Statewide implementation ○ Post-implementation support and warranty

Organization	Duties & Responsibilities
eWIC (EBT) Contractor	<p>The eWIC Implementation Team is led by the eWIC Contractor PM. Duties and responsibilities include, but are not limited to:</p> <ul style="list-style-type: none"> ○ Provide the eWIC Project Manager (eWIC PM) ○ Develop, maintain, and monitor the eWIC Contractor work plan, schedule, budget, and scope; collaborate with NYWIC PM, T&I Contractor PM, and the NYWIC PM for integration of plans ○ Develop and facilitate eWIC Contractor project processes (change management, risk management, communications management) ○ Collaborate with other members of the NYWIC Project Team ○ Fulfill all eWIC Contractor SOW deliverables and collaborate with other Contractors for quality oversight ○ Deliver periodic project status updates and participate in periodic project management meetings ○ Facilitate Design Validation sessions ○ Develop contracted EBT enhancements and interfaces ○ Train NYS WIC and ITS, local agency, vendor management agency, and vendor staff ○ System testing, training, documentation, pilot planning and rollout, and production implementation of eWIC functionality ○ Provide eWIC Help Desk (Vendor and Client) support to retailers, local agency and clinic staff, and state staff ○ Provide and maintain Stand-Beside Devices to retailers that are not integrated ○ Provide clinic materials, including cards, PIN selection and card swipe terminals, and training videos ○ Provide all communications, automation, and support functions for processing eWIC transactions
Project Management and Quality Management (PM&QM) Contractor	<p>Provide management and quality management for all phases of the project, including but not limited to:</p> <ul style="list-style-type: none"> ○ Provide the NYWIC Project Manager (NYWIC PM), who will coordinate and collaborate with all involved organizations (e.g., DOH, ITS, T&I, eWIC and IV&V) ○ Develop, maintain, and monitor the project's work plan, schedule, budget, and scope ○ Develop and facilitate project processes (change management, risk management, communications management) ○ Develop and implement RFPs and SOWs for contracted services (e.g., T&I, IV&V, eWIC) ○ Oversee deliverable content and quality management ○ Collaborate with other members of the NYWIC Project Team ○ Develop and maintain the project's quality plan ○ Review and comment on T&I and eWIC Contractors' project plans and project management processes; review and comment on NYWIC integrated plans and processes; and recommend changes to improve effectiveness of plans and processes ○ Review all T&I and eWIC Contractors' project deliverables for completeness and compliance with the project quality plan and documentation of deliverable deficiencies ○ Liaise and coordinate with T&I and eWIC Contractors' staff in support of the project's quality initiatives ○ Review the project's organization structure, test plans, training plans, and documentation of recommended changes to improve effectiveness ○ Review and assess the project's test and pilot results

Organization	Duties & Responsibilities
<p>Independent Verification and Validation (IV&V) Contractor</p>	<p>The IV&V contractor will conduct independent monitoring, review project processes and deliverables, and report the results to the Project Director. Duties and responsibilities include, but are not limited to:</p> <ul style="list-style-type: none"> ○ Provide the IV&V Project Manager (IV&V PM) ○ Provide one or more IV&V Specialists ○ Monitor T&I, eWIC and PM&QM Contractors' project plans and project management processes; review and comment on NYWIC integrated plans and processes; recommend changes to improve effectiveness of plans and processes ○ Review of all T&I, eWIC, and PM&QM Contractors' project deliverables for completeness and compliance with the project quality plan and documentation of deliverable deficiencies ○ Prepare ongoing status reports for the Project Director, Tactical Oversight Team, and Executive Sponsor Team ○ Collaborate with other members of the NYWIC Project Team
<p>NYS WIC Implementation Team</p>	<p>The NYWIC Implementation Team is a functional team comprised of key DOH staff members, and supplemented with local agency and vendor management agency staff. Duties and responsibilities include, but are not limited to:</p> <ul style="list-style-type: none"> ○ Collaborate with other members of the NYWIC Project Team ○ Participate in development and scoring of RFPs and SOWs ○ Participate in Design Validation sessions for gathering requirements, business process mapping, and gap assessment ○ Perform acceptance testing, review and approve LA/VMA training plans, and develop custom reports as required ○ Participate in the project's change management and risk management processes ○ Participate in the development of project plans, data migration plans, training plans, pilot and roll-out plans, and testing plans ○ Train in responsibilities that will be transitioned to DOH staff, post-implementation, to support the NYWIC System

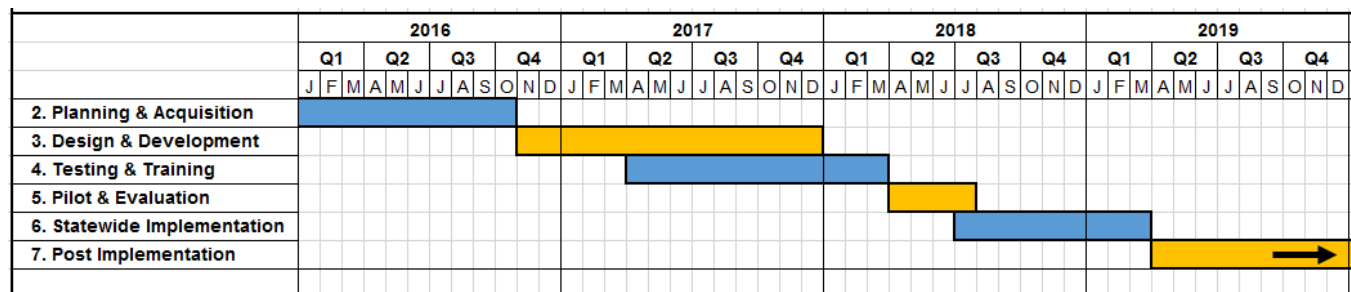
Organization	Duties & Responsibilities
NYS ITS Implementation Team	<p>The NYS ITS Implementation Team is a functional team made up of key ITS staff members and contractors. Duties and responsibilities include, but are not limited to:</p> <ul style="list-style-type: none"> ○ Collaborate with other members of the NYWIC Project Team ○ Provide technical oversight of the contract ○ Participate in development and scoring of RFPs and SOWs ○ Participate in technical and system mapping sessions for gathering technical requirements, system and interface mapping, and gap assessment ○ Participate in the development of project plans, data migration plans, training plans, pilot and roll-out plans, testing plans ○ Develop the NYWIC UPC database ○ Participate in the project's change management and risk management processes ○ Maintain and support the ITS production, development and testing environments ○ Implement identity proofing and access control to the MIS ○ Participate in the execution of system, integration, performance testing, and other technical testing, as well as support user acceptance testing ○ Train in responsibilities that will be transitioned to ITS staff, post-implementation (development and support of the NYS WIC system) ○ Support integration testing with the eWIC service provider ○ Operate ITS Help Desk for local agency and retailer users ○ Test quality assurance of new releases and configuration management of application environment ○ Implement interfaces with existing ITS equipment and software (e.g., existing auto dialer, GIS database) ○ Provide security assurance services

3.3 Project Schedule

It is anticipated that a contract resulting from this RFP will be effective on or about the anticipated start date shown in the CALENDAR OF EVENTS, and the contract term will be for a period of four (4) years and six (6) months, commencing approximately on the date shown in the table below for Phase 3, Design & Development Start (November 2016), and concluding approximately on the date shown for Phase 7, Post Implementation Support and Warranty End (March 2021).

Table 3 - NYWIC Anticipated Project Schedule

Phase	Start	End	Duration
1. Initiation	September 2009	July 2010	11 months (Complete)
2. Planning & Acquisition	January 2014	September 2016	33 months (In progress)
3. Design & Development	November 2016	December 2017	14 months
4. Testing & Training	April 2017	March 2018	12 months
5. Pilot & Evaluation	April 2018	July 2018	4 months
6. Statewide Implementation	July 2018	March 2019	8 months
7. Post Implementation Support & Warranty	April 2019	March 2021	24 months



3.4 Project Deliverables

The NYWIC project will be implemented in phases and in accordance with the anticipated schedule shown in Table 3 above. The project is currently in Phase 2, Planning and Acquisition. At the time the T&I Contractor begins work, the project will enter Phase 3, Design and Development, and continue through Phase 7, Post Implementation Support & Warranty. The implementation plan that follows was approved by the USDA/FNS, and any deviation from this plan will require further review and approval by the USDA/FNS.

The Contractor shall provide the required deliverables and shall work with the DOH and ITS to ensure that said deliverables are provided within the timeframes outlined in the Project Phases. These deliverables shall be the basis against which the Contractor's performance shall be evaluated and payments will be made.

All deliverables shall be identified with the NYWIC numbering scheme shown in the ID # column below (e.g., NYWIC-3-01). When there are multiple items for a single deliverable, they shall be numbered with appropriate indexing (e.g., NYWIC-3-01.01).

3.4.1 Phase 3 - Design & Development

Design activities set the foundation for identification and agreement on business and technical requirements. These requirements form the scope of work around modifications to NYWIC, eWIC, and all system interfaces. Development encompasses the work to transfer and implement the MIS and to perform all coding changes and customizations required for NYWIC. The T&I Contractor will prepare and submit all plans for project execution, as defined below.

The Design & Development phase is anticipated to begin in November 2016 and extend through December 2017. The following table defines the Contractor deliverables for the Design and Development phase and serves as the guiding source for what the contractor must do.

Table 4 - Design & Development Phase Deliverables

Phase 3 – Design & Development Deliverables		
ID #	Deliverables	Description
NYWIC-3-01	Design & Development Initiation Meeting	Within thirty (30) days of contract approval, the Contractor will conduct a Design & Development Initiation Meeting to include, at a minimum, the Contractor Project Manager, NYWIC Project Manager, ITS, and NYS WIC Program staff. The meeting shall be documented by the Contractor's Project Manager, and a summary of the meeting will be submitted to NYS WIC Program within ten (10) business days.
NYWIC-3-02	Project Management Plan	The Contractor shall prepare and submit a project management plan, within thirty (30) days of contract approval, that describes how the project will be managed, including: roles and responsibilities, decision making process, work breakdown structure, task assignments, requirements management, schedule management, project team meetings, status reporting, issue and risk management, communication, and collaboration with other project organizations and project managers.
NYWIC-3-03	Deliverables Expectation Document (DED)	The Contractor shall prepare and submit, within thirty (30) days of contract approval, a set of documents (one for each deliverable) that outline the expectations for all deliverables identified herein. Each DED will present pertinent information (e.g., deliverable description, applicable industry and NYS standards, acceptance criteria and schedule) specifying the expectations for each deliverable. Before the deliverable is actually developed, each DED will be reviewed and approved by the NYWIC Project Manager to ensure that the agreed-upon expectations are clearly defined.
NYWIC-3-04	Project Work Plan/ Schedule	The Contractor shall prepare and submit a Work Plan/Schedule in Microsoft Project that defines all T&I Contractor deliverables (with defined ID #'s in this Table) for Phase 3 as well as high-level milestone activities for Phases 4-7. This initial Project Work Plan/Schedule shall be submitted within thirty (30) days of contract approval. It shall also include any State activities that impact the project's critical path, such as review periods or completing checklists. This work plan shall be updated at least monthly and shall be used to direct and track the project work and schedule. The Contractor shall identify ways in which the required tasks and deliverables shall be accomplished using their methodology.
NYWIC-3-05	Staffing Plan	The Contractor shall prepare and submit a staffing plan within thirty (30) days of contract approval. The plan shall describe how staffing will be provided to meet the project, business, and technical obligations over the entire lifecycle of the engagement.
NYWIC-3-06	Change Management Plan	The Contractor shall prepare and submit a plan for the change management process within thirty (30) days of contract approval to include the Contractor's approach to modifying the MIS software and managing software changes, as well as documenting a change request process to be used for requesting and approving changes to the scope, cost, or schedule.
NYWIC-3-07	Design Validation Sessions	The Contractor shall conduct a minimum of one (1) design validation session for each MIS module to obtain the information needed for requirements documentation and design validation. The Contractor shall provide agendas two (2) days in advance of each session and shall work with the NYWIC Project Manager to schedule the sessions. After each session, the Contractor shall provide a summary document, within five (5) days, that defines the decisions and requirements, as well as any action items, for NYS WIC review and comment. The Contractor and

Phase 3 – Design & Development Deliverables		
ID #	Deliverables	Description
		NYWIC Project Manager shall be responsible for following up on action items to ensure resolution.
NYWIC-3-08	Technical Architecture Plan	The Contractor shall review the ITS proposed Technical Architecture Plan (see Section 3.6) and provide recommendations within thirty (30) days of contract approval to support development, testing, training, and production phases of the implementation.
NYWIC-3-09	Technical Architecture Documents	<p>The contractor shall prepare and submit updated, detailed architectural diagrams with textual support for the environments within thirty (30) days of contract approval. The documents must be updated within five (5) days of any hardware and software modifications, additions, or upgrades and include, but not be limited to:</p> <ul style="list-style-type: none"> • Required servers and minimal hardware specifications per server, identifying each server by its purpose and environment • Required software for each server, including number of licenses and versions • Required specialized hardware and software for document scanning, UPC/PLU scanning, and capturing and filing participant electronic signatures • Any additional hardware required, including recommended vendors, versions, and specifications • Other hardware and software required, including the total number of licenses and the structure of pricing and usage of the licenses • Overall detailed architectural diagram(s): <ul style="list-style-type: none"> ○ Diagram(s) should include detailed graphics displaying the listed components and their relative placement in the architecture ○ Vendor shall clearly mark the communication channels between architectural components, identifying features such as encryption where appropriate. • Required infrastructure for Local Agencies and Clinics
NYWIC-3-10	Capacity Plan	<p>The contractor shall prepare and submit a Capacity Plan within thirty (30) days of contract approval including:</p> <ul style="list-style-type: none"> • Initial size, estimated growth rates and consumption, including: <ul style="list-style-type: none"> ○ Expected storage requirements ○ Storage growth rates ○ Network bandwidth ○ Backup media consumption ○ Anticipated load ○ Expected maintenance activities • Growth rates and consumption shall be monitored, adjusted as needed, and reported on monthly from deployment until post-implementation
NYWIC-3-11	Report That Assesses the State's Security and Disaster Recovery Procedures for NYWIC	The Contractor shall prepare and submit a report within forty-five (45) days of contract approval that reviews the ITS Security and Disaster Recovery Procedures (related to the NYWIC software product environments) and provide recommendations for improving any deficiencies.
NYWIC-3-12	System Requirements and Gap Analysis Document	The Contractor shall prepare and submit this document within forty-five (45) days of contract approval to present the final system requirements and gap analysis resulting from the Design Validation Sessions. It shall identify any findings from the technical design sessions that require additional system modifications and shall document the parameters and settings the State needs to establish (such as drop-down list values and

Phase 3 – Design & Development Deliverables		
ID #	Deliverables	Description
		user roles). This document provides a clear description of what needs to be changed by the Contractor to make the MIS appropriate for use in ITS.
NYWIC-3-13	Implementation Plan	<p>The Contractor shall prepare and submit an implementation plan within thirty (30) days of contract approval that provides all of the detailed information the DOH needs to document how the implementation shall take place. It shall include a description of UAT processes (including documented go/no go criteria established by the NYS), Pilot plans (including how many sites shall participate and any plans related to equipment or connectivity), and statewide Implementation (to include the schedule and contingency plans).</p> <p>For each key milestone (UAT, Pilot, and Implementation), a readiness checklist shall be included to document activities that shall be performed, who needs to perform them, and when the activities shall take place. This plan shall require contributions from the DOH and ITS and is anticipated to be updated at least monthly as the project progresses.</p>
NYWIC-3-14	Database Plan	The Contractor shall prepare and submit a database plan within forty-five (45) days of contract approval that describes the Oracle 12c database that will be the repository for all MIS and EBT data. This plan shall include the Entity Relationship Diagrams (ERD) and Data Dictionary and account for data protection in each environment (development, testing, training and production).
NYWIC-3-15	Data Conversion Plan	<p>Contractor shall prepare and submit a data conversion plan within forty-five (45) days of contract approval that includes, but is not limited to:</p> <ul style="list-style-type: none"> • Conversion of data from WICSIS Sybase to a new Oracle 12c database • Data conversion requirements, and automated conversion software and scripts for data cleansing and actual conversion • Description of the conversion process and methodology, including staged conversion of files and how data quality will be maintained • How and when data cleansing will be performed, including identification of any needed ITS resources
NYWIC-3-16	Testing Plan	The Contractor shall prepare and submit a testing plan within forty-five (45) days of contract approval, including all elements described below in Section 3.4.2, Phase 4 - Testing & Training and Table 6 - Test Activities to Verify Production Readiness. The testing plan shall describe traceability of all functional requirements through testing and verification. The testing plan shall be based on FNS Handbook 901 Testing guidance found in Chapter 2 - The APD Process Food and Nutrition Service at Section 2.3.2.1.9 and shall be reviewed in advance by USDA/FNS before testing begins. The Testing Plan shall also incorporate all requirements of the FNS Testing Guidance Letter and WIC MIS Integrity Review Tool (Appendix 3 – 21.3.1 Reference Documents f. and g.).
NYWIC-3-17	Security Plan	The Contractor shall prepare and submit a security plan within sixty (60) days of contract approval that describes the approach for security of the software at all levels. It shall incorporate existing ITS information security policies and procedures. The Contractor shall prepare a diagram depicting security tiers and prepare the Security Checklist/Narrative. The Security Plan shall be submitted to the ITS Health Cluster ISO for approval within ninety (90) days of contract start date. The Contractor shall attest to compliance with the NYS Security, Codes and Standards; and the USDA/FNS requirements as defined in Appendix 3 – Reference Documents.
NYWIC-3-18	Training Plan	The Contractor shall prepare and submit a training plan within sixty (60) days of contract approval that presents the Contractor's approach to training. It shall include sample training agendas, materials, course descriptions, online training modules, and sample training evaluation tools

Phase 3 – Design & Development Deliverables		
ID #	Deliverables	Description
		for each type of training. Training shall be coordinated with EBT training documentation conducted by the EBT Contractor. Training shall be conducted for ITS staff, WIC Program staff, LA supervisors and staff, and VMA staff. The Contractor shall submit a detailed schedule of all training events, including on-site and online training.
NYWIC-3-19	Knowledge Transfer Plan	The Contractor shall prepare and submit a knowledge transfer plan within sixty (60) days of contract approval that describes the Contractor's approach to providing ITS technical staff with the ability to independently maintain, update, and develop enhancements to the MIS code and database post-implementation.
NYWIC-3-20	Detailed Design Document	The Contractor shall prepare and submit a document that describes the detailed design of NYWIC, including all customizations, within forty-five (45) days of contract approval.
NYWIC-3-21	Database Creation	The Contractor shall build, in the development environment, the Oracle Database 12c repository for MIS and EBT data.
NYWIC-3-22	Data Conversion and Clean-up; Data Migration and Validation	The Contractor shall provide data conversion and clean-up of eight (8) years of data in the current WICSIS Sybase database. This period is expected to be eight (8) years prior to the date data is being collected in the NYWIC database. The Contractor shall migrate and validate all required data in accordance with the Data Conversion Plan
NYWIC-3-23	MIS-EBT Interface Specifications	In collaboration with the eWIC Contractor, the Contractor shall prepare and finalize the interface specifications document for the MIS-EBT interface.
NYWIC-3-24	Provide Technical Knowledge Transfer to ITS staff	The Contractor shall conduct knowledge transfer activities and shall supply all materials as documented in the approved Knowledge Transfer Plan. This knowledge transfer shall proceed through all phases of the project and shall be supplemented by telephone support through the contract and contracted warranty periods.
NYWIC-3-25	Install and Test MIS Software in Development Environment	The Contractor shall install the MIS software in the ITS development environment and test its functionality.
NYWIC-3-26	Provide Baseline Test Report	The Contractor shall provide a report within five (5) days after baseline testing has been completed that certifies that the test took place and identifies the findings, including any deficiencies. It shall also present recommendations for addressing any deficiencies.
NYWIC-3-27	Clinic Module Customizations	The Contractor shall complete design, development, coding, and testing of Clinic Module Customizations as defined in Appendix 1. This will include code and/or database changes to the system to meet ITS requirements. Prior to implementation of the changes, the Contractor will provide documentation showing how the changes correct all identified gaps and provide screen prototypes to DOH and ITS for approval. The schedule for completing this deliverable will be defined in the Contractor's Work Plan/Schedule.
NYWIC-3-28	Vendor Module Customizations	The Contractor shall complete design, development, coding, and testing of Vendor Module Customizations as defined in Appendix 1. This will include code and/or database changes to the system to meet NYS requirements. Prior to implementation of the changes, the Contractor will provide documentation showing how the changes correct all identified gaps and provide screen prototypes to the DOH and ITS for approval. The schedule for completing this deliverable will be defined in the Contractor's Work Plan/Schedule.
NYWIC-3-29	State-Only Module Customizations	The Contractor shall complete design, development, coding, and testing of State-Only Module Customizations as defined in Appendix 1. This will include code and/or database changes to the system to meet NYWIC requirements. Prior to implementation of the changes, the Contractor will provide documentation showing how the changes correct all identified

Phase 3 – Design & Development Deliverables		
ID #	Deliverables	Description
		gaps and provide screen prototypes to DOH and ITS for approval. The schedule for completing this deliverable will be defined in the Contractor's Work Plan/Schedule.
NYWIC-3-30	Admin Module Customizations	The Contractor shall complete design, development, coding, and testing of Admin Module Customizations as defined in Appendix 1. This will include code and/or database changes to the system to meet NYWIC requirements. Prior to implementation of the changes, the Contractor will provide documentation showing how the changes correct all identified gaps and provide screen prototypes to DOH and ITS for approval. The schedule for completing this deliverable will be defined in the Contractor's Work Plan/Schedule.
NYWIC-3-31	Case Management Module Development	The Contractor shall complete design, development, coding, and testing of a new Case Management Module as defined in Appendix 1. Prior to implementation of the changes, the Contractor will provide documentation showing how all requirements were met and provide screen prototypes to the DOH and ITS for approval. The schedule for completing this deliverable will be defined in the Contractor's Work Plan/Schedule.
NYWIC-3-32	Approved Work under System Change Management	The Contractor shall complete design and development of approved work under System Change Management as defined in Appendix 2. This shall include documented changes and screen prototypes for approval by the DOH and ITS prior to implementation. The schedule for completing Approved Work shall be included in the System Change Management submittal.
NYWIC-3-33	Code Ready for UAT	When sufficient testing is complete in accordance with the Test Plan, and the Contractor feels that the system code is ready for a successful UAT, based on the pre-determined performance criteria, the NYWIC Project Manager will be notified that the software is ready to be migrated to the UAT environment. The schedule for completing this deliverable will be defined in the Contractor's Work Plan/Schedule.
NYWIC-3-34	Provide UAT Readiness Certification Report	The Contractor shall submit certification as to the readiness of all modifications to the system, as well as providing a summary of the tests performed and the outcomes of those tests. This certification shall not be delivered until the system has passed all tests and the system achieves the pre-determined performance criteria. The schedule for completing this deliverable will be defined in the Contractor's Work Plan/Schedule.
NYWIC-3-35	Monthly Project Status Reports	The Contractor shall provide monthly status reports that include percent complete for all tasks, in addition to completion dates. These reports shall be submitted by the 2nd Friday of each calendar month for the prior month's work.

The narrative below explains the scope of work for the Design and Development phase.

3.4.1.1 **Design Validation Sessions**

The NYS WIC team conducted numerous sessions in preparation for this RFP, using a recent version of Florida's implementation of MI-WIC (FL-WiSE) as a baseline for reference. The T&I Contractor will conduct additional Design Validation sessions (five planned) to update NYS WIC's business requirements, gap analyses, and business processes, and finalize the design of the new NYWIC System, including configuration, branding, and enhancements. After each session, the Contractor shall provide a single output that documents the decisions and requirements, as well as any action items, for State review and comment. The Contractor and NYWIC Project Manager shall be responsible for following up on action items to ensure resolution.

3.4.1.2 System Implementation, Testing, Security, Training, and Knowledge Transfer Plans

The T&I Contractor PM will meet with the DOH and ITS to review the plans for implementation, testing, security, training, and knowledge transfer. Key DOH and ITS staff, the NYWIC Project Manager, the T&I Contractor PM, eWIC, PM&QM and IV&V Contractors shall participate. The PM&QM Contractor will review and comment on all plans and metrics.

3.4.1.3 Database Design and Build

The current WICSIS uses a Sybase database that includes twenty (20) years of participant, vendor, local agency, and case management data (see Figure 1 below). NYWIC requires that a minimum of eight (8) years of data be migrated by the T&I Contractor from WICSIS to the new NYWIC Online Transaction Processing (OLTP) Oracle 12c database. This period is expected to be eight (8) years prior to the date data is being collected in the NYWIC database. ITS will be responsible to develop and implement a separate Oracle DataMart to host WICSIS and NYWIC data and the Oracle Business Intelligence Enterprise Edition (OBIEE) tool for reporting.

The T&I Contractor shall review ITS data conversion requirements and provide recommendations for conversion and migration in the Data Conversion Plan. The plan shall also define the steps to build and test the new database, convert and migrate the existing WICSIS data, and verify the data in the new Oracle 12c database. The T&I Contractor shall prepare Entity Relationship Diagrams (ERD) and a Data Dictionary for the new database and shall build the new Oracle 12c database in the Development environment. ITS staff will migrate data to other environments with support from the T&I Contractor.

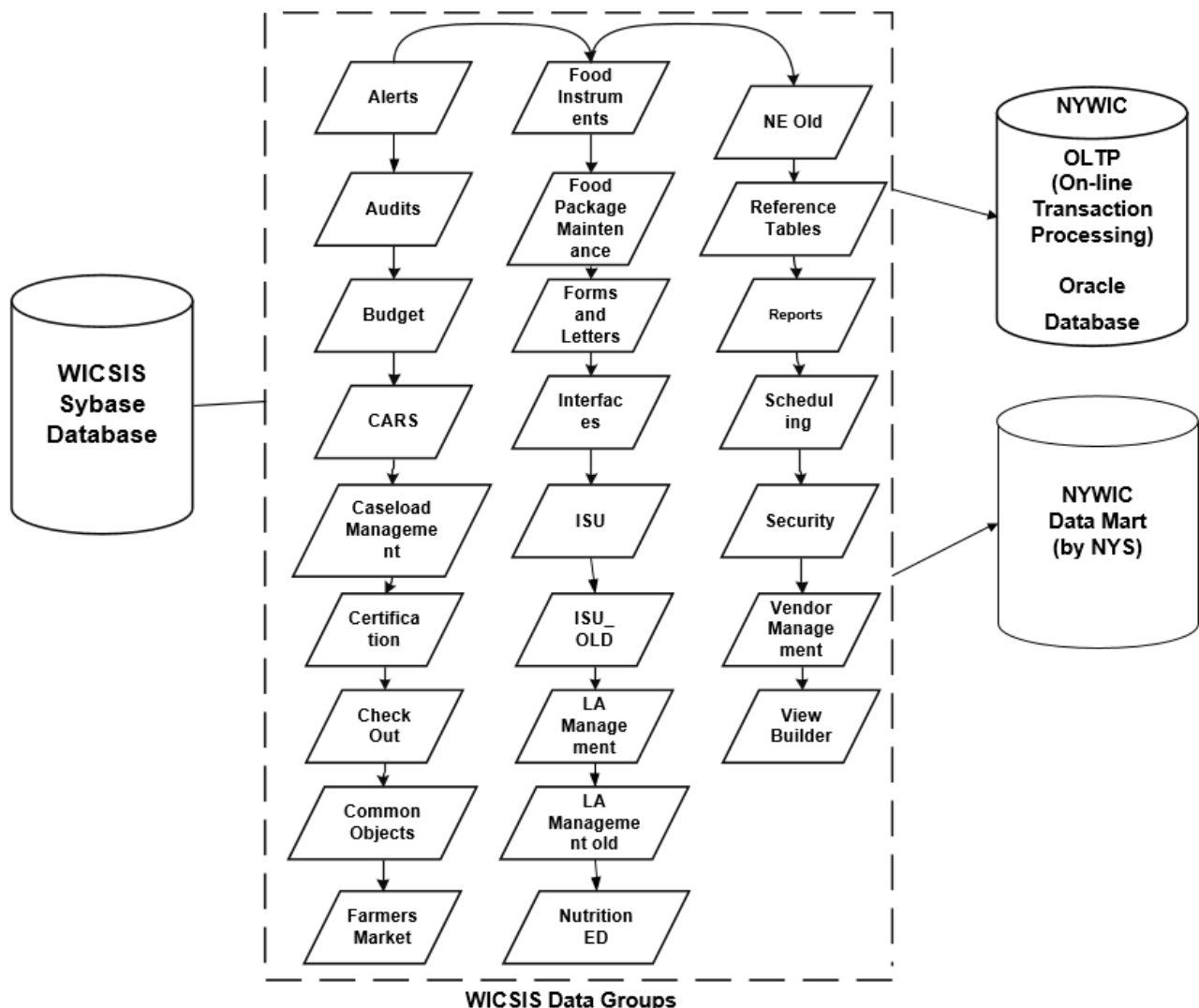


Figure 1 - WICSIS and NYWIC Databases

3.4.1.4 Data Conversion and Migration

The T&I Contractor Data Conversion Plan shall include, but not be limited to:

- Recommendations for migrating WICSIS data to the NYWIC Oracle Database 12c OLTP or the Data Mart
- Definition of NYS data conversion requirements, including a gap analysis and data mapping specifications
- Development of automated conversion software and scripts for both data cleansing and conversion
- Definition of the extent of data and files to be converted, sources of this information, and any unique issues for NYWIC
- Definition of how the quality of the data conversion will be maintained
- Definition of the conversion process, including staged conversion of files
- Definition of how and when data cleansing will be performed
- Definition of the methodology used for data conversion
- Definition of how data security will be implemented and maintained

3.4.1.5 Data Validation

The T&I Contractor shall provide data conversion and clean-up of a minimum of eight (8) years of data from the current WICSIS Sybase database. The Data Conversion Plan shall explain how data will be verified during staging and after migration to the NYWIC Oracle 12c database (by T&I Contractor) and the Data Mart (by ITS). It is not intended to clean up data in the WICSIS Sybase database that will be decommissioned after NYWIC is complete.

3.4.1.6 System Documentation, Training Materials, and User Guides

The T&I Contractor is responsible for the development of the design documentation for the system software and database that reflects the “as delivered and accepted” design of the NYWIC system, including interfaces. The T&I Contractor is also responsible for the development of training materials and user guides for administrator and end-user roles and responsibilities. The PM&QM Contractor will review and comment on all final documentation and guide deliverables. The IV&V Contractor will complete an independent review of all deliverables. The DOH and ITS end-users of documentation and materials will participate in the review of the documents and materials and provide comments to the NYWIC Project Manager.

3.4.1.7 System Setup

The T&I Contractor will assist ITS staff in installing and testing the software on the NYWIC System servers and ensuring that they are properly configured for UAT. The PM&QM Contractor will review and comment on all system configuration deliverables. The IV&V Contractor will complete an independent review of all deliverables.

The T&I Contractor will train DOH and ITS staff on NYWIC System functionality. They will also provide on-site assistance for the central operation during the UAT. The PM&QM Contractor will review and provide an assessment of the security and disaster recovery procedures for the new system. The IV&V Contractor will complete an independent review of all deliverables.

3.4.1.8 Design, Development, Coding, Testing Module Customizations, and New Functionality

The T&I Contractor shall complete design, development, coding, and testing of Module Customizations as defined in Appendix 1. This will include code and/or database changes to the system to meet DOH and ITS requirements. The Contractor will also design, develop, code, and test a new Case Management module, as defined in Appendix 1. Prior to implementation of the changes, the Contractor shall provide documentation showing how the changes correct all identified gaps and meet all NYWIC requirements, and provide screen prototypes to DOH and ITS for approval.

3.4.2 Phase 4 - Testing & Training

The Testing and Training phase will follow the Design and Development phase. This phase is anticipated to begin in April 2017 and extend through March 2018. The following table defines the Contractor deliverables for the Testing and Training phase.

The T&I Contractor shall submit an updated Project Work Plan/Schedule that defines the completion date for each identified deliverable for this Phase of the Project. The updated Project Work Plan/Schedule shall be submitted at least thirty (30) days prior to the start of this Phase.

Table 5 - Testing and Training Phase Deliverables

Phase 4 – Testing and Training Deliverables		
ID #	Deliverables	Description
NYWIC-4-01	Updated Project Work Plan/Schedule	The Contractor shall prepare and submit an updated Work Plan/Schedule in Microsoft Project that defines all T&I Contractor deliverables (with defined ID #'s in this Table) for Phase 4 as well as high-level milestone activities for Phases 5-7. This updated Project Work Plan/Schedule shall be submitted thirty (30) days prior to the start of this Phase. It shall also include any State activities that impact the project's critical path, such as review periods or completing checklists. This work plan shall be updated at least monthly and shall be used to direct and track the project work and schedule. The Contractor shall identify ways in which the required tasks and deliverables shall be accomplished using their methodology.
NYWIC-4-02	Perform pre-UAT Key Function Walkthrough	The Contractor shall perform a key function system walkthrough for the Tactical Oversight Team, NYS ITS staff, and NYS WIC Program staff as appropriate. The schedule for completing this deliverable will be defined in the Contractor's Work Plan/Schedule.
NYWIC-4-03	Provide Training to UAT Participants	The Contractor shall provide on-site training to UAT participants so they are able to perform test scripts and identify and report errors. The Contractor shall arrange for the training facilities, including computers with Internet access. This training shall be done in the Albany area for up to twenty (20) learners. The schedule for completing this deliverable will be defined in the Contractor's Work Plan/Schedule.
NYWIC-4-04	Provide Requirements for Migration to UAT Environment	The Contractor shall provide all necessary information to NYS ITS staff to migrate the code and database successfully to the UAT environment to allow testers to access the correct code base for testing. The schedule for completing this deliverable will be defined in the Contractor's Work Plan/Schedule.
NYWIC-4-05	Create Test Scripts and Test Data	The Contractor shall create a baseline set of test scripts in the NYS DOH's Hewlett-Packard (HP) Quality Center environment for testing all functionality of the MIS. The Contractor shall generate (load or create) data required by these test scripts, as well as additional test cases developed by the NYS ITS. The data required for these additional test cases shall be identified and requested in sufficient time for the Contractor to generate the data and provide identification numbers to testers, as determined in the Implementation Plan (UAT section). The HP Quality Center will be used for tracking testing outcomes, defects, and resolutions. The schedule for completing this deliverable will be defined in the Contractor's Work Plan/Schedule.
NYWIC-4-06	Provide Support During UAT	The Contractor shall provide on-site support in Albany to NYS WIC and NYS ITS staff throughout the UAT period. The Contractor may provide additional assistance to NYS staff remotely from their facility. The schedule for completing this deliverable will be defined in the Contractor's Work Plan/Schedule.
NYWIC-4-07	Provide UAT Report and Go/No-go Recommendation	The Contractor shall utilize the NYS DOH's HP Quality Center and provide a report to the State describing all errors identified during each UAT round, their severity, and a plan for resolution. A report shall be provided for each round of UAT until the State determines that the system

Phase 4 – Testing and Training Deliverables		
ID #	Deliverables	Description
		has been accepted. The schedule for completing this deliverable will be defined in the Contractor's Work Plan/Schedule. Results of the completed UAT will be documented in a User Acceptance Test Report that includes a Go/No-go recommendation that will be presented to the NYWIC Tactical Oversight Team for review and then to FNS for approval. Tactical Oversight Team and FNS approval are required before moving to the Pilot & Evaluation Phase.
NYWIC-4-08	Develop Training Materials	The Contractor shall develop and submit for review all needed written and online training materials in accordance with the approved Training Plan. The schedule for completing this deliverable will be defined in the Contractor's Work Plan/Schedule.
NYWIC-4-09	Provide ITS Operational Staff Training	The Contractor shall provide on-site training in Albany and shall supply all materials as documented in the approved Training Plan. The Contractor shall arrange for the training facilities, including computers with Internet access. This training shall be done in the Albany area for up to twenty-five (25) learners. The schedule for completing this deliverable will be defined in the Contractor's Work Plan/Schedule.
NYWIC-4-10	Provide State WIC Program Staff Training	The Contractor shall provide both on-site and online training and shall supply all materials in accordance with the approved Training Plan. This will include an assessment of readiness based on quizzes or other evaluation tools. The Contractor shall arrange for the training facilities, including computers with Internet access. This training shall be done in four (4) sessions, two (2) in the Albany area and two (2) in the NYC area, for up to twenty-five (25) learners in each session. The schedule for completing this deliverable will be defined in the Contractor's Work Plan/Schedule.
NYWIC-4-11	Project Work Plan and Schedule Updates	The Contractor shall provide updates to the work plan and schedule in MS Project that defines all T&I Contractor tasks, activities, milestones, and deliverables. It shall also include any State activities that impact the project critical path, such as review periods or completing checklists. This work plan shall be updated regularly and shall be used to direct and track the project work and schedule. The schedule for completing this deliverable will be defined in the Contractor's Work Plan/Schedule.
NYWIC-4-12	Staffing Plan Updates	The Contractor shall provide updates to the staffing plan for the project that describes how staffing will be provided to meet the project, business, and technical obligations over the entire lifecycle of the engagement. The schedule for completing this deliverable will be defined in the Contractor's Work Plan/Schedule.
NYWIC-4-13	Monthly Project Status Reports	The Contractor shall provide monthly status reports that include percent complete for all tasks, in addition to completion dates. These reports shall be submitted by the 2nd Friday of each calendar month for the prior month's work.

The narrative below explains the scope of work for the Testing and Training phase.

3.4.2.1 *Technical Testing*

The T&I Contractor shall perform a key function system walkthrough for the Tactical Oversight Team, NYS ITS staff, and NYS WIC Program staff as appropriate at DOH offices. The T&I Contractor will then assist NYS ITS staff to install and test the software on the NYWIC System servers. Testing shall be performed in accordance with the Contractor's Testing Plan and shall include all items defined in Table 6 - Test Activities to Verify Production Readiness. It is the responsibility of the T&I Contractor PM to verify that all tests and their respective results are recorded and that pre-determined performance criteria required for entrance to UAT is achieved. UAT results must be reviewed and approved by USDA/FNS prior to moving to the Pilot & Evaluation phase. The PM&QM Contractor

will review and comment on all final test results as measured against the documented test plans and success criteria. The IV&V Contractor will complete an independent review of all deliverables.

The performance standards will be determined by NYS ITS and NYS WIC and agreed upon by the T&I and eWIC Contractors prior to initiating the UAT task. Performance criteria established for UAT will form a foundation for the go/no go decision factors that will be used to determine whether or not the system proceeds from UAT to pilot. The system must also meet NYS's defined system performance measures to be considered ready for UAT. The PM&QM Contractor will review and comment on all performance criteria. The IV&V Contractor will complete an independent review of all performance results.

The NYWIC Tactical Oversight Team will review the system performance against the pre-determined performance criteria, the schedule, the logistical factors, their readiness assessment, and possibly other factors that will feed into the go/no go decision to move forward. These go/no go decision points will be established and reviewed at each critical phase, such as entrance to UAT, acceptance of UAT, entrance to pilot, and expansion from pilot to state-wide rollout, and may differ by phase as appropriate. The USDA/FNS must review and approve UAT results before proceeding to Pilot & Evaluation.

The T&I Contractor, in collaboration with the NYS WIC and ITS Implementation Teams and the eWIC Contractor, shall be responsible for development of the system's test plan, the development of test scripts, the generation of test data, and test cases used for system qualification tests and UAT. The PM&QM contractor will review and comment on the test plans. The IV&V Contractor will complete an independent review of test plan and testing results.

The T&I Contractor, in collaboration with the eWIC Contractor, shall perform modifications to the transferred system using a structured system life-cycle development methodology that, in addition to the UAT, ensures that the following types of test activities will be undertaken to verify the production readiness of the system.

Table 6 - Test Activities to Verify Production Readiness

Test Type	Description
Baseline Test	Upon completion of the system transfer to NYS, the system will undergo a "baseline test" to ensure that the transferred system operates correctly in the NYS hardware environment.
Unit/Module Test	This test is used to validate that an individual program module or script functions correctly. It validates the module's logic and adherence to functional requirements and technical specifications. Each unit/module test shall execute every source statement and each conditional branch in the module. Test results are recorded in the software development folder for that module.
Subsystem Integration Test	This test examines subsystems that are made up of integrated groupings of software modules. Subsystem integration testing should be conducted in the development environment. It is the first level of testing where problem reports are generated, classified by severity, and the resolution monitored and reported. Subsystem integration testing may need to be run several times for each subsystem and is only complete when it can be run with zero (0) errors.
System Testing	This tests the entire system once modification and testing of all system modules and subsystems has been completed. It determines whether the system complies with standards and satisfies functional, technical, and operational requirements. The goal of testing is to confirm that individual system modules, interfaces, and the entire system perform in accordance with the functional requirements and technical specifications. During this test period, system documents and training manuals may also be tested for accuracy, completeness and usability. All findings shall be documented in a system qualification test analysis report prepared by the T&I Contractor and submitted to NYWIC. Like the subsystem integration test, this test may need to be run several times and is only complete when it runs according to the pre-determined performance criteria established by the NYWIC Project Manager, NYS ITS, and NYS WIC.
Application Security Testing	This tests the security of the application code and database. Testing includes vulnerability scans and source code analysis to identify potential security vulnerabilities, including but not limited to code injection, cross-site scripting, cross-site request forgery, information leakage and improper error handling, missing authentication for critical functions, missing encryption of sensitive data and URL redirection to untrusted sites. All findings shall be documented in a security test report prepared by the T&I Contractor. This test may need to be run several times, and is only complete when NYS ITS determines that no unacceptable risks remain.

Test Type	Description
Performance Testing	This tests the performance under a simulated user load. The software performance, response time, and ability of the system to operate under stressed conditions are tested based on pre-determined performance standards.
Regression Testing	Regression testing shall retest a system component, such as a unit, module, or subsystem, following any modification to verify that the problem was corrected without adverse side effects and to ensure that the component still complies with its requirements. Regression testing also refers to rerunning the entire system qualification test after errors have been corrected to ensure that unanticipated errors have not been introduced elsewhere in the system by the error correction activity.
Readiness Certification	Once the T&I Contractor is satisfied that the system meets the functional requirements and technical specifications, the contractor shall provide NYS WIC with a written certification that the system is ready for UAT. This certification shall not be delivered until the system has passed all tests and there are no known errors.
User Acceptance Testing	NYS ITS and WIC staff will execute a defined set of tests that will verify the readiness of the system for Pilot operations. The T&I Contractor will prepare a User Acceptance Test Report that includes a Go/No-go Recommendation that will be presented to the NYWIC Tactical Oversight Team for review and then to FNS for approval. Tactical Oversight Team and FNS approval are required before moving to the Pilot & Evaluation Phase.

The PM&QM Contractor will review and comment on the T&I Contractors' documented development methodology. The IV&V Contractor will complete an independent review.

3.4.2.2 **Central Office UAT Preparation**

It will be the T&I Contractor's responsibility to provide all necessary information to NYS ITS staff to successfully migrate the code and database to the UAT environment hosted in the NYS data center, assist NYS ITS staff as needed in installing the system, and assist with sanity testing the software post-migration. The T&I Contractor, in collaboration with the eWIC Contractor, will provide knowledge transfer and training to NYS ITS staff and provide on-site assistance during the UAT.

3.4.2.3 **UAT Entry and Support and System Revision**

The T&I Contractor will be responsible for system certification and will support the NYWIC Team during the UAT. The T&I Contractor will also be responsible for ensuring that all UAT participants have the training, access, testing tools (such as scripts and data), and documentation needed to perform the test. The T&I Contractor will provide metrics related to the success of the UAT and will provide results regularly throughout the UAT process. The PM&QM contractor will review and comment on the proposed metrics. These metrics will be used by the IV&V Contractor, NYS WIC, and ITS to assess the performance of the UAT.

Prior to beginning the UAT, the T&I Contractor shall perform a key function system walkthrough for the NYWIC Project Director, NYWIC Project Manager, NYS ITS staff, and other NYS WIC staff as appropriate. In this demonstration, the system must perform the following functions, according to the pre-determined performance criteria:

- Establish local agency calendar, schedule appointments, mark appointments as kept or missed
- Create security/user roles
- Perform participant certification (including but not limited to creating a new participant record, verifying income, nutritional eligibility, risk code assigning, assigning food packages)
- Issue eWIC benefits
- Check benefits history and current balance
- Allow transferring participants between families and Local Agencies
- Perform all functions on a wireless connected laptop computer
- Authorize a new vendor
- Perform vendor management activities (including but not limited to tracking routine monitoring, compliance, and training)

- Print Participant Report
- Print Reconciliation Report
- Perform redemption/banking process

If there are any errors during the demonstration, other than cosmetic, the UAT will not proceed.

Assuming that the walkthrough of key system functions is completed and achieves the pre-determined performance criteria, the system will become available to NYS WIC for UAT. The T&I Contractor will provide training on the proper procedures to be followed to perform the UAT, including how to run scripts and report bugs or issues. The T&I Contractor will be available on-site and in their development facilities for consultation and problem resolution during the entire test. As part of the UAT, the T&I Contractor shall assist the NYS ITS staff in installing servers and applicable networked components.

The system, as delivered by the T&I Contractor for UAT, is expected to have relatively few errors. It is assumed that the UAT can be completed in two (2) rounds – the first to uncover any errors, and the second to verify that any errors identified have been fixed and that no new errors have been introduced. This requires that the T&I Contractor not only fix the errors identified in round one but also run the resulting system through their system qualification test prior to delivering it for the second round of UAT.

The period of UAT is expected to be eight (8) to twelve (12) weeks in duration, providing the above assumptions are satisfied. Because NYS WIC is adopting software that has already been tested and approved, the UAT mainly applies to the modifications NYS WIC is requesting to the system and will also address connectivity in various locations. The T&I Contractor shall make all required corrections and revisions to the system resulting from the acceptance testing process. System retesting will be conducted as required, until the system is accepted. If the UAT exhibits any failures, the system will be returned to the T&I Contractor for revisions.

During UAT, the user manuals, online training, and online help will also be evaluated. The UAT procedures will instruct testers to reference the user manuals or online help for directions regarding how to perform the required actions. Any inadequacies in the manuals must be corrected prior to final acceptance of those documents by NYS WIC.

After successful completion of the acceptance test, the T&I Contractor will provide a formal assessment of the system's readiness for pilot implementation. USDA/FNS review and approval is required before statewide implementation.

3.4.3 Phase 5 - Pilot & Evaluation

The purpose of the pilot is to verify that the system works correctly in conditions of actual use. Once the system has passed UAT and has been formally accepted, the system pilot phase will begin. Pilot & Evaluation will be done in the Albany/Capital District region. Because of the workload for local agency staff and potential problems associated with dual issuance of benefits, it is not feasible to run WICSIS and the NYWIC System in parallel during pilot; pilot agencies will not have updated access to WICSIS once the pilot begins. NYS WIC will not proceed to pilot the NYWIC System until it is confident that there is very little possibility of an unsuccessful outcome. USDA/FNS must review the pilot evaluation and give approval to proceed with Statewide Implementation.

The Pilot and Evaluation phase is anticipated to begin in April 2018 and extend through July 2018. The following table defines the Contractor deliverables for the Pilot and Evaluation phase.

The T&I Contractor shall submit an updated Project Work Plan/Schedule that defines the completion date for each identified deliverable for this Phase of the Project. The updated Project Work Plan/Schedule shall be submitted at least thirty (30) days prior to the start of this Phase.

Table 7 - Pilot & Evaluation Phase Deliverables

Phase 5 - Pilot & Evaluation Deliverables		
ID #	Deliverables	Description
NYWIC-5-01	Updated Project Work Plan/ Schedule	The Contractor shall prepare and submit an updated Work Plan/Schedule in Microsoft Project that defines all T&I Contractor deliverables (with defined ID #'s in this Table) for Phase 5 as well as high-level milestone activities for Phases 6-7. This updated Project Work Plan/Schedule shall be submitted thirty (30) days prior to the start of this Phase. It shall also include any State activities that impact the project's critical path, such as review periods or completing checklists. This work plan shall be updated at least monthly and shall be used to direct and track the project work and schedule. The Contractor shall identify ways in which the required tasks and deliverables shall be accomplished using their methodology.
NYWIC-5-02	Pilot and Statewide Implementation Plan	The Contractor shall provide a plan for the Pilot and Statewide Implementation phases, including timeline, milestones, and acceptance criteria for proceeding. This plan shall also include a roll-back plan and criteria that will be used to make such a decision. The schedule for completing this deliverable will be defined in the Contractor's Work Plan/Schedule.
NYWIC-5-03	Clinic Readiness Checklist Template	The Contractor shall develop a checklist template to gauge readiness at each local agency clinic. It shall include all areas of readiness, including equipment (including ensuring that all workstations have access to power and telecommunications lines), telecommunications, and logistical and workflow readiness. The meeting shall be documented by the Contractor Project Manager. The schedule for completing this deliverable will be defined in the Contractor's Work Plan/Schedule.
NYWIC-5-04	Convene Pilot Operations Initiation Meeting	The Contractor shall conduct this meeting which includes, at a minimum, the Contractor Project Manager, NYS ITS, and NYS WIC Program staff. The meeting shall be scheduled at such time as to allow for adequate pilot planning to take place. The schedule for completing this deliverable will be defined in the Contractor's Work Plan/Schedule.
NYWIC-5-05	Provide Pilot User Training	The Contractor shall provide on-site training for NYS WIC and ITS, local agency and vendor management agency staff, and shall supply all materials as documented in the approved Training Plan. The Contractor shall arrange for the training facilities, including computers with Internet access. This training shall be done in the Albany area for up to fifty (50) learners in groups of twenty-five (25). The schedule for completing this deliverable will be defined in the Contractor's Work Plan/Schedule.
NYWIC-5-06	Provide Pilot User Training Evaluation/Competence Report	Upon completion of the training, the Contractor shall survey training attendees to obtain feedback. This feedback, as well as observations from the Contractor, NYWIC Project Manager, and others, shall be included in a Pilot User Training Evaluation/Competence Report. This report shall identify deficiencies and provide a plan for addressing all deficiencies prior to future training events. As appropriate, the Training Plan shall be updated to reflect changes identified in the Pilot User Training Evaluation/Competence Report. The schedule for completing this deliverable will be defined in the Contractor's Work Plan/Schedule.
NYWIC-5-07	Provide Pilot Test Oversight and Consultation	The Contractor shall have staff on-site at DOH offices throughout the Pilot period to provide support. The Contractor may provide additional assistance remotely from their off-site facility. The schedule for completing this deliverable will be defined in the Contractor's Work Plan/Schedule.
NYWIC-5-08	Provide Pilot-Related Software Modifications and Testing	The Contractor shall make all needed modifications to the system to resolve errors in the software and to implement approved change requests. Modifications shall be fully tested prior to release to the State. The schedule for completing this deliverable will be defined in the Contractor's Work Plan/Schedule.

Phase 5 - Pilot & Evaluation Deliverables		
ID #	Deliverables	Description
NYWIC-5-09	Prepare Pilot Evaluation Report	The Contractor shall prepare a Pilot Evaluation Report that reflects an assessment of pilot activities and identifies deficiencies, as well as action plans for addressing deficiencies. The report shall include a Go/No-go Recommendation that will be presented to the NYWIC Tactical Oversight Team for review and then to FNS for approval. Tactical Oversight Team and FNS approval are required before moving to the Statewide Implementation Phase. The schedule for completing this deliverable will be defined in the Contractor's Work Plan/Schedule.
NYWIC-5-10	Staffing Plan Updates	The Contractor shall provide updates to the staffing plan for the project that describes how staffing will be provided to meet the project, business, and technical obligations over the entire lifecycle of the engagement. The schedule for completing this deliverable will be defined in the Contractor's Work Plan/Schedule.
NYWIC-5-11	Monthly Project Status Reports	The Contractor shall provide monthly status reports that include percent complete for all tasks, in addition to completion dates. These reports shall be submitted by the 2nd Friday of each calendar month for the prior month's work.

The narrative below explains the scope of work for the Pilot and Evaluation phase.

3.4.3.1 Pilot Readiness

The T&I Contractor will work with NYS WIC to develop detailed readiness checklists to be completed for each local WIC agency (to include all permanent and satellite sites), to ensure the readiness of each site for implementation of the new system. The IV&V Contractor will review and comment on the readiness checklist template and the proposed process to be used for completing it per individual site. The checklist will be completed according to the process for each selected pilot location. The T&I Contractor shall identify any areas of concern and recommendations for remedy prior to the implementation of the new system.

3.4.3.2 Pilot Operations Initiation Meeting

Following successful completion of the UAT, the NYWIC Project Manager shall convene a meeting with the T&I Contractor PM and other NYWIC Project Team staff as necessary. The attendees will discuss and review the project plan, schedule, and deliverables for the implementation of system pilot projects.

3.4.3.3 Central Office Program Support Staff Training

The T&I Contractor will provide any additional training to NYS WIC and ITS staff (in Albany) as necessary and as identified during the UAT to meet defined success criteria. Also, the T&I Contractor will provide training to NYWIC local agency staff (in multiple locations) to be able to provide adequate support throughout pilot and rollout. Following this training and the initial week of pilot, the contractor may be able to provide any additional assistance to NYS WIC during the remainder of the pilot remotely from their facility, if all pre-determined success criteria have been satisfied.

3.4.3.4 Pilot Agency (State Office and Clinic) Training

After successful completion of the UAT, the T&I Contractor will provide training for the staff who will be involved at each pilot Clinic. The T&I Contractor shall provide the NYWIC Project Manager with documented evidence of each trainee's attendance, results of quizzes, and completion of training scenarios within one (1) week of the training event. Classroom training provided by the T&I Contractor is anticipated to last three (3) to five (5) days as defined in the T&I Contractor's training plan. Additional days for local agency staff to complete system set-up activities, such as scheduling appointments or creating participant records, may also take place just prior to using the system to process clients in the pilot implementation.

3.4.3.5 Clinic Readiness Checklists

The T&I Contractor PM will prepare a Clinic readiness checklist that will enable NYS WIC and ITS staff to prepare environments for installation of the new system. The NYWIC Project Manager will work with the T & I Contractor PM to ensure that the checklists address both MIS and EBT System readiness. The PM&QM Contractor will review and comment on the checklists. The IV&V Contractor will complete an independent review.

3.4.3.6 System Pilot Test

The T&I Contractor, with support from the eWIC Contractor, will be required to oversee the pilot test of the new system. The pilot is expected to last for three calendar months. T&I and eWIC Contractor staff will be on-site at DOH offices in Menands NY at least during the first week of pilot. All interfaces, end of day, and end of month activities (such as reports) will be tested during this pilot. NYS ITS will be responsible for the day-to-day operation of the NYWIC System during the pilot site operations, although the T&I Contractor will oversee the pilot and provide consultation and assistance as needed.

3.4.3.7 Evaluate Pilot, Modify, and Retest System

Informal evaluation of the system software will begin with the start of the pilot through regular communication with the pilot sites and central office staff. Corrections, retesting, and release of updated versions of the software shall be done to correct all problems encountered. Prior to the start of the pilot test, a Regression Acceptance Test shall be performed by the T&I Contractor in consultation with the NYWIC Project Manager and the NYWIC Project Team staff. This test, based on the T&I Contractor's own internal test procedures, shall be used to test modifications and corrections made in response to problems identified during the pilot, before they are released to the pilot users. The Regression Acceptance Test is designed to test overall system operability, after modifications have been installed but before release of the software to the user community. It does not replace the normal development testing required for changes. Its primary purpose is to ensure that the changes do not affect other aspects of system functionality. The test shall use standardized inputs and known outputs to assess the impacts of changes.

If any software errors are encountered while conducting the system pilot, new versions of the system with the errors corrected will be programmed and tested by the T&I Contractor. After correction and testing of each new version, the Regression Acceptance Test will be run against that version to check that the error correction has not introduced new errors elsewhere in the system. If there are any outstanding errors at the end of system pilot, one last version that corrects the remaining errors will be produced, and that version will be installed and run for five (5) working days at the pilot agencies before the system is rolled out to the remaining agencies. The purpose of these five (5) additional days is to ensure that no errors were introduced into the latest version of the system that were not caught by the Regression Acceptance Test.

Within ten (10) days following the end of the pilot, the T&I Contractor, with input from the pilot Local Agencies, will complete and submit an evaluation of the system pilot. The evaluation will address the following factors:

- System stability
- Meeting functional requirements
- User satisfaction
- Impact on participant flow and convenience
- Impact on clinic operations
- Availability and accuracy of State-level data
- Adequacy of help messages and user documentation
- Security and system integrity
- Need for modification of system or user processes
- EBT processing and reconciliation

The results of the evaluations will be documented in a report to be delivered to the NYWIC Project Manager within ten (10) days of the end of the pilot. The NYWIC Project Manager must review the proposed system revisions resulting from the evaluation of the pilot and submit the revisions to the NYWIC Project Director and USDA/FNS for approval. Should the pilot uncover critical software errors or system deficiencies, the statewide rollout will be put on hold until the issues can be reasonably resolved.

3.4.4 Phase 6 - Statewide Implementation

The Statewide Implementation phase will follow USDA/FNS approval of the Pilot and Evaluation Phase. This phase is expected to begin approximately in August 2018 and extend through approximately March 2019. Statewide implementation will progress first to the regions west of Albany to Buffalo and then from Albany south to New York City. The following table defines the Contractor deliverables for the Statewide Implementation phase.

The T&I Contractor shall submit an updated Project Work Plan/Schedule that defines the completion date for each identified deliverable for this Phase of the Project. The updated Project Work Plan/Schedule shall be submitted at least thirty (30) days prior to the start of this Phase.

Table 8 - Statewide Implementation Phase Deliverables

Phase 6 – Statewide Implementation Deliverables		
ID #	Deliverables	Description
NYWIC-6-01	Updated Project Work Plan/Schedule	The Contractor shall prepare and submit an updated Work Plan/Schedule in Microsoft Project that defines all T&I Contractor deliverables (with defined ID #'s in this Table) for Phase 6 as well as high-level milestone activities for Phase 7. This updated Project Work Plan/Schedule shall be submitted thirty (30) days prior to the start of this Phase. It shall also include any State activities that impact the project's critical path, such as review periods or completing checklists. This work plan shall be updated at least monthly and shall be used to direct and track the project work and schedule. The Contractor shall identify ways in which the required tasks and deliverables shall be accomplished using their methodology.
NYWIC-6-02	Convene System Rollout Initiation Meeting	The Contractor shall plan and conduct a meeting including, at a minimum, the Contractor Project Manager, NYS ITS, and NYS WIC Program staff. The meeting shall be documented by the Contractor Project Manager. The schedule for completing this deliverable will be defined in the Contractor's Work Plan/Schedule.
NYWIC-6-03	Provide Statewide System Implementation Training and Materials	The Contractor shall provide training for NYS WIC and ITS, Local Agency, and Vendor Management Agency staff; and all materials as documented in the approved Training Plan. The Contractor shall arrange for the training facilities, including computers with Internet access at approximately twelve (12) locations across NY state. This training shall be provided to approximately six-hundred (600) learners in groups of twenty-five (25). The schedule for completing this deliverable will be defined in the Contractor's Work Plan/Schedule.
NYWIC-6-04	Provide System Rollout Oversight, Consultation and Assistance	The Contractor shall provide both on-site and remote support for sufficient oversight, consultation, and assistance throughout the roll-out period to ensure that the schedule is met and all identified issues are resolved in a timely manner. The schedule for completing this deliverable will be defined in the Contractor's Work Plan/Schedule.
NYWIC-6-05	Identification & Correction of Deficiencies	The Contractor shall document all deficiencies encountered during the initial system operation and review these with the NYWIC Project Manager within one calendar day of discovery. Deficiencies will be prioritized by NYS, and the Contractor shall then prepare a timeline for their correction for review with the NYWIC Project Manager. All deficiencies in meeting system functional or non-functional requirements shall be repaired by the Contractor at no cost. The schedule for completing this deliverable will be defined in the Contractor's Work Plan/Schedule.
NYWIC-6-06	Provide Comprehensive System Documentation Updated to Reflect NYS System	The Contractor shall provide all system documentation for the transfer system that has been updated to reflect the final implementation of the system in NYS within ten days of the final site rollout. These documents include the Detailed Functional Design Document (DFDD), the Detailed Technical Specifications Document (DTSD), source code, all forms, letters, and report templates. Additionally, source code, documentation, database schema, and other supporting components shall be made available by NYS and/or the Contractor to other State agencies for Federal Government

Phase 6 – Statewide Implementation Deliverables		
ID #	Deliverables	Description
		purposes, such as system analysis and/or transfer. The schedule for completing this deliverable will be defined in the Contractor's Work Plan/Schedule.
NYWIC-6-07	Staffing Plan Updates	The Contractor shall provide updates to the staffing plan for the project that describes how staffing will be provided to meet the project, business, and technical obligations over the entire lifecycle of the engagement. The schedule for completing this deliverable will be defined in the Contractor's Work Plan/Schedule.
NYWIC-6-08	Monthly Project Status Reports	The Contractor shall provide monthly status reports that include percent complete for all tasks, in addition to completion dates. These reports shall be submitted by the 2nd Friday of each calendar month for the prior month's work.

The narrative below explains the scope of work for the Statewide Implementation phase.

3.4.4.1 System Rollout Initiation Meeting

Following successful completion of the system pilot, the NYWIC Project Manager shall convene a meeting at DOH offices with key NYS WIC and ITS staff and the T&I Contractor. The purpose of the meeting shall be to discuss and review the final project plan, schedule, and deliverables for the rollout of the new system to the remaining Local Agencies.

3.4.4.2 Statewide Training

The T&I Contractor will provide training and materials for the staff at all Local Agencies, including online training modules. Classroom training for two (2) super-users from each local agency permanent site and VMAs will be provided by the T&I Contractor on the MIS and by NYS WIC staff on the eWIC functions. The training is anticipated to last three (3) to five (5) days, based on the Contractor's proposed training plan, and be conducted at multiple sites across the state. Local agency and VMA super users will participate in on-site training, while the remaining local agency and VMA staff will complete online training modules for clinic functions. Additional days for local staff to complete system set-up activities, such as scheduling appointments or verifying data conversion of participant records, may also take place just prior to implementation.

3.4.4.3 Statewide Rollout

The T&I Contractor will complete a readiness checklist for each remaining (non-piloted) local agency and document any areas of concern, along with recommendations for remediation, prior to the implementation of the new system. The remedial actions will be reviewed and addressed. A group of local agency super users will be trained in the use of the new system one week before system implementation. The remaining local agency staff will complete online training modules.

The T&I Contractor is required to oversee the rollout of the new system. T&I Contractor staff will be on site in NYS during the first week of each local agency's implementation, or until all pre-determined success criteria have been satisfied.

NYS ITS will be responsible for the day-to-day operation of the NYWIC System during the statewide rollout, although the T&I and eWIC Contractors will provide consultation and assistance as needed. The T&I and eWIC Contractors shall be responsible for supporting NYS ITS in the operation of the NYWIC System. During this period, the T&I Contractor shall ensure that the NYWIC System provides all functionality and processing required to fully support NYWIC.

For this subtask to be successful, the NYWIC System, supporting services, and operations shall, at a minimum:

- Provide online access to the new system functionality in the Local Agencies and VMAs for operations and analysis, as well as the generation of reports.

- Provide all file maintenance, including backups, archiving of data, and maintenance of database synchronization among system modules on a daily basis.
- Ensure that all data communications are functional between the central site processor, the state, Local Agencies, and VMAs.
- Provide disaster recovery procedures to ensure meeting system availability requirements.
- Provide the software and support required to exchange data with other state and federal programs electronically. This electronic data exchange will be for the purpose of meeting the requirements of USDA/FNS Participant Characteristics Minimum Dataset, the TIP report and other required data exchanges.
- Provide all system enrollment, reconciliation, expenditure, vendor, and other required reports, in the media required and according to the agreed-upon schedule.
- Provide helpdesk functions for system user support. Retailer and customer EBT helpdesk functions will be managed remotely by the eWIC Contractor.

Within four (4) calendar days following system rollout to the first group of Local Agencies, a checkpoint meeting will be convened at DOH offices to identify any problems that must be fixed before rollout to the remaining sites. The meeting will be attended by the T&I and eWIC contractors, the NYWIC Project Manager, NYWIC Project Director, and other NYS WIC and ITS staff as deemed necessary. If no significant deficiencies are identified, the NYWIC Project Manager and NYWIC Project Director will make the recommendation to the NYWIC Tactical Oversight Team to proceed with rollout to the remaining groups of Local Agencies. If critical problems are identified, the statewide rollout will be put on hold until plans to remedy such problems are developed and successfully implemented.

The Contractor shall document all deficiencies encountered during the initial system operation and review those with the NYWIC Project Manager within one (1) calendar day of discovery. Deficiencies will be prioritized by NYS, and the Contractor shall then prepare a timeline for their correction for review with the NYWIC Project Manager. All deficiencies in meeting system functional or non-functional requirements shall be repaired by the Contractor at no cost. Any desired system changes or enhancements identified during this period shall be handled through the change management process.

3.4.4.4 System Documentation

The T&I Contractor shall provide any system documentation that is updated to reflect the final implementation of the system in NYS within ten (10) calendar days of the final clinic rollout.

3.4.5 Phase 7 - Post-Implementation Support and Warranty

Post-implementation Support and Warranty will follow the Statewide Implementation phase. This phase will be for the two-year period commencing immediately after system acceptance, with an anticipated start date of April 2019 and extending through March 2021. The following table defines the Contractor deliverables for the Post-implementation Support and Warranty phase.

Table 9 - Post-Implementation Support & Warranty Phase Deliverables

Phase 7 – Post-Implementation Support & Warranty Deliverables		
ID #	Deliverables	Description
NYWIC-7-01	Updated Project Work Plan/ Schedule	The Contractor shall prepare and submit an updated Work Plan/Schedule in Microsoft Project that defines all T&I Contractor deliverables (with defined ID #'s in this Table) for Phase 7. This updated Project Work Plan/Schedule shall be submitted thirty (30) days prior to the start of this Phase. It shall also include any State activities that impact the project's critical path, such as review periods or completing checklists. This work plan shall be updated at least monthly and shall be used to direct and track the project work and schedule. The Contractor shall identify ways in which the required tasks and deliverables shall be accomplished using their methodology.
NYWIC-7-02	Follow-up Training Events	The Contractor shall provide training and training materials for two (2) on-site classroom training events of two (2) days each after the rollout. One session will be done in the Albany area and one in the NYC area. The

Phase 7 – Post-Implementation Support & Warranty Deliverables		
ID #	Deliverables	Description
		Contractor shall arrange for the training facilities, including computers with Internet access. This training shall be done for approximately fifty (50) learners in groups of twenty-five (25) per session. The schedule for completing this deliverable will be defined in the Contractor's Work Plan/Schedule.
NYWIC-7-03	System Problem Fixes and Written Reports	The Contractor shall provide a written response to any reported system problems addressing the technical nature of the problem and the proposed plan to resolve the issue. The schedule for completing this deliverable will be defined in the Contractor's Work Plan/Schedule.
NYWIC-7-04	Warranty Maintenance	The Contractor shall be responsible for providing fixes or system modifications as needed to correct deficiencies reported during the support and warranty period. All work must be performed within the NYS development environment. Any required updates to system documentation based on these changes shall be made. The schedule for completing this deliverable will be defined in the Contractor's Work Plan/Schedule.
NYWIC-7-05	System Modifications	The Contractor shall design, develop, test, and implement all approved system modifications and enhancements during the post-implementation support and warranty period. All work must be performed on site within the NYS development environment. The schedule for completing this deliverable will be defined in the Contractor's Work Plan/Schedule.
NYWIC-7-06	Post-implementation Support and Knowledge Transfer	The Contractor shall provide ongoing support and knowledge transfer to NYS ITS support staff during the post-implementation support and warranty period. The schedule for completing this deliverable will be defined in the Contractor's Work Plan/Schedule.
NYWIC-7-07	Monthly Project Status Reports	The Contractor shall provide monthly status reports that include percent complete for all tasks, in addition to completion dates. These reports shall be submitted by the 2nd Friday of each calendar month for the prior month's work.

The narrative below explains the scope of work for the Post-implementation Support and Warranty phase.

3.4.5.1 NYWIC Two-Year Warranty Period

For two (2) years from the successful completion of the rollout and receipt of final documentation and materials, the T&I Contractor shall be responsible for correcting system problems and providing the system modifications required to correct the problems, at no additional cost, as needed to ensure the complete functionality as required by this RFP, Contract, SOW, and the formal, signed project deliverables. All system problems reported during the warranty period are included under this provision, even if their repair extends beyond the two years. All work must be performed on site within the NYS development environment.

3.4.5.2 NYWIC System Modifications/Enhancements

During the initial warranty period, the NYWIC Project Director may request the T&I Contractor to make changes and enhancements to the existing system. These changes and enhancements will be designed, developed, tested, and implemented on a mutually agreed-upon schedule using a change-order process. Costs for these changes shall be in accordance with the rates quoted in the cost proposal. The T&I Contractor shall provide documented test results and updated system documentation prior to implementation of the change. No charges shall be made for maintenance required to the system to meet the system and functional requirements approved prior to contract closure. All work must be performed on site within the NYS development environment. NYS DOH and ITS staff shall work alongside Contractor staff and participate in the development, testing, and implementation of the changes and enhancements.

3.4.5.3 Warranty Period: Maintenance and Operations

NYS ITS staff will maintain the new system environment when it becomes operational. The NYS ITS development team will continue transitioning into supporting the NYWIC System and work with the T&I Contractor during the two-year warranty period.

3.5 Project Management

Project Management is defined as the communication mechanisms, controls, tasks, and procedures that the Contractor will use to manage all the tasks identified in the RFP. It is the discipline that employs the Contractor's knowledge, skills, and abilities to achieve project goals.

The Contractor will be required to comply with project management methodology and standards that are aligned with the Project Management Institute's (PMI) Project Management Body of Knowledge (PMBOK) and that are codified in the NYS Project Management Guidebook Release 2, which can be obtained from the NYS Office of Information Technology Services website at: <http://its.ny.gov/nys-project-management-guidebook-release-2>. The Contractor will work with the ITS Health Cluster Program and Project Management Office (PPMO) and produce project management-related documentation as requested.

The NYWIC Project Manager (NYWIC PM), will coordinate and collaborate with all involved organizations, including NYS, T&I, eWIC, and IV&V. The T&I Contractor will provide a Project Manager (PM). The Contractor's PM will be responsible for the successful delivery of all Contractor activities and milestones described in Contractor's Work Plans. They will have overall responsibility for the project deliverables, schedule, and successful implementation of the software and all activities of Contractor's resources. Contractor PM activities include, but are not limited to, updating project plans, assigning staff, scheduling meetings, reviewing status reports, addressing project issues and change orders, and preparing presentations as needed.

The Contractor's PM will be responsible to work closely with the NYWIC Project Manager and NYWIC Project Director on a day-to-day basis. The Contractor's PM and the NYWIC Project Manager will work cooperatively to ensure that Contractor Implementation Team activities and objectives are planned and performed according to the project plan and schedule. Progress will be monitored and adjustments made when needed, with approval of the NYWIC Project Director. The Contract Work Plans will be updated by the Contractor's PM and submitted to the NYWIC Project Manager for integration into the NYWIC Work Plan.

The NYWIC Project Manager is responsible for ensuring integration and coordination of Contractor's efforts with the NYWIC Work Plan, NYWIC Change Management Plan, NYWIC Risk Management Plan, and NYS implementation teams. The NYWIC Project Manager is responsible for monitoring the Contractor's adherence to contract provisions and the agreed-to project plan, and ensuring that appropriate resources are allocated within NYS to accomplish the agreed-to objectives. The NYWIC Project Manager will be responsible for identifying any risks, problems, or issues needing intervention and engaging the NYWIC Project Sponsors as required.

The T&I Contractor PM will schedule and facilitate weekly project team status meetings, either on site in NYS or via teleconference. Contractor staff other than the PM will attend as required. The NYWIC Project Manager will facilitate regularly scheduled status meetings with Contractor's PMs to ensure that NYWIC and Contractor work plans, schedules, and project management processes are integrated.

The quality assurance role requires that the T&I Contractor PM works closely on the definition and review of all contract deliverables. An IV&V Contractor will independently review all deliverables.

The NYWIC project will be managed by the project phases as defined in Table 3 - NYWIC Anticipated Project Schedule. NYS follows the project management methodology, as documented in the PMI PMBOK, and the Contractor shall implement the NYS project management methodology.

Scope Management – The Contractor is responsible to manage its work scope as described in this RFP. Any scope changes, either additions or deletions, shall be documented and presented to the NYWIC Project Manager for evaluation. See the Change Management section below.

Schedule Management – A detailed project schedule of the Contractor's work scope shall be developed and maintained on a weekly basis. This schedule will include a detailed work breakdown structure for each project phase and include Contractor resource assignments.

Change Management – Any proposed scope changes shall be documented on the Contractor’s change management form and shall describe the reason for the change and impacts to schedule, staffing, and cost. The completed document shall be submitted to the NYWIC Project Manager for evaluation. Proposed changes may be approved, rejected, or placed on hold. The Contractor will maintain a list of proposed changes and dispositions.

Risk Management – The Contractor shall maintain a risk log that describes project risks and assesses their probability, likely impact, and possible mitigation steps. Project risks shall be communicated to the NYWIC Project Manager, immediately when identified, and shall be reported during weekly and monthly project status reports and meetings.

Resource Management – The Contractor shall maintain a resource plan that defines its staff, their positions, and expected work hours for each week of the current project phase. Resource plans for future project phases may be estimated on a monthly basis. Any changes to the resource plan shall be reported during weekly project status reports and meetings.

3.6 Technology Information

NYWIC has selected the MI-WIC System because it is a centralized, three-tier architecture, web browser-based MIS. The new NYWIC MIS, including its associated database, will reside in a centralized primary environment hosting the system servers and will be accessed via the Internet. At the local level, each NYWIC System user will access the system via the Internet. The EBT services will be hosted remotely by Xerox but will be transparent to users as functionality is accessed through the MIS. The interface between the MIS and EBT systems will be via the WIC Universal MIS EBT Interface (WUMEI) developed by USDA/FNS.

The NYWIC MIS servers (application/web, database, and reports) contain all of the processing logic and all of the data for the NYWIC MIS. The Internet is used as the telecommunications network between individual Local Agencies and the NYS Data Center housing the NYWIC MIS servers. No participant data will be stored on the computer equipment in Local Agencies or remote Clinics.

The clinic module in the NYWIC MIS will contain the business rules that support clinic-level operations, such as appointment scheduling, participant certification, benefit issuance, and reporting. Additional modules include Administration (system set up, site set up, Time & Effort Study, user roles), Vendor Management (vendor application, monitoring), State-Only (food item and package set up) and Case Management for covert/overt investigations.

All modules will be housed on the NYWIC MIS servers, along with the relational database that contains all of the system records, such as participant, vendor, and food benefits.

The new system is designed to be virtually paperless. Data is entered directly into a participant’s electronic record. Food benefits will be issued on-demand, via EBT, in each clinic. Local agency staff will have the capability to print other forms and reports in the clinic as needed. Printers will be connected to the computers in the clinic, either directly or through a local area network (LAN)/wireless network.

The following diagram illustrates the preliminary NYWIC MIS architecture for the Development environment. The final system architecture may be different than shown, based on further discussions with ITS and the T&I Contractor.

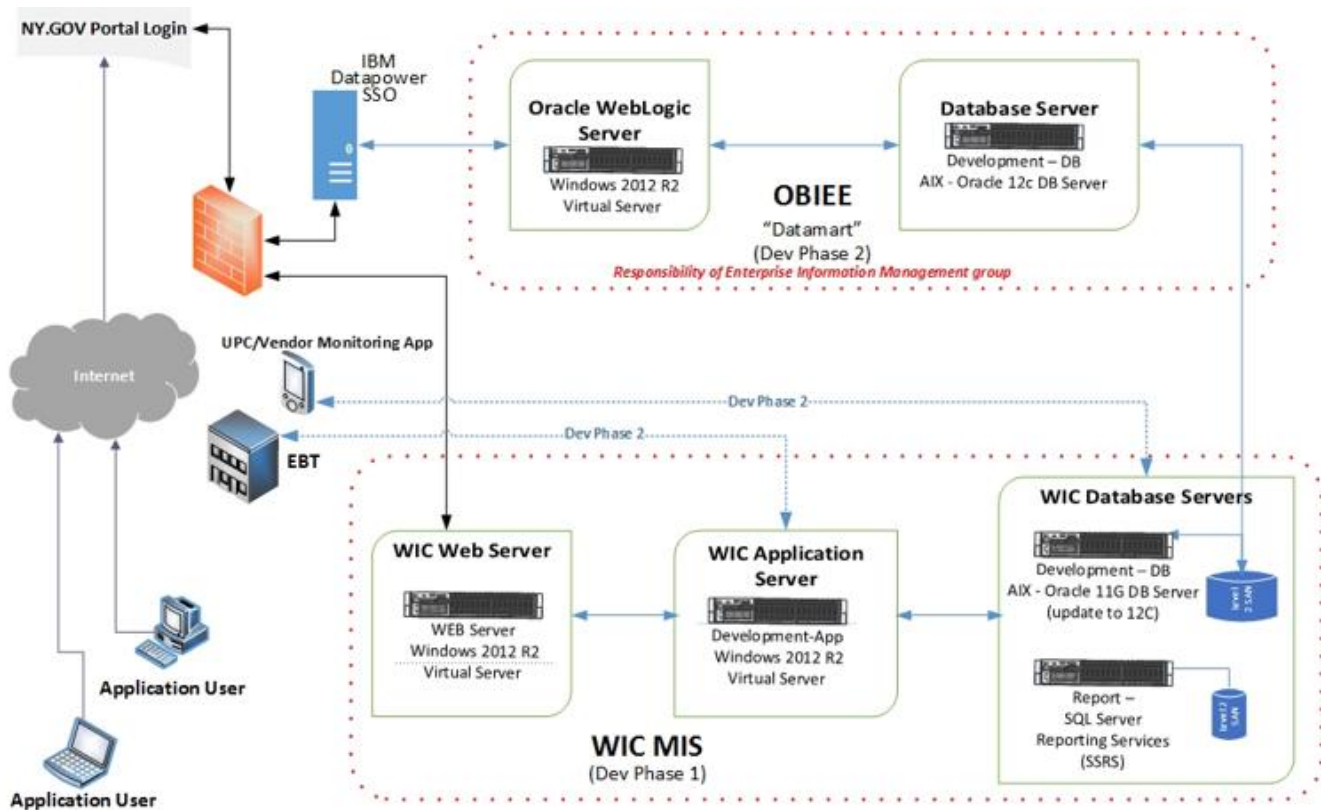


Figure 2 - NYWIC MIS Architecture (Conceptual)

The term “server” is used to refer to hardware or virtual machines housing specialized software. The NYWIC MIS will consist of the three types of dedicated servers described below.

- **Application/Web (or communications) server:** The application logic and business rules of the system are part of the application/web server. The server handles communication protocol over the Internet and makes the data and application available to a web browser on the PCs in local WIC agencies.
- **Database server:** The database server provides the interface between the records in the relational database and the application.
- **Report server:** The report server provides data analysis and reporting services.

The table below defines the expected minimum environment equipment requirements, but the final requirements may be different than shown, based on further discussions with ITS.

Table 10 - NYWIC Environment Equipment Requirements

Minimum Environment Equipment Requirements			
Environment	Application/Web Servers	Database Servers	Report Servers
Development	1	1	1
Quality Assurance	2	2	1
UAT/Stage/Training	1	1	1
Production	2	2	2
Disaster Recovery	1	1	1

3.7 WIC MIS Software

The MI-WIC software was developed under funding from the USDA/FNS. Bidders can access the MI-WIC software by registering on the WIC Technology Partners website (<http://wictechnologypartners.com/>).

3.8 Security, Codes, and Standards

The NYS Enterprise Information Security Office (EISO) has established rigorous policies, standards, and guidelines regarding cyber security. These policies, standards, and guidelines can be viewed on the website as defined in Appendix 3. The MIS must comply fully with all NYS policies and standards including but not limited to:

- NYS-P03-002 Information Security Policy
- NYS-S14-007 Encryption Standard
- NYS-P14-001 Acceptable Use of Information Technology (IT) Resources Policy
- NYS-S15-001 Patch Management Standard
- NYS-S15-002 Vulnerability Scanning Standard
- NYS-S13-002 Secure Coding Standard
- NYS-S13-001 Secure System Development Life Cycle (SSDLC) Standard
- NYS-S14-008 Secure Configuration Standard
- NYS-S14-005 Security Logging Standard
- NYS-P10-006 Identity Assurance Policy
- NYS-S13-004 Identity Assurance Standard
- NYS-S14-003 Information Security Controls Standard
- NYS-S14-013 Account Management / Access Control Standard (where applicable)

Other provisions of NYS policies and standards available from <http://www.its.ny.gov/eiso/policies/security> must also be addressed. NYWIC will comply with the NYS information security policies, standards, and guidelines. Compliance will be verified through the Security Checklist/Narrative identified in Section 3.4, Project Deliverables and validated by the NYS ITS Health Cluster Information Security Officer. The T&I Contractor will be responsible for working with the NYWIC Project Manager to develop a final consolidated NYWIC Security Checklist/Narrative and for completing sections specific to the contracted SOW.

The Security Checklist/Narrative format will be developed in conjunction with ITS and will address, at a minimum:

- Assignment of Security Responsibility
- System Environment Security
- System Interconnections/Information Sharing
- Related Laws/Regulations/Policies
- Established Policies – NYS Security Policy & Procedures
- NYS Data Center Policies
- Hardware/Software Maintenance and Upgrades of Production Equipment
- Internet and Intranet Network Security Policies
- Disaster Recovery and Continuity of Operations Plan
- Application Level Security
- State Helpdesk Operations
- Separation of Duties
- Passwords
- Data Integrity
- Data Conversion
- Patient Privacy
- Performing Backups
- EBT Retail-Level Security
- EBT Host Disaster Recovery Plan
- NYWIC System Disaster Recovery Plan
- Clinic Plan

- Clinic Security

The Contractor shall attest to compliance with the NYS Security, Codes and Standards; and the USDA/FNS requirements as defined in Appendix 3 – Reference Documents.

3.9 NYWIC Customizations

The goal is to implement the NYWIC System with minimal modifications for the initial pilot and statewide implementation. However, NYS has defined a number of customizations that shall be completed by the T&I Contractor, as defined in the deliverables and detailed in Appendix 1 and Appendix 2. Gaps identified in Appendix 1 and Appendix 2 are to be addressed through customizations of the base system.

3.10 Reporting Requirements

Reporting requirements include the following:

- Written weekly status reports shall be submitted by the Contractor and posted on the NYWIC Project SharePoint site. Weekly status reports will include accomplishments, work to be completed for the upcoming week, issues that need to be resolved, newly identified risks, and any changes to the work plan. Weekly status reports shall be submitted to designated NYWIC project staff via email attachments (Microsoft Word or PDF) and posted on the NYWIC Project SharePoint site by noon, one day prior to the weekly status meetings. These reports shall be submitted by Monday each week for the prior week's work.
- Weekly NYWIC Project Status meetings will be attended by the Contractor and NYWIC project staff. Contractor staff who are working on-site shall attend these meetings in person. Any remote Contractor staff shall participate via WebEx, which will be facilitated by the Contractor.
- Biweekly Tactical Oversight Team (TOT) meetings will be attended by the Contractor and NYWIC project staff. Contractor staff who are working on-site shall attend these meetings in person. Any remote Contractor staff shall participate via WebEx, which will be facilitated by the Contractor.
- Written monthly status reports shall be submitted by the Contractor and posted on the NYWIC Project SharePoint site. Monthly status reports will include progress on the current phase, accomplishments over the past month, work to be completed for the upcoming month, issues that need to be resolved, assessment of risks, and any changes to the project phase work plan. Monthly status reports shall be submitted to designated NYWIC project staff via email attachments (Microsoft Word or PDF) and posted on the NYWIC Project SharePoint site by noon, one day prior to the monthly Executive Sponsor Team (EST) meetings. These reports shall be submitted by the 2nd Friday of each calendar month for the prior month's work.
- Monthly EST meetings will be attended by the Contractor PM and NYWIC project staff. The Contractor will present the latest information included in the monthly status report and highlight issues or risks that require executive action.

3.11 Staffing Requirements

The Bidder is responsible for defining in its proposal the number of staff, their roles, and responsibilities for each phase of the project (see Section 7.2 G, Staffing).

The Contractor shall provide, and update when changed, the staffing plan and organizational chart indicating lines of authority for personnel involved in the performance of this Contract and relationships of this staff to other programs or functions of the firm. This organizational chart shall also show lines of authority to the next senior level of management and indicate who within the firm will have prime responsibility and final authority for the work.

The Contractor shall, upon request, provide a resume of any members of its staff or a subcontractor's staff assigned to or proposed to be assigned to any part of this contract. NYS reserves the right to interview and approve the Contractor's personnel, reject any proposed staff member, and require the appointment of a satisfactory Contractor staff member, as well as to require verification of a proposed staff member's skills through demonstration and/or testing.

Individuals assigned by the Contractor are employees of that Contractor and are not, under any circumstances or conditions, employees of NYS. The Contractor will assume full responsibility for the behavior of its employees and will remove any of its employees from NYS premises at the request of the NYWIC Project Director.

The individual(s) assigned to the project may not be replaced during the course of the project without the prior approval of the NYWIC Project Director. NYS will retain the right to release outright, or request the replacement of, any Contractor representative who is working at an inferior level of performance, as determined by NYS.

3.11.1 Key Personnel

The Contractor shall identify key personnel and provide a resume for each individual. Key personnel shall be identified to fulfill, at a minimum, the following positions:

- **Engagement Manager** – Responsible for managing the contractual relationship with the State and oversight of the delivery of services. The Engagement Manager is accountable for the successful completion of all aspects of the resulting Contract.
- **Project Manager** – Responsible for T&I Contractor's overall project execution, accomplishment of all project deliverables, the daily work of T&I Contractor personnel, and coordination of work with NYWIC and e-WIC Project Managers.
- **Technical Lead** – Responsible for the technical architecture and ensuring that a solution is implemented to meet all system and security requirements.
- **Business Analyst Lead** – Leads the team of Business Analysts who will assist in defining the business and functional requirements.
- **Development Lead** – Leads the team of developers who will configure the platform to meet the business requirements.
- **Testing Lead** – Coordinates the testing efforts, including T&I Contractor, NYS ITS, and NYWIC Program staff.
- **Training Lead** – Responsible for defining training needs, developing training curricula, and oversight of the Contractor's delivery of training.

3.11.1.1 Approval of Key Personnel

The NYWIC Project Director shall have the right to approve or disapprove the Contractor's, and any subcontractors', key personnel assigned to this contract. The NYWIC Project Director and/or their representative(s) may interview candidates prior to this approval. The NYWIC Project Director may also approve or disapprove any proposed changes in key staff or require the removal or reassignment of any key Contractor employee or subcontractor personnel found unacceptable by the State.

3.11.1.2 Notice of Change to Key Personnel

The Contractor shall notify the NYWIC Project Director, in writing, of any changes in key personnel at least thirty (30) days prior to the change, except in the case of immediate risk to the health and safety of project staff, or in the case of unlawful security breaches.

3.11.2 Roles and Responsibilities

The Contractor shall assign a Project Manager for the term of this contract. The Project Manager is one of the key positions in delivering a successful project. The responsibilities of the Project Manager shall include, at a minimum:

- Managing all defined Contractor responsibilities in this SOW
- Developing and managing the MIS project plan and schedule and updating regularly
- Serving as the point person for all MIS project issues
- Managing and overseeing the day-to-day project activities of the Contractor's team
- Managing and overseeing the work of any Contractor subcontractors
- Assessing and reporting on MIS project status
- Managing project issues and risks and escalating when needed
- Managing all T&I Contractor deliverables

- Managing the MIS change control process
- Preparing project documents, reports, and other materials
- Managing and reporting periodically on the T&I Contract budget

The Contractor shall define the roles and responsibilities of all Key Personnel in the Staffing plan that will be submitted.

3.12 Project Work Environment

The Contractor Key Personnel are expected to work on-site at the DOH Riverview Center in Menands, NY during all work hours in Phases 3, 4, 5, and 6 of the project. It is understood that staffing levels will vary across the project phases. Some remote work may be performed with prior agreement of the NYWIC Project Director.

At the DOH Riverview Center, the Contractor will be provided cubicle spaces where work will be performed and computers with access to the DOH network. The Contractor is responsible to provide all other equipment for its personnel, including cell phones, offices supplies, etc. The DOH has established a NYWIC project SharePoint website that will be the repository for all project related documents. The Contractor key personnel will be provided access to this site and shall be expected to post and maintain all project related documents there.

3.13 System Change Management

The Contractor shall be responsible for implementing approved modifications and enhancements to the system throughout the term of the contract. System Change Management is the process whereby core system enhancements, as determined by the State (or by the Contractor, with State approval) are made. This may include additional functions or requirements resulting from regulatory changes impacting the program.

All approved System Change Requests (SCRs) will result in the establishment of deliverable-based projects and shall include the timeframe for completion.

The State will initiate modifications to the system. The Contractor shall respond, in writing, to the requests submitted by the State within five (5) days of receipt. The response shall consist of an acknowledgment of the request and a preliminary assessment of the effort (e.g., number of hours) required for completing the modification. Costs for Systems Change Management projects will be based on the hourly rates as bid in the Price Proposal Workbook.

3.14 Deliverable Acceptance

Deliverables must meet all applicable State-approved Acceptance Criteria developed in accordance with State-approved Acceptance Management Plans and Test Plans.

For each document-based Deliverable (as defined in Section 3.4, Project Deliverables) other than status reports, the State shall have an acceptance period beginning on the date written notification of completion was received from the Contractor and as outlined herein. All document-based Deliverables shall be reviewed by the IV&V Contractor and require written approval by the NYWIC Project Director or his or her written designee that such Deliverables comply with the terms of the Agreement.

The Contractor shall provide document-based Deliverables in the form and format agreed to by the State, based on the Deliverables Expectation Document (DED). The deliverable documentation shall include, but not be limited to, Deliverable ID number, title, frequency, draft and final due dates, approval requirements, outline of contents, and delivery of media.

- A. The number of business days for any State initial review of a document-based Deliverable shall be no more than ten (10), unless otherwise mutually agreed to by the NYWIC Project Director and the Contractor's Project Manager in the Project Work Plan. The ten-day period shall begin upon written transmittal by the Contractor Project Manager to the NYWIC Project Director that the Deliverable is in final form and ready for approval, and shall be counted from and include the first working day following the delivery of the Deliverable to the State. The State shall provide Contractor with approval of the Deliverable or with a written statement of the itemized deficiencies preventing approval.

- B. The Contractor shall have ten (10) business days to complete all corrective actions or changes in order for such document-based Deliverable to conform in all material respects with the requirements set forth in the Agreement. The count of such business days shall begin on the first business day following Contractor's receipt of the written statement of required corrective actions or changes.
- C. If the State cannot approve the document-based Deliverable after correction by Contractor, the Contractor's Project Manager and the NYWIC Project Director may mutually agree to further steps to correct outstanding material deficiencies. However, in no event shall the total time allocated for review, correction, and re-review of material deficiencies in a Deliverable exceed forty (40) business days, except for good cause, in the sole discretion of the State.
- D. The State will have final approval of all document-based Deliverables.

For Deliverables that contain hardware or software programs, the State's Deliverable review process will include review by the IV&V Contractor and acceptance testing as detailed in an approved Acceptance Test Plan. The number of business days for any State initial review/test of a software-based Deliverable shall be set forth in the Acceptance Test Plan but will be no fewer than ten days, unless otherwise mutually agreed to by the NYWIC Project Manager and the Contractor's Project Manager.

The process for software Deliverables will be as follows: User Acceptance testing will take place in a test environment. The IV&V Contractor will review all UAT test results. After approval by the State and USDA/FNS, the software Deliverable will be migrated to the production environment. The software Deliverable will then be monitored to verify performance in accordance with all requirements and acceptance criteria. The State will provide Deliverable Acceptance upon completion of Production Verification. If any issues are reported by the State during Production Verification, the review period will reset starting on the date the State is notified that the correction has been made in the production system. The State shall have final approval of all hardware- or software-based Deliverables.

4. OWNERSHIP AND LICENSING

4.1 NYS Ownership

All Deliverables and modifications, in whole and in part, shall be deemed works made for hire of NYS DOH for all purposes of copyright law, and copyright shall belong solely to NYS DOH. To the extent any work or Deliverable is deemed not to be, for any reason whatsoever, work made for hire, the Contractor agrees to assign and hereby assigns all rights, title and interest, including but not limited to copyright patent, trademark and trade secret, to such work and Deliverables, and all extensions and renewals thereof, to NYS DOH. The NYS DOH shall own all right, title, and interest to the software and associated documentation, including all copyright, patent, trade secret, trademark and other intellectual property rights created by the contractor in connection with such work (in whatever form), that comprise NYS DOH's system as designed, developed, or installed in accordance with the terms of this Agreement. The contractor shall take all actions necessary and transfer ownership of the Deliverables to NYS DOH, including, without limitation, the Custom Software and associated Documentation, including all copyright, patent, trade secret, trademark and other intellectual property rights, on Acceptance of each Deliverable and following final payment for each Deliverable.

4.2 Federal License

All appropriate State and Federal agencies (including without limitation the Federal Government agencies providing Federal Financial Participation) shall have a royalty free, nonexclusive, and irrevocable license to reproduce, publish, translate, or otherwise use and to authorize others to use for Federal Government purposes all materials, the software and modifications thereof, and associated documentation designed, developed, or installed with Federal Financial Participation under this Agreement.

4.3 Rights for Derivative Works

The Contractor shall grant to NYS DOH, and the Contractor shall require each Contractor Custom Software Sub-Licensee, to grant to NYS DOH a worldwide, non-exclusive, perpetual, irrevocable, fully paid-up right and license

to use, copy, modify and prepare derivative works based on custom deliverables, such modifications thereof, and derivative works.

4.4 Licensing for Third-Party Software

The Contractor shall represent and warrant to NYS DOH that it has obtained all rights, grants, assignments, conveyances, licenses, permissions and authorizations necessary or incidental to any materials owned by third parties supplied or specified by it for incorporation in the deliverables to be developed.

4.5 Ownership of Pre-existing Products

The Contractor shall retain all right, title, and interest in and to all Property developed by it: (1) for clients other than NYS DOH; and (2) for internal purposes and not yet delivered to any client, including all copyright, patent, trade secret, trademark and other intellectual property rights created by the Vendor in connection with such work prior to the date of the contract.

5. BIDDER'S QUALIFICATIONS TO PROPOSE

5.1 Minimum Qualifications

The Bidder shall have a minimum of two (2) years of proven experience developing and implementing complex, enterprise-wide Management Information Systems (MIS).

5.2 Preferred Qualifications

In addition to the minimum qualifications stated in Section 5.1 above, preference will be given to those Bidders who possess experience including:

- Implementing successful WIC MIS transfer and implementation projects, or
- Implementing successful joint WIC MIS-EBT projects, or
- Implementing complex financial management or EBT system projects, or
- Implementing other large, complex, state or federal government enterprise systems.

The Bidder's Technical Proposal should include qualitative details about its experience in the above areas.

6. ADMINISTRATIVE INFORMATION

The following administrative information will apply to this RFP. Failure to comply fully with this information may result in disqualification of your proposal.

6.1 Restricted Period

"Restricted period" means the period of time commencing with the earliest written notice, advertisement, or solicitation of a Request for Proposals ("RFP"), Invitation for Bids, solicitation of proposals, or any other method for soliciting a response from Bidders intending to result in a procurement contract with the DOH and ending with the final contract award and approval by the DOH and, where applicable, final contract approval by the Office of the State Comptroller.

This prohibition applies to any oral, written, or electronic communication under circumstances where a reasonable person would infer that the communication was intended to influence this procurement. Violation of any of the requirements described in this Section may be grounds for a determination that the Bidder is non-responsible and, therefore, ineligible for this contract award. Two violations of the rules against impermissible contacts during the "restricted period" within four years may result in the violator being debarred from participating in DOH procurements for a period of four years.

Pursuant to State Finance Law §§139-j and 139-k, the DOH has identified a designated contact on the face page of this RFP to whom all communications regarding this procurement must be made.

6.2 Submission of Written Questions

There will be an opportunity available for submission of written questions and requests for clarification with regard to this RFP. All questions and requests for clarification of this RFP should cite the particular RFP Section and paragraph number where applicable and must be submitted via email to: TI.RFP@health.ny.gov. It is the Bidder's responsibility to ensure that email containing written questions and/or requests for clarification is received at the above address no later than the Deadline for Submission of Written Questions as specified in Section 1, CALENDAR OF EVENTS.

6.3 Bidders Conference Webinar

To allow for further clarification about the RFP, NYS will host a webinar and conference call as indicated in Section 1, CALENDAR OF EVENTS. This webinar will allow all Bidders to participate in an open question and answer session. NYS will post a subsequent written transcript of all questions and answers on the DOH website. The written transcript will be the authoritative record of all questions and answers. All discussion during the webinar shall be considered preliminary until the written transcript is issued. Questions received after the Bidder's webinar may **not** be answered.

Bidders wishing to participate in the Conference Webinar shall register by notifying the Permissible Subject Matter Contact defined on Page 1 of this document at least five (5) days in advance of the webinar. The DOH will post information about the Conference Webinar at least five (5) days in advance of the webinar on the DOH website: www.Health.ny.gov. Instructions for participation will be included in an email sent to those Bidders who have registered in advance and will be posted on the DOH website.

6.4 Right to Modify RFP

The DOH reserves the right to modify any part of this RFP, including but not limited to the date and time by which proposals must be submitted and received by the DOH, at any time prior to the Deadline for Submission of Proposals listed in Section 1, CALENDAR OF EVENTS. Modifications to this RFP shall be made by issuance of amendments and/or addenda.

Prior to the Deadline for Submission of Proposals, any such clarifications or modifications as deemed necessary by the DOH will be posted to the DOH website.

If the Bidder discovers any ambiguity, conflict, discrepancy, omission, or other error in this RFP, the Bidder shall immediately notify the DOH of such error, in writing at TI.RFP@health.ny.gov and request clarification or modification of the document.

If, prior to the Deadline for Submission of Proposals, a Bidder fails to notify the DOH of a known error, or an error that reasonably should have been known, the Bidder shall assume the risk of proposing. If awarded the contract, the Bidder shall not be entitled to additional compensation by reason of the error or its correction.

6.5 Submitting Invoices

The contractor shall submit invoices and/or vouchers to the State's designated payment office:

Preferred Method: Email a .pdf copy of your signed voucher to the Business Service Center (BSC) at: AccountsPayable@ogs.ny.gov, with a subject field as follows:

Subject: **Unit ID 3450271; Contract No. TBD**

Alternate Method: Mail vouchers to BSC at the following U.S. postal address:

**NYS Department of Health
Unit ID 3450271
c/o NYS OGS BSC Accounts Payable
Building 5, 5th Floor
1220 Washington Ave.
Albany, NY 12226-1900**

Payment for invoices and/or vouchers submitted by the Contractor shall only be rendered electronically, unless payment by paper check is expressly authorized by the Commissioner, in the Commissioner's sole discretion, due to extenuating circumstances. Such electronic payment shall be made in accordance with ordinary State procedures and practices. The Contractor shall comply with the State Comptroller's procedures to authorize electronic payments. Authorization forms are available on the State Comptroller's website at www.osc.state.ny.us/epay/index.htm, by email at epayments@osc.state.ny.us, or by telephone at 518-474-6019. Contractor acknowledges that it will not receive payment on any invoices and/or vouchers submitted under this Contract if it does not comply with the State Comptroller's electronic payment procedures, except where the Commissioner has expressly authorized payment by paper check as set forth above.

In addition to the Electronic Payment Authorization Form, a Substitute Form W-9 must be on file with the Office of the State Comptroller, Bureau of Accounting Operations. Additional information and procedures for enrollment can be found at <http://www.osc.state.ny.us/epay>.

Completed W-9 forms should be submitted to the following address:

**NYS Office of the State Comptroller
Bureau of Accounting Operations
Warrant & Payment Control Unit
110 State Street, 9th Floor
Albany, NY 12236**

Payment of such invoices and/or vouchers by the State (NYS DOH) shall be made in accordance with Article XI-A of the New York State Finance Law.

6.6 Payment Schedule

Payments to the T&I Contractor will be based on the successful completion, submittal, and approval of the defined deliverables for each Project Phase. The IV&V Contractor and the NYWIC PM will be responsible for verifying each deliverable prior to payment.

ATTACHMENT C – Cost Proposal Workbook, includes a worksheet titled Payment Schedule that assigns a payment percentage for groups of deliverables based on the Fixed Price for the respective Project Phase. The deliverables for each Project Phase are defined in Section 3.4, Project Deliverables.

The Contractor shall be paid as described below:

1. Fixed Price Deliverable-based Payments (Phases 3-6)

The Contractor shall be paid a percentage of the Fixed Price for each Project Phase when the defined groups of deliverables are completed, submitted, and approved. Refer to Payment Schedule worksheet in ATTACHMENT C for details.

2. Post Implementation Support and Warranty Payments (Phase 7)

The Contractor shall be paid a prorated amount each month based on the Fixed Price submitted for each year of the two-year Project Phase. Monthly payments will equal one-twelfth (1/12) of the proposed Fixed Price for each twelve (12) month period specified on the Phase 7 Fixed Price worksheet in ATTACHMENT C.

3. System Change Management Tasks (Multiple Phases)

The Contractor shall be paid System Change Management fees based on the pricing submitted on the approved System Change Request. Payment will be made for each System Change Request upon completion, submittal and approval. System Change Management pricing will be based on the Fully Loaded Rates provided on the System Change Management worksheet in ATTACHMENT C, Pricing Proposal Workbook. Payment vouchers and associated invoice backup should include staff names, job categories (in conformance with the Job Category Definitions worksheet on ATTACHMENT C), number of hours worked, change request numbers, and specific tasks.

6.7 Disputes

This Dispute provision shall apply to any dispute of the parties relating to performance under this Agreement, except for liquidated damages. Any dispute concerning any question of fact or law arising under this Agreement which is not disposed of by mutual agreement of the parties shall be initially decided by the State. A copy of the written decision shall be furnished to the Contractor. Under issuance of such decision, the parties shall proceed diligently with the performance of this Agreement and shall comply with the provisions of such decision and continue to comply pending further resolution of such dispute as provided herein.

The decision of the State shall be final and conclusive unless, within ten (10) calendar days from the receipt of such decision, the Contractor furnishes a written appeal to the State. In the event of an appeal, the State shall promptly review the initial decision, and confirm, annul or modify it. The decision of the State shall be final and conclusive unless it is determined by a court of competent jurisdiction to concern one of the questions addressed in Section 7803 of the Civil Practice Law and Rules.

In connection with any appeal as provided herein, the Contractor shall be afforded an opportunity to be heard de novo and to offer evidence in support of its appeal. Pending final decision of any Article 78 proceeding hereunder, both parties shall proceed diligently with the performance of this Agreement in accordance with the State's decision.

6.8 Minority & Woman-Owned Business Enterprise Requirements

Pursuant to New York State Executive Law Article 15-A, the New York State Department of Health ("DOH") recognizes its obligation to promote opportunities for maximum feasible participation of certified minority- and women-owned business enterprises and the employment of minority group members and women in the performance of DOH contracts.

In 2006, the State of New York commissioned a disparity study to evaluate whether minority and women-owned business enterprises had a full and fair opportunity to participate in state contracting. The findings of the study were published on April 29, 2010, under the title "The State of Minority and Women-Owned Business Enterprises: Evidence from New York" ("Disparity Study"). The report found evidence of statistically significant disparities between the level of participation of minority- and women-owned business enterprises in State procurement contracting versus the number of minority- and women-owned business enterprises that were ready, willing, and able to participate in State procurements. As a result of these findings, the Disparity Study made recommendations concerning the implementation and operation of the statewide certified minority- and women-owned business enterprises program. The recommendations from the Disparity Study culminated in the enactment and implementation of New York State Executive Law Article 15-A, which requires, among other things, that the DOH establish goals for maximum feasible participation of New York State Certified minority- and women-owned business enterprises ("M/WBE") and the employment of minority group members and women in the performance of New York State contracts.

6.8.1 Business Participation Opportunities for M/WBEs

For purposes of this solicitation, the DOH hereby establishes an overall goal of **30%** for MWBE participation, **15%** for Minority-Owned Business Enterprises ("MBE") participation and **15%** for Women-Owned Business Enterprises ("WBE") participation (based on the current availability of qualified MBEs and WBEs and outreach efforts to certified MWBE firms). A contractor ("Contractor") on the subject contract ("Contract") must document good-faith efforts to provide meaningful participation by MWBEs as subcontractors or suppliers in the performance of the Contract and Contractor agrees that the DOH may withhold payment pending receipt of the required MWBE documentation. For guidance on how the DOH will determine "good-faith efforts," refer to 5 NYCRR §142.8.

The directory of New York State Certified M/WBEs can be viewed at: <https://ny.newnycontracts.com>. The directory is found in the upper right-hand side of the webpage under "Search for Certified Firms," and accessed by clicking on the link entitled "M/WBE Directory." Engaging with firms found in the directory with like product(s) and/or service(s) is strongly encouraged, and all communication efforts and responses should be well documented.

By submitting a bid, a Bidder agrees to complete an M/WBE Utilization Plan (ATTACHMENT F, Form #1) of this RFP. The DOH will review the submitted M/WBE Utilization Plan. If the plan is not accepted, the DOH may issue a notice of deficiency. If a notice of deficiency is issued, Bidder agrees that it shall respond to the notice of deficiency

within seven business days of receipt. The DOH may disqualify a Bidder as being non-responsive under any of the following circumstances:

- Bidder fails to submit an M/WBE Utilization Plan
- Bidder fails to submit a written remedy to a notice of deficiency
- Bidder fails to submit a request for waiver (if applicable)
- DOH determines that the Bidder has failed to document good-faith efforts

The Contractor will be required to attempt to utilize, in good faith, any MBE or WBE identified within its MWBE Utilization Plan, during the performance of the Contract. Requests for a partial or total waiver of established goal requirements made subsequent to Contract Award may be made to the DOH at any time during the term of the Contract but must be made no later than prior to the submission of a request for final payment on the Contract.

The Contractor will be required to submit a Contractor's Quarterly M/WBE Contractor Compliance & Payment Report to the DOH by the 10th day following each end of quarter over the term of the Contract, documenting the progress made toward achievement of the MWBE goals of the Contract.

If the Contractor is found to have willfully and intentionally failed to comply with the M/WBE participation goals set forth in the Contract, such finding will constitute a breach of Contract, and the DOH may withhold payment from the Contractor as liquidated damages.

Such liquidated damages shall be calculated as an amount equaling the difference between all sums identified for payment to M/WBEs, had the Contractor achieved the contractual M/WBE goals, and all sums actually paid to M/WBEs for work performed or materials supplied under the Contract.

New York State certified Minority- and Women-Owned Businesses (M/WBE) may request that their firm's contact information be included on a list of M/WBE firms interested in serving as a subcontractor for this procurement. The listing will be publicly posted on the DOH's website for reference by the bidding community. A firm requesting inclusion on this list should send contact information and a copy of its NYS M/WBE certification to TI.RFP@health.ny.gov before the Deadline for Questions, as specified in Section 1, CALENDAR OF EVENTS of Events. Nothing prohibits an M/WBE Contractor from proposing as a prime contractor.

Please Note: Failure to comply with the foregoing requirements may result in a finding of non-responsiveness, non-responsibility, and/or a breach of the Contract leading to the withholding of funds, suspension or termination of the Contract, or such other actions or enforcement proceedings as allowed by the Contract.

6.9 Equal Employment Opportunity (EEO) Reporting

By submission of a bid in response to this solicitation, the Bidder agrees with all of the terms and conditions of ATTACHMENT E, Appendix A including Clause 12 - Equal Employment Opportunities for Minorities and Women. Additionally, the successful bidder will be required to certify they have an acceptable EEO (Equal Employment Opportunity) policy statement in accordance with Section III of ATTACHMENT E, Appendix M.

Further, pursuant to Article 15 of the Executive Law (the "Human Rights Law"), and all other State and Federal statutory and constitutional non-discrimination provisions, the Contractor and sub-contractor(s) will not discriminate against any employee or applicant for employment because of race, creed (religion), color, sex, national origin, sexual orientation, military status, age, disability, predisposing genetic characteristic, marital status, or domestic violence victim status, and shall also follow the requirements of the Human Rights Law with regard to non-discrimination on the basis of prior criminal conviction and prior arrest.

The Contractor is required to ensure that it, and any subcontractor(s) awarded a subcontract of more than \$25,000 for the construction, demolition, replacement, major repair, renovation, planning, or design of real property and improvements thereon (the "Work"), except where the Work is for the beneficial use of the Contractor, undertake or continue programs to ensure that minority group members and women are afforded equal employment opportunities without discrimination because of race, creed (religion), color, national origin, sexual orientation, age, disability, or marital status. For these purposes, equal opportunity shall apply in the areas of recruitment, employment, job assignment, promotion, upgrading, demotion, transfer, layoff, termination, and rates of pay or other forms of

compensation. This requirement does not apply to: (1) work, goods, or services unrelated to the Contract; or (2) employment outside of New York State.

To ensure compliance with this Section, the Bidder should submit with the bid or proposal an Equal Employment Opportunity Staffing Plan (ATTACHMENT F, Form #4) identifying the anticipated workforce to be utilized on the Contract. Additionally, the Bidder should submit a Minority and Women-Owned Business Enterprises and Equal Employment Opportunity Policy Statement (ATTACHMENT F, Form # 5), to the DOH with their bid or proposal.

6.10 Sales and Compensating Use Tax Certification (Tax Law, §5-a)

Section 5-a of the Tax Law, as amended, effective April 26, 2006, requires certain contractors awarded State contracts for commodities, services, and technology valued at more than \$100,000 to certify to the Department of Tax and Finance (DTF) that they are registered to collect New York State and local sales and compensating use taxes. The law applies to contracts where the total amount of such contractor's sales delivered into New York State are in excess of \$300,000 for the four quarterly periods immediately preceding the quarterly period in which the certification is made, and with respect to any affiliates and subcontractors whose sales delivered into New York State exceeded \$300,000 for the four quarterly periods immediately preceding the quarterly period in which the certification is made.

This law imposes upon certain contractors the obligation to certify whether or not the contractor, its affiliates, and its subcontractors are required to register to collect State sales and compensating use tax, and contractors must certify to the DTF that each affiliate and subcontractor exceeding such sales threshold is registered with the DTF to collect New York State and local sales and compensating use taxes. The law prohibits the State Comptroller, or other approving agencies, from approving a contract awarded to an offerer meeting the registration requirements but who is not so registered in accordance with the law.

The successful Bidder must file a properly completed Form ST-220-CA with the DOH and Form ST-220-TD with the DTF. These requirements must be met before a contract may take effect. Further information can be found at the DTF's website, at: <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>. Forms are available through the below links:

- ST-220 CA: http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf
- ST-220 TD: http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf

6.11 Workers' Compensation and Disability Benefits Certifications

Sections 57 and 220 of the New York State Workers' Compensation Law (WCL) provide that the DOH shall not enter into any contract unless proof of Workers' Compensation and disability benefits insurance coverage is produced. Prior to entering into a contract with the DOH, successful Bidders will be required to verify for the DOH, on forms authorized by the New York State Workers' Compensation Board, that they are properly insured or are otherwise in compliance with the insurance provisions of the WCL. The forms to be used to show compliance with the WCL are listed below. Any questions relating to either Workers' Compensation or disability benefits coverage should be directed to the State of New York Workers' Compensation Board, Bureau of Compliance, at (518) 486-6307. Failure to provide verification of either of these types of insurance coverage by the time contracts are ready to be executed will be grounds for disqualification of an otherwise successful Proposal.

The successful Bidder must submit the following documentation before a contract may take effect.

ONE (1) of the following forms as Workers' Compensation documentation:

A. Proof of Workers' Compensation Coverage:

1. **Form C-105.2** – Certificate of Workers' Compensation Insurance issued by private insurance carrier (or Form U-26.3 issued by the State Insurance Fund); or
2. **Form SI-12** – Certificate of Workers' Compensation Self-Insurance (or Form GSI-105.2 Certificate of Participation in Workers' Compensation Group Self-Insurance); or
3. **Form CE-200** – Certificate of Attestation of Exemption from New York State Workers' Compensation and/or Disability Benefits Coverage.

B. Proof of Disability Benefits Coverage:

ONE (1) of the following forms as Disability documentation:

1. **Form DB-120.1** – Certificate of Disability Benefits Insurance; or
2. **Form DB-155** – Certificate of Disability Benefits Self-Insurance; or
3. **Form CE-200** – Certificate of Attestation of Exemption from New York State Workers' Compensation and/or Disability Benefits Coverage.

Further information is available at the Workers' Compensation Board's website, at <http://www.wcb.ny.gov>.

6.12 Subcontracting

Bidders may propose the use of a subcontractor. The Contractor shall obtain prior written approval from the DOH before entering into an agreement for services to be provided by a subcontractor. The Contractor is solely responsible for ensuring that the requirements of the RFP are met. All subcontracts shall contain provisions specifying that the work performed by the subcontractor must be in accordance with the terms of the prime contract and that the subcontractor specifically agrees to be bound by the confidentiality provisions set forth in the agreement between the DOH and the Contractor. The DOH reserves the right to request the removal of any Bidder staff or subcontractor staff if, in the DOH's discretion, such staff is not performing in accordance with the Agreement. Subcontractors whose contracts are valued at or above \$100,000 will be required to submit the Vendor Responsibility Questionnaire upon selection of the prime contractor.

6.13 DOH's Reserved Rights

The Department of Health reserves the right to:

1. Reject any or all proposals received in response to the RFP;
2. Withdraw the RFP at any time, at the agency's sole discretion;
3. Make an award under the RFP in whole or in part;
4. Disqualify any bidder whose conduct and/or proposal fails to conform to the requirements of the RFP;
5. Seek clarifications and revisions of proposals;
6. Use proposal information obtained through site visits, management interviews and the state's investigation of a bidder's qualifications, experience, ability or financial standing, and any material or information submitted by the bidder in response to the agency's request for clarifying information in the course of evaluation and/or selection under the RFP;
7. Prior to the bid opening, amend the RFP specifications to correct errors or oversights, or to supply additional information, as it becomes available;
8. Prior to the bid opening, direct bidders to submit proposal modifications addressing subsequent RFP amendments;
9. Change any of the scheduled dates;
10. Eliminate any mandatory, non-material specifications that cannot be complied with by all of the prospective bidders;
11. Waive any requirements that are not material;
12. Negotiate with the successful bidder within the scope of the RFP in the best interests of the state;
13. Conduct contract negotiations with the next responsible bidder, should the Department be unsuccessful in negotiating with the selected bidder;
14. Utilize any and all ideas submitted in the proposals received;
15. Every offer shall be firm and not revocable for a period of three hundred and sixty-five days from the bid opening, to the extent not inconsistent with section 2-205 of the uniform commercial code. Subsequent to such three hundred and sixty- five days, any offer is subject to withdrawal communicated in a writing signed by the offerer; and,
16. Require clarification at any time during the procurement process and/or require correction of arithmetic or other apparent errors for the purpose of assuring a full and complete understanding of an offerer's proposal

and/or to determine an offerer's compliance with the requirements of the solicitation.

6.14 Freedom of Information Law ("FOIL")

All proposals may be disclosed or used by the DOH to the extent permitted by law. The DOH may disclose a proposal to any person for the purpose of assisting in evaluating the proposal or for any other lawful purpose. All proposals will become State agency records, which will be available to the public in accordance with the Freedom of Information Law. **Any portion of the proposal that a Bidder believes constitutes proprietary information entitled to confidential handling, as an exception to the Freedom of Information Law, must be clearly and specifically designated in the proposal.** If the DOH agrees with the proprietary claim, the designated portion of the proposal will be withheld from public disclosure. Blanket assertions of proprietary material will not be accepted, and failure to specifically designate proprietary material may be deemed a waiver of any right to the confidential handling of such material.

6.15 Lobbying

Chapter 1 of the Laws of 2005, as amended by Chapter 596 of the Laws of 2005, made significant changes as it pertains to development of procurement contracts with governmental entities. Those changes included:

- a) Made the lobbying law applicable to attempts to influence procurement contracts once the procurement process has been commenced by a state agency, unified court system, state legislature, public authority, certain industrial development agencies and local benefit corporations;
- b) Required the above-mentioned governmental entities to record all contacts made by lobbyists and contractors about a governmental procurement so that the public knows who is contacting governmental entities about procurements;
- c) Required governmental entities to designate persons who generally may be the only staff contacted relative to the governmental procurement by that entity in a restricted period;
- d) Authorized the New York State Commission on Public Integrity, (now New York State Joint Commission on Public Ethics), to impose fines and penalties against persons/organizations engaging in impermissible contacts about a governmental procurement and provides for the debarment of repeat violators;
- e) Directed the Office of General Services to disclose and maintain a list of non-responsible bidders pursuant to this new law and those who have been debarred and publish such list on its website;
- f) Required the timely disclosure of accurate and complete information from offerers with respect to determinations of non-responsibility and debarment; (Bidders responding to this RFP should submit a completed and signed ATTACHMENT G, "Prior Non-Responsibility Determination");
- g) Increased the monetary threshold which triggers a lobbyist obligations under the Lobbying Act from \$2,000 to \$5,000; and
- h) Established the Advisory Council on Procurement Lobbying.

Subsequently, Chapter 14 of the Laws of 2007 amended the Lobbying Act of the Legislative Law, particularly as it related to specific aspects of procurements as follows: (i) prohibiting lobbyists from entering into retainer agreements on the outcome of government grant making or other agreement involving public funding; and (ii) reporting lobbying efforts for grants, loans, and other disbursements of public funds over \$15,000.

The most notable, however, was the increased penalties provided under Section 20 of Chapter 14 of the Laws of 2007, which replaced old penalty provisions, and the addition of a suspension option for lobbyists engaged in repeated violations. Further amendments to the Lobbying Act were made in Chapter 4 of the Laws of 2010.

Questions regarding the registration and operation of the Lobbying Act should be directed to the New York State Joint Commission on Public Ethics.

6.16 State Finance Law Consultant Disclosure Provisions

In accordance with New York State Finance Law Section 163(4)(g), State agencies must require all contractors, including subcontractors, who provide consulting services for State purposes pursuant to a contract, to submit an annual employment report for each such contract.

The successful Bidder for procurements involving consultant services must complete a "State Consultant Services Form A, Contractor's Planned Employment From Contract Start Date through End of Contract Term" in order to be eligible for a contract.

The successful Bidder must also agree to complete a "State Consultant Services Form B, Contractor's Annual Employment Report" for each State fiscal year included in the resulting contract. This report must be submitted annually to the Department of Health, the Office of the State Comptroller, and the Department of Civil Service.

State Consultant Services Form A, Contractor's Planned Employment Form Contract Start Date through End of Contract Term, and Form B, Contractor's Annual Employment Report, may be accessed electronically at: <http://www.osc.state.ny.gov/procurement>.

6.17 Debriefing

Once an award has been made, Bidders may request a debriefing of their proposal. Please note that the debriefing will be limited only to the strengths and weaknesses of the Bidder's proposal and will not include any discussion of other proposals. Requests must be received no later than ten business days from date of award or non-award announcement.

6.18 Protest Procedures

In the event that unsuccessful Bidders wish to protest the award resulting from this RFP, Bidders should follow the protest procedures established by the Office of the State Comptroller (OSC). These procedures can be found in Chapter XI Section 17 of the Guide to Financial Operations (GFO), available on-line at: <http://www.osc.state.ny.us/agencies/guide/MyWebHelp>.

6.19 Iran Divestment Act

By submitting a bid in response to this solicitation, or by assuming the responsibility of a Contract awarded hereunder, Bidder/Contractor (or any assignee) certifies that it is not on the "Entities Determined To Be Non-Responsive Bidders/Offerers Pursuant to The New York State Iran Divestment Act of 2012" list ("Prohibited Entities List") posted on the OGS website (currently found at: <http://www.ogs.ny.gov/about/regs/docs/ListofEntities.pdf>) and further certifies that it will not utilize on such Contract any subcontractor that is identified on the Prohibited Entities List. Additionally, Bidder/Contractor is advised that, should it seek to renew or extend a Contract awarded in response to the solicitation, it must provide the same certification at the time the Contract is renewed or extended.

During the term of the Contract, should the DOH receive information that a person (as defined in State Finance Law §165-a) is in violation of the above-referenced certifications, the DOH will review such information and offer the person an opportunity to respond. If the person fails to demonstrate that it has ceased its engagement in the investment activity that is in violation of the Act within 90 days after the determination of such violation, then the DOH shall take such action as may be appropriate and provided for by law, rule, or contract, including but not limited to seeking compliance, recovering damages, or declaring the Contractor in default. The DOH reserves the right to reject any bid, request for assignment, renewal, or extension for an entity that appears on the Prohibited Entities List prior to the award, assignment, renewal, or extension of a contract and to pursue a responsibility review with respect to any entity that is awarded a contract and appears on the Prohibited Entities list after contract award.

6.20 Piggybacking

New York State Finance Law §163(10)(e) (see also <https://nyspro.ogs.ny.gov/content/piggybacking-using-other-existing-contracts>) allows the Commissioner of the NYS Office of General Services to consent to the use of this contract by other New York State Agencies and other authorized purchasers (for example a NYS Agency or any other entity authorized by the laws of the State of New York; including, but not limited to, local governments, public

benefit corporations and governmental organization such as schools and public authorities), subject to conditions and the Contractor's consent.

6.21 Encouraging Use of New York Businesses in Contract Performance

Public procurements can drive and improve the State's economic engine through promotion of the use of New York businesses by its contractors. New York State businesses have a significant presence in State contracts and strongly contribute to the economies of the State and the nation. In recognition of their economic activity and leadership in doing business in New York State, Bidders/Proposers for this contract for commodities, services, or technology are strongly encouraged and expected to consider New York State businesses in the fulfillment of the requirements of the contract. Such partnering may be as subcontractors, suppliers, protégés, or other supporting roles. All Bidders should complete Encouraging Use of New York Businesses in Contract Performance, to indicate their intent to use/not use New York Businesses in the performance of this contract.

7. PROPOSAL CONTENT

The following describes the requested format and information to be provided by each Bidder. Bidders responding to this RFP must satisfy all requirements stated in this RFP. All Bidders are requested to submit complete Administrative, Technical, and Cost proposals. A proposal that is incomplete in any material respect may be rejected.

To expedite review of the proposals, Bidders are requested to submit proposals in separate Administrative, Technical, and Cost packages, inclusive of all materials as summarized in ATTACHMENT B, Proposal Documents. This separation of information will facilitate the review of the material requested. No information beyond that specifically requested is required, and Bidders are requested to keep their submissions to the shortest length consistent with making a complete presentation of qualifications. Evaluations of the Administrative, Technical, and Cost Proposals received in response to this RFP will be conducted separately. Bidders are, therefore, cautioned not to include any Cost Proposal information in the Administrative or Technical Proposal documents.

The DOH will not be responsible for expenses incurred in preparing and submitting the Administrative, Technical, or Cost Proposals. Such costs should not be included in the Proposal.

7.1 Administrative Proposal

The Administrative Proposal should contain all requirements listed below. A proposal that is incomplete in any material respect may be eliminated from consideration. The information requested should be provided in the prescribed format. Responses that do not follow the prescribed format may be eliminated from consideration. All responses to the RFP may be subject to verification for accuracy. The Bidder should provide these forms in the same order in which they are listed here.

A. M/WBE Forms

Submit a completed Form #1 and/or Form #2, Form #4, and Form #5 as directed in Attachment F, "New York State DOH M/WBE RFP Required Forms."

B. Bidder's Disclosure of Prior Non-Responsibility Determinations

Submit a completed and signed Attachment G, "Prior Non-Responsibility Determination."

C. Contractor Responsibility Questionnaire

Complete, certify, and file a **New York State Contractor Responsibility Questionnaire**. The DOH recommends that contractors file the required Contractor Responsibility Questionnaire online via the New York State VendRep System. To enroll in and use the New York State VendRep System, see the VendRep System Instructions at www.osc.state.ny.us/vendrep/contractor_index.htm, or go directly to the VendRep System online at <https://portal.osc.state.ny.us>.

Provide their New York State Contractor Identification Number when enrolling. To request assignment of a Contractor ID or for VendRep System assistance, contact the OSC Help Desk at 866-370-4672 or 518-408-4672, or by email at ciohelpdesk@osc.state.ny.us.

Bidders opting to complete and submit a paper questionnaire can obtain the appropriate questionnaire from the VendRep website at www.osc.state.ny.us/vendrep, or may contact the Office of the State Comptroller's Help Desk for a copy of the paper form.

The Bidders should complete and submit the Contractor Responsibility Attestation Attachment J.

D. Freedom of Information Law – Proposal Redactions

The Bidder should clearly and specifically identify any portion of the proposal that the Bidder believes constitutes proprietary information entitled to confidential handling as an exception to the Freedom of Information Law. See Section 6.14, (Freedom of Information Law).

E. Bidder's Certified Statements

Submit Attachment A, **Bidder's Certified Statements**, which includes information regarding the Bidder. Attachment A must be signed by an individual authorized to bind the Bidder contractually. Please indicate the title or position that the signer holds with the Bidder. The DOH reserves the right to reject a proposal that contains an incomplete or unsigned Attachment A or no Attachment A.

F. References

Provide references using Attachment D (References) for three prior MIS-EBT projects, other similar EBT projects, or similar large-scale State or Federal Government enterprise IT system projects. Provide firm names, addresses, contact names, telephone numbers, and email addresses. The Bidder shall also provide at least one reference for each proposed subcontractor.

G. Encouraging Use of New York Businesses in Contract Performance

Submit ATTACHMENT H, Encouraging Use of New York State Businesses in Contract Performance to indicate which New York Businesses you will use in the performance of the contract.

7.2 Technical Proposal

The purpose of the Technical Proposal is to demonstrate the qualifications, competence, and capacity of the Bidder to perform the services contained in this RFP. The Technical Proposal should demonstrate the qualifications of the Bidder and of the staff to be assigned to provide the services included in this RFP.

A Technical Proposal that is incomplete in any material respect may be eliminated from consideration. The following outlines the information to be provided by Bidders, in the following order. The information requested should be provided in the prescribed format. Responses that do not follow the prescribed format may be eliminated from consideration. All responses to the RFP shall be subject to verification for accuracy.

While additional data may be presented, the following should be included. Please provide the information in the same order in which it is requested. The Bidder's proposal should contain sufficient information to assure the DOH of its accuracy. Failure to follow these instructions may result in disqualification.

Cost information cannot be included in the Technical Proposal documents.

A. Title Page

The Title Page should identify the RFP subject and number; the Bidder's name and address, the name, address, telephone number, and email address of the Bidder's contact person; and the date of the Proposal.

B. Table of Contents

The Table of Contents should identify each major section of the Bidder's proposal, along with its initial-page number. It should also include all attachments or addendums to the Proposal.

C. Executive Summary

The Bidder should provide a brief and concise summary of its proposal.

D. Minimum Qualifications

The Bidder should provide documentation proving it meets the requirements defined in section 5.1 Minimum Qualifications.

E. Quality of Bidder's Experience

In addition to meeting the Minimum Qualifications in Section 5.1, the Bidder is encouraged to elaborate and provide qualitative details about its experience transferring and implementing MIS systems, with preference given those Bidders with WIC MIS systems experience. The Bidder may also describe its experience implementing financial management or other large, complex enterprise systems, with preference given to those Bidders with State or Federal Government implementation experience. Similar experience in the private sector should also be included.

F. Technical Proposal

The Bidder should describe its approach to executing the project and achieving all required deliverables including:

- How its project management experience, practices, and procedures will ensure a successful project.
- How its approach to software design, development, and testing will ensure a quality product and timely completion.
- How it will approach developing and testing the defined NYS customizations for the five MIS modules (defined in Appendix 1 and Appendix 2).
- How its knowledge and expertise will ensure compliance with NYS Security, Codes, and Standards and with USDA/FNS functional requirements and implementation guidelines for this combined MIS-EBT project.
- How it will approach System Change Management to implement approved modifications and enhancements to the system throughout the term of the contract.
- How its approach for training and knowledge transfer will prepare NYS staff to assume ongoing operation and maintenance of the delivered system.
- How its approach for support and warranty will ensure satisfactory results for all system users.

G. Staffing

The Bidder should provide a staffing plan that includes at a minimum:

- Details of how staffing will be provided to meet the project deliverables over the entire lifecycle of the engagement.
- Defines the number of staff including Key Personnel that will be working on-site, as well as any support staff working from any remote location for each phase of the project. The remote location(s) of any support staff should be identified.
- Summarizes their methods to obtain Key Project Staff and other staff with the expertise and skill levels required to perform the core duties.
- Define any assumptions that the Bidder has made about the expected level of effort of NYS staff on the project.

7.3 Cost Proposal

Submit a completed and signed Attachment C – Cost Proposal Workbook. The Cost Proposal shall comply with the mandatory format and content requirements as detailed in this document and in Attachment C. Failure to comply with the mandatory format and content requirements will result in disqualification.

The bid price shall cover the cost of furnishing all of the defined services and deliverables, including but not limited to materials, equipment, travel expenses, and training facilities, as well as profit and labor to the satisfaction of the Department of Health, and the performance of all work set forth in said specifications.

The Cost Proposal Workbook requires the Bidder to provide pricing as follows:

- Phase 3 Design & Development Fixed Price
- Phase 4 Testing Fixed Price
- Phase 5 Pilot & Evaluation Fixed Price
- Phase 6 Statewide Implementation Fixed Price
- Phase 7 Post-implementation Support & Warranty Fixed Price
- Above Fixed Prices shall include the cost of customizations including: (see Appendix 1 and Appendix 2)
 - Clinic Module Customizations
 - Vendor Module Customizations
 - State-Only Module Customizations
 - Admin Module Customizations
 - Case Management Module Development
 - Hourly Rates for System Change Management

The Total Bid Price submitted in ATTACHMENT C - Cost Proposal Workbook - Pricing Summary worksheet will be used for the cost evaluation.

7.4 Bidder Presentations

Bidders susceptible to an award will be invited to make an in-person presentation to the Technical Evaluation Committee to address the topics defined below. Bidders should be prepared to travel to Menands, New York to conduct their presentation within approximately two (2) to three (3) weeks after notification. Bidders will be responsible for all cost associated with their presentation, including but not limited to making and paying for their own travel arrangements.

Each Invited Bidder will have two (2) hours to make a presentation addressing the following topics:

- Illustrate and explain using a process flow diagram how it will approach design and development of the five (5) MIS modules including the customizations (defined in Appendix 1 and 2)
- Describe a prior MIS project that encountered problems and explain through use of a diagram how its managerial processes were applied to successfully resolve them.
- Explain using a diagram how its practices and procedures for risk and change management will be implemented throughout the project lifecycle.
- Identify which of the project phases poses the greatest risk to meeting the schedule and illustrate diagrammatically how it will mitigate these risks.

All slides and other documents shown or distributed during the Bidder Presentations will be included in the contract award documents. At a minimum, the Bidder in-person presentation team should include the proposed Engagement Manager and the Project Manager (as described in Section 3.11.1 Key Personnel).

The DOH will not be responsible for expenses incurred in preparing, traveling, or delivering the Bidder Presentations. Such costs should not be included in the Proposal.

8. PROPOSAL SUBMISSION

A proposal consists of three distinct parts: (1) Administrative Proposal; (2) Technical Proposal; and (3) Cost Proposal. The table below outlines the required format and volume for submission of each part. Proposals should be submitted in all formats as prescribed below.

Table 11 - Proposal Submission Requirements

	Electronic Submission	Original	Copies
Administrative Proposal	Two (2) copies in a standard searchable PDF format on a flash drive, with copy/read permissions only	Three (3) Original Hard Copies	Three (3) Hard Copies
Technical Proposal	Two (2) copies in a standard searchable PDF format on a flash drive, with copy/read permissions only	Three (3) Original Hard Copies	Ten (10) Hard Copies
Cost Proposal	Two (2) copies in a standard searchable PDF format on a flash drive, with copy/read permissions only	Three (3) Original Hard Copies	Three (3) Hard Copies

- All hard copy proposal materials should be printed on 8.5" x 11" white paper (two-sided) and **be clearly numbered on the bottom of each page, with appropriate header and footer information.** A type size of eleven (11) points or larger shall be used. The Technical Proposal materials should be presented in three-ring binder(s), separate from the sealed Cost Proposal. The sealed Cost Proposal shall be presented in separate three-ring binder(s).
- Where signatures are required, the proposals designated as originals shall have a handwritten signature and be signed in ink.
- The DOH discourages overly lengthy proposals. Therefore, marketing brochures, user manuals, or other materials beyond those sufficient to present a complete and effective proposal are not desired. Elaborate artwork or expensive paper is not necessary or desired. In order for the DOH to evaluate proposals fairly and completely, proposals shall follow the format set out below to provide all requested information. The Bidder shall not repeat information in more than one section of the proposal. If information in one section of the proposal is relevant to a discussion in another section, the Bidder shall make specific reference to the other section, rather than repeating the information.
- Audio and/or videotapes are not allowed. Any submitted audio or videotapes will be ignored by the evaluation team.
- In the event that a discrepancy is found between the electronic and hardcopy proposal, the original hardcopy will prevail.

The complete proposal must be received by NYS DOH no later than the Deadline for Submission of Proposals specified in Section 1. (CALENDAR OF EVENTS). Late bids will not be considered.

Proposals shall be submitted in three (3) separate, clearly labeled packages: (1) Administrative Proposal, (2) Technical Proposal, and (3) Cost Proposal, prepared in accordance with the requirements stated in this RFP. Mark the outside envelope of each proposal as "RFP#16593 - Special Supplemental Nutrition Program for Women, Infants, and Children (WIC), Management Information System (MIS), Transfer and Implementation Services RFP – (Administrative), (Technical), or (Cost) Proposal submitted by (Bidder's name)." The three sealed proposals may be combined into one mailing, if desired.

Proposals must be submitted, by U.S. Mail, by courier/delivery service (FedEx, UPS, etc.), or by hand as noted below, in a sealed package to:

Department of Health (RFP #16593)
 Attention: Patricia Colomb
 Bureau of Supplemental Food Programs
 New York State Department of Health
 Riverview Center, 150 Broadway, Suite 650
 Menands, NY 12204

NOTE: You should request a receipt containing the time and date received and the signature of the receiver for all hand-deliveries and ask that this information also be written on the package(s).

Submission of proposals in a manner other than as described in these instructions (e.g., fax, electronic transmission) will not be accepted.

8.1 No Bid Form

Bidders choosing not to bid are requested to complete the No-Bid form Attachment I.

9. METHOD OF AWARD

9.1 General Information

The DOH will evaluate each proposal based on the “Best Value” concept. This means that the proposal that best “optimizes quality, cost, and efficiency among responsive and responsible offerers” shall be selected for award (State Finance Law, Article 11, §163(1)(j)).

The DOH, at its sole discretion, will determine which proposal(s) best satisfies its requirements. The DOH reserves all rights with respect to the award. All proposals deemed to be responsive to the requirements of this procurement will be evaluated and scored for technical qualities and cost. Proposals failing to meet the requirements of this document may be eliminated from consideration. The evaluation process will include separate technical and cost evaluations, and the result of each evaluation shall remain confidential until both evaluations have been completed and a selection of the winning proposal is made.

The evaluation process will be conducted in a comprehensive and impartial manner, as set forth herein, by an Evaluation Committee. The Technical Proposal and compliance with other RFP requirements (other than the Cost Proposal) will be weighted at 70% of a proposal’s total score (sixty (60) points for Technical Evaluation and ten (10) points for the Presentation), and the information contained in the Cost Proposal will be weighted at 30% of a proposal’s total score.

Bidders may be requested by the DOH to clarify the contents of their proposals. Other than to provide such information as may be requested by the DOH, no Bidder will be allowed to alter its proposal or add information after the Deadline for Submission of Proposals listed in Section 1, CALENDAR OF EVENTS of Events.

In the event of a tie, the determining factors for award, in descending order, will be: (1) lowest cost; and (2) proposed percentage of M/WBE participation.

For all bids, and as part of the bid review process, the DOH reserves the right to interview proposed project participants.

9.2 Submission Review

The DOH will examine all proposals that are received in a proper and timely manner to determine if they meet the proposal submission requirements, as described in Section 7 (PROPOSAL CONTENT Content) and Section 8 (PROPOSAL SUBMISSION Submission), and include the proper documentation, including all documentation required for the Administrative Proposal, as stated in this RFP. Proposals that are materially deficient in meeting the submission requirements or have omitted material documents, in the sole opinion of the DOH, may be rejected.

9.3 Technical Evaluation

A Technical Evaluation Committee comprised of ITS and DOH WIC program staff will review and evaluate all proposals that meet the Minimum Qualifications, defined in Section 5.1.

The Technical Evaluation Committee members will independently score each Technical Proposal that meets the submission requirements of this RFP. They will also evaluate the Bidder Presentations defined in Section 7.4.

The Technical Evaluation is 70% (up to 70 points) of the final score. This includes 60 points for the Technical Proposals and 10 points for the finalists’ Bidder Presentations.

9.4 Cost Evaluation

The Cost Evaluation Committee will review and evaluate all Cost Proposal documents. The Cost Proposals will be opened and reviewed for responsiveness to cost requirements. If a cost proposal is found to be non-responsive, that proposal will not receive a cost score and will be eliminated from consideration.

Each proposal that meets the submission requirements, and meets the Cost Proposal requirements will receive a cost score. The Cost Proposal will be scored based on a maximum of 30 points. The Total Bid Price submitted in ATTACHMENT C - Cost Proposal Workbook - Pricing Summary worksheet will be used for the cost evaluation.

The maximum cost score will be allocated to the proposal with the lowest all-inclusive not-to-exceed maximum price. All other responsive proposals will receive a proportionate score based on the relation of their Cost Proposal to the proposals offered at the lowest final cost, using this formula:

$C = (A/B) * 30$ points
A is Total price of lowest cost proposal;
B is Total price of cost proposal being scored; and
C is the Cost score.

The Cost Evaluation is 30% (up to 30 points) of the final score.

9.5 Preliminary Composite Score

A preliminary composite score will be calculated by the DOH by adding the Technical Proposal points and the Cost Proposal points. Finalists will be determined based on the preliminary composite.

9.6 Bidder Presentation Evaluation

Finalist, those bidders susceptible to award, will be eligible to provide an oral presentation to the evaluation committee. The Bidder Presentation will address the topics defined in Section 7.4 Bidder Presentations. Presentations will be conducted at DOH offices in Menands, New York. There will be up to 10 points awarded for finalists' Bidder Presentations.

9.7 Final Composite Score

A final composite score will be calculated by the DOH by adding Preliminary Composite Score with the Oral Presentation score. The proposals will then be ranked based upon each Bidder's Final Composite Score. The highest scoring proposal will be eligible for award.

9.8 Reference Checks

The Bidder will submit references using Attachment D (References). At the discretion of the Evaluation Committee, references may be checked at any point during the RFP process.

9.9 Best and Final Offers

The DOH reserves the right to request best and final offers. In the event the DOH exercises this right, selected Bidders who were susceptible to an award will be asked to provide a best and final offer. Bidders will be informed that, should they choose not to submit a best and final offer, the offer submitted with their proposal will be construed as their best and final offer.

9.10 Award Recommendation

The Evaluation Committee will submit a recommendation for award to the Finalist with the highest composite score whose experience and qualifications have been verified.

The DOH will notify the awarded Bidder and Bidders not awarded. The awarded Bidder will enter into a written Agreement substantially in accordance with the terms of ATTACHMENT E - DOH Contract Agreement, to provide the required services as specified in this RFP. The resultant contract shall not be binding until fully executed and approved by the New York State Office of the Attorney General and the Office of the State Comptroller.

10. LIST OF ATTACHMENTS

- A Bidder's Certified Statements
- B Proposal Document Checklist
- C Cost Proposal Workbook
- D References
- E DOH Agreement
- F Guide to New York State DOH M/WBE Required Forms & Forms
- G Bidder's Disclosure of Prior Non-Responsibility Determination
- H Encouraging Use of New York Businesses in Contract Performance
- I No-Bid Form
- J Contractor Responsibility Attestation

11. ATTACHMENT A

11.1 Bidder's Certified Statements

To be completed and included in the Administrative Proposal documents

RFP#16593 - Special Supplemental Nutrition Program for Women, Infants, and Children (WIC), Management Information System (MIS), Transfer and Implementation Services RFP
1. Information with regard to the Bidder
A. Provide the Bidder's name, address, telephone number, and fax number.
Name: Click here to enter text.
Address: Click here to enter text.
City, State, ZIP Code: Click here to enter text.
Telephone Number (including area code): Click here to enter text.
Fax Number (including area code): Click here to enter text.
B. Provide the name, address, telephone number, and email address of the Bidder's Primary Contact with DOH with regard to this proposal.
Name: Click here to enter text.
Address: Click here to enter text.
City, State, ZIP Code: Click here to enter text.
Telephone Number (including area code): Click here to enter text.
Email Address: Click here to enter text.
2. By submitting the bid the Bidder acknowledges and agrees to all of the following: [Please note: alteration of any language contained in this section may render your proposal non-responsive.]
Bidder certifies that either there is no conflict of interest or that there are business relationships and /or ownership interests for the organization for the above named organization that may represent a conflict of interest for the organization as a bidder and attached to this form is a description of how the potential conflict of interest and/or disclosure of confidential information relating to this contract will be avoided.
The Bidder certifies that it can and will provide and make available, at a minimum, all services as described in the RFP if selected for award.
Bidder acknowledges that, should any alternative proposals or extraneous terms be submitted with the proposal, such alternate proposals or extraneous terms will not be evaluated by the DOH.
Bidder accepts, without any added conditions, qualifications or exceptions, the contract terms and conditions contained in this RFP including any exhibits and attachments.

The bidder is either registered to do business in NYS, or if formed or incorporated in another jurisdiction than NYS, can provide a Certificate of Good Standing from the applicable jurisdiction or provide an explanation, subject to the sole satisfaction of the Department, if a Certificate of Good Standing is not available, and if selected, the vendor will register to do business in NYS.

<<ADD ANY Additional ATTESTATIONS OR Information Required SPECIFIC TO THIS RFP>>

The Contractor shall attest to compliance with the NYS Security, Codes and Standards; and the USDA/FNS requirements as defined in Appendix 3 – Reference.

A. The Bidder is (check as applicable):

- A New York State Certified Minority-Owned Business Enterprise
- A New York State Certified Woman-Owned Business Enterprise
- A New York State Certified Minority and Woman-Owned Business Enterprise (Dual Certified)
- None of the above

B. Provide the name, title, address, telephone number, and email address of the person authorized to receive Notices with regard to the contract entered into as a result of this procurement. See Section __ of the DOH Agreement (Attachment E), NOTICES.

Name: Click here to enter text.

Title: Click here to enter text.

Address: Click here to enter text.

City, State, ZIP Code: Click here to enter text.

Telephone Number (including area code): Click here to enter text.

Email Address: Click here to enter text.

C. Bidder's Taxpayer Identification Number:

Click here to enter text.

D. Bidder's NYS Vendor Identification Number as discussed in Section 6.1.F, if enrolled:

Click here to enter text.

By my signature on this Attachment A, I certify to the statements made above in Section 2 and that I am authorized to bind the Bidder contractually. Furthermore, I certify that all information provided in connection with its proposal is true and accurate.

Typed or Printed Name of Authorized Representative of the Bidder

Title/Position of Authorized Representative of the Bidder

<hr/>
Signature of Authorized Representative of the Bidder
<hr/>
Date
<hr/>

12. ATTACHMENT B

12.1 Proposal Document Checklist

Please reference Section 7.0 for the appropriate format and quantities for each proposal submission.

RFP#16593 - Special Supplemental Nutrition Program for Women, Infants, and Children (WIC), Management Information System (MIS), Transfer and Implementation Services RFP		
FOR THE ADMINISTRATIVE PROPOSAL		
RFP §	REQUIREMENT	INCLUDED
§ 7.1.A	M/WBE Participation Requirements:	<input type="checkbox"/>
	Attachment F Form 1	<input type="checkbox"/>
	Attachment F Form 2 (If Applicable)	<input type="checkbox"/>
	Attachment F Form 4	<input type="checkbox"/>
	Attachment F Form 5	<input type="checkbox"/>
§ 7.1.B	Attachment G – Disclosure of Prior Non-Responsibility Determinations, completed and signed.	<input type="checkbox"/>
§ 7.1.C	Contractor Responsibility Questionnaire, online or if hard copy, completed, and signed.	<input type="checkbox"/>
§ 7.1.D	Freedom of Information Law – Proposal Redactions (If Applicable)	<input type="checkbox"/>
§ 7.1.E	Attachment A - Bidder's Certified Statements, completed & signed.	<input type="checkbox"/>
§ 7.1.F	Attachment D (References)	<input type="checkbox"/>
§ 7.1.G	Attachment H Encouraging Use of New York State Businesses in Contract Performance	<input type="checkbox"/>
FOR THE TECHNICAL PROPOSAL		
RFP §	REQUIREMENT	INCLUDED
§ 7.2.A	Title Page	<input type="checkbox"/>
§ 7.2.B	Table of Contents	<input type="checkbox"/>
§ 7.2.C	Executive Summary	<input type="checkbox"/>
§ 7.2.D	Documentation of Bidder's Eligibility	<input type="checkbox"/>
§ 7.2.E	Quality of Bidder's Experience	<input type="checkbox"/>
§ 7.2.F	Technical Proposal	<input type="checkbox"/>
§ 7.2.G	Staffing	<input type="checkbox"/>
§ 7.2.H	Assumptions	<input type="checkbox"/>
§ 7.2.I	Exceptions	<input type="checkbox"/>
FOR THE COST PROPOSAL		
RFP §	REQUIREMENT	INCLUDED
§ 7.3	Attachment C - Cost Proposal Workbook	<input type="checkbox"/>

13. ATTACHMENT C

13.1 Cost Proposal Workbook

See the attached Cost Proposal Workbook (XLS) that the Bidder is required to complete and submit.

14. ATTACHMENT D

14.1 References

Submit a total of **THREE (3)** references for the Bidder and at least **ONE (1)** reference for each proposed subcontractor using this form.

Expand fields and duplicate this page as necessary.

RFP#16593 - Special Supplemental Nutrition Program for Women, Infants, and Children (WIC), Management Information System (MIS), Transfer and Implementation Services RFP	
BIDDER:	
Provide the following information for each reference submitted. Fields will expand as you type.	
Reference Company #1:	Click here to enter text.
Contact Person:	Click here to enter text.
Address:	Click here to enter text.
City, State, Zip:	Click here to enter text.
Telephone Number:	Click here to enter text.
Email Address:	Click here to enter text.
Number of years Bidder provided services to this entity:	Click here to enter text.
Brief description of the services provided:	Click here to enter text.
Reference Company #2:	Click here to enter text.
Contact Person:	Click here to enter text.
Address:	Click here to enter text.
City, State, Zip:	Click here to enter text.
Telephone Number:	Click here to enter text.
Email Address:	Click here to enter text.
Number of years Bidder provided services to this entity:	Click here to enter text.
Brief description of the services provided:	Click here to enter text.
Reference Company #3:	Click here to enter text.
Contact Person:	Click here to enter text.
Address:	Click here to enter text.
City, State, Zip:	Click here to enter text.
Telephone Number:	Click here to enter text.
Email Address:	Click here to enter text.
Number of years Bidder provided services to this entity:	Click here to enter text.

Brief description of the services provided:

[Click here to enter text.](#)

15. ATTACHMENT E

15.1 DOH Contract Agreement (sample)

MISCELLANEOUS / CONSULTANT SERVICES

STATE AGENCY (Name and Address):
Department of Health
Corning Tower
Albany, NY 12237

NYS COMPTROLLER'S NUMBER: C#
ORIGINATING AGENCY GLBU: DOH01
DEPARTMENT ID: 3450000

CONTRACTOR (Name and Address):

TYPE OF PROGRAM(S):

CHARITIES REGISTRATION NUMBER:

CONTRACT TERM

FROM:
TO:

CONTRACTOR HAS () HAS NOT () TIMELY
FILED WITH THE ATTORNEY GENERAL'S
CHARITIES BUREAU ALL REQUIRED
PERIODIC OR ANNUAL WRITTEN REPORTS

FUNDING AMOUNT FOR CONTRACT
TERM:

FEDERAL TAX IDENTIFICATION NUMBER:

STATUS:
CONTRACTOR IS () IS NOT () A
SECTARIAN ENTITY

NYS VENDOR IDENTIFICATION NUMBER:

CONTRACTOR IS () IS NOT () A
NOT-FOR-PROFIT ORGANIZATION

MUNICIPALITY NO. (if applicable)

CONTRACTOR IS () IS NOT () A
N Y STATE BUSINESS ENTERPRISE

() IF MARKED HERE, THIS CONTRACT IS RENEWABLE FOR ___ ADDITIONAL ONE-YEAR PERIOD(S)
AT THE SOLE OPTION OF THE STATE AND SUBJECT TO APPROVAL OF THE OFFICE OF THE STATE
COMPTROLLER.

BID OPENING DATE:

APPENDICES ATTACHED AND PART OF THIS AGREEMENT

Precedence shall be given to these documents in the order listed below.

- APPENDIX A Standard Clauses as required by the Attorney General for all State Contracts.
- APPENDIX X Modification Agreement Form (to accompany modified appendices for changes in term or consideration on an existing period or for renewal periods)
- APPENDIX Q Modification of Standard Department of Health Contract Language
- STATE OF NEW YORK AGREEMENT
- APPENDIX D General Specifications
- APPENDIX B Request For Proposal (RFP)
- APPENDIX C Proposal
- APPENDIX E-1 Proof of Workers' Compensation Coverage
- APPENDIX E-2 Proof of Disability Insurance Coverage
- APPENDIX H Federal Health Insurance Portability and Accountability Act Business Associate Agreement
- APPENDIX G Notices
- APPENDIX M Participation by Minority Group Members and Women with respect to State Contracts: Requirements and Procedures

Contract No.: C#

IN WITNESS THEREOF, the parties hereto have executed or approved this AGREEMENT on the dates below their signatures.

CONTRACTOR

STATE AGENCY

By: _____

By: _____

Printed Name

Printed Name

Title: _____

Title: _____

Date: _____

Date: _____

State Agency Certification:
"In addition to the acceptance of this contract, I also certify that original copies of this signature page will be attached to all other exact copies of this contract."

STATE OF NEW YORK)
)SS.:
County of _____)

On the ___ day of _____ in the year _____ before me, the undersigned, personally appeared _____, personally known to me or proved to me on the basis of satisfactory evidence to be the individual(s) whose name(s) is(are) subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their/ capacity(ies), and that by his/her/their signature(s) on the instrument, the individual(s), or the person upon behalf of which the individual(s) acted, executed the instrument.

(Signature and office of the individual taking acknowledgement)

ATTORNEY GENERAL'S SIGNATURE

STATE COMPTROLLER'S SIGNATURE

Title: _____

Title: _____

Date: _____

Date: _____

APPENDIX X
GLBU: DOH01

Contract Number: _____

Contractor: _____

Amendment Number X-_____

BSC Unit ID: 3450000

This is an AGREEMENT between THE STATE OF NEW YORK, acting by and through NYS Department of Health, having its principal office at Albany, New York, (hereinafter referred to as the STATE), and _____ (hereinafter referred to as the CONTRACTOR), having its mailing address at _____, for amendment of this contract.

This amendment makes the following changes to the contract (check all that apply):

- _____ Modifies the contract period at no additional cost
- _____ Modifies the contract period at additional cost
- _____ Modifies the budget or payment terms
- _____ Modifies the work plan or deliverables
- _____ Replaces appendix(es) _____ with the attached appendix(es) _____
- _____ Adds the attached appendix(es) _____
- _____ Other: (describe) _____

This amendment *is* / *is not* a contract renewal as allowed for in the existing contract.

All other provisions of said AGREEMENT shall remain in full force and effect.

Additionally, Contractor certifies that it is not included on the prohibited entities list published at <http://www.ogs.ny.gov/about/regs/docs/ListofEntities.pdf> as a result of the Iran Divestment Act of 2012 (Act), Chapter 1 of the 2012 Laws of New York. Under the Act, the Commissioner of the Office of General Services (OGS) has developed a list (prohibited entities list) of "persons" who are engaged in "investment activities in Iran" (both are defined terms in the law). Contractor (or any assignee) also certifies that it will not utilize on such Contract any subcontractor that is identified on the prohibited entities list.

Prior to this amendment, the contract value and period were:

\$ _____
(Value before amendment)

From ____/____/____ to ____/____/____.
(Initial start date)

This amendment provides the following modification (complete only items being modified):

\$ _____

From ____/____/____ to ____/____/____.

This will result in new contract terms of:

\$ _____
(All years thus far combined)

From ____/____/____ to ____/____/____.
(Initial start date) (Amendment end date)

Signature Page for:

Contract Number: _____

Contractor: _____

Amendment Number: X- _____

BSC Unit ID: 3450000

IN WITNESS WHEREOF, the parties hereto have executed this AGREEMENT as of the dates appearing under their signatures.

CONTRACTOR SIGNATURE:

By: _____ Date: _____
(signature)

Printed Name: _____

Title: _____

STATE OF NEW YORK)
) SS:
County of _____)

On the ___ day of _____ in the year _____, before me, the undersigned, personally appeared _____, personally known to me or proved to me on the basis of satisfactory evidence to be the individual(s) whose name(s) is(are) subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their/ capacity(ies), and that by his/her/their signature(s) on the instrument, the individual(s), or the person upon behalf of which the individual(s) acted, executed the instrument.

(Signature and office of the individual taking acknowledgement)

STATE AGENCY SIGNATURE

"In addition to the acceptance of this contract, I also certify that original copies of this signature page will be attached to all other exact copies of this contract."

By: _____ Date: _____
(signature)

Printed Name: _____

Title: _____

ATTORNEY GENERAL'S SIGNATURE

By: _____ Date: _____

STATE COMPTROLLER'S SIGNATURE

By: _____ Date: _____

STATE OF NEW YORK
AGREEMENT

This AGREEMENT is hereby made by and between the State of New York Department of Health (STATE) and the public or private agency (CONTRACTOR) identified on the face page hereof.

WITNESSETH:

WHEREAS, the STATE has formally requested contractors to submit bid proposals for the project described in Appendix B for which bids were opened on the date noted on the face pages of this AGREEMENT; and

WHEREAS, the STATE has determined that the CONTRACTOR is the successful bidder, and the CONTRACTOR covenants that it is willing and able to undertake the services and provide the necessary materials, labor and equipment in connection therewith;

NOW THEREFORE, in consideration of the terms hereinafter mentioned and also the covenants and obligations moving to each party hereto from the other, the parties hereto do hereby agree as follows:

- I. Conditions of Agreement
 - A. This AGREEMENT incorporates the face pages attached and all of the marked appendices identified on the face page hereof.
 - B. The maximum compensation for the contract term of this AGREEMENT shall not exceed the amount specified on the face page hereof.
 - C. This AGREEMENT may be renewed for additional periods (PERIOD), as specified on the face page hereof.
 - D. To exercise any renewal option of this AGREEMENT, the parties shall prepare new appendices, to the extent that any require modification, and a Modification Agreement (the attached Appendix X is the blank form to be used). Any terms of this AGREEMENT not modified shall remain in effect for each PERIOD of the AGREEMENT. The modification agreement is subject to the approval of the Office of the State Comptroller.
 - E. Appendix A (Standard Clauses as required by the Attorney General for all State contracts) takes precedence over all other parts of the AGREEMENT.
 - F. For the purposes of this AGREEMENT, the terms "Request For Proposal" and "RFP" include all Appendix B documents as marked on the face page hereof.
 - G. For the purposes of this AGREEMENT, the term "Proposal" includes all Appendix C documents as marked on the face page hereof.

- II. Payment and Reporting
 - A. The CONTRACTOR shall submit complete and accurate invoices and/or vouchers, together with supporting documentation required by the contract, the State Agency and the State Comptroller, to the STATE's designated payment office in order to receive payment to one of the following addresses:

1. Preferred Method: Email a .pdf copy of your signed voucher to the BSC at: accountspayable@ogs.ny.gov with a subject field as follows:
Subject: <<Unit ID: 345XXXX>> <<Contract #>>

(Note: **do not** send a paper copy in addition to your emailed voucher.)

2. Alternate Method: Mail vouchers to BSC at the following U.S. postal address:

**NYS Department of Health
Unit ID 345<<xxxx>>
Building 5, 5th Floor
1220 Washington Ave.
Albany, NY 12226-1900**

- B. Payment of such invoices and/or vouchers by the State (NYS Department of Health) shall be made in accordance with Article XI-A of the New York State Finance Law.

Payment for invoices and/or vouchers submitted by the CONTRACTOR shall only be rendered electronically unless payment by paper check is expressly authorized by the Commissioner, in the Commissioner's sole discretion, due to extenuating circumstances. Such electronic payment shall be made in accordance with ordinary State procedures and practices. The CONTRACTOR shall comply with the State Comptroller's procedures to authorize electronic payments. Authorization forms are available at the State Comptroller's website at www.osc.state.ny.us/epay/index.htm, by email at helpdesk@sfs.ny.gov or by telephone at 1-855-233-8363. CONTRACTOR acknowledges that it will not receive payment on any invoices and/or vouchers submitted under this Contract if it does not comply with the State Comptroller's electronic payment procedures, except where the Commissioner has expressly authorized payment by paper check as set forth above.

In addition to the Electronic Payment Authorization Form, a Substitute Form W-9, must be on file with the Office of the State Comptroller, Bureau of Accounting Operations. Additional information and procedures for enrollment can be found at <http://www.osc.state.ny.us/vendors/vendorsguide/guide.htm>.

III. Term of Contract

- A. Upon approval of the Office of the State Comptroller, this AGREEMENT shall be effective for the term as specified on the cover page.
- B. This Agreement may be terminated by mutual written agreement of the contracting parties.
- C. This Agreement may be terminated by the Department for cause upon the failure of the Contractor to comply with the terms and conditions of this Agreement, including the attachments hereto, provided that the Department shall give the contractor written notice via registered or certified mail, return receipt requested, or shall deliver same by hand-receiving Contractor's receipt therefor, such written notice to specify the Contractor's failure and the termination of this Agreement. Termination shall be effective ten (10) business days from receipt of such notice, established by the receipt returned to the Department. The Contractor agrees to incur no new obligations nor to claim for any expenses made after receipt of the notification of termination.
- D. This Agreement may be deemed terminated immediately at the option of the Department upon the filing of a petition in bankruptcy or insolvency, by or against the Contractor. Such termination shall be immediate and complete, without termination costs or further obligations by the Department to the Contractor.

- E. This agreement may be canceled at any time by the Department of Health giving to the contractor not less than thirty (30) days written notice that on or after a date therein specified this agreement shall be deemed terminated and canceled.

IV. Proof of Coverage

Unless the CONTRACTOR is a political sub-division of New York State, the CONTRACTOR shall provide proof, completed by the CONTRACTOR's insurance carrier and/or the Workers' Compensation Board, of coverage for:

- A. Workers' Compensation, for which one of the following is incorporated into this contract as Appendix E-1:
1. CE-200, Affidavit For New York Entities And Any Out-Of-State Entities With No Employees, That New York State Workers' Compensation And/Or Disability Benefits Insurance Coverage Is Not Required; OR
 2. C-105.2 – Certificate of Workers' Compensation Insurance. PLEASE NOTE: The State Insurance Fund provides its own version of this form, the U-26.3; OR
 3. SI-12 – Certificate of Workers' Compensation Self-Insurance, OR GSI-105.2 – Certificate of Participation in Workers' Compensation Group Self-Insurance.
- B. Disability Benefits coverage, for which one of the following is incorporated into this contract as Appendix E-2:
1. CE-200, Affidavit For New York Entities And Any Out-Of-State Entities With No Employees, That New York State Workers' Compensation And/Or Disability Benefits Insurance Coverage Is Not Required; OR
 2. DB-120.1 – Certificate of Disability Benefits Insurance OR
 3. DB-155 – Certificate of Disability Benefits Self-Insurance

V. Indemnification

- A. The CONTRACTOR shall be solely responsible and answerable in damages for any and all accidents and/or injuries to persons (including death) or property arising out of or related to the services to be rendered by the CONTRACTOR or its subcontractors pursuant to this AGREEMENT. The CONTRACTOR shall indemnify and hold harmless the STATE and its officers and employees from claims, suits, actions, damages and costs of every nature arising out of the provision of services pursuant to this AGREEMENT.
- B. The CONTRACTOR is an independent contractor and may neither hold itself out nor claim to be an officer, employee or subdivision of the STATE nor make any claims, demand or application to or for any right based upon any different status.

APPENDIX A

STANDARD CLAUSES FOR NEW YORK STATE CONTRACTS

PLEASE RETAIN THIS DOCUMENT
FOR FUTURE REFERENCE.

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STANDARD CLAUSES FOR NYS CONTRACTS

The parties to the attached contract, license, lease, amendment or other agreement of any kind (hereinafter, "the contract" or "this contract") agree to be bound by the following clauses which are hereby made a part of the contract (the word "Contractor" herein refers to any party other than the State, whether a contractor, licenser, licensee, lessor, lessee or any other party):

1. EXECUTORY CLAUSE. In accordance with Section 41 of the State Finance Law, the State shall have no liability under this contract to the Contractor or to anyone else beyond funds appropriated and available for this contract.

2. NON-ASSIGNMENT CLAUSE. In accordance with Section 138 of the State Finance Law, this contract may not be assigned by the Contractor or its right, title or interest therein assigned, transferred, conveyed, sublet or otherwise disposed of without the State's previous written consent, and attempts to do so are null and void. Notwithstanding the foregoing, such prior written consent of an assignment of a contract let pursuant to Article XI of the State Finance Law may be waived at the discretion of the contracting agency and with the concurrence of the State Comptroller where the original contract was subject to the State Comptroller's approval, where the assignment is due to a reorganization, merger or consolidation of the Contractor's business entity or enterprise. The State retains its right to approve an assignment and to require that any Contractor demonstrate its responsibility to do business with the State. The Contractor may, however, assign its right to receive payments without the State's prior written consent unless this contract concerns Certificates of Participation pursuant to Article 5-A of the State Finance Law.

3. COMPTROLLER'S APPROVAL. In accordance with Section 112 of the State Finance Law (or, if this contract is with the State University or City University of New York, Section 355 or Section 6218 of the Education Law), if this contract exceeds \$50,000 (or the minimum thresholds agreed to by the Office of the State Comptroller for certain S.U.N.Y. and C.U.N.Y. contracts), or if this is an amendment for any amount to a contract which, as so amended, exceeds said statutory amount, or if, by this contract, the State agrees to give something other than money when the value or reasonably estimated value of such consideration exceeds \$10,000, it shall not be valid, effective or binding upon the State until it has been approved by the State Comptroller and filed in his office. Comptroller's approval of contracts let by the Office of General Services is required when such contracts exceed \$85,000 (State Finance Law Section 163.6-a). However, such pre-approval shall not be required for any contract established as a centralized contract through the Office of General Services or for a purchase order or other transaction issued under such centralized contract.

4. WORKERS' COMPENSATION BENEFITS. In accordance with Section 142 of the State Finance Law, this

contract shall be void and of no force and effect unless the Contractor shall provide and maintain coverage during the life of this contract for the benefit of such employees as are required to be covered by the provisions of the Workers' Compensation Law.

5. NON-DISCRIMINATION REQUIREMENTS. To the extent required by Article 15 of the Executive Law (also known as the Human Rights Law) and all other State and Federal statutory and constitutional non-discrimination provisions, the Contractor will not discriminate against any employee or applicant for employment because of race, creed, color, sex (including gender identity or expression), national origin, sexual orientation, military status, age, disability, predisposing genetic characteristics, marital status or domestic violence victim status. Furthermore, in accordance with Section 220-e of the Labor Law, if this is a contract for the construction, alteration or repair of any public building or public work or for the manufacture, sale or distribution of materials, equipment or supplies, and to the extent that this contract shall be performed within the State of New York, Contractor agrees that neither it nor its subcontractors shall, by reason of race, creed, color, disability, sex, or national origin: (a) discriminate in hiring against any New York State citizen who is qualified and available to perform the work; or (b) discriminate against or intimidate any employee hired for the performance of work under this contract. If this is a building service contract as defined in Section 230 of the Labor Law, then, in accordance with Section 239 thereof, Contractor agrees that neither it nor its subcontractors shall by reason of race, creed, color, national origin, age, sex or disability: (a) discriminate in hiring against any New York State citizen who is qualified and available to perform the work; or (b) discriminate against or intimidate any employee hired for the performance of work under this contract. Contractor is subject to fines of \$50.00 per person per day for any violation of Section 220-e or Section 239 as well as possible termination of this contract and forfeiture of all moneys due hereunder for a second or subsequent violation.

6. WAGE AND HOURS PROVISIONS. If this is a public work contract covered by Article 8 of the Labor Law or a building service contract covered by Article 9 thereof, neither Contractor's employees nor the employees of its subcontractors may be required or permitted to work more than the number of hours or days stated in said statutes, except as otherwise provided in the Labor Law and as set forth in prevailing wage and supplement schedules issued by the State Labor Department. Furthermore, Contractor and its subcontractors must pay at least the prevailing wage rate and pay or provide the prevailing supplements, including the premium rates for overtime pay, as determined by the State Labor Department in accordance with the Labor Law. Additionally, effective April 28, 2008, if this is a public work contract covered by Article 8 of the Labor Law, the Contractor understands and agrees that the filing of payrolls in a manner consistent with Subdivision 3-a of Section 220 of the Labor Law shall be a condition precedent to payment by the State of

any State approved sums due and owing for work done upon the project.

7. NON-COLLUSIVE BIDDING CERTIFICATION. In accordance with Section 139-d of the State Finance Law, if this contract was awarded based upon the submission of bids, Contractor affirms, under penalty of perjury, that its bid was arrived at independently and without collusion aimed at restricting competition. Contractor further affirms that, at the time Contractor submitted its bid, an authorized and responsible person executed and delivered to the State a non-collusive bidding certification on Contractor's behalf.

8. INTERNATIONAL BOYCOTT PROHIBITION. In accordance with Section 220-f of the Labor Law and Section 139-h of the State Finance Law, if this contract exceeds \$5,000, the Contractor agrees, as a material condition of the contract, that neither the Contractor nor any substantially owned or affiliated person, firm, partnership or corporation has participated, is participating, or shall participate in an international boycott in violation of the federal Export Administration Act of 1979 (50 USC App. Sections 2401 et seq.) or regulations thereunder. If such Contractor, or any of the aforesaid affiliates of Contractor, is convicted or is otherwise found to have violated said laws or regulations upon the final determination of the United States Commerce Department or any other appropriate agency of the United States subsequent to the contract's execution, such contract, amendment or modification thereto shall be rendered forfeit and void. The Contractor shall so notify the State Comptroller within five (5) business days of such conviction, determination or disposition of appeal (2NYCRR 105.4).

9. SET-OFF RIGHTS. The State shall have all of its common law, equitable and statutory rights of set-off. These rights shall include, but not be limited to, the State's option to withhold for the purposes of set-off any moneys due to the Contractor under this contract up to any amounts due and owing to the State with regard to this contract, any other contract with any State department or agency, including any contract for a term commencing prior to the term of this contract, plus any amounts due and owing to the State for any other reason including, without limitation, tax delinquencies, fee delinquencies or monetary penalties relative thereto. The State shall exercise its set-off rights in accordance with normal State practices including, in cases of set-off pursuant to an audit, the finalization of such audit by the State agency, its representatives, or the State Comptroller.

10. RECORDS. The Contractor shall establish and maintain complete and accurate books, records, documents, accounts and other evidence directly pertinent to performance under this contract (hereinafter, collectively, "the Records"). The Records must be kept for the balance of the calendar year in which they were made and for six (6) additional years thereafter. The State Comptroller, the Attorney General and any other person or entity authorized to conduct an examination, as well as the agency or agencies involved in this

contract, shall have access to the Records during normal business hours at an office of the Contractor within the State of New York or, if no such office is available, at a mutually agreeable and reasonable venue within the State, for the term specified above for the purposes of inspection, auditing and copying. The State shall take reasonable steps to protect from public disclosure any of the Records which are exempt from disclosure under Section 87 of the Public Officers Law (the "Statute") provided that: (i) the Contractor shall timely inform an appropriate State official, in writing, that said records should not be disclosed; and (ii) said records shall be sufficiently identified; and (iii) designation of said records as exempt under the Statute is reasonable. Nothing contained herein shall diminish, or in any way adversely affect, the State's right to discovery in any pending or future litigation.

11. IDENTIFYING INFORMATION AND PRIVACY NOTIFICATION.

(a) Identification Number(s). Every invoice or New York State Claim for Payment submitted to a New York State agency by a payee, for payment for the sale of goods or services or for transactions (e.g., leases, easements, licenses, etc.) related to real or personal property must include the payee's identification number. The number is any or all of the following: (i) the payee's Federal employer identification number, (ii) the payee's Federal social security number, and/or (iii) the payee's Vendor Identification Number assigned by the Statewide Financial System. Failure to include such number or numbers may delay payment. Where the payee does not have such number or numbers, the payee, on its invoice or Claim for Payment, must give the reason or reasons why the payee does not have such number or numbers.

(b) Privacy Notification. (1) The authority to request the above personal information from a seller of goods or services or a lessor of real or personal property, and the authority to maintain such information, is found in Section 5 of the State Tax Law. Disclosure of this information by the seller or lessor to the State is mandatory. The principal purpose for which the information is collected is to enable the State to identify individuals, businesses and others who have been delinquent in filing tax returns or may have understated their tax liabilities and to generally identify persons affected by the taxes administered by the Commissioner of Taxation and Finance. The information will be used for tax administration purposes and for any other purpose authorized by law. (2) The personal information is requested by the purchasing unit of the agency contracting to purchase the goods or services or lease the real or personal property covered by this contract or lease. The information is maintained in the Statewide Financial System by the Vendor Management Unit within the Bureau of State Expenditures, Office of the State Comptroller, 110 State Street, Albany, New York 12236.

12. EQUAL EMPLOYMENT OPPORTUNITIES FOR MINORITIES AND WOMEN.

In accordance with Section 312 of the Executive Law and 5 NYCRR 143, if this contract is: (i) a written agreement or purchase order instrument, providing for a total expenditure in excess of \$25,000.00,

whereby a contracting agency is committed to expend or does expend funds in return for labor, services, supplies, equipment, materials or any combination of the foregoing, to be performed for, or rendered or furnished to the contracting agency; or (ii) a written agreement in excess of \$100,000.00 whereby a contracting agency is committed to expend or does expend funds for the acquisition, construction, demolition, replacement, major repair or renovation of real property and improvements thereon; or (iii) a written agreement in excess of \$100,000.00 whereby the owner of a State assisted housing project is committed to expend or does expend funds for the acquisition, construction, demolition, replacement, major repair or renovation of real property and improvements thereon for such project, then the following shall apply and by signing this agreement the Contractor certifies and affirms that it is Contractor's equal employment opportunity policy that:

(a) The Contractor will not discriminate against employees or applicants for employment because of race, creed, color, national origin, sex, age, disability or marital status, shall make and document its conscientious and active efforts to employ and utilize minority group members and women in its work force on State contracts and will undertake or continue existing programs of affirmative action to ensure that minority group members and women are afforded equal employment opportunities without discrimination. Affirmative action shall mean recruitment, employment, job assignment, promotion, upgradings, demotion, transfer, layoff, or termination and rates of pay or other forms of compensation;

(b) at the request of the contracting agency, the Contractor shall request each employment agency, labor union, or authorized representative of workers with which it has a collective bargaining or other agreement or understanding, to furnish a written statement that such employment agency, labor union or representative will not discriminate on the basis of race, creed, color, national origin, sex, age, disability or marital status and that such union or representative will affirmatively cooperate in the implementation of the Contractor's obligations herein; and

(c) the Contractor shall state, in all solicitations or advertisements for employees, that, in the performance of the State contract, all qualified applicants will be afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status.

Contractor will include the provisions of "a", "b", and "c" above, in every subcontract over \$25,000.00 for the construction, demolition, replacement, major repair, renovation, planning or design of real property and improvements thereon (the "Work") except where the Work is for the beneficial use of the Contractor. Section 312 does not apply to: (i) work, goods or services unrelated to this contract; or (ii) employment outside New York State. The State shall consider compliance by a contractor or subcontractor with the requirements of any federal law concerning equal employment

opportunity which effectuates the purpose of this section. The contracting agency shall determine whether the imposition of the requirements of the provisions hereof duplicate or conflict with any such federal law and if such duplication or conflict exists, the contracting agency shall waive the applicability of Section 312 to the extent of such duplication or conflict. Contractor will comply with all duly promulgated and lawful rules and regulations of the Department of Economic Development's Division of Minority and Women's Business Development pertaining hereto.

13. CONFLICTING TERMS. In the event of a conflict between the terms of the contract (including any and all attachments thereto and amendments thereof) and the terms of this Appendix A, the terms of this Appendix A shall control.

14. GOVERNING LAW. This contract shall be governed by the laws of the State of New York except where the Federal supremacy clause requires otherwise.

15. LATE PAYMENT. Timeliness of payment and any interest to be paid to Contractor for late payment shall be governed by Article 11-A of the State Finance Law to the extent required by law.

16. NO ARBITRATION. Disputes involving this contract, including the breach or alleged breach thereof, may not be submitted to binding arbitration (except where statutorily authorized), but must, instead, be heard in a court of competent jurisdiction of the State of New York.

17. SERVICE OF PROCESS. In addition to the methods of service allowed by the State Civil Practice Law & Rules ("CPLR"), Contractor hereby consents to service of process upon it by registered or certified mail, return receipt requested. Service hereunder shall be complete upon Contractor's actual receipt of process or upon the State's receipt of the return thereof by the United States Postal Service as refused or undeliverable. Contractor must promptly notify the State, in writing, of each and every change of address to which service of process can be made. Service by the State to the last known address shall be sufficient. Contractor will have thirty (30) calendar days after service hereunder is complete in which to respond.

18. PROHIBITION ON PURCHASE OF TROPICAL HARDWOODS. The Contractor certifies and warrants that all wood products to be used under this contract award will be in accordance with, but not limited to, the specifications and provisions of Section 165 of the State Finance Law, (Use of Tropical Hardwoods) which prohibits purchase and use of tropical hardwoods, unless specifically exempted, by the State or any governmental agency or political subdivision or public benefit corporation. Qualification for an exemption under this law will be the responsibility of the contractor to establish to meet with the approval of the State.

In addition, when any portion of this contract involving the use of woods, whether supply or installation, is to be performed by any subcontractor, the prime Contractor will indicate and certify in the submitted bid proposal that the subcontractor has been informed and is in compliance with specifications and provisions regarding use of tropical hardwoods as detailed in §165 State Finance Law. Any such use must meet with the approval of the State; otherwise, the bid may not be considered responsive. Under bidder certifications, proof of qualification for exemption will be the responsibility of the Contractor to meet with the approval of the State.

19. MACBRIDE FAIR EMPLOYMENT PRINCIPLES.

In accordance with the MacBride Fair Employment Principles (Chapter 807 of the Laws of 1992), the Contractor hereby stipulates that the Contractor either (a) has no business operations in Northern Ireland, or (b) shall take lawful steps in good faith to conduct any business operations in Northern Ireland in accordance with the MacBride Fair Employment Principles (as described in Section 165 of the New York State Finance Law), and shall permit independent monitoring of compliance with such principles.

20. OMNIBUS PROCUREMENT ACT OF 1992. It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority and women-owned business enterprises as bidders, subcontractors and suppliers on its procurement contracts.

Information on the availability of New York State subcontractors and suppliers is available from:

NYS Department of Economic Development
Division for Small Business
Albany, New York 12245
Telephone: 518-292-5100
Fax: 518-292-5884
email: opa@esd.ny.gov

A directory of certified minority and women-owned business enterprises is available from:

NYS Department of Economic Development
Division of Minority and Women's Business Development
633 Third Avenue
New York, NY 10017
212-803-2414
email: mwbecertification@esd.ny.gov
<https://ny.newnycontracts.com/FrontEnd/VendorSearchPublic.asp>

The Omnibus Procurement Act of 1992 requires that by signing this bid proposal or contract, as applicable, Contractors certify that whenever the total bid amount is greater than \$1 million:

(a) The Contractor has made reasonable efforts to encourage the participation of New York State Business Enterprises as suppliers and subcontractors, including certified minority and women-owned business enterprises, on this project, and has retained the documentation of these efforts to be provided upon request to the State;

(b) The Contractor has complied with the Federal Equal Opportunity Act of 1972 (P.L. 92-261), as amended;

(c) The Contractor agrees to make reasonable efforts to provide notification to New York State residents of employment opportunities on this project through listing any such positions with the Job Service Division of the New York State Department of Labor, or providing such notification in such manner as is consistent with existing collective bargaining contracts or agreements. The Contractor agrees to document these efforts and to provide said documentation to the State upon request; and

(d) The Contractor acknowledges notice that the State may seek to obtain offset credits from foreign countries as a result of this contract and agrees to cooperate with the State in these efforts.

21. RECIPROCITY AND SANCTIONS PROVISIONS.

Bidders are hereby notified that if their principal place of business is located in a country, nation, province, state or political subdivision that penalizes New York State vendors, and if the goods or services they offer will be substantially produced or performed outside New York State, the Omnibus Procurement Act 1994 and 2000 amendments (Chapter 684 and Chapter 383, respectively) require that they be denied contracts which they would otherwise obtain. NOTE: As of May 15, 2002, the list of discriminatory jurisdictions subject to this provision includes the states of South Carolina, Alaska, West Virginia, Wyoming, Louisiana and Hawaii. Contact NYS Department of Economic Development for a current list of jurisdictions subject to this provision.

22. COMPLIANCE WITH NEW YORK STATE INFORMATION SECURITY BREACH AND NOTIFICATION ACT. Contractor shall comply with the provisions of the New York State Information Security Breach and Notification Act (General Business Law Section 899-aa; State Technology Law Section 208).

23. COMPLIANCE WITH CONSULTANT DISCLOSURE LAW. If this is a contract for consulting services, defined for purposes of this requirement to include analysis, evaluation, research, training, data processing, computer programming, engineering, environmental, health, and mental health services, accounting, auditing, paralegal, legal or similar services, then, in accordance with Section 163 (4-g) of the State Finance Law (as amended by Chapter 10 of the Laws of 2006), the Contractor shall timely, accurately and properly comply with the requirement to submit an annual employment report for the contract to the agency that awarded

the contract, the Department of Civil Service and the State Comptroller.

24. PROCUREMENT LOBBYING. To the extent this agreement is a "procurement contract" as defined by State Finance Law Sections 139-j and 139-k, by signing this agreement the contractor certifies and affirms that all disclosures made in accordance with State Finance Law Sections 139-j and 139-k are complete, true and accurate. In the event such certification is found to be intentionally false or intentionally incomplete, the State may terminate the agreement by providing written notification to the Contractor in accordance with the terms of the agreement.

25. CERTIFICATION OF REGISTRATION TO COLLECT SALES AND COMPENSATING USE TAX BY CERTAIN STATE CONTRACTORS, AFFILIATES AND SUBCONTRACTORS.

To the extent this agreement is a contract as defined by Tax Law Section 5-a, if the contractor fails to make the certification required by Tax Law Section 5-a or if during the term of the contract, the Department of Taxation and Finance or the covered agency, as defined by Tax Law 5-a, discovers that the certification, made under penalty of perjury, is false, then such failure to file or false certification shall be a material breach of this contract and this contract may be terminated, by providing written notification to the Contractor in accordance with the terms of the agreement, if the covered agency determines that such action is in the best interest of the State.

26. IRAN DIVESTMENT ACT. By entering into this Agreement, Contractor certifies in accordance with State Finance Law §165-a that it is not on the "Entities Determined to be Non-Responsive Bidders/Offerers pursuant to the New York State Iran Divestment Act of 2012" ("Prohibited Entities List") posted at:
<http://www.ogs.ny.gov/about/regs/docs/ListofEntities.pdf>

Contractor further certifies that it will not utilize on this Contract any subcontractor that is identified on the Prohibited Entities List. Contractor agrees that should it seek to renew or extend this Contract, it must provide the same certification at the time the Contract is renewed or extended. Contractor also agrees that any proposed Assignee of this Contract will be required to certify that it is not on the Prohibited Entities List before the contract assignment will be approved by the State.

During the term of the Contract, should the state agency receive information that a person (as defined in State Finance Law §165-a) is in violation of the above-referenced certifications, the state agency will review such information and offer the person an opportunity to respond. If the person fails to demonstrate that it has ceased its engagement in the investment activity which is in violation of the Act within 90 days after the determination of such violation, then the state agency shall take such action as may be appropriate and provided for by law, rule, or contract, including, but not

limited to, imposing sanctions, seeking compliance, recovering damages, or declaring the Contractor in default.

The state agency reserves the right to reject any bid, request for assignment, renewal or extension for an entity that appears on the Prohibited Entities List prior to the award, assignment, renewal or extension of a contract, and to pursue a responsibility review with respect to any entity that is awarded a contract and appears on the Prohibited Entities list after contract award.

APPENDIX D
GENERAL SPECIFICATIONS

- A. By signing the "Bid Form" each bidder attests to its express authority to sign on behalf of this company or other entity and acknowledges and accepts that all specifications, general and specific appendices, including Appendix-A, the Standard Clauses for all New York State contracts, and all schedules and forms contained herein will become part of any contract entered, resulting from the Request for Proposal. Anything which is not expressly set forth in the specifications, appendices and forms and resultant contract, but which is reasonable to be implied, shall be furnished and provided in the same manner as if specifically expressed.
- B. The work shall be commenced and shall be actually undertaken within such time as the Department of Health may direct by notice, whether by mail, e-mail, or other writing, whereupon the undersigned will give continuous attention to the work as directed, to the end and with the intent that the work shall be completed within such reasonable time or times, as the case may be, as the Department may prescribe.
- C. The Department reserves the right to stop the work covered by this proposal and the contract at any time that the Department deems the successful bidder to be unable or incapable of performing the work to the satisfaction of the Department, and in the event of such cessation of work, the Department shall have the right to arrange for the completion of the work in such manner as the Department may deem advisable, and if the cost thereof exceeds the amount of the bid, the successful bidder and its surety shall be liable to the State of New York for any excess cost on account thereof.
- D. Each bidder is under an affirmative duty to be informed by personal examination of the specifications and location of the proposed work and by such other means as it may select, of character, quality, and extent of work to be performed and the conditions under which the contract is to be executed.
- E. The Department of Health will make no allowance or concession to a bidder for any alleged misunderstanding or deception because of quantity, quality, character, location or other conditions.
- F. The bid price is to cover the cost of furnishing all of the said services, materials, equipment, and labor to the satisfaction of the Department of Health and the performance of all work set forth in said specifications.
- G. The successful bidder will be required to complete the entire work or any part thereof as the case may be, to the satisfaction of the Department of Health in strict accordance with the specifications and pursuant to a contract therefore.
- H. Contractor will possess, at no cost to the State, all qualifications, licenses and permits to engage in the required business as may be required within the jurisdiction where the work specified is to be performed. Workers to be employed in the performance of this contract will possess the qualifications, training, licenses and permits as may be required within such jurisdiction.
- I. Non-Collusive Bidding By submission of this proposal, each bidder and each person signing on behalf of any bidder certifies, and in the case of a joint bid each party thereto certifies as to its own organization, under penalty of perjury, that to the best of their knowledge and belief:
 - a. The prices of this bid have been arrived at independently without collusion, consultation, communication, or agreement, for the purpose of restricting competition, as to any matter relating to such prices with any other bidder or with any competitor;
 - b. Unless otherwise required by law, the prices which have been quoted in this bid have not been knowingly disclosed by the bidder and will not knowingly be disclosed by the bidder prior to opening, directly or indirectly to any other person, partnership or corporation to submit or not to submit a bid for the purpose of restricting competition;

- c. No attempt has been made or will be made by the bidder to induce any other person, partnership or corporation to submit or not to submit a bid for the purpose of restricting competition.

NOTE: Chapter 675 of the Laws of New York for 1966 provides that every bid made to the state or any public department, agency or official thereof, where competitive bidding is required by statute, rule or regulation, for work or services performed or to be performed or goods sold or to be sold, shall contain the foregoing statement subscribed by the bidder and affirmed by such bidder as true under penalties of perjury.

A bid shall not be considered for award nor shall any award be made where (a), (b) and (c) above have not been complied with; provided however, that if in any case the bidder cannot make the foregoing certification, the bidder shall so state and shall furnish with the bid a signed statement which sets forth in detail the reasons therefore. Where (a), (b) and (c) above have not been complied with, the bid shall not be considered for award nor shall any award be made unless the head of the purchasing unit of the state, public department or agency to which the bid is made or its designee, determines that such disclosure was not made for the purpose of restricting competition. The fact that a bidder has published price lists, rates, or tariffs covering items being procured, has informed prospective customers of proposed or pending publication of new or revised price lists for such items, or has sold the same items to other customers at the same price being bid, does not constitute, without more, a disclosure within the meaning of the above quoted certification.

Any bid made to the State or any public department, agency or official thereof by a corporate bidder for work or services performed or to be performed or goods, sold or to be sold, where competitive bidding is required by statute, rule or regulation and where such bid contains the certification set forth above shall be deemed to have been authorized by the board of directors of the bidder, and such authorization shall be deemed to include the signing and submission of the bid and the inclusion therein of the certificate as to non-collusion as the act and deed of the corporation.

- J. A bidder may be disqualified from receiving awards if such bidder or any subsidiary, affiliate, partner, officer, agent or principal thereof, or anyone in its employ, has previously failed to perform satisfactorily in connection with public bidding or contracts.
- K. The Department reserves the right to make awards within ninety (90) days after the date of the bid opening, during which period bids shall not be withdrawn unless the bidder distinctly states in the bid that acceptance thereof must be made within a shorter specified time.
- L. Any contract entered into resultant from this request for proposal will be considered a "Work for Hire Contract." The Department will be the sole owner of all source code and any software which is developed for use in the application software provided to the Department as a part of this contract.
- M. Technology Purchases Notification --The following provisions apply if this Request for Proposal (RFP) seeks proposals for "Technology"
 - 1. For the purposes of this policy, "technology" applies to all services and commodities, voice/data/video and/or any related requirement, major software acquisitions, systems modifications or upgrades, etc., that result in a technical method of achieving a practical purpose or in improvements of productivity. The purchase can be as simple as an order for new or replacement personal computers, or for a consultant to design a new system, or as complex as a major systems improvement or innovation that changes how an agency conducts its business practices.
 - 2. If this RFP results in procurement of software over \$20,000, or of other technology over \$50,000, or where the department determines that the potential exists for coordinating purchases among State agencies and/or the purchase may be of interest to one or more other State agencies, **PRIOR TO AWARD**

SELECTION, this RFP and all responses thereto are subject to review by the New York State Office for Information Technology Services.

3. Any contract entered into pursuant to an award of this RFP shall contain a provision which extends the terms and conditions of such contract to any other State agency in New York. Incorporation of this RFP into the resulting contract also incorporates this provision in the contract.

N. Date/Time Warranty

1. Definitions: For the purposes of this warranty, the following definitions apply:

"Product" shall include, without limitation: when solicited from a vendor in a State government entity's contracts, RFPs, IFBs, or mini-bids, any piece or component of equipment, hardware, firmware, middleware, custom or commercial software, or internal components or subroutines therein which perform any date/time data recognition function, calculation, comparing or sequencing. Where services are being furnished, e.g., consulting, systems integration, code or data conversion or data entry, the term "Product" shall include resulting deliverables.

"Third Party Product" shall include product manufactured or developed by a corporate entity independent from the vendor and provided by the vendor on a non-exclusive licensing or other distribution Agreement with the third party manufacturer. "Third Party Product" does not include product where vendor is : (a) a corporate subsidiary or affiliate of the third party manufacturer/developer; and/or (b) the exclusive re-seller or distributor of product manufactured or developed by said corporate entity.

2. Date/Time Warranty Statement

Contractor warrants that Product(s) furnished pursuant to this Contract shall, when used in accordance with the Product documentation, be able to accurately process date/time data (including, but not limited to, calculating, comparing, and sequencing) transitions, including leap year calculations. Where a Contractor proposes or an acquisition requires that specific Products must perform as a package or system, this warranty shall apply to the Products as a system.

Where Contractor is providing ongoing services, including but not limited to: i) consulting, integration, code or data conversion, ii) maintenance or support services, iii) data entry or processing, or iv) contract administration services (e.g., billing, invoicing, claim processing), Contractor warrants that services shall be provided in an accurate and timely manner without interruption, failure or error due to the inaccuracy of Contractor's business operations in processing date/time data (including, but not limited to, calculating, comparing, and sequencing) various date/time transitions, including leap year calculations. Contractor shall be responsible for damages resulting from any delays, errors or untimely performance resulting therefrom, including but not limited to the failure or untimely performance of such services.

This Date/Time Warranty shall survive beyond termination or expiration of this contract through: a) ninety (90) days or b) the Contractor's or Product manufacturer/developer's stated date/time warranty term, whichever is longer. Nothing in this warranty statement shall be construed to limit any rights or remedies otherwise available under this Contract for breach of warranty.

- O. No Subcontracting Subcontracting by the contractor shall not be permitted except by prior written approval of the Department of Health. All subcontracts shall contain provisions specifying that the work performed by the subcontractor must be in accordance with the terms of this AGREEMENT, and that the subcontractor specifically agrees to be bound by the confidentiality provisions set forth in the AGREEMENT between the STATE and the CONTRACTOR.

- P. Superintendence by Contractor The Contractor shall have a representative to provide supervision of the work which Contractor employees are performing to ensure complete and satisfactory performance with the terms of the Contract. This representative shall also be authorized to receive and put into effect promptly all orders, directions and instructions from the Department of Health. A confirmation in writing of such orders or directions will be given by the Department when so requested from the Contractor.
- Q. Sufficiency of Personnel and Equipment If the Department of Health is of the opinion that the services required by the specifications cannot satisfactorily be performed because of insufficiency of personnel, the Department shall have the authority to require the Contractor to use such additional personnel, to take such steps necessary to perform the services satisfactorily at no additional cost to the State.
- R. Experience Requirements The Contractor shall submit evidence to the satisfaction of the Department that it possesses the necessary experience and qualifications to perform the type of services required under this contract and must show that it is currently performing similar services. The Contractor shall submit at least two references to substantiate these qualifications.
- S. Contract Amendments. This agreement may be amended by written agreement signed by the parties and subject to the laws and regulations of the State pertaining to contract amendments. This agreement may not be amended orally.

The contractor shall not make any changes in the scope of work as outlined herein at any time without prior authorization in writing from the Department of Health and without prior approval in writing of the amount of compensation for such changes.

- T. Provisions Upon Default
1. In the event that the Contractor, through any cause, fails to perform any of the terms, covenants or promises of this agreement, the Department acting for and on behalf of the State, shall thereupon have the right to terminate this agreement by giving notice in writing of the fact and date of such termination to the Contractor
 2. If, in the judgment of the Department of Health, the Contractor acts in such a way which is likely to or does impair or prejudice the interests of the State, the Department acting on behalf of the State, shall thereupon have the right to terminate this agreement by giving notice in writing of the fact and date of such termination to the Contractor. In such case the Contractor shall receive equitable compensation for such services as shall, in the judgment of the State Comptroller, have been satisfactorily performed by the Contractor up to the date of the termination of this agreement, which such compensation shall not exceed the total cost incurred for the work which the Contractor was engaged in at the time of such termination, subject to audit by the State Comptroller.
- U. Upon termination of this agreement, the following shall occur:
1. Contractor shall make available to the State for examination all data, records and reports relating to this Contract; and
 2. Except as otherwise provided in the Contract, the liability of the State for payments to the Contractor and the liability of the Contractor for services hereunder shall cease.
- V. Conflicts If, in the opinion of the Department of Health, (1) the specifications conflict, or (2) if the specifications are not clear as to (a) the method of performing any part of the work, or as to (b) the types of materials or equipment necessary, or as to (c) the work required to be done in every such situation, the Contractor shall be deemed to have based his bid upon performing the work and furnishing materials or equipment in the most inexpensive and efficient manner. If such conflicts and/or ambiguities arise, the

Department of Health will furnish the Contractor supplementary information showing the manner in which the work is to be performed and the type or types of material or equipment that shall be used.

W. Contract Insurance Requirements

1. The successful bidder must without expense to the State procure and maintain, until final acceptance by the Department of Health of the work covered by this proposal and the contract, insurance of the kinds and in the amounts hereinafter provided, in insurance companies authorized to do such business in the State of New York covering all operations under this proposal and the contract, whether performed by it or by subcontractors. Before commencing the work, the successful bidder shall furnish to the Department of Health a certificate or certificates, in a form satisfactory to the Department, showing that it has complied with the requirements of this section, which certificate or certificates shall state that the policies shall not be changed or canceled until thirty days written notice has been given to the Department. The kinds and amounts of required insurance are:
 - a. A policy covering the obligations of the successful bidder in accordance with the provisions of Chapter 41, Laws of 1914, as amended, known as the Workers' Compensation Law, and the contract shall be void and of no effect unless the successful bidder procures such policy and maintains it until acceptance of the work (reference Appendix E).
 - b. Policies of Bodily Injury Liability and Property Damage Liability Insurance of the types hereinafter specified, each within limits of not less than \$500,000 for all damages arising out of bodily injury, including death at any time resulting therefrom sustained by one person in any one occurrence, and subject to that limit for that person, not less than \$1,000,000 for all damages arising out of bodily injury, including death at any time resulting therefrom sustained by two or more persons in any one occurrence, and not less than \$500,000 for damages arising out of damage to or destruction or property during any single occurrence and not less than \$1,000,000 aggregate for damages arising out of damage to or destruction of property during the policy period.
 - i. Contractor's Liability Insurance issued to and covering the liability of the successful bidder with respect to all work performed by it under this proposal and the contract.
 - ii. Protective Liability Insurance issued to and covering the liability of the People of the State of New York with respect to all operations under this proposal and the contract, by the successful bidder or by its subcontractors, including omissions and supervisory acts of the State.
 - iii. Automobile Liability Insurance issued to and covering the liability of the People of the State of New York with respect to all operations under this proposal and the contract, by the successful bidder or by its subcontractors, including omissions and supervisory acts of the State.

- X. Certification Regarding Debarment and Suspension Regulations of the Department of Health and Human Services, located at Part 76 of Title 45 of the Code of Federal Regulations (CFR), implement Executive Orders 12549 and 12689 concerning debarment and suspension of participants in federal programs and activities. Executive Order 12549 provides that, to the extent permitted by law, Executive departments and agencies shall participate in a government-wide system for non-procurement debarment and suspension. Executive Order 12689 extends the debarment and suspension policy to procurement activities of the federal government. A person who is debarred or suspended by a federal agency is excluded from federal financial and non-financial assistance and benefits under federal programs and activities, both directly (primary covered transaction) and indirectly (lower tier covered transactions). Debarment or suspension by one federal agency has government-wide effect.

Pursuant to the above-cited regulations, the New York State Department of Health (as a participant in a primary covered transaction) may not knowingly do business with a person who is debarred, suspended,

proposed for debarment, or subject to other government-wide exclusion (including any exclusion from Medicare and State health care program participation on or after August 25, 1995), and the Department of Health must require its prospective contractors, as prospective lower tier participants, to provide the certification in Appendix B to Part 76 of Title 45 CFR, as set forth below:

1. APPENDIX B TO PART 76-CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION-LOWER TIER COVERED TRANSACTIONS

Instructions for Certification

- a. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
- b. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered and erroneous certification, in addition to other remedies available to the Federal Government the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
- c. The prospective lower tier participant shall provide immediate written notice to the person to whom this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.
- d. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered Transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
- e. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
- f. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions.
- g. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of parties Excluded from Federal Procurement and Non-procurement Programs.
- h. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

- i. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
2. Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transactions
 - a. The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily exclude from participation in this transaction by any Federal department agency.
 - b. Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Y. Confidentiality Clauses

1. Any materials, articles, papers, etc., developed by the CONTRACTOR under or in the course of performing this AGREEMENT shall contain the following, or similar acknowledgment: "Funded by the New York State Department of Health". Any such materials must be reviewed and approved by the STATE for conformity with the policies and guidelines for the New York State Department of Health prior to dissemination and/or publication. It is agreed that such review will be conducted in an expeditious manner. Should the review result in any unresolved disagreements regarding content, the CONTRACTOR shall be free to publish in scholarly journals along with a disclaimer that the views within the Article or the policies reflected are not necessarily those of the New York State Department of Health. The Department reserves the right to disallow funding for any educational materials not approved through its review process.
2. Any publishable or otherwise reproducible material developed under or in the course of performing this AGREEMENT, dealing with any aspect of performance under this AGREEMENT, or of the results and accomplishments attained in such performance, shall be the sole and exclusive property of the STATE, and shall not be published or otherwise disseminated by the CONTRACTOR to any other party unless prior written approval is secured from the STATE or under circumstances as indicated in paragraph 1 above. Any and all net proceeds obtained by the CONTRACTOR resulting from any such publication shall belong to and be paid over to the STATE. The STATE shall have a perpetual royalty-free, non-exclusive and irrevocable right to reproduce, publish or otherwise use, and to authorize others to use, any such material for governmental purposes.
3. No report, document or other data produced in whole or in part with the funds provided under this AGREEMENT may be copyrighted by the CONTRACTOR or any of its employees, nor shall any notice of copyright be registered by the CONTRACTOR or any of its employees in connection with any report, document or other data developed pursuant to this AGREEMENT.
4. All reports, data sheets, documents, etc. generated under this contract shall be the sole and exclusive property of the Department of Health. Upon completion or termination of this AGREEMENT the CONTRACTOR shall deliver to the Department of Health upon its demand all copies of materials relating to or pertaining to this AGREEMENT. The CONTRACTOR shall have no right to disclose or use any of such material and documentation for any purpose whatsoever, without the prior written approval of the Department of Health or its authorized agents.

5. The CONTRACTOR, its officers, agents and employees and subcontractors shall treat all information, which is obtained by it through its performance under this AGREEMENT, as confidential information to the extent required by the laws and regulations of the United States and laws and regulations of the State of New York.

Z. Provision Related to Consultant Disclosure Legislation

1. If this contract is for the provision of consulting services as defined in Subdivision 17 of Section 8 of the State Finance Law, the CONTRACTOR shall submit a "State Consultant Services Form B, Contractor's Annual Employment Report" no later than May 15th following the end of each state fiscal year included in this contract term. This report must be submitted to:
 - a. The NYS Department of Health, at the following address New York State Department of Health, Bureau of Contracts Room -2756, Corning Tower, Albany, NY 12237; and
 - b. The NYS Office of the State Comptroller, Bureau of Contracts, 110 State Street, 11th Floor, Albany NY 12236 ATTN: Consultant Reporting -or via fax at (518) 474-8030 or (518) 473-8808; and
 - c. The NYS Department of Civil Service, Albany NY 12239, ATTN: Consultant Reporting.

AA. Provisions Related to New York State Procurement Lobbying Law The STATE reserves the right to terminate this AGREEMENT in the event it is found that the certification filed by the CONTRACTOR in accordance with New York State Finance Law §139-k was intentionally false or intentionally incomplete. Upon such finding, the STATE may exercise its termination right by providing written notification to the CONTRACTOR in accordance with the written notification terms of this AGREEMENT.

BB. Provisions Related to New York State Information Security Breach and Notification Act CONTRACTOR shall comply with the provisions of the New York State Information Security Breach and Notification Act (General Business Law Section 899-aa; State Technology Law Section 208). CONTRACTOR shall be liable for the costs associated with such breach if caused by CONTRACTOR'S negligent or willful acts or omissions, or the negligent or willful acts or omissions of CONTRACTOR'S agents, officers, employees or subcontractors.

CC. Lead Guidelines All products supplied pursuant to this agreement shall meet local, state and federal regulations, guidelines and action levels for lead as they exist at the time of the State's acceptance of this contract.

DD. On-Going Responsibility

1. General Responsibility Language: The CONTRACTOR shall at all times during the Contract term remain responsible. The Contractor agrees, if requested by the Commissioner of Health or his or her designee, to present evidence of its continuing legal authority to do business in New York State, integrity, experience, ability, prior performance, and organizational and financial capacity.
2. Suspension of Work (for Non-Responsibility) :The Commissioner of Health or his or her designee, in his or her sole discretion, reserves the right to suspend any or all activities under this Contract, at any time, when he or she discovers information that calls into question the responsibility of the Contractor. In the event of such suspension, the Contractor will be given written notice outlining the particulars of such suspension. Upon issuance of such notice, the Contractor must comply with the terms of the suspension order. Contract activity may resume at such time as the Commissioner of Health or his or her designee issues a written notice authorizing a resumption of performance under the Contract.

3. Termination (for Non-Responsibility) : Upon written notice to the Contractor, and a reasonable opportunity to be heard with appropriate Department of Health officials or staff, the Contract may be terminated by Commissioner of Health or his or her designee at the Contractor's expense where the Contractor is determined by the Commissioner of Health or his or her designee to be non-responsible. In such event, the Commissioner of Health or his or her designee may complete the contractual requirements in any manner he or she may deem advisable and pursue available legal or equitable remedies for breach.

EE. Provisions Related to Iran Divestment Act As a result of the Iran Divestment Act of 2012 (Act), Chapter 1 of the 2012 Laws of New York, a provision has been added to the State Finance Law (SFL), § 165-a, effective April 12, 2012. Under the Act, the Commissioner of the Office of General Services (OGS) has developed a list (prohibited entities list) of “persons” who are engaged in “investment activities in Iran” (both are defined terms in the law). Pursuant to SFL § 165-a(3)(b), the initial list has been posted on the OGS website at <http://www.ogs.ny.gov/about/regs/docs/ListofEntities.pdf>.

By entering into this Contract, CONTRACTOR (or any assignee) certifies that it will not utilize on such Contract any subcontractor that is identified on the prohibited entities list. Additionally, CONTRACTOR agrees that should it seek to renew or extend the Contract, it will be required to certify at the time the Contract is renewed or extended that it is not included on the prohibited entities list. CONTRACTOR also agrees that any proposed Assignee of the Contract will be required to certify that it is not on the prohibited entities list before the New York State Department of Health may approve a request for Assignment of Contract. During the term of the Contract, should New York State Department of Health receive information that a person is in violation of the above referenced certification, New York State Department of Health will offer the person an opportunity to respond. If the person fails to demonstrate that it has ceased its engagement in the investment which is in violation of the Act within 90 days after the determination of such violation, then New York State Department of Health shall take such action as may be appropriate including, but not limited to, imposing sanctions, seeking compliance, recovering damages, or declaring the CONTRACTOR in default.

New York State Department of Health reserves the right to reject any request for assignment for an entity that appears on the prohibited entities list prior to the award of a contract, and to pursue a responsibility review with respect to any entity that is awarded a contract and appears on the prohibited entities list after contract award.

Appendix G

NOTICES

All notices permitted or required hereunder shall be in writing and shall be transmitted either:

- (a) via certified or registered United States mail, return receipt requested;
- (b) by facsimile transmission;
- (c) by personal delivery;
- (d) by expedited delivery service; or
- (e) by e-mail.

Such notices shall be addressed as follows or to such different addresses as the parties may from time to time designate:

State of New York Department of Health

Name:

Title:

Address:

Telephone Number:

Facsimile Number:

E-Mail Address:

[Insert Contractor Name]

Name:

Title:

Address:

Telephone Number:

Facsimile Number:

E-Mail Address:

Any such notice shall be deemed to have been given either at the time of personal delivery or, in the case of expedited delivery service or certified or registered United States mail, as of the date of first attempted delivery at the address and in the manner provided herein, or in the case of facsimile transmission or email, upon receipt.

The parties may, from time to time, specify any new or different address in the United States as their address for purpose of receiving notice under this AGREEMENT by giving fifteen (15) days written notice to the other party sent in accordance herewith. The parties agree to mutually designate individuals as their respective representative for the purposes of receiving notices under this AGREEMENT. Additional individuals may be designated in writing by the parties for purposes of implementation and administration/billing, resolving issues and problems, and/or for dispute resolution.

Appendix M

PARTICIPATION BY MINORITY GROUP MEMBERS AND WOMEN WITH RESPECT TO STATE CONTRACTS: REQUIREMENTS AND PROCEDURES

I. General Provisions

- A. The New York State Department of Health is required to implement the provisions of New York State Executive Law Article 15-A and 5 NYCRR Parts 142-144 (“MWBE Regulations”) for all State contracts as defined therein, with a value (1) in excess of \$25,000 for labor, services, equipment, materials, or any combination of the foregoing or (2) in excess of \$100,000 for real property renovations and construction.
- B. The Contractor to the subject contract (the “Contractor” and the “Contract,” respectively) agrees, in addition to any other nondiscrimination provision of the Contract and at no additional cost to the New York State New York State Department of Health (the “New York State Department of Health”), to fully comply and cooperate with the New York State Department of Health in the implementation of New York State Executive Law Article 15-A. These requirements include equal employment opportunities for minority group members and women (“EEO”) and contracting opportunities for certified minority and women-owned business enterprises (“MWBEs”). Contractor’s demonstration of “good faith efforts” pursuant to 5 NYCRR §142.8 shall be a part of these requirements. These provisions shall be deemed supplementary to, and not in lieu of, the nondiscrimination provisions required by New York State Executive Law Article 15 (the “Human Rights Law”) or other applicable federal, state or local laws.
- C. Failure to comply with all of the requirements herein may result in a finding of non-responsiveness, non-responsibility and/or a breach of contract, leading to the withholding of funds or such other actions, liquidated damages pursuant to Section VII of this Appendix or enforcement proceedings as allowed by the Contract.

II. Contract Goals

- A. For purposes of this contract, the New York State Department of Health hereby establishes an overall goal of **30%** for Minority and Women-Owned Business Enterprises (“MWBE”) participation, **15%** for Minority-Owned Business Enterprises (“MBE”) participation and **15%** for Women-Owned Business Enterprises (“WBE”) participation (based on the current availability of qualified MBEs and WBEs).
- B. For purposes of providing meaningful participation by MWBEs on the Contract and achieving the Contract Goals established in Section II-A hereof, Contractor should reference the directory of New York State Certified MBWEs found at the following internet address:
<https://ny.newnycontracts.com/>

Additionally, Contractor is encouraged to contact the Division of Minority and Woman Business Development ((518) 292-5250; (212) 803-2414; or (716) 846-8200) to discuss additional methods of maximizing participation by MWBEs on the Contract.

- C. Where MWBE goals have been established herein, pursuant to 5 NYCRR §142.8, Contractor must document “good faith efforts” to provide meaningful participation by MWBEs as subcontractors or suppliers in the performance of the Contract. In accordance with Section 316-a of Article 15-A and 5 NYCRR §142.13, the Contractor acknowledges that if Contractor is found to have willfully and

intentionally failed to comply with the MWBE participation goals set forth in the Contract, such a finding constitutes a breach of contract and the Contractor shall be liable to the New York State Department of Health for liquidated or other appropriate damages, as set forth herein.

III. Equal Employment Opportunity (EEO)

- A. Contractor agrees to be bound by the provisions of Article 15-A and the MWBE Regulations promulgated by the Division of Minority and Women's Business Development of the Department of Economic Development (the "Division"). If any of these terms or provisions conflict with applicable law or regulations, such laws and regulations shall supersede these requirements.
- B. Contractor shall comply with the following provisions of Article 15-A:
 - 1. Contractor and Subcontractors shall undertake or continue existing EEO programs to ensure that minority group members and women are afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status. For these purposes, EEO shall apply in the areas of recruitment, employment, job assignment, promotion, upgrading, demotion, transfer, layoff, or termination and rates of pay or other forms of compensation.
 - 2. The Contractor shall submit an EEO policy statement to the New York State Department of Health within seventy two (72) hours after the date of the notice by New York State Department of Health to award the Contract to the Contractor.
 - 3. If Contractor or Subcontractor does not have an existing EEO policy statement, the New York State Department of Health may provide the Contractor or Subcontractor a model statement (see Form #5 - Minority and Women-Owned Business Enterprises Equal Employment Opportunity Policy Statement).
 - 4. The Contractor's EEO policy statement shall include the following language:
 - a. The Contractor will not discriminate against any employee or applicant for employment because of race, creed, color, national origin, sex, age, disability or marital status, will undertake or continue existing EEO programs to ensure that minority group members and women are afforded equal employment opportunities without discrimination, and shall make and document its conscientious and active efforts to employ and utilize minority group members and women in its work force.
 - b. The Contractor shall state in all solicitations or advertisements for employees that, in the performance of the contract, all qualified applicants will be afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status.
 - c. The Contractor shall request each employment agency, labor union, or authorized representative of workers with which it has a collective bargaining or other agreement or understanding, to furnish a written statement that such employment agency, labor union, or representative will not discriminate on the basis of race, creed, color, national origin, sex age, disability or marital status and that such union or representative will affirmatively cooperate in the implementation of the Contractor's obligations herein.
 - d. The Contractor will include the provisions of Subdivisions (a) through (c) of this Subsection 4 and Paragraph "D" of this Section III, which provides for relevant provisions of the Human Rights Law, in every subcontract in such a manner that the requirements of the subdivisions will be binding upon each subcontractor as to work in connection with the Contract.
- C. Form #4 - Staffing Plan

To ensure compliance with this Section, the Contractor shall submit a staffing plan to document the composition of the proposed workforce to be utilized in the performance of the Contract by the specified categories listed, including ethnic background, gender, and Federal occupational categories. Contractors shall complete the Staffing plan form and submit it as part of their bid or proposal or within a reasonable time, but no later than the time of award of the contract.

- D. Contractor shall comply with the provisions of the Human Rights Law, all other State and Federal statutory and constitutional non-discrimination provisions. Contractor and subcontractors shall not discriminate against any employee or applicant for employment because of race, creed (religion), color, sex, national origin, sexual orientation, military status, age, disability, predisposing genetic characteristic, marital status or domestic violence victim status, and shall also follow the requirements of the Human Rights Law with regard to non-discrimination on the basis of prior criminal conviction and prior arrest.

IV. MWBE Utilization Plan

- A. The Contractor represents and warrants that Contractor has submitted an MWBE Utilization Plan (Form #1) either prior to, or at the time of, the execution of the contract.
- B. Contractor agrees to use such MWBE Utilization Plan for the performance of MWBEs on the Contract pursuant to the prescribed MWBE goals set forth in Section III-A of this Appendix.
- C. Contractor further agrees that a failure to submit and/or use such MWBE Utilization Plan shall constitute a material breach of the terms of the Contract. Upon the occurrence of such a material breach, New York State Department of Health shall be entitled to any remedy provided herein, including but not limited to, a finding of Contractor non-responsiveness.

V. Waivers

- A. For Waiver Requests Contractor should use Form #2 – Waiver Request.
- B. If the Contractor, after making good faith efforts, is unable to comply with MWBE goals, the Contractor may submit a Request for Waiver form documenting good faith efforts by the Contractor to meet such goals. If the documentation included with the waiver request is complete, the New York State Department of Health shall evaluate the request and issue a written notice of acceptance or denial within twenty (20) days of receipt.
- C. If the New York State Department of Health, upon review of the MWBE Utilization Plan and updated Quarterly MWBE Contractor Compliance Reports determines that Contractor is failing or refusing to comply with the Contract goals and no waiver has been issued in regards to such non-compliance, the New York State Department of Health may issue a notice of deficiency to the Contractor. The Contractor must respond to the notice of deficiency within seven (7) business days of receipt. Such response may include a request for partial or total waiver of MWBE Contract Goals.

VI. Quarterly MWBE Contractor Compliance Report

- A. Contractor is required to submit a Quarterly MWBE Contractor Compliance Report to the New York State Department of Health by the 10th day following each end of quarter over the term of the Contract

documenting the progress made towards achievement of the MWBE goals of the Contract. Data should be submitted via the online compliance system at <https://ny.newnycontracts.com>.

VII. Liquidated Damages - MWBE Participation

- A. Where New York State Department of Health determines that Contractor is not in compliance with the requirements of the Contract and Contractor refuses to comply with such requirements, or if Contractor is found to have willfully and intentionally failed to comply with the MWBE participation goals, Contractor shall be obligated to pay to the New York State Department of Health liquidated damages.
- B. Such liquidated damages shall be calculated as an amount equaling the difference between:
 - 1. All sums identified for payment to MWBEs had the Contractor achieved the contractual MWBE goals; and
 - 2. All sums actually paid to MWBEs for work performed or materials supplied under the Contract.
- C. In the event a determination has been made which requires the payment of liquidated damages and such identified sums have not been withheld by the New York State Department of Health, Contractor shall pay such liquidated damages to the New York State Department of Health within sixty (60) days after they are assessed by the New York State Department of Health unless prior to the expiration of such sixtieth day, the Contractor has filed a complaint with the Director of the Division of Minority and Woman Business Development pursuant to Subdivision 8 of Section 313 of the Executive Law in which event the liquidated damages shall be payable if Director renders a decision in favor of the New York State Department of Health.

16. ATTACHMENT F

16.1 New York State DOH M/WBE RFP Required Forms

All DOH procurements have a section entitled “**MINORITY AND WOMEN OWNED BUSINESS ENTERPRISE REQUIREMENTS.**” This section of procurement sets forth the established DOH goal for that particular procurement and describes the forms that must be completed with the bid. Below is a summary of the forms used in the DOH M/WBE Participation Program by a bidder.

Form #1: Bidder M/WBE Utilization Plan - This document should be completed by all bidders responding to RFPs with an M/WBE goal greater than zero. The bidder must demonstrate how it plans to meet the stated M/WBE goal. In completing this form, the bidder should describe the steps taken to establish communication with M/WBE firms and identify current or future relationships with certified M/WBE firms. The second page of the form should list the M/WBE certified firms that the contractor plans to engage with on the project and the amount that each certified firm is projected to be paid. Plans to work with uncertified firms or women and minority staffed firms do not meet the criteria for participation. The firm must be owned and operated by a Woman and/or Minority and must be certified by NYS Empire State Development to be eligible for participation. If the plan is not submitted or is deemed deficient, the bidder may be sent a notice of deficiency. It is mandatory that all awards with goals have a utilization plan on file.

Form #2: M/WBE Utilization Waiver Request - This document should be filled out by the bidder if the utilization plan (Form #1) indicates less than the stated participation goal for the procurement. In this instance, Form #2 must accompany Form #1 with the bid. If Form #2 is provided and the goal was initially set higher, revised goal approval will be necessary from DOB. When completing Form #2, it is important that the bidder thoroughly document the steps that were taken to meet the goal and provide evidence in the form of attachments to the document. The required attachments are listed on Form #2 and will document the good-faith efforts taken to meet the desired goal. A bidder can also attach additional evidence outside of the referenced attachments. Without evidence of good-faith efforts, in the form of attachments or other documentation, the Department of Health may not approve the waiver, and the bidder may be deemed non-responsive.

New M/WBE firms are being certified daily, and new M/WBE firms may now be available to provide products or services that were historically unavailable. If Form #2 is found by the DOH to be deficient, the bidder may be sent a deficiency letter, which will require a revised form to be returned within seven business days of receipt to avoid a finding of non-compliance. The DOH may work directly with a firm to resolve minor deficiencies via email.

Form #3: Replaced by Online Compliance System - <https://ny.newnycontracts.com>. Contractors will need to login and submit payments to M/WBE firms in this online system once payments to these contractors commence.

Form #4 – M/WBE Staffing Plan- This form should be completed based on the composition of staff working on the project. Enter the numbers or counts in the corresponding boxes and add up the totals in each column. This form is for diversity research purposes only and has no bearing on M/WBE goal achievement.

Form #5 – EEO and M/WBE Policy Statement -This is a standard EEO policy that needs to be signed, dated, and submitted. If Bidder has their own EEO policy, it may be submitted instead of endorsing this document.

16.2 M/WBE Form #1

New York State Department of Health
M/WBE Utilization Plan

Bidder/Contractor Name: Click here to enter text.	
Contractor ID: Click here to enter text.	Telephone No. Click here to enter text. Email: Click here to enter text.
RFP/Contract Title: Click here to enter text.	RFP/Contract No. Click here to enter text.

Description of Plan to Meet M/WBE Goals

Click here to enter text.

Projected M/WBE Usage

	%	Amount
1. Total Dollar Value of Proposal Bid	100	Click here to enter text.
2. MBE Goal Applied to the Contract	Click here to enter text.	\$ Click here to enter text.
3. WBE Goal Applied to the Contract	Click here to enter text.	\$ Click here to enter text.
4. M/WBE Combined Totals	Click here to enter text.	\$ Click here to enter text.

“Making false representation or including information evidencing a lack of good faith as part of, or in conjunction with, the submission of a Utilization Plan is prohibited by law and may result in penalties, including but not limited to termination of a contract for cause, loss of eligibility to submit future bids, and/or withholding of payments. Firms that do not perform commercially useful functions may not be counted toward M/WBE utilization.”

**New York State Department of Health
M/WBE UTILIZATION PLAN**

MINORITY OWNED BUSINESS ENTERPRISE (MBE) INFORMATION

In order to achieve the MBE Goals, bidder expects to subcontract with New York State certified MINORITY-OWNED entities as follows:

MBE Firm (Exactly as Registered)	Description of Work (Products/Services) [MBE]	Projected MBE Dollar Amount
Name Address City, State, Zip Employer I.D. Telephone Number () -		\$ _____
Name Address City, State, Zip Employer I.D. Telephone Number () -		\$ _____
Name Address City, State, Zip Employer I.D. Telephone Number () -		\$ _____

**New York State Department of Health
M/WBE UTILIZATION PLAN**

WOMEN OWNED BUSINESS ENTERPRISE (WBE) INFORMATION

In order to achieve the WBE Goals, bidder expects to subcontract with New York State certified WOMEN-OWNED entities as follows:

WBE Firm (Exactly as Registered)	Description of Work (Products/Services) [WBE]	Projected WBE Dollar Amount
Name Address City, State, Zip Employer I.D. Telephone Number () -		\$ _____
Name Address City, State, Zip Employer I.D. Telephone Number () -		\$ _____
Name Address City, State, Zip Employer I.D. Telephone Number () -		\$ _____

16.3 M/WBE Form #2

New York State Department of Health

Waiver Request

Offeror/Contractor Name: Click here to enter text.		Federal Identification No.: Click here to enter number.	
Address: Click here to enter text.		Solicitation/Contract No.: Click here to enter number.	
City, State, Zip Code: Click here to enter text.		M/WBE Goal: MBE %%% WBE %%% (From Form #1)	
By submitting this form and the required information, the officer or/contractor certifies that every Good Faith Effort has been taken to promote M/WBE participation pursuant to the M/WBE requirements set forth under the contract.			
Contractor is requesting a: <input type="checkbox"/> MBE Waiver – A waiver of the MBE Goal for this procurement is requested. Total Partial <input type="checkbox"/> WBE Waiver – A waiver of the WBE Goal for this procurement is requested. Total Partial <input type="checkbox"/> Waiver Pending ESD Certification – (Check here if subcontractors or suppliers of Contractor are not certified M/WBE, but an application for certification has been filed with Empire State Development.) Date of such filing with Empire State Development: Click here to enter a date.			
_____		_____	
PREPARED BY (Signature)		Date:	
SUBMISSION OF THIS FORM CONSTITUTES THE OFFEROR/CONTRACTOR'S ACKNOWLEDGEMENT AND AGREEMENT TO COMPLY WITH THE M/WBE REQUIREMENTS SET FORTH UNDER NYS EXECUTIVE LAW, ARTICLE 15-A AND 5 NYCRR PART 143. FAILURE TO SUBMIT COMPLETE AND ACCURATE INFORMATION MAY RESULT IN A FINDING OF NONCOMPLIANCE AND/OR TERMINATION OF THE CONTRACT.			
Name and Title of Preparer (Printed or Typed):		Telephone Number:	Email Address:
Submit with the bid or proposal or if submitting after award submit to: doh.sm.mwbe@health.ny.gov		***** FOR DMWBD USE ONLY *****	
		REVIEWED BY:	DATE:
		Waiver Granted: <input type="checkbox"/> YES <input type="checkbox"/> NO MBE: <input type="checkbox"/> WBE: <input type="checkbox"/> <input type="checkbox"/> Total Waiver <input type="checkbox"/> Partial Waiver <input type="checkbox"/> ESD Certification Waiver <input type="checkbox"/> *Conditional <input type="checkbox"/> Notice of Deficiency Issued _____ *Comments:	

16.4 M/WBE Form #4

New York State Department of Health

M/WBE STAFFING PLAN

For project staff, consultants and/or subcontractors working on this grant complete the following plan. This has no impact on M/WBE utilization goals, or the submitted Utilization Plan - Form#1. This is for diversity research purposes.

Contractor Name _____

Address _____

STAFF	Total	Male	Female	Black	Hispanic	Asian/Pacific Islander	Other
Executive/Senior level Officials							
Managers/Supervisors							
Professionals							
Technicians							
Administrative Support							
Craft/Maintenance Workers							
Laborers and Helpers							
Service Workers							
Totals							

 Name and Title

 Signature

16.5 M/WBE Form #5

MINORITY AND WOMEN-OWNED BUSINESS ENTERPRISES – EQUAL EMPLOYMENT OPPORTUNITY POLICY STATEMENT

M/WBE AND EEO POLICY STATEMENT

I, _____, the (awardee/contractor) _____ agree to adopt the following policies with respect to the project being developed or services rendered at _____.

This organization will, and will cause its contractors and subcontractors to, take good-faith actions to achieve the M/WBE contract participations goals set by the State for that area in which the State-funded project is located, by taking the following steps:

M/WBE

Actively and affirmatively solicit bids for contracts and subcontracts from qualified State certified MBEs or WBEs, including solicitations to M/WBE contractor associations.

Request a list of State-certified M/WBEs from AGENCY and solicit bids from them directly.

Ensure that plans, specifications, request for proposals and other documents used to secure bids will be made available in sufficient time for review by prospective M/WBEs.

Where feasible, divide the work into smaller portions to enhanced participations by M/WBEs and encourage the formation of joint venture and other partnerships among M/WBE contractors to enhance their participation.

Document and maintain records of bid solicitation, including those to M/WBEs and the results thereof. Contractor will also maintain records of actions that its subcontractors have taken toward meeting M/WBE contract participation goals.

Ensure that progress payments to M/WBEs are made on a timely basis so that undue financial hardship is avoided, and that bonding and other credit requirements are waived or appropriate alternatives developed to encourage M/WBE participation.

Name & Title

Signature & Date

national origin, sex, age, disability or marital status, will undertake or continue existing programs of affirmative action to ensure that minority group members are afforded equal employment opportunities without discrimination, and shall make and document its conscientious and active efforts to employ and utilize minority group members and women in its work force on state contracts.

(b) This organization shall state in all solicitation or advertisements for employees that in the performance of the State contract all qualified applicants will be afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex disability or marital status.

(c) At the request of the contracting agency, this organization shall request each employment agency, labor union, or authorized representative will not discriminate on the basis of race, creed, color, national origin, sex, age, disability or marital status and that such union or representative will affirmatively cooperate in the implementation of this organization's obligations herein.

(d) Contractor shall comply with the provisions of the Human Rights Law, all other State and Federal statutory and constitutional non-discrimination provisions. Contractor and subcontractors shall not discriminate against any employee or applicant for employment because of race, creed (religion), color, sex, national origin, sexual orientation, military status, age, disability, predisposing genetic characteristic, marital status or domestic violence victim status, and shall also follow the requirements of the Human Rights Law with regard to non-discrimination on the basis of prior criminal conviction and prior arrest.

(e) This organization will include the provisions of sections (a) through (d) of this agreement in every subcontract in such a manner that the requirements of the subdivisions will be binding upon each subcontractor as to work in connection with the State contract.

EEO

(a) This organization will not discriminate against any employee or applicant for employment because of race, creed, color,

16.6 Detailed Instructions for Completing M/WBE Forms 1 & 2

Form#1 – M/WBE Utilization Plan

Page #1 of Form #1:

Description of Plan - Describe any steps/details that support Bidder/Contractor plan to meet the M/WBE goals stated in the procurement/contract.

Line#1 - Total Dollar Value of Proposal Bid – This line should represent the total dollar amount of bid. The total value is eligible for M/WBE goal setting.

Line#2 - MBE Goal Applied to the Contract– Bidder/Contractor lists the amount to be paid/subcontracted to Certified Minority-owned Business Enterprise(s) and the percentage this amount represents of the Total Dollar Value of Proposal Bid listed on Line #1.

Example: If paying two MBE firms \$100,000 & \$50,000 each and Total Dollar Value of Proposal Bid listed on line #1 is \$1,000,000, list 15% and \$150,000 on Line #2.

Line#3 - WBE Goal Applied to the Contract– Bidder/Contractor lists the amount paid/subcontracted to Certified Woman-owned Business Enterprise(s) and the percentage this amount represents of the Total Dollar Value of Proposal Bid listed on Line 1 of the “Form #1 M/WBE Utilization Plan.”

Example: If Bidder/Contractor is paying two WBE firms \$50,000 & \$100,000 each and the Total Dollar Value of Proposal Bid listed on line#1 is \$1,000,000 Bidder/Contractor would list 15% and \$150,000 on Line #2 of the Utilization Plan.

Line#4 – M/WBE Combined Totals – Total of Line #2 and Line #3. [Line #2 + Line #3 = M/WBE Combined Totals]

Example: Using the above Line #2 and Line #3 examples for payment data, Bidder/Contractor achieves a combined M/WBE % of 30% and a combined M/WBE dollar amount of \$300,000. (15%M and 15%W; \$150,000M + \$150,000W). M/WBE total/Total dollar value of bid = %.

Page#2 of Form#1:

The first column (left column): Bidder/Contractor lists any Minority-owned Business Enterprises (MBE) that Bidder/Contractor will be subcontracting with or purchasing from and the MBE contact/company information.

The second column (center column): Bidder/Contractor describes what type of work certified MBE will be providing or what product certified MBE will be supplying to Bidder/Contractor.

Third column (right column): Bidder/Contractor states the amount to be paid to the certified MBE during the term of the contract. The amount totaled from Page #2 should equal the amount listed on Line #2 of Page #1.

Page#3 of Form#1:

The first column (left column): Bidder/Contractor lists any Woman-owned Business Enterprises (WBE) that Bidder/Contractor will be subcontracting with or purchasing from and WBE contact/company information.

The second column (center column): Bidder/Contractor describes what type of work certified WBE will be providing or what product certified WBE will be supplying to Bidder/Contractor.

Third column (right column): Bidder/Contractor states the amount to be paid to the certified WBE during the term of the contract. The amount totaled from Page#3 should equal the amount listed on Line#3 of Page#1.

Form#2 – M/WBE Waiver Request

“Form#1 M/WBE Utilization Plans” that commit to a goal % less than the stated M/WBE goal percentage in procurement, must be accompanied by a “Form#2 M/WBE Waiver Request”.

A Bidder/Contractor may qualify for a partial or total waiver of the M/WBE goal requirements established on a State contract only upon the submission of a waiver form by a Bidder/Contractor, documenting good-faith efforts by the Contractor to meet the goal requirements of the state contract and a consideration of applicable factors. The ability to subcontract with M/WBEs and separately the ability to purchase with M/WBEs must be addressed in attachments on all waiver requests.

Fill out the header with the name of the Bidder/Contractor requesting the waiver under Offeror/Contractor Name, include your Federal Identification ID, Address, Solicitation/Contract Number, and M/WBE Goals.

Check off the appropriate box for the type of waiver that is being requested and whether it is a total or partial waiver. If the waiver is Pending ESD Certification, meaning the subcontractor has applied for certification with Empire State Development, check off that box and state the date that they applied for certification.

Next, and directly below the Pending ESD Certification area, please sign and date the waiver. Provide the name of the preparer as well as a telephone number and email address (Bidder/Contractor direct contact number of person authorized to discuss submission).

The following attachments should also be provided:

1. A statement setting forth your basis for requesting a partial or total waiver. The statement should at a minimum include the services being subcontracted out and why a portion of those services cannot be subcontracted to Certified M/WBE(s). In addition, statement must also include what purchases of equipment and supplies are being made and why those purchases cannot be provided by certified M/WBE(s).
2. The names of general circulation, trade association, and M/WBE-oriented publications in which you solicited certified M/WBEs for the purposes of complying with your participation goals related to this contract.
3. A list identifying the date(s) that all solicitations for certified M/WBE participation were published in any of the above publications.
4. A list of all certified M/WBEs appearing in the NYS Directory of Certified Firms that were solicited for purposes of complying with your certified M/WBE participation levels.
5. Copies of notices, dates of contact, letters, and other correspondence as proof that solicitations were made in writing and copies of such solicitations, or a sample copy of the solicitation if an identical solicitation was made to all certified M/WBEs.
6. Provide copies of responses to your solicitations received by you from certified M/WBEs.
7. Provide a description of any contract documents, plans, or specifications made available to certified M/WBEs for purposes of soliciting their bids and the date and manner in which these documents were made available.

8. Provide documentation of any negotiations between you, the Offeror/Contractor, and the M/WBEs undertaken for purposes of complying with the certified M/WBE participation goals.

9. Provide any other information you deem relevant which may help us in evaluating your request for a waiver.

*** All attachments are created by the entity requesting the waiver. These are self-generated attachments and are not provided by the agency.**

17. ATTACHMENT G

17.1 Bidder's Disclosure of Prior Non-Responsibility Determinations

Procurement Title: [Type text]

RFP #: [Type text]

Bidder Name: [Type text]

Bidder Address: [Type text]

Bidder SFS Vendor ID #: [Type text]

Bidder Federal ID#: [Type text]

Affirmations & Disclosures related to State Finance Law §§ 139-j & 139-k:

Offerer/Bidder affirms that it understands and agrees to comply with the procedures of the Department of Health relative to permissible contacts (provided below) as required by State Finance Law §139-j (3) and §139-j (6) (b).

Pursuant to State Finance Law §§139-j and 139-k, this *Invitation for Bid or Request for Proposal* includes and imposes certain restrictions on communications between the Department of Health (DOH) and an Offerer during the procurement process. An Offerer/bidder is restricted from making contacts from the earliest notice of intent to solicit *bids/proposals* through final award and approval of the Procurement Contract by the DOH and, if applicable, Office of the State Comptroller (“restricted period”) to other than designated staff unless it is a contact that is included among certain statutory exceptions set forth in State Finance Law §139-j(3)(a). Designated staff, as of the date hereof, is/are identified on the first page of this *Invitation for Bid, Request for Proposal, or other solicitation document*. DOH employees are also required to obtain certain information when contacted during the restricted period and make a determination of the responsibility of the Offerer/bidder pursuant to these two statutes. Certain findings of non-responsibility can result in rejection for contract award and in the event of two findings within a 4 year period, the Offerer/bidder is debarred from obtaining governmental Procurement Contracts. Further information about these requirements can be found on the Office of General Services Website at: <http://ogs.ny.gov/acpl/>

1. Has any Governmental Entity made a finding of non-responsibility regarding the individual or entity seeking to enter into the Procurement Contract in the previous four years? (Please check):

No

Yes

If yes, please answer the next questions:

1a. Was the basis for the finding of non-responsibility due to a violation of State Finance Law §139-j (Please check):

No

Yes

1b. Was the basis for the finding of non-responsibility due to the intentional provision of false or incomplete information to a Governmental Entity? (Please circle):

No

Yes

1c. If you answered yes to any of the above questions, please provide details regarding the finding of non-responsibility below.

Governmental Entity: [Type text]

Date of Finding of Non-responsibility: [Type text]

Basis of Finding of Non-Responsibility: [Type text]

(Add additional pages as necessary)

2a. Has any Governmental Entity or other governmental agency terminated or withheld a Procurement Contract with the above-named individual or entity due to the intentional provision of false or incomplete information? (Please circle):

No Yes

2b. If yes, please provide details below.

Governmental Entity: [Type text]

Date of Termination or Withholding of Contract: [Type text]

Basis of Termination or Withholding: [Type text]

(Add additional pages as necessary)

Offerer/Bidder certifies that all information provided to the Department of Health with respect to State Finance Law §139-k is complete, true and accurate.

(Officer Signature)

(Date)

(Officer Title)

(Telephone)

(email Address)

18. ATTACHMENT H

18.1 Encouraging Use of New York Businesses in Contract Performance

I. Background

New York State businesses have a substantial presence in State contracts and strongly contribute to the economies of the state and the nation. In recognition of their economic activity and leadership in doing business in New York State, bidders/proposers for this contract for commodities, services or technology are strongly encouraged and expected to consider New York State businesses in the fulfillment of the requirements of the contract. Such partnering may be as subcontractors, suppliers, protégés or other supporting roles.

Bidders/proposers need to be aware that all authorized users of this contract will be strongly encouraged, to the maximum extent practical and consistent with legal requirements, to use responsible and responsive New York State businesses in purchasing commodities that are of equal quality and functionality and in utilizing service and technology. Furthermore, bidders/proposers are reminded that they must continue to utilize small, minority and women-owned businesses, consistent with current State law.

Utilizing New York State businesses in State contracts will help create more private sector jobs, rebuild New York's infrastructure, and maximize economic activity to the mutual benefit of the contractor and its New York State business partners. New York State businesses will promote the contractor's optimal performance under the contract, thereby fully benefiting the public sector programs that are supported by associated procurements.

Public procurements can drive and improve the State's economic engine through promotion of the use of New York businesses by its contractors. The State therefore expects bidders/proposers to provide maximum assistance to New York businesses in their use of the contract. The potential participation by all kinds of New York businesses will deliver great value to the State and its taxpayers.

II. Required Identifying Information

Bidders/proposers can demonstrate their commitment to the use of New York State businesses by responding to the question below:

Will New York State Businesses be used in the performance of this contract?

YES NO

If yes, identify New York State businesses that will be used and attach identifying information. Information should include at a minimum: verifiable business name, New York address and business contact information.

New York Business Identifying Information Business Name	Business Address	Contact Name	Contact Phone	Contact Address	Email

19. ATTACHMENT I

19.1 No-Bid Form

PROCUREMENT TITLE: _____ RFP # _____

Bidders choosing not to bid are requested to complete the portion of the form below:

- We do not provide the requested services. Please remove our firm from your mailing list
- We are unable to bid at this time because:

- Please retain our firm on your mailing list.

(Firm Name)

(Officer Signature) (Date)

(Officer Title)

(Telephone)

(email Address)

FAILURE TO RESPOND TO BID INVITATIONS MAY RESULT IN YOUR FIRM BEING REMOVED FROM OUR MAILING LIST FOR THIS SERVICE.

20. ATTACHMENT J

20.1 Contractor Responsibility Attestation

To comply with the Contractor Responsibility Requirements outlined in Section E, Administrative, 8. Contractor Responsibility Questionnaire, I hereby certify:

Choose one:

- An on-line Contractor Responsibility Questionnaire has been updated or created at OSC's website: <https://portal.osc.state.ny.us> within the last six months.
- A hard copy Contractor Responsibility Questionnaire is included with this proposal/bid and is dated within the last six months.
- A Contractor Responsibility Questionnaire is not required due to an exempt status. Exemptions include governmental entities, public authorities, public colleges and universities, public benefit corporations, and Indian Nations.

Signature of Organization Official: _____

Print/type Name: _____

Title: _____

Organization: _____

Date Signed: _____

21. APPENDICES

21.1 Appendix 1

21.1.1 Customizations Made to Module Functional Requirements and Gaps- Included in Base Pricing

1. Clinic Module Customizations
2. Vendor Module Customizations
3. State-Only Module Customizations
4. Admin Module Customizations
5. Case Management Module Development

The Case Management module is unique to NYS and will be used primarily for compliance, reports and investigations.

Please see separate attachment titled Appendix 1.

21.2 Appendix 2

21.2.1 Customizations Made Through System Change Management – Not Included in Base Pricing

Following is a list of customizations or features that may be requested to be implemented by the T&I Contractor within the System Change Management process:

- Document scanning and file storage in the MIS with the capability to categorize for ease of retrieval
- Automated processing and file transfer for rebate programs for formula (current vendor is Mead Johnson) and other identified food products
- Interface with NUPC database
- Processing the annual The Integrity Profile (TIP) report
- Farmers' Market Nutrition Program
- Integration with mobile applications

The System Change Management process shall be used to document and obtain NYS approval in advance for all such customizations and additional work. Payment for this work will be processed based on itemized invoices for each approved and implemented change.

New York WIC (NYWIC) Functional Requirements and Gap Analysis

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Clinic Module Functional Requirements	24
State Only Module Functional Requirements	82
Vendor Module Functional Requirements	88
Case Management Functional Requirements	107

Note: Numbering of the requirements is based on Florida's FL WiSE user manuals (Admin – v4.0; Clinic– v1.17; Vendor v4.0; State Only – v4.0)

Admin Module Functional Requirements

FRA – Functional Requirements for Admin module

RRA – Reporting Requirements Admin module

ID #	Functional Requirement	Functional Requirement Description	Gap	Gap Description
FRA 5	Agency/Clinic Set Up	User shall have the ability to establish and maintain State Agency, Local Agency, Vendor Management Agency, and Clinic information	Yes	NY State uses Vendor Management Agencies to manage vendor application enrollment and monitoring.
FRA 5.1	Establishing and Maintaining Organization Information	User shall have the ability to create and maintain Local Agencies, Clinics, and Capture Organization information such as <ul style="list-style-type: none"> - Staffing plan - Contact information - Mailing address - specific login level provide some of these features depending on that level 	No	
FRA 5.2	Adding an Organization (State Function)	User shall have the ability to select the organization type <ul style="list-style-type: none"> - Local Agency or Vendor Management Agency - County - Clinic And enter the Organization Code.	Yes	NYS requires 3 digits for Agency, currently it has a 2 digit field
FRA 5.2.1	Adding a Local Agency	User shall have the ability to Add New Local or Vendor Management Agency and Demographic information	Yes	NYS requires 3 digits for Agency, currently it has a 2 digit field
FRA 5.2.2	Adding a County	User shall have the ability to Add New County and add Demographic information	No	
FRA 5.2.3	Adding a Clinic	User shall have the ability to Add New Clinic and Demographic information	No	
FRA 5.3	Setting Up Clinic Services	User shall have ability to establish and set up clinic services from the Table maintenance.	No	
FRA 5.4	Opening a Closed Local Agency or Clinic (State Function)	User shall have the ability to re-open closed Local Agency or clinic	No	

Appendix 1

ID #	Functional Requirement	Functional Requirement Description	Gap	Gap Description
FRA 5.5	Closing an Open Local Agency or Clinic (State Function)	User shall have ability to close an open Local Agency or clinic	No	
FRA 5.6	Deleting a Clinic or Local Agency (State Function)	User shall have the ability to delete an Local Agency or clinic if there is no associated or 'child' records have been created	No	
FRA 5.7	Adding the Mailing Address for the Local Agency or Clinic	User shall have the ability to add Mailing Address for the Local Agency or clinic if the mailing address differs from the street address	No	
FRA 5.8	Adding Local Agency Contact Information	User shall have the ability to add contact information for the Local Agency	No	
FRA 5.9	Creating a Clinic's Staffing Plan	System shall provide the ability to create/capture: - Clinic caseload assignment - staff types, - FTEs, and - Staffing FTE/Caseload	No	
FRA 5.9.1	Number of Clients	User shall have the ability to enter the number of clients they expect to participate as 'Caseload assigned to the Clinic'	No	
FRA 5.9.1.1	Calculate	System shall provide the ability to Calculate and display the actual number of clients participating with in the Clinic as average caseload per year to date and populate the 'Total Caseload assigned to the LA from the Caseload	No	
FRA 5.10	Entering FSR Data	System shall provide the ability to capture the Financial Status Reporting information that is used in conjunction with time studies	No	
FRA 5.10.1	Entering Fiscal Year Data	User shall have the ability to enter as per selected fiscal year - Total Administrative Cost - Total Expenditure - Total Wages - Total Nutrition Education other cost - Total Breastfeeding other cost	No	
FRA 5.11	Managing Caseload Assignments (State Function)	System shall provide the ability to capture caseload information	No	
FRA 5.12	Referral/Outreach Category (State Function)	User shall have the ability to create the community resources, once a Clinic has been opened. This process occurs in the three steps:	Yes	System shall allow adding the county when adding a community resource.

ID #	Functional Requirement	Functional Requirement Description	Gap	Gap Description
		<ul style="list-style-type: none"> - Create Referral/Outreach Category (State-level function) - Add Community Resources(LA-level function) - Assign the Community Resources to Referral/Outreach Categories(LA-level function) <p>Based on their associated Referral Category Community Resources must be viewed</p>		Must be filtered by county/local agency.
FRA 5.12.1	Creating a Referral/Outreach Category (State Function)	<p>System shall provide broad categories for Referral/Outreach used to describe Community Resources, such as</p> <ul style="list-style-type: none"> - Breastfeeding Support - Crisis Centers - Doctors - Dentists - Homeless Shelters, etc. <p><u>The Family/Individual and Referral Type</u> System shall have the ability to enable checkboxes when Referral is selected for the Category type</p>	No	
FRA 5.12.2	Adding a Community Resource	User shall have the ability to add/delete/active/inactive and rename a Community Resource	No	System shall allow adding the county when adding a community resource. Must be filtered by local agency.
FRA 5.12.3	Viewing Community Resource	System shall provide the ability to generate a read-only screen that displays resources based on the Referral/Outreach category	No	
FRA 5.12.4	Outreach/NSP Management	<p>User shall have ability to track outreach activities and generate Outreach plans linked to specific activities performed during a specified fiscal year</p> <p><u>Goals:</u> System shall have ability to edit Goals for the Current or future months only</p>	No	
FRA 5.13	Transferring Clients from Closed Clinics	User shall have ability to transfer the client list from closed clinic to a nearby open clinic	No	

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ID #	Functional Requirement	Functional Requirement Description	Gap	Gap Description
FRA 5.14	Service Code Setup - LA	System shall provide the ability to add/delete service codes to be used at the Local Agency	Yes	Functionality similar to what is found in MI-WIC (No Service Codes.)
FRA 6	User Set Up	User shall have the ability to: <ul style="list-style-type: none"> - Request SSO for new accounts - Manage staff information - Managing access to the different Clinics and Local Agencies - Assigning/Manage State and Local Agency level roles and permissions 	No	
FRA 6.1	Staff Information	User shall have ability to update/modify and assign staff data to clinic or Local Agency, such as <ul style="list-style-type: none"> - Person's name - Email address - Credentials - User status - User type - Notes - Phone number - Pay rate - Staff salaries - Message Board Title 	No	
FRA 6.1.1	Entering Pay Rate Information for Staff	System shall provide the ability to enter pay rate information based on the identification of a staff member who is 100% NE, 100% BF, or is Exempt from participating in an active Time Study, and support the ability to enter staff salaries.	No	
FRA 6.1.2	Entering Staff Training Data	User shall have the ability to capture <ul style="list-style-type: none"> - Staff Training date - Type of Training - Notes 	No	
FRA 6.2	User Agencies	User shall have the ability to add/remove and assign access at the State, Local Agency and/or clinic Level	No	
FRA 6.3	User Roles	User shall have the ability to assign a specific roles linked to the job functions, each role shall have a specific permission that controls <ul style="list-style-type: none"> - No Access - Read Only - Access or full update Access 	Yes	Change as per NYS User Roles; NYS will stack roles, e.g. office manager and clerk. Some LA roles are state assigned.
FRA 6.3.1	Assigning State Level Roles	User shall the ability to assign/add/remove and Generate History for State Level roles as per Module	No	

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ID #	Functional Requirement	Functional Requirement Description	Gap	Gap Description
		<ul style="list-style-type: none"> - Clinic - Admin - Vendor - State Only - Case Management 		
FRA 6.3.2	Role Requests	User shall have the ability to request and add/remove roles also provide the ability to send a message to valid email address	No	
FRA 6.3.3	Assigning a Local Agency Role to a Staff Member	User shall have the ability to assign/add/remove and Generate History for Local Agency Level roles as per Module <ul style="list-style-type: none"> - Clinic - Admin - Vendor 	No	
FRA 6.4	Managing Role Permissions (State Level)	User shall have the ability to control all access rights <ul style="list-style-type: none"> - Screen - Buttons - Reports And levels of access to be include <ul style="list-style-type: none"> - No Access - Read Only - Update 	No	
FRA 7	Scheduling Tasks	User shall have the ability to create and generate schedules for WIC Clinics	Yes	Entire scheduling from FRA7 to 7.7 to be replaced by functionality similar to MI-WIC.
FRA 7.1	Office Closed Days	System shall provide the ability to identify standard State holidays as well as local holidays or the days the clinic may be closed for staff meetings so that schedules will not be applied to those days inadvertently	Yes	
FRA 7.1.1	Establishing Standard Holidays	User shall have the ability to Create standard State holidays	Yes	
FRA 7.1.2	Establishing Closed Days	System shall generate that the Office is closed calendar to identify/modify days that a Clinic may be closed and date is displayed as office closed in Red	Yes	
FRA 7.2	Creating a Clinic Schedule	User shall have the ability to Create a schedule and apply to the Clinic in order to schedule WIC clients for appointments within the Clinic Module <p>By performing the following steps:</p> <ul style="list-style-type: none"> - Establishing clinic Closed Days 	Yes	

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ID #	Functional Requirement	Functional Requirement Description	Gap	Gap Description
		<ul style="list-style-type: none"> - Creating a template at the Local Agency Level - Generating the Schedule 		
FRA 7.3	Creating Templates for Scheduling	<p>User shall have the ability to create/add/remove/rename/delete a Template for Scheduling at the Local Agency level and specific Clinics within the agency depending on needs of WIC clients.</p> <p>The process to create a template:</p> <ul style="list-style-type: none"> - Create New Template - Assign times staff are available - Identify appointment types to be serviced - Assign sort order <p>Once a temple is created, it can be edited at any time and applied to one or more Clinics</p>	Yes	
FRA 7.4	Generating a Schedule	<p>User shall have the ability to generate a schedule once it has been created and edited</p> <ul style="list-style-type: none"> - Schedule template can be applied to single, multiple or all the clinics by the LA where it was created - it can also be applied to one day, a specified span of dates, and specified days of the week and/or specific days of the month within the date span 	Yes	
FRA 7.5	Undoing a Schedule	<p>User shall have the ability to change a Clinic's schedule for a certain period of time, if a schedule was incorrectly generated</p>	Yes	
FRA 7.6	Viewing the Daily Schedule	<p>User shall have the ability to view the daily schedule as the read only</p>	Yes	
FRA 7.7	Add/Remove Slots	<p>User shall have the ability to Add or Remove Open Slots</p>	Yes	
FRA 7.8	Message Board	<p>User shall have the ability to view a message they had previously sent, as well as send a new message</p>	No	
FRA 7.8.1	Sending a Message	<p>User shall have the ability to create and send a Message and can specify the recipients organization (State, LA or clinic)</p> <ul style="list-style-type: none"> - the title of the staff to receive the message - the subject 	No	

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ID #	Functional Requirement	Functional Requirement Description	Gap	Gap Description
		<ul style="list-style-type: none"> - content - priority of the message - expiration date 		
FRA 7.8.2	Viewing a Message	User shall have the ability to <ul style="list-style-type: none"> - restrict the sent message from deleting - modify the expiration date to an extended period (up to 30 days beyond the original expiration date) 	No	
FRA 7.8.3	Extending a Message Expiration Date	User shall have the ability to extend the expiration date of a message up to 30days past the original expiration date. Once the expiration date has past, the message will be automatically removed from the user's Message Board	No	
FRA 7.8.4	Removing a Message	User shall have the ability to remove the message themselves if the message sender does not want to wait for a message to be systematically removed.	No	
FRA 7.9	Appointment Wait List	User shall have the ability to activate the Appointment Wait List if the State has authorized a Waiting list for the Local Agency	No	
FRA 7.9.1	Appointment Waiting List Groups	User shall have the ability to select the groups that will be placed on the waiting list	No	
FRA 7.9.2	Wait List Notifications	User shall have the ability to <ul style="list-style-type: none"> - see a list of all clients who are current clients that will be placed on the wait list for a selected LA when their current certification period ends - can view clients either within all await list groups or specific wait list group 	No	
FRA 7.10	Auto Dialer	System shall provide the ability to provide automatic call management system in which clinic appointment reminder data can be set up and maintained at the LA level	No	
FRA 8	Assigning Breast Pumps	System shall provide the administrative process for BP including BP model and Managing Brest pump inventory <ul style="list-style-type: none"> - Transferring Breast pumps - Viewing the history of specific BP's 	Yes	Change from State to Local Agency Functionality. (NYS does not allow transfer of breast

ID #	Functional Requirement	Functional Requirement Description	Gap	Gap Description
		- Managing the reasons for assigning BP's to clients		pumps between Local Agencies.)
FRA 8.1	Adding Breast Pumps/Accessories to Model Maintenance	User shall have the ability to Add/Rename/Delete a pump model or Breastfeeding aid with the following fields <ul style="list-style-type: none"> - Type - Pump Model/BF AID - Rename - Manufacturer - Description - Serial No. Checkbox - Bulk Order Checkbox - System Generated Serial No - Model Discontinued 	Yes	Change from State to Local Agency Functionality.
FRA 8.2	Order Summary	System shall provide the ability, to both state and LA staff: <ul style="list-style-type: none"> - to view the pump model - BF Accessory - BP Accessory Kit by inventory per Clinic 	Yes	Change from State to Local Agency Functionality (modified to meet NYS breast pump program.)
FRA 8.3	Inventory Details	User shall have the ability to enter, view and remove inventory information by selecting a pump type/model	Yes	Change from State to Local Agency Functionality.
FRA 8.3.1	Manually Changing the Status of a Breast Pump	User shall have the ability to Change manually a pump's status depended on whether the pump is single-user or multi-user.	Yes	Change from State to Local Agency Functionality.
FRA 8.3.2	Breast Pump Transfer	User shall have the ability to transfer the Breast pumps between Clinics within the same LA or Clinics of Different LA The process performed is the same for either instance	Yes	NYS does not allow transfer of breast pump between Local Agencies
FRA 8.3.3	Single-User Breast Pump Details	System shall provide the ability to display a single-user breast pump's details regarding status and quantity changes	Yes	Change from State to Local Agency Functionality.
FRA 8.4	Issuance Reasons	User shall have the ability to manage, by pump type, Criteria for why issuing pump's	Yes	Change from State to Local Agency Functionality.
FRA 9	Formula Inventory	Disable	Yes	NYS does not do Formula Direct Distribution, (Disable.)
FRA 9.1	Manage Master Inventory	Disable	Yes	Disable
FRA 9.1.1	Adding Formula to the Master Inventory	Disable	Yes	Disable
FRA 9.1.2	Transferring Formula to the Clinic Inventory	Disable	Yes	Disable

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ID #	Functional Requirement	Functional Requirement Description	Gap	Gap Description
FRA 9.1.3	Change Status	Disable	Yes	Disable
FRA 9.1.4	Formula History & Details	Disable	Yes	Disable
FRA 9.2	Manage Site Inventory	Disable	Yes	Disable
FRA 9.2.1	Add Formula to Site Inventory	Disable	Yes	Disable
FRA 9.2.2	Transfer Formula to the Clinic Inventory	Disable	Yes	Disable
FRA 9.2.3	Change Status of Clinic Formula	Disable	Yes	Disable
FRA 9.2.4	Formula History	Disable	Yes	Disable
FRA 10	Time Study	User shall have the ability to review the time Clinic staff spent performing WIC NE and BF activities	No	
FRA 10.1	Time Study Setup (State Function)	User shall have the ability to create, edit a time study and identify the LA and captures the name of the time study, the start and end dates for which the data is being collected and allows the users to exempt time studies on Saturdays and Sundays	No	
FRA 10.2	Time Study Review	User shall have the ability to Review the hourly activity data entered by non-exempt Clinic staff within the Clinic Module	No	
FRA 11	Farmers Market Nutrition Program	Functionality TBD T&I Contractor shall evaluate this section and propose options	Yes	Alternatives to paper checks to be proposed. Refer to FRC 20.3
FRA 11.1	Funding Source Set Up	Functionality TBD	Yes	Refer to FRA 11 and FRC 20.3
FRA 11.2	Funding Summary	Functionality TBD	Yes	Refer to FRA 11 and FRC 20.3
FRA 11.3	State Coupon Inventory	Functionality TBD	Yes	Refer to FRA 11 and FRC 20.3
FRA 11.4	Local Agency Coupon Inventory	Functionality TBD	Yes	Refer to FRA 11 and FRC 20.3
FRA 11.4.1	Changing the Status of a Coupon	Functionality TBD	Yes	Refer to FRA 11 and FRC 20.3
FRA 11.4.2	Transferring Coupons Between Local Agencies	Functionality TBD	Yes	Refer to FRA 11 and FRC 20.3
FRA 11.5	Coupon Resolution	Functionality TBD	Yes	Refer to FRA 11 and FRC 20.3
FRA 11.6	Coupon Lookup	Functionality TBD	Yes	Refer to FRA 11 and FRC 20.3

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ID #	Functional Requirement	Functional Requirement Description	Gap	Gap Description
FRA 12	Data Maintenance (State Function)	User shall have the ability to manage information used within Table Maintenance <ul style="list-style-type: none"> - LA Survey - Rebate Contracts - Interface Files 	No	
FRA 12.1	Table Maintenance (State Function)	User shall have the ability to add/update/modify data available within tables of the five modules <ul style="list-style-type: none"> - Clinic - Admin - Vendor - State Only - Case Management 	Yes	See FRCM 1 - 6
FRA 12.1.1	ADMIN Tables	User shall have the ability to add/update/modify the following Admin Tables <ul style="list-style-type: none"> - Breast Pump Manufacturer - Breast Pump Status - Caseload type - Message Board Titles - Clinic Services - Manufacturer Contracts - Poverty Level - Standard Holidays - State Service Code 	No	
FRA 12.1.2	Clinic services	User shall have the ability to add/update/modify the following Clinic Tables <ul style="list-style-type: none"> - Amount of Breastfeeding - Attend Status - Authorized Person Proof of Identity - Category Group - Categories - Contact Method - Contact Title - County - Communication Types - Disabilities - Education Levels - Ethnic Groups - Inaccurate Measures - Income Intervals - Income Levels - Income Sources - Income Verifications - Languages 	No	

ID #	Functional Requirement	Functional Requirement Description	Gap	Gap Description
		<ul style="list-style-type: none"> - Marital Status - No Contact Reasons - Non Participation Reasons - Outreach Organization Type - Over Issue Reasons - Peer Counselors - Phone Type - Pickup Intervals - Priorities - Proof of Certification - Proof of Identity - Proof of Pregnancy - Proof of Residence - Reasons BF Ended - Reasons not present for Certification - Risk Factor Type - Sanction Action - Sanction Reason - State - Term Reason - Time Study Activities - Title Category - Topic - UPC Categories - Voter Registration - Source Health Care 		
FRA 12.1.3	STATE Only Tables	User shall have the ability to add/update/modify following Clinic Tables <ul style="list-style-type: none"> - Age Range - Containers - Food Group - Formula Name - Product - Rebatable Categories - UPC Categories - Unit of Measure 	No	
FRA 12.1.4	VENDOR Tables	User shall have the ability to add/update/modify following Clinic Tables <ul style="list-style-type: none"> - Activity Type - Complaint Resource Type - Education Course - Education Location - Education Trainer - Food Group Mapping 	No	

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ID #	Functional Requirement	Functional Requirement Description	Gap	Gap Description
		<ul style="list-style-type: none"> - Group UPC Mapping - Min. Stock Questions - Peer Group - Pre-Auth Categories - Questions Repository - Risk Level - Status - Vendor Appeal Reason Codes - Vendor Appeal Result Codes - Vendor Sanction Codes - Vendor Type - Violation Codes 		
FRA 12.1.5	Update Misc data Items Interface	User shall have the ability to access this interface to make corrections to the data types listed. Items that can be changed include: <ul style="list-style-type: none"> - Actual Delivery Date - Birth Weight - Expected Delivery Date - Foster Flag - Weeks of Gestation - Cert Start date - Date of Birth 	No	
FRA 12.2	Nutrition Ed Topics (State Function)	User shall have the ability to add/edit/Delete/Disable/manage the NE Topics that appear in the Clinic Module and the ability for adding /deleting a Risk Code	Yes	Change per NYS Nutrition Ed Topics.
FRA 12.3	Local Agency Survey	User shall have the ability to: <ul style="list-style-type: none"> - Create a survey available to statewide WIC staff members within the Clinic and - Create from scratch or from a copy of an existing survey, after the survey has been answered by a staff member Only the survey questions and multiple choice items can be edited but question type cannot be changed 	No	
FRA 12.4	Client service Maintenance	User shall have the ability to : <ul style="list-style-type: none"> - Change or delete a previously entered service code - Search for SC by selected Clinic, Valid Client ID, date range, service code or a combination of these criteria 	Yes	Functionality similar to what is found in MI-WIC (No Service Codes.)

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ID #	Functional Requirement	Functional Requirement Description	Gap	Gap Description
FRA 12.5	Rebate Contracts (State Function)	User shall have the ability to add/remove and manage the formula rebate contract information	No	
FRA 12.6	Changing a Client's Cert Start Date (State Function)	User shall have the ability to correct an incorrect Certification start date for a client, which was entered in the clinic module during certification	No	
FRA 12.7	Changing a Client's Birth Date	User shall have the ability to correct a client's birth date if it was entered incorrectly in Clinic Module	No	
FRA 12.8	Manual Dual Resolve	User shall have the ability to <ul style="list-style-type: none"> - correct a dual enrollment resolution that was executed, in error, in Clinic Module - Change the dual enrollment status to 'block' or 'keep' and removes the dual enrollment functionality for the client record 	No	
FRA 12.9	Staff Transfer (State Function)	User shall have the ability to transfer Staff Member from one LA to another LA.	No	
FRA 12.10	Interface Files (State Function)	System shall provide the ability to add new interfaces and also provide information regarding all files sent and received by NYWIC	No	
FRA 12.11	Schedule Interface (State Function)	User shall have the ability to schedule an interface file run time	No	
FRA 12.12	Confidentiality Agreement	System shall provide the ability to generate/create the NYWIC Confidentiality Agreement for all new-NYWIC users for digital signature upon their initial login and for current users digital signature once a year	Yes	Change per NYS Confidentiality Agreement.
RRA 13	Administration	User shall have the ability to generate the Administration reports with the following: <ul style="list-style-type: none"> - Benefit Over Issuance - Local Agency Directory 	No	
RRA 13.1	Benefit Over Issuance	User shall have the ability to generate the Benefit Over Issuance report with following Information: <p><u>LA Name</u></p> <ul style="list-style-type: none"> - Staff User Name - Family ID - Client ID - Benefit Start Date - Number of months benefits generated <p><u>LA Total number of Clients Over Issuances</u></p>	No	

ID #	Functional Requirement	Functional Requirement Description	Gap	Gap Description
		<u>State Total Number of Clients Over Issuances</u>		
RRA 13.1.1	System Prompt-Year and Month	System shall provide the ability to select the following fields: Issue Year Issue Month	No	
RRA13.2	Local Agency Directory	User Shall have the ability to generate the Local Agency Directory report with following information: LA Number, Name and Address Clinic Number, Name and Address Level Type Contact Name Email ID LA Phone Number	No	
RRA13.2.1	System Prompt-Access Levels	System shall provide the ability to select the following fields: - State - Local Agency - Clinic	No	
RRA 14	Auto Dialer	User shall have the ability to generate the Auto Dialer report with the following: - Auto dialer call result - Appointment date/time - Last result code - Last delivery code - Call duration in seconds - Response from the called party	No	
RRA 14.1	System Prompt-Access level and call date	System shall provide the ability to select the following fields: - State - Local Agency - Clinic - Call on Date	No	
RRA 15	EBT Reports	Report columns and functionality are TBD and based on interface with the Third Party Processor	Yes	TBD
RRA 15.1	Benefit Over Issuance (Filtered)			
RRA15.2	Benefit Re-Issuance By Family			
RRA 15.3	Benefit Re-Issuance By Staff			

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ID #	Functional Requirement	Functional Requirement Description	Gap	Gap Description
RRA 15.4	Caseload Billing Verification Summary			
RRA 15.5	Cat/Sub-Cat State Average Price			
RRA 15.6	Compliance Buy Results Daily Dollar Volume of Sales			
RRA 15.7	Daily LA Redemption Activity			
RRA 15.8	Local Agency Special Formula			
RRA 15.9	Maximum Price Adjustment			
RRA 15.10	Minimal Sales in Past Six Months			
RRA 15.11	Monthly LA Redemption Activity			
RRA 15.12	Obligation/De-Obligation Report			
RRA 15.13	Quarterly Dollar Volume of Sales Void Current Month			
RRA 15.14	Benefit Summary Void Future Month			
RRA 15.15	Benefit Summary			
RRA 16	Farmers Market	Report columns and functionality are TBD based on approach to FMNP.	Yes	TBD, refer to FRC 20.3
RRA 17	Local Agency Coupon Issuance and Redemption	Report columns and Functionality are TBD based on approach to FMNP.	Yes	TBD
RRA 18	Fiscal Reports	User Shall have the ability generate following Fiscal reports:	No	

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ID #	Functional Requirement	Functional Requirement Description	Gap	Gap Description
		<ul style="list-style-type: none"> - Daily Dollar - Monthly Fiscal Summary report 		
RRA 18.1	Daily Dollar Volume by Issue Month	User shall have the ability to generate the Daily Dollar Volume By Issue Month report with the following information: <ul style="list-style-type: none"> - Settled Date - Issue Year - Issue Month(total settled amount) - Total Coupons - Daily Dollars - Vendor/Peer Group/Clinic/Owners - Debits/Credits 	No	
RRA 18.1.1	System prompt: Settlement Date	System shall provide the ability to select the following fields: <ul style="list-style-type: none"> - Settlement Date From - Settlement Date To 	No	
RRA 18.2	Monthly Fiscal Summary	User shall have the ability to generate the fiscal Summary report with the following information: <ul style="list-style-type: none"> - <u>Settled Date</u> - Total - <u>Settled Volume</u> - <u>Issued</u> - Total Issued - Redemption amount - Void 	No	
RRA 18.2.1	System Prompt-Month and Year	System shall provide the ability to select the following fields: <ul style="list-style-type: none"> - Redemption Month - Redemption Year 	No	
RRA 19	Local Agency Survey	User shall have the ability to generate the Local Agency Survey report with the following information: <ul style="list-style-type: none"> - <u>Survey</u> - <u>Survey Responses</u> - LA Number - LA Name - Number of Users - Respondents by LA - <u>Totals</u> - <u>LA that did not respond</u> - LA Number - LA Name - <u>Survey response Summary</u> - Question - Question Type - Total Responses 	No	

ID #	Functional Requirement	Functional Requirement Description	Gap	Gap Description
		<ul style="list-style-type: none"> - Percentage (yes/no) - Multiple Choice Percentage - Percentage - <u>Text Detail</u> - Number - Question/Response - Question ID - Question Description 		
RRA 19.1	System prompt-Drop down	System shall provide the ability to select the Survey from drop down	No	
RRA 20	Outreach Planning and Tracking Log	User shall have the ability to generate the Outreach Planning and Tracking Log report with the following information: <u>Fiscal Year</u> <u>Local Agency</u> <u>Goal</u> <ul style="list-style-type: none"> - Objective - Person Responsible - Projected completion Date - Evaluation Method - Activity - Where - Planned Activity Date - Actual Activity Date - Who Provided - Post activity Notes 	No	
RRA 21.1	System prompt-Access level and Year	System shall provide the ability to select the following fields: <ul style="list-style-type: none"> - Fiscal Year (drop down) - Local Agency (drop down) 	No	
RRA 22	Risk Factors Rules	User shall have the ability to generate Risk Factor Rules report with following information: <u>Inputs Risk ID then displays Risk factor rule</u> <ul style="list-style-type: none"> - Risk Factor Rule - Risk - Reference - Reference description - High or Low Risk 	No	
RRA 22.1	System prompt-Drop down	System shall provide the ability to select the Risk Factor from a Drop down	No	
RRA 23	Role reports	User shall have the ability to generate the following reports: <ul style="list-style-type: none"> - LA/State User Roles - Role Permission - Single User Certification report 	No	

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ID #	Functional Requirement	Functional Requirement Description	Gap	Gap Description
		<ul style="list-style-type: none"> - User Role History by Staff Member report - User Role report - User Status report 		
RRA 23.1	Local Agency/State User Roles	User shall have the ability to generate active Local Agency and State User Roles reports with following information: <ul style="list-style-type: none"> - LA/clinic Name - LA Level Roles - State Level Roles 	No	
RRA 23.1.1	System prompt-Access Level	System shall provide the ability to select the following levels: <ul style="list-style-type: none"> - State - Local Agency 	No	
RRA 23.2	Role Permissions	User shall have the ability to generate the Role Permissions report with following information: <u>Module</u> <u>Role</u> <ul style="list-style-type: none"> - Function - No Access - Read Only - Update 	No	
RRA 23.2.1	System prompt-Levels and Roles	System shall provide the ability to select the following fields: <u>Module Name</u> <ul style="list-style-type: none"> - All - Admin - Clinic - State Only - Vendor - Case Management <u>Roles</u> <ul style="list-style-type: none"> - Description of Roles 	Yes	Refer to FRCM 1-6
RRA 23.3	Single User Certification Report	User shall have the ability to generate Single User certification report with following information: <ul style="list-style-type: none"> - From : Start Date - To: End Date - (Time Frames) <u>LA/Clinic Name</u> <ul style="list-style-type: none"> - Clinic Id - Client Last Name - Client First Name - Date Certification on - Benefit Issued By - Transfers 	No	

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ID #	Functional Requirement	Functional Requirement Description	Gap	Gap Description
RRA 23.3.1	System prompt- Access levels and Date	System shall provide the ability to select the following fields: <ul style="list-style-type: none"> - State - Local Agency - Clinic - Date From - Date Thru 	No	
RRA 23.4	User Role History by Staff Member Report	User shall have the ability to generate User Role History by Staff Member report with the following information: <u>Local Agency</u> <u>Staff Members</u> <ul style="list-style-type: none"> - Module - Role - Assigned Date - Assigned BY - Role End Date - Role Ended By 	No	
RRA 23.4.1	System prompt- Access Level	System shall provide the ability to select the following fields: <ul style="list-style-type: none"> - State - Local Agency - Staff 	No	
RRA 23.5	User Role Report	User shall have the ability to generate the User Role report with following information: <ul style="list-style-type: none"> - User ID - User Name - Module - Role Description 	No	
RRA 23.5.1	System Prompt-Access level, Modules and Roles	System shall provide the ability to select the following fields: <u>All Users</u> <u>State Users</u> <u>LA Users</u> <u>Clinic Users</u> <u>Module</u> <ul style="list-style-type: none"> - Admin - Clinic - State only - Vendor - Case Management <u>Role Description</u>	Yes	Refer to FRCM 1-6
RRA 23.6	User Status Report	User shall have the ability to generate User Status report with the following information: <u>LA/Clinic Name</u> <u>User Status</u>	No	

ID #	Functional Requirement	Functional Requirement Description	Gap	Gap Description
		<ul style="list-style-type: none"> - Active - Inactive - New Subscriber - Temporary Inactive <u>New User Registration Form</u> <ul style="list-style-type: none"> - User Last Name - User First Name - User ID - Access Provided on (date) - Last Access Date 		
RRA 24	Staff Compliance	User shall have the ability to generate following Staff Compliance reports: <ul style="list-style-type: none"> - Access Monitoring - Clinic Closed Hours & Holiday User Monitoring Report - Transaction Monitoring Report 	No	
RRA 24.1	Access Monitoring Report	User shall have the ability to generate Access Monitoring Report with following information: <u>Agency Name</u> <ul style="list-style-type: none"> - User ID - User Name - Date - Log in time - Log out time 	No	
RRA 24.1.1	System Prompt-Access Level	System shall provide the ability to select LA or clinic with the following fields: <ul style="list-style-type: none"> - LA Name - Clinic Name - Staff ID - Date Range - Time Range 	No	
RRA 24.2	Clinic Closed Hours & Holiday User Monitoring Report	User shall have the ability to generate particular date range for Clinic Closed Hours & Holiday User Monitoring Report	No	
RRA 24.2.1	System Prompt-Access level and Date	System shall provide the ability to select the following fields: <ul style="list-style-type: none"> - Local Agency - Clinic - Date from - Date to 	No	
RRA 24.3	Transaction Monitoring Report	User shall have the ability to generate the Transaction Monitoring report with following information <u>Org Name</u> <u>Staff ID</u> <ul style="list-style-type: none"> - User ID - User Name 	No	

ID #	Functional Requirement	Functional Requirement Description	Gap	Gap Description
		<ul style="list-style-type: none"> - Date - Log In Time - Log Out Time - Family ID - Client ID 		
RRA 24.3.1	System prompt-Access Level	System shall provide the ability to Select LA or Clinic with following fields: <ul style="list-style-type: none"> - LA Name - Clinic Name - Staff ID - Date Range - Time Range 	No	
RRA 25	Time Study Report	User shall have the ability to generate the Time Study report with following information <p><u>Name</u></p> <ul style="list-style-type: none"> - Users - Hourly rate - NE Time(mins) - NEH(hours) - BF Time(mins) <p><u>Section Total</u></p> <ul style="list-style-type: none"> - NE Value Agency - BF Value Agency - Annual NE Value - Annual BF Value - Total Admin - Total Expenditure - Percentage spend on wages - Percentage spend on NE wages - Percentage spend on BF wages - Total value - Total BF value <p><u>Agency Total</u></p> <p><u>State Total</u></p> <ul style="list-style-type: none"> - State wide total expenditure - State wide LA wages - Percentage for LA wages - State wide LA NE cost - State wide LA BF cost - Annual cost 	No	
RRA 25.1	System prompt-Year	System shall provide the ability to select year	No	

Clinic Module Functional Requirements

FRC – Functional Requirements for Clinic module

RRC – Reporting Requirements Clinic module

ID #	Functional Requirement	Functional Requirement Description	Gap	Gap Description
FRC 5	Searching for a Client/Family Record	User shall have the ability to search for a Client or Family and retrieve the information based on the Search criteria	Yes	Please see 5.1 below.
FRC 5.1	Performing a Basic Search	User shall have the basic search capability to retrieve record(s) based on any or all of the following criteria: <ul style="list-style-type: none"> - Scope – Local Agency, State or Clinic - ID – Client or Auth. Rep - Name – Last or First - Birth Date - Soundex Code - Certified Only 	Yes	Change 'Client' to 'Participant.'
FRC 5.2	Performing an Advance Search	User shall have the advanced search capability to retrieve record(s) based on any or all of the following criteria: <ul style="list-style-type: none"> - Scope – Local Agency, State or Clinic - Client Name – Last or First - Co-Care Taker Name – Last or First - Phone Number - Medicaid Number - WIC EBT Card Number - Soundex Code - Certified only 	No	
FRC 6	Making a Client/Family Record Active	User shall have the ability to make a record Active in order to update or modify the respective data	Yes	Change 'Make Active to 'Open Record.'
FRC 6.1	Making a Record Active from the Search Screen	User shall have the ability to make a record Active in order to update or modify the respective data from the Search Screen.	No	
FRC 6.2	Making a Record Active from the Onsite List	User shall have the ability to make a record Active in order to update or modify the respective data from the Onsite List Screen	No	

ID #	Functional Requirement	Functional Requirement Description	Gap	Gap Description
FRC 6.3	Making a Record Active from the Daily Schedule	User shall have the ability to make a record Active in order to update or modify the respective data from the Daily Schedule Screen.	No	
FRC 7	Household Summary Screen	User shall have the ability to view the summary for the WIC clients within a given household on this screen. This Screen will be the 'Home Base' screen accessed by making a client active. This screen shall be a Read-Only screen that displays a summary of future appointments, current Certification information, Food Prescription Benefit information, and indicators for active Alerts, Notes or high risk clients in the family.	No	
FRC 7.1	Household Summary Screen – Print Appointments	User shall have the ability to view and print upcoming appointments for family members	No	
FRC 7.2	Household Summary Screen – Other Information	<p>User shall have the ability to access the following information from the Household Summary Screen:</p> <ul style="list-style-type: none"> - Future Appointments – allows the user to view a list of all the appointments scheduled for the family in the future. - Past Appointments – allows the user to view a list of all the family's past appointments. - Recent Nutrition Education History – allows the user to view the Current and Post-Cert Nutrition Education topics. <p>Authorized Representative History – displays the Authorized Representative History (Name/Address/Phone Number) for the active client/family.</p>	No	
FRC 8	Precertification	User shall have the ability to view (if existing) and/or enter basic applicant information during an initial walk-in visit or more commonly, during an initial phone contact with an applicant	Yes	Please see 8.1 below.

ID #	Functional Requirement	Functional Requirement Description	Gap	Gap Description
FRC 8.0.1	Family ID and Client ID	The system generate a unique ID for every family entered and each client/applicant added to that family	No	
FRC 8.1	Entering Precertification Information	User shall have the ability to enter and/or update (if existing) the following information on the Precertification Screen: <u>Household/Family Information</u> – Authorized Representative Last Name and First Name*, Clinic* (prepopulated), Street Address*, Mailing Address*, County, Family Size*, Special Needs (dropdown), Language* (dropdown) and Migrant Status*	Yes	Add additional participant categories to accommodate FBF infants < 6mos and BF moms with infant > 6 mos old (may need to determine priority level of additions)
FRC 8.1	Entering Precertification Information	<u>Applicant Information</u> – Last Name*, First Name*, Initial, Birth Date*, Category* (dropdown), Gender*, Foster (check box – if foster child), Application Date (system generated), Client ID (system generated) <u>Contact Information</u> – Area Code, Phone, Comment, Preferred (Checkbox – this is the number used by Auto-dialer), No Calls, Phone Type, and Text Messages. <u>Referral Information</u> – Referred From (dropdown) and Referral/Community Resource (free text box)	Yes	Add additional participant categories to accommodate FBF infants < 6mos and BF moms with infant > 6 mos old (may need to determine priority level of additions)
FRC 8.2	Potential Dual Participation	System shall perform checks to ensure that a duplicate client record does not exist based on the following information: - The first 4 letters of the client's First name - The first 4 letters of the client's Last Name - Gender - Exact Birth Month, Day, and Year	No	
FRC 8.2.1	Potential Dual Participation Validation	System shall return the matching records for the user to decide whether to save or cancel the entered information.	No	
FRC 9	Scheduling Appointments	User shall have the ability to schedule appointments, view future and past appointments for a client/family.	Yes	Please see 9.3.

ID #	Functional Requirement	Functional Requirement Description	Gap	Gap Description
FRC 9.1	Assessing the Schedule Appointment Screen	User shall have the ability to schedule individual/family/Group appointments by searching for availability based on: <ul style="list-style-type: none"> - Start and End Date, - Start and End Time and - Day of the week. 	No	
FRC 9.1.1	Features of the Schedule Appointment Screen	User shall have the ability to: <ul style="list-style-type: none"> - Schedule various appointments. - Change Client category - View available appointment 	No	
FRC 9.1.2	Future Appointments	User shall have the ability to view the future appointments that are scheduled and/or cancelled for members of the active family record with the following information populating: <ul style="list-style-type: none"> - Names of all Family Members Scheduled - Category of each family member - Type of Future Appointment - Primary Language - Date and Time of Future Appointments - Translator (if the box appeared checked a translator is required) - Disabilities - Last Modified by 	No	
FRC 9.1.3	Past Appointments	User shall have the ability to view the history of past appointments that are scheduled and/or cancelled for all members of a family with the following information populating: <ul style="list-style-type: none"> - Name - Category - Category at Time of Appointment - Appointment Type - If the Appointment was 'Attended' (Attend checkbox will be checked) - Primary Language - Date and Time of Past Appointment - Where the appointment was scheduled - If a Translator was required - The Disabilities listed 	No	

ID #	Functional Requirement	Functional Requirement Description	Gap	Gap Description
		<ul style="list-style-type: none"> - The name of the user who Last Modified the appointment 		
FRC 9.2	Daily Schedule	User shall have the ability to view the day's appointments in an 'appointment book' format, showing available slots in blocks of time for up to 60 days in the past	Yes	Change Scheduling Functionalities similar to MI-WIC.
FRC 9.2.1	Features of the Daily Schedule	System shall display both Available and Filled appointments and allows the user to view all daily appointments while the Appointment Time column and Appointment Type row remain fixed	Yes	Please see 9.2
FRC 9.2.1.1	Daily Check-in/Walk in	System shall provide the user a means to: <ul style="list-style-type: none"> - View the schedule for today - Check-in multiple clients - Schedule a walk-in appointment - Show an existing appointment - Print Schedule for a particular day's appointments. 	Yes	Please see 9.2
FRC 9.3	Appointment Types	User shall have the ability to select the type of appointment for which the client is being scheduled (Appointment types TBD)	Yes	May need other languages. Please see 9.2
FRC 9.4	Scheduling an Appointment	User shall have the ability to schedule appointments	No	
FRC 9.4.1	Scheduling Using the Appointment Scheduler	User shall have the ability to schedule either individual clients or all members of the active family in creating an appointment by: <ul style="list-style-type: none"> - Making Client Active - Selecting the desired clinic (if necessary) - Search for the available slots - Assign the desired slot (Create apt.) 	No	
FRC 9.4.1.1	Over-the-Age-of 5	System shall not allow the user to schedule or reschedule an appointment for a client over the age of 5	No	
FRC 9.4.2	Scheduling a Walk-In Appointment Using the Daily Schedule	User shall have the ability to schedule a client directly into an open appointment slot as "Walk-In" appointments by: <ul style="list-style-type: none"> - Making client active - Selecting the desired clinic (if necessary) 	Yes	Please see 9.2

Appendix 1

ID #	Functional Requirement	Functional Requirement Description	Gap	Gap Description
		<ul style="list-style-type: none"> - View next slots available (generated automatically) - Assign the desired slot (Create apt.) 		
FRC 9.4.3	Showing an Appointment	User shall have the ability to manage appointments scheduled for a given day	Yes	Please see 9.2
FRC 9.5	Marking Clients Onsite	User shall have the ability to check-in clients for the selected clinic, appointment and date/time	Yes	Please see 9.2
FRC 9.5.1	Daily Check-In	User shall have the ability to mark client(s) who have checked-in as on-site	Yes	Please see 9.2
FRC 9.5.2	Show Appointment Button	User shall have the ability to mark client(s) on-site by accessing the day's appointment schedule	Yes	Please see 9.2
FRC 9.6	Make Active	User shall have the ability to make a record Active in order to update or modify the respective data from the Show Appointments Screen.	Yes	Change 'Make Active to 'Open Record.'
FRC 9.7	Find Existing Appointments	User shall have the ability to check the appointments for clients (calling in) by searching on: <ul style="list-style-type: none"> - Date – From and To - Last and First Name 	Yes	Please see 9.2
FRC 9.8	Monitoring Appointments	User shall have the ability to view details related to the day an appointment was created and if/when it had been last modified	Yes	Please see 9.2
FRC 9.9	Moving (Rescheduling) or Cancelling Appointments	User shall have the ability to: <ul style="list-style-type: none"> - Move appointments to another slot - Cancel the appointment 	Yes	Please see 9.2
FRC 9.10	Printing a Daily Schedule	User shall have the ability to print the daily schedule for a selected day (past appointments only up to a week old)	Yes	Please see 9.2
FRC 9.11	Appointment Wait List	User shall have the ability to view the following for the Wait List client: <ul style="list-style-type: none"> - Wait List Group, - Client's ID, - Name, - Family ID, - Date of Birth - Category - Phone Number - Date client was added - Date Notice Sent (if an appointment became available) 	No	

ID #	Functional Requirement	Functional Requirement Description	Gap	Gap Description
		<ul style="list-style-type: none"> - Appointment Date and Time - Client response to the notice - Appointment Kept - Print Labels (for mailing) - Eligible for an Appointment - Clinic ID assigned to 		
FRC 9.11.1	Pop-ups	System shall generate the following pop-ups when Wait-list clients are accessed: <ul style="list-style-type: none"> - Wait List – Have health Concerns - Wait List – Duration Adjustments (when attempts to adjust the appointment slot) 	No	
FRC 9.11.2	Scheduling a Client and Printing from the Appointment Wait List	User shall have the ability to: <ul style="list-style-type: none"> - Schedule an appointment for the Wait list clients - Print the appointment waiting list - Print Labels 	No	
FRC 10	Onsite List	User shall have the ability to view a list of all clients currently attending an appointment at the selected clinic to check the progress of the appointment by checking the following queue columns: <ul style="list-style-type: none"> - Intake - Lab/Anthro - Nutrition Assessment - Nutrition Education - Benefits 	No	
FRC 10.1	Queue View Screen	User shall have the ability to view the time taken by client/family in different color coding options for the following queue columns <ul style="list-style-type: none"> - Intake - Lab/Anthro - Nutrition Assessment - Nutrition Education - Benefits 	No	
FRC 10.2	Refreshing the Onsite List	System shall calculate the time a client is onsite based on the client's arrival time and the time that the user accessed the Onsite List screen	No	
FRC 10.3	Making a Client Active from the Onsite List	User shall have the ability to make a record Active in order to update or modify the respective data from the Onsite Screen in two ways: <ul style="list-style-type: none"> - Hit Make Active button 	Yes	See FRC 6

ID #	Functional Requirement	Functional Requirement Description	Gap	Gap Description
		- Double click on the client's record		
FRC 10.4	Removing Clients from the Onsite List	User shall have the ability to remove clients from the Onsite screen by: <ul style="list-style-type: none"> - Checking 'Done' (or) - Check 'Unkept' 	No	
FRC 11	Service Codes		Yes	No service codes for NYS.
FRC 11.1	System Generated Service Codes		Yes	No service codes for NYS
FRC 11.2	Optionally Select the Service Code		Yes	No Service codes for NYS
FRC 11.3	Manually Entered Service Codes		Yes	No Service codes for NYS
FRC 12	Family Information	This section shall detail the Family Information, Income Information, and Additional Information	Yes	Please see 12.2, 12.2.2, 12.2.7 below
FRC 12.1	Family Information Tab	System shall provide the ability to enter Family Information;	No	
FRC 12.2	Income Information Tab	User shall have the ability to record income information for a family or for a foster child and be able to calculate year-to-date income. This screen shall allow user to enter following: <ul style="list-style-type: none"> - Hourly - Weekly - Bi-weekly - Semi-monthly - Monthly - Annual Income 	Yes	Remove the 'Hourly Income Interval.' Add 'Unknown' option to household income.
FRC 12.2.1	Entering Family Income Information	The system shall support the user to enter and verify income information. The following are mandatory field: <ul style="list-style-type: none"> - Income Source - Income Interval - Income Amount - Income Verification - Date - User ID 	No	
FRC 12.2.2	Year-to-Date Calculations	The system shall provide the user with the ability to estimate the family's annual income based on the year-to-date income.	Yes	USDA will not allow Year-to-date to be entered in. NYS want this Disabled and Hidden.

Appendix 1

ID #	Functional Requirement	Functional Requirement Description	Gap	Gap Description
FRC 12.2.3	Income for a Foster Child	User shall have the ability to enter the Foster child's Family income from the Information screen.	No	
FRC 12.2.4	Over Income	The system shall determine the eligibility of a Client/Family as Over income based on the income guidelines	No	
FRC 12.2.5	Income Guidelines	User shall have the ability to display and print income guidelines as a reference feature in the system.	No	
FRC 12.2.6	Income History	The system shall maintain the historical record of income each time income record is updated or new income is saved for the participant.	No	
FRC 12.2.7	Documenting Adjunct Eligibility Data	<p>The System shall Provide the ability to the user to retrieve information from the following external system(s) to confirm the applicant's adjunct Income eligibility (Where participant information is shared with other programs, federal regulations shall be followed Regarding confidentiality)</p> <ul style="list-style-type: none"> - Medicaid - TANF 	Yes	<p>Change FD Assist to SNAP and TCA to TANF.</p> <p>Add Fields to capture SNAP, TANF and Medicaid.</p>
FRC 12.3	Additional (family) Information Tab	System shall support the additional information about participant Primary Language, Proof of residency, Voter Registration, Pickup Interval, Proof of Authorized Representative's ID, Internet Access, and Migrant.	No	
FRC 13	Signature Screen Pad	System shall have the ability to interface with a digital signature pad to capture participant's signature to indicate that the WIC Rights and Responsibilities document was presented to the participant who then reviewed and understood it.	Yes	Customize to NYS WIC Rights and Responsibilities.
FRC 14	Client Information	This section shall captures the individual Client's following information and any other additional information.	Yes	Please see 14.1 below

ID #	Functional Requirement	Functional Requirement Description	Gap	Gap Description
FRC 14.1	Client Information Tab	<p>User shall have the ability to enter the following information:</p> <ul style="list-style-type: none"> - Auth. Rep (Prepopulated) - Family ID (Prepopulated – System generated) - Client ID (Prepopulated – System generated) - Last name* - First Name* - MI - Birth Date* - Age (Calculated - Prepopulated) - Gender* – Male/Female (Radio button) - SSN - Proof of Identity* (Dropdown) - Proof of Pregnancy (Dropdown) - Education Level* (Dropdown) - Marital Status* - Reason for Ineligibility - Physician Name & Phone - Adjunct Eligibility (Check box – prepopulated) - Income Eligibility (Check box – prepopulated) - Foster Care (Check box – if not identified before) - Mother not in family (Check box) - Mother’s ID (For Breastfed Infants) 	Yes	<p>Change the default infant status from IFF to IBE. Note: ISMS to provide dropdown values.</p> <p>Make Marital Status Non-Mandatory.</p> <p>Disable SSN Field.</p>
FRC 14.2	Additional Information Tab	User shall have the ability to enter client’s additional information in terms of Client’s Race and Ethnicity.	No	
FRC 15	Certification Action	<p>The system shall give the user the ability to perform the below functions on the Cert Action screen:</p> <ul style="list-style-type: none"> - Establish certification periods for new and recertifying WIC Clients. - Perform manual category changes. - Terminate - Reinstate - Extend Certification periods. 	Yes	Please see 15.1 below

Appendix 1

ID #	Functional Requirement	Functional Requirement Description	Gap	Gap Description
FRC 15.1	Establishing a Certification Period for a New Client	User shall have the ability to establish a certification period for a new client with the following information: <ul style="list-style-type: none"> - Present for Cert (Checkbox - Defaulted to Check) - Reason not present (Dropdown – if not present) - Category*(Dropdown – Defaulted to the current Category) - Cert. date* - Cert. End date* - Cert Reason*(Dropdown) - Term Reason (Dropdown) - Term Date - Notes 	Yes	Add additional participant categories to accommodate FBF infants < 6mos and BF Moms with infant > 6 months old (may need to determine priority level of additions). Ensure IBE under 6 months of age and BP over 6 months are active participants without food packages.
FRC 15.1.1	Establishing Certification Period for New Woman Client	User shall have the ability to establish a certification period for a new Woman client with the following information: <ul style="list-style-type: none"> - Last Menstrual Period (LMP) date - Expected Delivery Date(EDD) - Actual Delivery Date(ADD) - Present for Cert (Checkbox – Defaulted to Check) - Reason not present (Dropdown – if not present) - Category*(Dropdown) - Cert. Date* - Cert Reason*(Dropdown) - Term Reason (Dropdown) - Term Date - Notes. 	No	
FRC 15.2	Recertification	User shall have the ability to recertify a client either before or after their existing certification period expires	No	

ID #	Functional Requirement	Functional Requirement Description	Gap	Gap Description
FRC 15.2.1	Recertifying an Infant/Child	<p>User shall have the ability to recertify an Infant/Child either before or after their existing certification period expires by:</p> <p><u>Before the Cert End Date:</u></p> <ul style="list-style-type: none"> - Change the Cert End date to Yesterday's date - Recertify the client (repeat steps of FRC 15.1) by selecting "Recertification" as the Cert Reason <p><u>After the Cert End Date:</u></p> <ul style="list-style-type: none"> - Recertify the client (repeat steps of FRC 15.1) by selecting "Recertification" as the Cert Reason 	No	
FRC 15.2.2	Recertifying of Pregnant(PG) to Postpartum(NPP, BE, BP) Client	<p>User shall have the ability to recertify a Pregnant(PG) Client to Postpartum(NPP, BE,BP) Client either before or after their existing certification period expires by:</p> <p><u>Before the Cert End Date:</u></p> <ul style="list-style-type: none"> - Change the Cert End date to Yesterday's date - Recertify the client (repeat steps of FRC 15.1.1) by selecting <ul style="list-style-type: none"> o BE/BP/NPP from the Category Dropdown o "Recertification" as the Cert Reason <p><u>After the Cert End Date:</u></p> <ul style="list-style-type: none"> - Recertify the client (repeat steps of FRC 15.1.1) by selecting: <ul style="list-style-type: none"> o Pregnant from the Category Dropdown o "Recertification" as the Cert Reason. 	No	

ID #	Functional Requirement	Functional Requirement Description	Gap	Gap Description
FRC 15.2.3	Recertifying of Postpartum (NPP, BE, BP) to Pregnant (PG) Client	<p>User shall have the ability to recertify a Pregnant (PG) Client to Postpartum (NPP), BE, BP) Client either before or after their existing certification period expires by:</p> <p><u>Before the Cert End Date:</u></p> <ul style="list-style-type: none"> - Change the Cert End date to Yesterday's date - Recertify the client (repeat steps of FRC 15.1.1) by selecting: <ul style="list-style-type: none"> o Pregnant from the Category Dropdown o "Recertification" as the Cert Reason. <p><u>After the Cert End Date:</u></p> <ul style="list-style-type: none"> - Recertify the client (repeat steps of FRC 15.1.1) by selecting: <ul style="list-style-type: none"> o Pregnant from the Category Dropdown o "Recertification" as the Cert Reason. 	No	
FRC 15.3	Short Certifications	<p>User shall have the ability to establish a short certification period of 30 days for a client that walks in without proper documentation including proof of residency, income, pregnancy etc. with the following information:</p> <ul style="list-style-type: none"> - Present for Cert (Checkbox – Defaulted to Check) - Reason not present (Dropdown – if not present) - Category*(Dropdown) - Cert. date* - Cert. End Date* - Cert Reason* (Dropdown) - Term Reason (Dropdown) – Select Proof not provided - Term date (Defaulted to 30 days in Future) - Notes 	No	
FRC 15.4	Category Changes Automatic	System shall automatically change the Category Infants and children according to their age.	No	

ID #	Functional Requirement	Functional Requirement Description	Gap	Gap Description																										
FFRC 15.4.0.1	Category Changes – Manual	User shall have the ability to manually change the Category of the clients	No																											
FRC 15.4.1	Category Changes Possibilities	<p>System shall allow the following category changes in both Automatic and Manual</p> <table border="1" data-bbox="570 453 1105 905"> <thead> <tr> <th data-bbox="570 453 841 485">From</th> <th data-bbox="841 453 1105 485">To</th> </tr> </thead> <tbody> <tr><td data-bbox="570 485 841 516">IBE</td><td data-bbox="841 485 1105 516">IBP</td></tr> <tr><td data-bbox="570 516 841 548">IBE</td><td data-bbox="841 516 1105 548">IFF</td></tr> <tr><td data-bbox="570 548 841 579">IBP</td><td data-bbox="841 548 1105 579">IFF</td></tr> <tr><td data-bbox="570 579 841 611">IBP</td><td data-bbox="841 579 1105 611">IBE*</td></tr> <tr><td data-bbox="570 611 841 642">IFF</td><td data-bbox="841 611 1105 642">IBP*</td></tr> <tr><td data-bbox="570 642 841 674">IFF</td><td data-bbox="841 642 1105 674">IBE*</td></tr> <tr><td data-bbox="570 674 841 705">BE</td><td data-bbox="841 674 1105 705">BP</td></tr> <tr><td data-bbox="570 705 841 737">BE</td><td data-bbox="841 705 1105 737">NPP</td></tr> <tr><td data-bbox="570 737 841 768">BP</td><td data-bbox="841 737 1105 768">NPP</td></tr> <tr><td data-bbox="570 768 841 800">BP</td><td data-bbox="841 768 1105 800">BE*</td></tr> <tr><td data-bbox="570 800 841 831">NPP</td><td data-bbox="841 800 1105 831">BP*</td></tr> <tr><td data-bbox="570 831 841 863">NPP</td><td data-bbox="841 831 1105 863">BE*</td></tr> </tbody> </table>	From	To	IBE	IBP	IBE	IFF	IBP	IFF	IBP	IBE*	IFF	IBP*	IFF	IBE*	BE	BP	BE	NPP	BP	NPP	BP	BE*	NPP	BP*	NPP	BE*	No	
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BP	BE*																													
NPP	BP*																													
NPP	BE*																													
FRC 15.4.2	Performing a Breast Feeding Category Change	<p>User shall have the ability to change the Breastfeeding status of a client by selecting:</p> <ul style="list-style-type: none"> - Current Category (Read only – defaulted to current category) - New Category (Dropdown – Only applicable categories) - New Cert. Start Date - New Cert. End Date (read only) 	No																											
FRC 15.5	Terminating a Client – Automatically	System shall automatically terminate clients due to ineligibility or for failure to recertify.	No																											
FRC 15.5.1	Terminating a Client – Manual	<p>User shall have the ability to manually terminate a client by:</p> <ul style="list-style-type: none"> - Selecting appropriate Termination Reason. - Select Term. Date 	No																											
FRC 15.6	Reinstates	<p>User shall have the ability to Reinstate a client (if the Cert end date is in the future) by:</p> <ul style="list-style-type: none"> - (repeat steps of FRC 15.1.1 if data is not prepopulated) - Selecting Reinstate as Cert Reason 	No																											

ID #	Functional Requirement	Functional Requirement Description	Gap	Gap Description
FRC 15.7	30-Day Extensions	User shall have the ability to perform a one-time 30-day extension of a certification period for an infant or a child for scheduling purposes	No	Example: If a client will be turning 5 years old in seven months, but their 9 th certification period ends in 6 months, the user can extend the certification period, ensuring the client receives benefits up until their 5 th birthday.
FRC 16	Lab/Anthro	This section is to enter Anthropometric data, immunization and blood work data	Yes	Please see 16.1, 16.3.3 below
FRC 16.1	Entering Height and Weight Data	User shall have the ability to enter: <u>Anthropometric Data (Woman):</u> <ul style="list-style-type: none"> - Date - Height (in*, 1/16, Unknown) - Weight (lbs*, Oz*, Unknown) - Weeks - PG Wt. Gain - Weight Gain/Loss - Category - Duration - Pre-PG BMI - Current BMI - Comments 	No	
FRC 16.1.1	Entering Height and Weight Data - Infants	<u>Anthropometric Data (Infant/Child):</u> <ul style="list-style-type: none"> - Date - Age - Height (in*, 1/16*, Unknown) - Weight (lbs*, Oz*, Unknown) - Head Circum (in*, 1/16*, Unknown) - BMI - BMI/Age - Wt/Age - Ht/Age - Premature (Checkbox) Birth Weight <ul style="list-style-type: none"> - Completed weeks of Gestation - Time Interval - Birth Weight in lbs and Oz* (if not prepopulated) - Weight Change - Height Change 	Yes	Require birthweight and length up to 2 yrs of age. Allow unknown for Foster or Adopted.

ID #	Functional Requirement	Functional Requirement Description	Gap	Gap Description
FRC 16.2	Growth Charts	System shall provide the ability to view a woman's prenatal growth and infant/child's growth charts based on the height and weight information	No	
FRC 16.2.1	Prenatal Growth Chart	System shall provide the ability to view prenatal growth chart with Weight Gain (lbs) to Trimester and: <ul style="list-style-type: none"> - Name of the Client - Height - Pre-Pregnancy BMI - Pre-Pregnancy Weight - EDD - Date - Weight - Weight Change - Weeks Gestation 	No	
FRC 16.2.2	Infant/Children – Birth to 24 Months Charts	System shall provide the ability to view growth chart with the following options: <ul style="list-style-type: none"> - Weight/Age - Height/Age - HC/Age - Wt/Length 	No	
FRC 16.2.3	Children Growth Charts (2-5 years)	System shall provide the ability to view growth chart with the following options: <ul style="list-style-type: none"> - Weight/Age - Height/Age - BMI/Age - HC/Age 	No	
FRC 16.3	Immunization and Blood Work	System shall allow the ability to record lead test data, blood work results, and for infants immunization information	No	
FRC 16.3.1	Documenting Immunizations	User shall have the ability to enter the following Immunization information: <ul style="list-style-type: none"> - Date - Shots Status - Immunizations Status - Referral Action 	No	
FRC 16.3.2	Documenting Lead Test Data	User shall have the ability to enter the following Lead test information: <ul style="list-style-type: none"> - Date of Lead Test - Lead Value (SIGN, Number) - WIC (Check box) - Method 	No	

ID #	Functional Requirement	Functional Requirement Description	Gap	Gap Description
FRC 16.3.3	Documenting Bloodwork Data	User shall have the ability to enter the following Bloodwork information: <ul style="list-style-type: none"> - Date of Bloodwork - Non-WIC Data (Check box) - HGB - Hct - Re-Test - Notes - No Blood (Check box) - Exemption Reasons 	No	
FRC 17	Medical	The system shall support participant assessment questions related to medical, nutrition.	Yes	Make revisions to 70% of the assessment questions
FRC 17.1	Medical (Infants and Children)		Yes	Please see FRC 17
FRC 17.1.1	Entering Medical Information		Yes	Please see FRC 17
FRC 17.1.2	Entering BF Statistics		Yes	Please see FRC 17
FRC 17.2	Medical (Women)		Yes	Please see FRC 17
FRC 17.2.1	Entering Pregnancy Information		Yes	Please see FRC 17
FRC 17.2.2	Entering Medical Information		Yes	Please see FRC 17
FRC 17.3	Medical Conditions		Yes	Please see FRC 17
FRC 18	Nutrition History	The nutrition history section of the Clinic module shall support the user to collect applicant's nutrition and health characteristics data. The system shall alert the user if any required fields are not captured.	Yes	Please see FRC 17
FRC 18.1	Nutrition History (Infant/Child)	The system shall support the user to collect data pertaining to feeding experiences and/or any related issues of the participant.	Yes	Please see FRC 17
FRC 18.2	Nutrition History (Women)	The system shall support the user to collect data pertaining to nutritional habits and breastfeeding experience of participant.	Yes	Please see FRC 17
<i>FRC 18.3</i>	<i>Mid-Certification Assessments</i>	<i>The system shall support the user to collect Mid-Certification Assessment data and shall alert the user if Mid-Certification Assessment is due on participant.</i>	<i>N/A</i>	<i>Not required for roll out</i>
<i>FRC 18.3.1</i>	<i>Mid-Certification Assessment - Infants</i>	<i>The system shall support the user to collect medical data for infants.</i>	<i>N/A</i>	<i>Not required for roll out</i>

ID #	Functional Requirement	Functional Requirement Description	Gap	Gap Description
FRC 18.3.2	<i>Mid-Certification Assessment – Children</i>	<i>The system shall support the user to collect medical data for children</i>	N/A	<i>Not required for roll out</i>
FRC 18.3.3	<i>Mid-Certification Assessment – Breastfeeding Women</i>	<i>The system shall support the user to collect medical data for breastfeeding women.</i>	N/A	<i>Not required for roll out</i>
FRC 19	Nutrition Risk	<p>The nutrition risk section of clinic module supports nutrition risk assessment of the participant.</p> <p>The system shall retain and display historical Nutrition Risk data (i.e. previously assigned risk factors) in addition to capturing more current data.</p>	No	
FRC 19.1	Current Nutrition Risks	<p>The system shall automatically assign risk codes applicable to the participant's current certification period and shall provide the ability to add to or override risk factors assigned by the system.</p> <p>The system shall provide a way for the user to distinguish high risk factors and shall allow an authorized user (CPA or LD) to manually mark a client as high risk.</p>	No	
FRC 19.1.1	Automatically Assigning Risk Factors	The system shall support automatic risk assignment during initial certification and subsequently during infant mid-health evaluation.	No	
FRC 19.1.2	Manually Assigning a Risk Factor	The system shall provide the user the ability to Manually Assign Risk Factors.	No	
FRC 19.1.3	Removing a Risk Factor	The system shall provide the user ability to remove Both automatically and manually assigned risk on the same day that they were assigned, if identified as not applicable.	No	
FRC 19.1.4	Viewing Risk Reasons	The system shall enable the user the ability to view the reason why the system assigned the risk to the client.	No	
FRC 19.2	Nutrition Risk (History)	The system shall display detailed description of previously assigned risk factors, risk reasons as well as the dates the risks were assigned to the participant.	No	

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ID #	Functional Requirement	Functional Requirement Description	Gap	Gap Description
FRC 20	Nutrition Education	The nutrition education section of the clinic module suggests nutrition education topics based on the risk factors the client has been assigned, it enables the user to document details of nutrition education provided to a participant, and allow the user to issue Farmers' Market Nutrition Program (FNMP) coupons to eligible participants.	No	
FRC 20.1	Documenting Nutrition Education	The system shall allow the user to document Nutrition Education classes that have been provided to the participant/family. (Ex. Service codes and user ID).	Yes	Need the ability to document family notes and groups.
FRC 20.2	Documenting Nutrition Education Details	The system shall allow the user to record details of nutrition education classes provided to a participant. (Ex. The Date nutrition education was provided, Topic, Worker ID, Service code, NE goal and to enter any notes if applicable).	No	
FRC 20.3	Issuing Farmers' Market Nutrition Program (FMNP) benefits	The system shall support the user to issue Farmers' Market Nutrition Program (FNMP) benefits to eligible clients.	Yes	Alternatives to paper checks to be proposed.
FRC 21	Referrals	The system shall provide the authorized user with an ability to provide referrals (Family referral and Individual referral) for additional services in the community based on the nutritional risks and additional needs of a client and shall allow user to document the action taken regarding the referral being provided.	No	
FRC 21.1	Recording a Resource was Referred	The system shall allow the user to document the Community Resource that client are referred to, date and staff member's user ID.	No	
FRC 21.2	Recording that a Referral was Discussed	The system shall allow a user to document that a Referral was Discussed with the Client.	No	
FRC 21.3	Recording that a Client is Currently Receiving Support	The system shall allow the user to document if a client is currently receiving support from one of the suggested referrals.	No	

ID #	Functional Requirement	Functional Requirement Description	Gap	Gap Description
FRC 22	Food Prescription	The food prescription section of clinic module shall provide the user with the ability to mark a client's certification as complete and shall support functions for issuance of food benefits to WIC participants.	No	
FRC 22.1	Indicating Certification Complete	The system shall ensure that all mandatory business rules that ensure the Certification can be marked as complete are validated, alert the user if there is any missing data and upon successful validation allow the user to mark the certification as complete.	No	
FRC 22.2	Assigning a Preconfigured (or Preconfigured-Tailored) Food Package	The system shall suggest the users preconfigured food packages based on the category of the participant, and enables the user to search for food packages based on different criteria (Ex. by formula name) and enable the user to assign standard food packages to cover the entire certification period.	Yes	<p>NYS uses contract and exempt formula/WIC Nutritionals. Change Class I to Contract Formula and Class II to Exempt Formula.</p> <p>Issuance of Food Package 3 for all categories requires a medical justification expiration date and documentation of no solids for an infant greater than six months old.</p>
FRC 22.2.1	Viewing Food Package Contents (Display)	The system shall enable the user to view the contents of a food package (name, quantity, package size and description of each item included in the package).	No	
FRC 22.2.2	Displaying the Quantity of Formula	The system shall automatically default formula quantity to the federal maximum quantity and shall enable the user to view the quantity of the formula.	Yes	Default formula quantity based on infant BF status. Provide additional formula for Add-A-Can formula.
FRC 22.3	Customizing a Food Package	The system shall enable the user to modify the quantity value of the food item to the quantity needed by the client and shall enable the user to search and to add a formula to the package.	No	
FRC 22.3.1	Formulary Search	The system shall enable the user to perform formulary search based on the	No	

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ID #	Functional Requirement	Functional Requirement Description	Gap	Gap Description
		category of formula and the formula name and shall enable the user to modify the quantity of the formula to be added to food package.		
FRC 22.3.2	Formulary Data	The system shall enable the user to view detailed information regarding the selected formula like formula Category, nutrition values, formula description, and indications.	No	
FRC 22.3.3	Assigning Class I Formula Packages to a Child	The system shall ensure that the user enters the expiration date when assigning a Class I formula to a child category client and shall ensure that benefits can only be issued up until the food package's expiration date.	Yes	Formula issued to children equals Food Package III.
FRC 22.3.4	Assigning Class II Formula Packages	The system shall ensure that the user enters medical justification expiration date for Class II Formulas and shall validate that expiration date has not lapsed prior to the food package end date.	Yes	Formula issued to children equals Food Package III.
FRC 22.3.5	Assigning Class III Formula Packages	Approving Class III Formula Packages is not being used in Florida at this time.	Yes	Disable this functionality
FRC 22.4	LD Approval	Approving Class III Formula Packages is not being used in Florida at this time.	Yes	Disable this functionality
FRC 22.5	Approving Class III Formula Packages	Approving Class III Formula Packages is not being used in Florida at this time.	Yes	Disable this functionality
FRC 22.6	Performing Food Package Changes	The system shall allow the user to perform food package changes based on dietary needs of the participant. The system shall ensure that an accurate history of all the assigned food packages is maintained.	No	
FRC 22.7	Using the Formula Calculator	The system shall provide the user an ability to calculate the replacement quantity of a formula in case a participant returns a formula and makes a request for another brand or type.	No	
FRC 22.8	Food Prescription History	The system shall provide the user an ability to view recertified participant's previously assigned food packages and its contents with effective dates.	No	
FRC 23	Direct Distribution of Formula Assignment	The system shall provide the user an ability to assign a formula to the participant.	Yes	Disable and Hide this functionality.

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ID #	Functional Requirement	Functional Requirement Description	Gap	Gap Description
FRC 24	Direct Distribution Formula Issuance	The system shall provide the user an ability to issue the formula at the clinic without having to go to the store.	Yes	Disable and Hide this functionality.
FRC 25	New Food Prescription Screen Rule	The New Food Prescription Screen Rule section in FL-WiSE clinic module details new system functionality that has been added as per the new rules and regulations provided by the USDA.	No	
FRC 25.1	New Infant Category Age Ranges	The system shall have an updated Infant age ranges and will consider new infant age ranges when assigning food packages.	No	
FRC 25.2	General Food Package Changes	The general food package changes section of Clinic module details food package changes (mentioned in FRC 25.2.1 and FRC 25.2.2) that FL-WiSE has implemented as per new USDA rules.	No	
FRC 25.2.1	Whole Milk Assignment	The system shall allow the user to issue whole milk to women and children 2 years of age and older only if the client is also receiving a Class II or Class III formula.	No	
FRC 25.2.2	Odd/Even Issuance Rule	The system shall support odd/even issuance rule for food items that can only be purchased in whole quantities.	No	

ID #	Functional Requirement	Functional Requirement Description	Gap	Gap Description
FRC 25.3	Woman Food Packages	<p>The woman food packages section of clinic module details new USDA rules that allows woman categories in special situations (mentioned below) to receive more benefits than previously allowed.</p> <ol style="list-style-type: none"> 1. Pregnant client who is expecting more than one infant is eligible to receive a BE food package. 2. BP client who is partially breastfeeding more than one IBP from the same pregnancy can receive a BE food package. 3. If a breastfeeding exclusive client is exclusively breastfeeding more than one infant, the client is eligible to receive 1.5 times more food than the original quantities in the selected Food Package. 	Yes	<p>The system shall provide LA Staff an ability to tailor the quantities of the food items which will be defaulted to a set number/minimum allowed/maximum allowed quantities depending on the type of food package.</p> <p>Need to include the Pregnant woman who is fully or mostly breastfeeding an infant (under age 1 year old) is eligible for the BE food package (Food Package VII).</p>
FRC 26	EBT Card Inventory and Assignment	Support the issuance of WIC benefits electronically. This section details how to assign and transfer EBT card inventory; and how to issue an EBT card to an Authorized Representative.	No	
FRC 26.1	EBT Inventory Processes	The system shall support the user in entering beginning and ending EBT card numbers; restocking information; and card number statuses. Authorized Initials prior to saving is required.	No	
FRC 26.1.1	Adding EBT Card Inventory	System shall support the user in the clinic by adding EBT cards to their inventory	No	
FRC 26.1.2	Closing Existing Inventory	The system shall have the ability to change the status of the stock to close, after the inventory has been issued with no cards remaining and inventory changed to 'Active'	No	
FRC 26.1.3	Transferring EBT Inventory	System shall support the user in transferring EBT cards from one clinic to another clinic.	Yes	Staff needs to enter in the # on the box into the system to ensure the correct item is being transferred.

ID #	Functional Requirement	Functional Requirement Description	Gap	Gap Description
				Cards issued to clients cannot be transferred.
FRC 26.2	EBT Account Maintenance	The system shall support the user in assigning EBT cards to the Authorized Representative; add/change a PIN and replace cards; the system shall also support the user to see the EBT Accounts history assigned to the family.	No	
FRC 26.2.1	Assigning an EBT Card	The system shall support the user in assigning an EBT card to the Authorized Representative.	No	
FRC 26.2.2	Replacing an EBT Card	The system shall support the replacement of an EBT Card, if the card is defective, lost, stolen or damaged.	No	
FRC 27	Issue Benefits	System shall support the issuance of benefits once a food package has been assigned and an EBT Account has been set up for the family.	Yes	
FRC 27.1	Issuing Benefits	The system shall support the user in issuing benefits to the client; system shall provide the user the proration checkbox, Issuing checkbox, BLT Date and BVT Date.	Yes	Default formula based on infant BF status. Need ability to provide addition formula for Add-A-Can formula.
FRC 27.1.1	Re-Issuance of Benefits	The system shall support the user to re-issue benefits for the current month, if the client has the following reasons: Change in custody, Lost food in a disaster, Formula Return, or had a food package change.	No	
FRC 27.2	Benefits Inquiry	System shall provide the ability to display all the benefits issued to the family for each month of benefits	No	
FRC 27.3	Benefits History	The system shall provide the ability to view all the food items issued to the family per month. Shall include the quantity, description of each food item, Transaction Type, Transaction Date and Benefit Issuance Number.	No	
FRC 27.4	Benefits Void	The system shall give the user the ability to void the current and future month's benefits for the family.	No	

ID #	Functional Requirement	Functional Requirement Description	Gap	Gap Description
FRC 27.4.1	Voiding Current Benefits	The system shall support the user in Voiding Current Benefits either by selecting all current benefits or Voiding Partial Current Benefits.	No	
FRC 27.5	Voiding Future Benefits	The system shall give the user the ability to manually void all the future benefits.	No	
FRC 27.6	Benefits Void – No Food Package	The system shall give the user the ability to void current and future month's benefits for clients who have been issued the 'No Food' food package.	No	
FRC 27.7	Benefits Balance	The system shall give the user the ability to display in real time the amount of the current month's benefits remaining for the family to redeem.	No	
FRC 28	Print Documents, Scanning and Signatures	This section details how the user can print documents, Scan and capture Electronic Signatures for the clients.	Yes	The list of documents must be consistent with NY State documents
FRC 28.1	Print Documents	The system shall support the users in printing documents and letters for the family or specific clients on demand.	Yes	There is a need to add additional Mandatory Letters for the EBT Issuance letters for NYS WIC (To be determined).
FRC 28.2	Scanning Documents	System shall provide the ability to scan documents related to Client Information.	No	
FRC 28.3	Viewing Scanned Images	The system shall support the user in viewing scanned and saved images for future reference.	No	
FRC 28.4	Removing a Scanned Image	The system shall give the user the ability to remove scanned images on the day they were scanned.	No	
FRC 28.5	Electronic Signatures	As a requirement, system shall support user to capture Client's electronic signature as part of the agreement for their participation in the WIC program.	No	
FRC 29	Client Care	This section captures the individual Client's information for Care Plan, Breastfeeding Support, Notes and Alerts and Client Service Records.	No	
FRC 29.2.1	Documenting Breastfeeding Support	The system shall support the user in documenting breastfeeding related questions being asked by from the Client in a way to support Breastfeeding Mothers.	No	

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ID #	Functional Requirement	Functional Requirement Description	Gap	Gap Description
FRC 29.2.2	BF Aids & Notes	The system shall support the user to issue and return Breast Pumps and breastfeeding aids to eligible women.	No	
FRC 29.2.3	Overdue Pumps	The system shall support the user in generating Overdue Breast Pump Reports – Refer to Report Requirements.	No	
FRC 29.2.4	Entering Breastfeeding Assessment Data	The system shall support the Breastfeeding Assessment Data (1 and 2); Assessment 1 is specific to Active Client with data like Mother's Name, Baby's Name, Birth Weight and Last Known Weight data; and Assessment 2 shall allow users to record data related to feedings, equipment, medications and breastfeeding support.	No	
FRC 29.3	Notes and Alerts	The system shall support the user in adding notes to a Client/family record to provide additional information and keep the staff informed of any relevant information.	No	
FRC 29.3.1	Adding a Note or Alert	The system shall provide the user the ability to manually add notes or Alerts to a Client/Family Record	No	
FRC 29.3.2	Active Alerts	The system shall support the user to 'Automatically or Manually' add Active alerts to Participant's record; an Active Alert pop-up message is displayed when any record in the family is active.	No	
FRC 29.3.3	Turning an Active Alert 'Off'	The system shall support the user in making Active Alerts inactive.	No	
FRC 29.3.4	Removing a Note or Alert	The system shall support the user in removing manually added notes and alerts that were added. System-generated notes and alerts cannot be removed.	No	
FRC 29.4	Client Services Record	The system shall give the user the ability to add, delete or modify a service code provided to a Client.	No	

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ID #	Functional Requirement	Functional Requirement Description	Gap	Gap Description
FRC 29.4.1	View Client services	The system shall provide the user the ability to view Service codes provided to Client	Yes	Need to determine NYS WIC system-generated (Mandatory) and manual (Non-Mandatory) service codes. Some codes are used in Time Study and some Reports
FRC 30	Miscellaneous	This section of CLINIC Module shall contain details of procedures beyond the Basic certification Process such as Documenting additional participant information, Client Compliance and performing Client/family transfers.	No	
FRC 30.1	Authorized Vendors	The system shall provide the users the access to Vendor Information for their Clinics or for clients.	No	
FRC 30.2	Deceased Clients	The system shall support the user in identifying a Client as Deceased.	No	
FRC 30.3	Client Compliance	The system shall support the user the ability to Add Complaints against WIC Authorized Person/Co-Caretaker, Client, Clinic/Agency, Vendor or WIC Staff	Yes	Not required in Clinic module
FRC 30.3.1	Adding Complaints	The system shall support the user the ability to capture information regarding a complaint against a WIC Authorized Person/Co-Caretaker, Client, Clinic/Agency, Vendor or WIC Staff. Case Number is automatically generated. System shall automatically generate Case Number when user access Add Complaints screen.	Yes	Not required in Clinic module
FRC 30.3.2	Compliance Investigations	The system shall support the user to manage complaint information already added. The user shall be able to add Investigation Notes, the Alleged Violation Type, and Investigation Status.	Yes	Not required in Clinic module

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ID #	Functional Requirement	Functional Requirement Description	Gap	Gap Description
FRC 30.3.3	Sanctions	The system shall provide the user the ability to add Sanctions	Yes	Not required in Clinic module
FRC 30.3.4	Restitution	The system shall provide the user the ability to capture the Due date, Payment Received Date and Amount paid by the client.	Yes	Not required in Clinic module
FRC 30.3.5	Appeals and Fair Hearings	The system shall provide the user the ability to capture the information regarding Client's appeal and hearing results; Hearing Dates and Ruling.	Yes	Not required in Clinic module
FRC 30.4	Communication Message Board	The system shall support the availability of viewing and printing messages sent from the Admin Module - High priority messages will have a red exclamation point.	No	
FRC 30.5	Communications	The system shall provide the ability to record automatically or manually add specific documents to the Client/Family.	No	
FRC 30.5.1	Client Communications	The system shall support client communications to the active client	No	
FRC 30.5.2	Family Communications	The system shall support the user in addressing the Authorized Representative of the family.	No	
FRC 30.6	Special Population Issuance	The system shall support the user in issuing Farmers Market coupons to the Clients.	No	
FRC 30.7	Transfers	This section details Clients transfer from one Agency/Clinic, between families, and from out of State.	No	
FRC 30.7.1	Family transfers – In State) Between clinics or Local Agencies	The system shall support the user in transferring a family from one Clinic to another within the State.	No	
FRC 30.7.2	Client Transfer (In State) – Between Families	The system shall provide the ability to transfer a client from one family to another within the State.	No	
FRC 30.7.3	Out of State Transfers	The system shall support the user for the Clients who are currently enrolled in another State WIC Program by providing a valid VOC from the issuing State.	No	
FRC 30.8	Dual Enrollment	The system shall support the user to further evaluate Client that has been found to be potentially participating in a	No	

ID #	Functional Requirement	Functional Requirement Description	Gap	Gap Description
		WIC program at two or more clinics within the State.		
FRC 30.8.1	Resolve Dual Enrollment	Support the columns that display existing WIC client's information and potential WIC dual enrollee's information where a user can verify information and use the Resolution drop-down.	No	
FRC 30.9	LA Survey	The system shall support the Clinic Staffs in entering responses for the active survey period	No	
FRC 30.10.	Time Study	The system shall provide the ability for the users to record the amount of time they spend performing WIC Nutrition Education and Breastfeeding activities.	No	
FRC 31.2	Pre-Defined Reports	The system shall allow authorized staff the ability to generate reports based on selectable criteria.	No	
FRC 31.2.1	Generating Address Labels	The system shall provide the user the ability to generate address labels by options provided from the report type selection list; System shall also be able to provide the level State, Local Agency or Clinic of data to be returned.	No	
FRC 31.2.2	Generating Client Listings	The system shall be able to generate Client listings with the options from the report type selection list; System shall also be able to provide the level State, Local Agency or Clinic of data to be returned. Title of the report must be mandatory for the user.	No	
FRC 31.2.3	Generating a Frequency Table	The system shall support the user to select the Frequency Table option from the report type selection list and select the level State, Local Agency or Clinic of data to be returned. Title for the Report must be Mandatory for the user.	No	
FRC 32	Client History Screen	The system shall provide the ability to display a quick view of the Client's Past and Current Certification Records	No	

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ID #	Functional Requirement	Functional Requirement Description	Gap	Gap Description
FRC 32.1	Pregnancy History	The system shall support the tracking and displaying of Pregnancy questions and answers selected during the Certification with the Client.	No	
FRC 32.2	BF Assessment History	The system shall support the tracking and displaying of the Breastfeeding Assessment History Information of the Client.	No	
FRC 32.3	BF Statistics History	The system shall support the user in tracking and displaying of the Breastfeeding Statistics History of questions and answers selected during the Certification of the Client.	No	
FRC 32.4	Nutrition History	The system shall support the user in tracking and displaying of the Nutrition related questions and answers selected during the Certification with the Client.	No	
FRC 32.5	Care Plan History	The system shall provide the history of all information in the Client's Care Plan/Follow Up History	No	
FRC 32.6	Medical History	The system shall support the tracking and displaying of the Medical related questions and answers selected during the Certification with the Client.	No	
FRC 32.7	Clinic Assessment Questions	The system shall support participant assessment questions related to medical, nutrition.	Yes	Make revisions to 70% of the assessment questions

RRC ID#	Reports	Reports Description	Gap	Gap description
RRC 6.1	Active Client	User Shall have the ability to generate the following Active Client reports <ul style="list-style-type: none"> - Certification Information - Client Care Plan - Client Care Plan Follow-Up - Client History - Adjunct Eligibility History - Client History Report 	No	
RRC 6.1.1	Certification Information	User shall have the ability to generate the Certification Information report with following information: <ul style="list-style-type: none"> - Client ID - Client Full Name - Clinic ID - Family ID - Authorized Person - Phone Number - Family Size - Co-Caretaker - Proxy - Street Address - Income Eligible - Adjunct Eligible - Street Address - Mailing Address - Birth Date - Hispanic - Special Needs - Gender - Ethnic Group - Category - Language - Homeless - Application Date - Breastfeeding Now - Benefit Start Date - Pickup Interval - BVT Date - Income Date - Annual Income - Income Interval - Income Amount - Income Verification - Cert Start Date - Cert End Date - Termination Date - Anthro Date - Height 	Yes	Report list 2 Proxies, system collects 1 co-caretaker and 1 proxy

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RRC ID#	Reports	Reports Description	Gap	Gap description
		<ul style="list-style-type: none"> - Weight - Weight Gain - Blood Work date - Hemoglobin - Hematocrit 		
RRC 6.1.1.1	System prompt-Click	System shall provide the ability to display Certification Information report upon Click	No	
RRC 6.1.2	Client Care Plan	<p>User shall have the ability to generate the Client Care Plan report with the following information:</p> <ul style="list-style-type: none"> - Nutrition Care Plan For: - Authorized Person - Address - Telephone - Birthday/Age - Goal(s) - Subjective Note - <u>Objective</u> - Date - Height - Weight - Ht/Age% - Wt/Age% - BMI/Age% - BMI 	No	
RRC 6.1.2	Client Care Plan	<ul style="list-style-type: none"> - Nutrition Risk Factors - Actual Delivery Date - Expected Delivery Date - Assessment/Plan - Care Plan Developed By - Date Care Plan Created - Name of WIC Program - Telephone - Signature 	No	
RRC 6.1.2.1	System prompt-Click	System shall provide the ability to display Nutrition Care Plan report upon Click	No	

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RRC ID#	Reports	Reports Description	Gap	Gap description
RRC 6.1.3	Client Care Plan Follow-Up	User shall have the ability to generate the Nutrition Care Plan report with the following information: <ul style="list-style-type: none"> - Nutrition Care Plan Follow-Up: - Date for Next Appointment 	No	
RRC 6.1.3.1	System prompt-Click	System shall provide the ability to display Nutrition Care Plan Follow-Up report upon Click	No	
RRC 6.1.4	Client History	User shall have the ability to generate the following Client History reports: <ul style="list-style-type: none"> - Adjunct Eligibility History report - Client History report 	No	
RRC 6.1.4.1	Adjunct Eligibility History	User shall have the ability to generate the Adjunct Eligibility History By Client report with the following information: <ul style="list-style-type: none"> - Client ID - Client Name - Included In verification - Category - Medicaid - Food Assistance - TCA - Date Assessed - Assessed BY 	Yes	Food Assistance = SNAP; TCA = TANF;
RRC 6.1.4.1.1	System prompt-Click	System shall provide the ability to display Adjunct Eligibility History report upon Click	No	
RRC 6.1.4.2	Client History Report	User shall have the ability to generate the following Client History reports: <ul style="list-style-type: none"> - NE Plan report - Care Plan report - Pregnancy History report - Medical History report - BF Statistics report - Nutrition History report - BF Assessment History report 	No	

RRC ID#	Reports	Reports Description	Gap	Gap description
RRC 6.1.4.2.1	System prompt-Click	System shall provide the ability to display Client History report with following fields: <ul style="list-style-type: none"> - NE Plan - Care Plan - Pregnancy History - Medical History - BF Statistics - Nutrition History - BF Assessment History 	No	
RRC 6.2	Administration	User shall have the ability to generate the following Administration reports: <ul style="list-style-type: none"> - Client Services by service Codes - Lead Test Billing Report - Services Delivered by Worker ID - Services Delivered by Worker ID-Admin - Services Delivered by Worker ID-Admin - Voter Registration App/Update - Voter Registration Information - Voter Registration Transmittal - WIC Client Store 	Yes	For Service codes - Replace Service codes with Scheduling functionality found in MI WIC
RRC 6.2.1	Client Services by service Codes	User shall have the ability generate the Client Services by service Codes	Yes	Please see RRC 6.2
RRC 6.2.2	Lead Test Billing Report	User shall have the ability to generate the Lead test Billing report with following information: <ul style="list-style-type: none"> - Testing Agency - Client ID - Birth Date - Method - Medicaid ID 	Yes	This report is not required.
RRC 6.2.2.1	System prompt-Levels	System shall provide the ability to display Lead testing Billing report with the following reports: <ul style="list-style-type: none"> - State - Local Agency(list of LA in drop down) - Clinic (list of clinics in drop down) 	Yes	This report is not required.

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RRC ID#	Reports	Reports Description	Gap	Gap description
		<ul style="list-style-type: none"> - Date from and Date Thru for the duration of the report 		
RRC 6.2.3	Services Delivered by Worker ID	<p>User shall have the ability to generate the Service Delivered by Worker ID-Admin report with following information:</p> <ul style="list-style-type: none"> - Local Agency - User ID - Service - Service Count 	Yes	Please see RRC 6.2
RRC 6.2.3.1	System prompt-Levels	<p>System shall provide the ability to display Services Delivered by Worker ID report with the following fields:</p> <ul style="list-style-type: none"> - Local Agency (list of LA drop down) - Clinic(list of Clinic drop down) - Date From - Date To 	No	
RRC 6.2.4	Services Delivered by Worker ID-Admin	<p>User shall have the ability to generate the Services Delivered by Worker ID-Admin report with the following information:</p> <ul style="list-style-type: none"> - Local Agency - User Id - Service - Service Count 	Yes	Please see RRC 6.2
RRC 6.2.7.1	System prompt-Levels/date	<p>System shall provide the ability to display Voter Registration Transmittal report with the following fields:</p> <ul style="list-style-type: none"> - Local Agency (list of LA drop down) - Clinic(list of Clinic drop down) - Date From - Date Thru 	No	
RRC 6.2.8	WIC Client Store	<p>User shall have the ability to generate the WIC Client Store report with the following information:</p> <ul style="list-style-type: none"> - Generated Date - WIC Client Store List - Address - City - Zip Code 	No	

RRC ID#	Reports	Reports Description	Gap	Gap description
		<ul style="list-style-type: none"> - Phone 		
RRC 6.2.9	System Prompt – Zip Code	System shall provide the ability to display WIC Client Store report with the ZIP Code field	No	
RRC 6.3	Breast Pump	This section covers the Breast Pumps reports		
RRC 6.3.1	Breast Pump Inventory Summary	<p>User shall have the ability to generate the Breast Pump Inventory Summary with the following information:</p> <ul style="list-style-type: none"> - Model - Clinic - Batch - Date Entered - LA Purchased - Quantity Received - Checked out - In stock - In Transit - Lost Other - Assigned to Peer Counselor 	No	
RRC 6.3.1.1	System prompt- LA, Clinic and Model ID	System shall provide the ability to select particular LA, Clinic and Model ID.	No	
RRC 6.3.2	Breastfeeding Duration by Pump Model	<p>User shall have the ability to generate the Breastfeeding Duration by Pump Model report with the following information:</p> <ul style="list-style-type: none"> - From Date - To Date - Pump Model - Average duration for Women <20 yr - Average duration for Women between 20 to 30 - Average duration for Women > 30 	No	

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RRC ID#	Reports	Reports Description	Gap	Gap description
RRC 6.3.2.1	System prompt- LA, Clinic and Start and End Date	System shall provide the ability to select particular LA, Clinic and Start and End Date.	No	
RRC 6.3.3	Client List by Breast Pump Model Issued	User shall have the ability to generate the Client List by Breast Pump Model Issued report with the following information: <ul style="list-style-type: none"> - From Date - To Date - Name - Client # - Baby's DOB - Phone - Address - Date Issued - Date Due - Issued By - Clinic 	Yes	Change "Date Due" to "Date returned" and add the breast pump serial #.
RRC 6.3.3.1	System prompt- LA, Clinic, Date From, Date Thru and Model ID	System shall provide the ability to select a particular LA, Clinic, Date From, Date Thru and Model ID.	No	
RRC 6.3.4	Overdue Loaner Breast Pump	User shall have the ability to generate the Overdue Loaner Breast Pump report with the following information: <ul style="list-style-type: none"> - Due Date - Pump Model - Serial No. - Client Name - Client ID - Address - Phone - Phone Comment - Peer Counselor 	No	
RRC 6.3.4.1	System prompt- LA, Clinic	System shall provide the ability to select a particular LA and Clinic.	No	
RRC 6.3.5	Reasons Breastfeeding Ended	User shall have the ability to generate the Reason Breastfeeding Ended report with the following information: <ul style="list-style-type: none"> - Reason Breastfeeding ended - Number of clients - Percent of clients - Total Number of clients 	No	

RRC ID#	Reports	Reports Description	Gap	Gap description
RRC 6.3.5.1	System prompt- State/Local Agency, Local Agency/Clinic, Date From, Date Thru	System shall provide the ability to run the report at State/Local Agency, Local Agency/Clinic level and to select a particular LA and Clinic.	No	
RRC 6.4	Breastfeeding			
RRC 6.4.1	Breastfeeding Initiation and Duration	User shall have the ability to generate the Breastfeeding Initiation and Duration report with the following information: <ul style="list-style-type: none"> - Agency - Breastfeeding Initiation No. and % for Infants and Children - Breastfeeding Initiation No. and % for Infants Only - Breastfeeding Initiation No. and % for Infants of Prenatal WIC Mom - Breastfeeding Duration for 1 week, 2 week, 4 week, 6 week, 12 month, 18 months, 2 yrs, 3 yrs, 4 yrs . - Breastfeeding Exclusivity for 3 months and 6 months. 	No	
RRC 6.4.1.1	System prompt- Level (State/Local Agency)	System shall provide the ability to run the report at State and Local Agency level.	No	
RRC 6.4.2	Client Call Back List	User shall have the ability to generate the this report with the following information: <ul style="list-style-type: none"> - Local Agency - Clinic - Date From - Date Thru - Provider - Call Back Date - Phone # - Client ID - Client Name - Cat - EDD - Baby's DOB 	No	
RRC 6.4.2.1	System prompt- Level (State/Local Agency), Clinic, Date From and Date Thru	System shall provide the ability to select a particular Local Agency, Clinic, Date From and Date Thru.	No	

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RRC ID#	Reports	Reports Description	Gap	Gap description
RRC 6.4.3	Peer Counselor Client Contacts	User shall have the ability to generate the Peer Counselor Client Contacts report with the following information: <ul style="list-style-type: none"> - Clinic - Provider - Family ID - Client ID - Client Name - Cat - Contacts - Phone # - Date From - Date Thru 	No	
RRC 6.4.3.1	System prompt-Level (State/Local Agency), Provider, Date From and Date Thru	System shall provide the ability to select a particular Local Agency, Provider From and Date Thru.	No	
RRC 6.5	Caseload			

<p>RRC 6.5.1</p>	<p>Caseload Management Report</p>	<p>User shall have the ability to generate the Caseload Management Report with the following information:</p> <ul style="list-style-type: none"> - Caseload Current Yr - Previous Yr - LA - Last 5 months P/E - Last 12 months P/E - Last Year P/E Ratio - Month - % Closeout participation to base caseload - Closeout participation - Initial Participation - Enrollment - Actual/Estimated participation - Total - Current Year Avg - Months with count - Average to base % - Last yr base % - Last yr average - Projected participants per month to meet caseload - Estimated average participation for current year to date - Actual average monthly participation current year to date - Estimated participation will support a final FSR budget expenditure of this % amount of allocation - Current allocation - Supported amount - Non supported amount - Performance based funds - Other special funds - Total funding allocation 	<p>No</p>	
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RRC ID#	Reports	Reports Description	Gap	Gap description
RRC 6.5.1.1	System prompt-Local Agency	System shall provide the ability to select a particular Local Agency	No	
RRC 6.5.2	Caseload Utilization Report	User shall have the ability to generate the Caseload Utilization Report with the following information: <ul style="list-style-type: none"> - From Month/YYYY - To Month/YYYY - Actual - Assigned - % Attained - % Increase Average YTD 	No	
RRC 6.5.2.1	System prompt-From and To Month/YYYY	System shall provide the ability to select From and To Month/YYYY	No	
RRC 6.5.3	Closeout Priority Status by Category	User shall have the ability to generate the Closeout Priority Status by Category Report with the following information: <ul style="list-style-type: none"> - Level - Issuance participation month/year - Current status - Category description - Totals - Priority 	No	
RRC 6.5.3.1	System prompt-Level, Issuance participation month.	System shall provide the ability to select Level, Issuance participation month.	No	
RRC 6.5.4	Initial Priority Status by Category	User shall have the ability to generate the Initial Priority Status by Category Report with the following information: <ul style="list-style-type: none"> - Current status - # for Child Age 1 - # for Child Age 2 - # for Child Age 3 - # for Child Age 4 - # for Infant BF exclusively - # for Infant BF partially - # for Infant Formula Fed - # for Woman BF exclusively - # for Women BF partially - # for Women Postpartum - # for Women Pregnant 	Yes	Include all Breast Feeding statuses

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RRC ID#	Reports	Reports Description	Gap	Gap description
		- Totals		
RRC 6.5.4.1	System prompt-Issuance Participation Month/Year, State/LA	System shall provide the ability to select Issuance Participation Month/Year and State/LA	No	
RRC 6.5.5	Ongoing Participation by Category or Race	User shall have the ability to generate the Ongoing Participation by Category or Race Report with the following information: <ul style="list-style-type: none"> - Category - Totals (State, Clients) 	No	
RRC 6.5.5.1	System prompt-Month, Level (State/LA)	System shall provide the ability to select month and Level (State/LA)	No	
RRC 6.5.6	Priority Enrollment by Category	User shall have the ability to generate the Priority Enrollment by Category Report with the following information: <ul style="list-style-type: none"> - Month/Year - Priority - Category - Totals 	No	
RRC 6.5.6.1	System prompt-Month/Year, Level (State/LA)	System shall provide the ability to select month/Year and State & LA Level.	No	
RRC 6.5.7	Racial/Ethnic Enrollment by Major Category	User shall have the ability to generate the Racial/Ethnic Enrollment by Major Category Report with the following information: <ul style="list-style-type: none"> - Racial Category - % - Women Total - WIC Total - Month 	Yes	Results to reflect NY State categories
RRC 6.5.7.1	System prompt-Month/Year, Level (State/LA)	System shall provide the ability to select month/Year and Level (State/LA)	No	
RRC 6.5.8	Unduplicated Participation	User shall have the ability to generate the Unduplicated Participation Report with the following information: <ul style="list-style-type: none"> - From - To - LA 	No	

RRC ID#	Reports	Reports Description	Gap	Gap description
		<ul style="list-style-type: none"> - Participants enrolled for different category - Totals 		
RRC 6.5.8.1	System prompt-From Month/Year, Level (State, LA)	System shall provide the ability to select from and To month/Year	No	
RRC 6.6	Direct Formula Distribution	Disabled	Not Needed	Not Needed
RRC 6.6.1	Direct Distribution Formula Audit Log Report	Disabled	Not Needed	Not Needed
RRC 6.6.2	Direct Distribution Formula Client Log Report	Disabled	Not Needed	Not Needed
RRC 6.6.3	Direct Distribution Formula Inventory report	Disabled	Not Needed	Not Needed
RRC 6.6.4	Formula Inventory by Agency Count Report	Disabled	Not Needed	Not Needed
RRC 6.7	EBT	This section covers EBT reports	No	
RRC 6.7.1	Local Agency Card Issuance/Replacement Report	User shall have the ability to generate Local Agency Card Issuance/Replacement Report	No	
RRC 6.7.1.1	System prompt	<p>System shall provide the ability to the user to select:</p> <ul style="list-style-type: none"> - State (Check box – per user role) - Local Agency (Check box – per user role) - Clinic (Check box – per user role) - Month - Year 	No	
RRC 6.8	Education and Referrals	This section covers Education and Referrals reports	No	
RRC 6.8.1	Clients referred to Referral/Community Resources	<p>User shall have the ability to generate Clients referred to Referral/Community Resources with the following information:</p> <ul style="list-style-type: none"> - Client Name - ID - Category - Referral Date - Language - Referral Category - Phone 	No	
RC 6.8.1.1	System prompts	<p>System shall provide the ability to the user to select:</p> <ul style="list-style-type: none"> - State (Check box – per user role) 	No	

RRC ID#	Reports	Reports Description	Gap	Gap description
		<ul style="list-style-type: none"> - Local Agency (Check box – per user role) - Clinic (Check box – per user role) - Date From - Date Through - Community Resource (Dropdown) 		
RRC 6.8.2	Community Resource Listing	User shall have the ability generate Community Resource Listing report	Yes	Need to be able to generate and sort by county.
RRC 6.8.2.1	System prompts	System shall provide the ability to the user to select: <ul style="list-style-type: none"> - LA (Dropdown) - Referral Category (Dropdown) - Referral Type (Dropdown) 	Yes	Include State and County.
RRC 6.8.3	NE Classes	User shall have the ability to generate Nutrition Education classes reports for the selected agency with the following information: <ul style="list-style-type: none"> - Nutrition Education Topic - Attendees - Missed - Future - Total 	No	
RRC 6.8.3.1	System prompts	System shall provide the ability to the user to select: <ul style="list-style-type: none"> - State (Check box – per user role) - Local Agency (Check box – per user role) - Clinic (Check box – per user role) - Date From - Date Through 	No	
RRC 6.8.4	NE Individual Contacts	User shall have the ability to generate Nutrition Education contacts report for each clinic with the following information: <u>LA Name</u> <ul style="list-style-type: none"> - NE Topic - Number of Clients - Clinic Total 	No	
RRC 6.8.4.1	System prompts	System shall provide the ability to the user to select: <ul style="list-style-type: none"> - State (Check box – per user role) - Local Agency (Check box – per user role) - Clinic (Check box – per user role) - Date From - Date Through 	No	

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RRC ID#	Reports	Reports Description	Gap	Gap description
RRC 6.8.5	NE Methods	User shall have the ability to generate Nutrition Education Methods report for each year with the following information: <ul style="list-style-type: none"> - NE Method - Year 	No	
RRC 6.8.5.1	System prompts - Dates	System shall provide the ability to the user to select: <ul style="list-style-type: none"> - Date From - Date Through 	No	
RRC 6.8.6	NE Providers	User shall have the ability to generate the Nutrition Educators report for each year with the following information <ul style="list-style-type: none"> - NE Provider - Year 	No	
RC 6.8.6.1	System prompts - Dates	System shall provide the ability to the user to select: <ul style="list-style-type: none"> - Date From - Date Through 	No	
RRC 6.8.7	NE Stage And Stage Progression by Module Topic-Client	User shall have the ability to generate Nutrition Education Stage And Stage Progression by Module Topic at Client level report with the following information: <ul style="list-style-type: none"> - Client ID - Client Name - Module Topic - Date - Stage - Movement - Method 	No	
RRC 6.8.7.1	System prompts	System shall provide the ability to the user to select: <ul style="list-style-type: none"> - Date From - Date Through - Clinic 	No	
RRC 6.8.8	NE Topic Frequency	User shall have the ability to generate Nutrition Education Topic Frequency report for each LA with the following information: <ul style="list-style-type: none"> - NE Topic - Year 	No	

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RRC ID#	Reports	Reports Description	Gap	Gap description
RRC 6.8.8.1	System prompts - Dates	System shall provide the ability to the user to select: <ul style="list-style-type: none"> - Date From - Date Through 	No	
RRC 6.8.9	Online NE Completed	User shall have the ability to generate Nutrition Education completed Online at the client level report with the following information: <ul style="list-style-type: none"> - Client Name - Client ID - Authorized person's name - WIC Health Topic - Phone # - BLT Date 	N/A	<i>Not part of roll out. May be for future phases</i>
RRC 6.8.9.1	System prompts	System shall provide the ability to the user to select: <ul style="list-style-type: none"> - State (Check box – per user role) - Local Agency (Check box – per user role) - Clinic (Check box – per user role) - Start Date - End Date 	N/A	<i>Not part of roll out. May be for future phases</i>
RRC 6.8.10	Referral Community Resource Summary	User shall have the ability to generate Referral Community Resource Summary report with the following information: Referral/Community Resource Community Resource No of Clients Total Agency Totals By reference Category with No of Clients	No	Note: The referral list must reflect NY State values
RRC 6.8.10.1	System prompts	System shall provide the ability to the user to select: <ul style="list-style-type: none"> - State (Check box – per user role) - Local Agency (Check box – per user role) - Clinic (Check box – per user role) - Date from - Date Through 	No	
RRC 6.8.11	<i>Stage and Stage Progression by Topic/Method</i>	<i>User shall have the ability to generate Stage and Stage Progression by Topic/Method with the following information:</i> <ul style="list-style-type: none"> - <i>Module Topic</i> - <i>Method</i> 	N/A	<i>Not part of roll out.</i>

RRC ID#	Reports	Reports Description	Gap	Gap description
		<ul style="list-style-type: none"> - Total - No Progression (# and %) - Number Progressed (# and %) - Number Maint to Maint (# and %) 		
RRC 6.8.11.1	System prompts	System shall provide the ability to the user to select: <ul style="list-style-type: none"> - State (Check box – per user role) - Local Agency (Check box – per user role) - Clinic (Check box – per user role) - Date from - Date Through 	No	
RRC 6.8.12	State Referrals	User shall have the ability to generate State Referrals report with the following information: <ul style="list-style-type: none"> - Description - To Referrals Clients - Percent - From Referrals Family - Percent 	No	
RRC 6.8.12.1	System prompts – Dates	System shall provide the ability to the user to select: <ul style="list-style-type: none"> - Date From - Date Through 	No	
RRC 6.9	Monitoring	User shall have the ability to generate Monitoring reports	No	
RRC 6.9.1	Random Client Select	User shall have the ability to generate Random Client Select report with the following information: <ul style="list-style-type: none"> - Name - Client ID - Birth Date - Category - Cert. Start Date - Cert. End Date - Benefits issued by 	No	
RRC 6.9.1.1	System prompts	System shall provide the ability to the user to select: <ul style="list-style-type: none"> - Clinic (Dropdown) - Cert End Month (Dropdown) - Cert End Year (Dropdown) - Staff Member (Dropdown) - Category (Dropdown) - No. of Records 	No	
RRC 7.1	Nutrition Risk			
RRC 7.1.1	Client Risk Factor By Category	User shall have the ability to generate report with the following information: <ul style="list-style-type: none"> - Participant Category 	No	

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RRC ID#	Reports	Reports Description	Gap	Gap description
		<ul style="list-style-type: none"> - Number of Clients - Percent of Clients - Total Number of Clients 		
RRC 7.1.1.1	System Prompt- State and LA	System shall provide the ability to select: <ul style="list-style-type: none"> - State (Checkbox) - Local Agency (Checkbox) 	No	
RRC 7.1.2	Client Risk Factors By Risk	User shall have the ability to generate report with the following information in tables: <ul style="list-style-type: none"> - Risk Code - Valid Cats - Description - Pregnant - Breastfed - NonLact - Infants - Children - Total 	No	
RRC 7.1.2.1	System Prompt – Start Date, End Date, State, and LA	System shall provide the ability to select: <ul style="list-style-type: none"> - Start Date and End Date for the report duration. - State (Checkbox) - Local Agency (Checkbox) 	No	
RRC 7.1.3	Hemoglobin Daily Summary Report	User shall have the ability to generate the report with the following information: <ul style="list-style-type: none"> - Agency name: - Client Name - Client ID - Hemoglobin - Date of HGB - Referral Data - Retest 	Yes	Need to add the staff User ID.
RRC 7.1.3.1	System Prompt – State, Local Agency, Clinic, Start Date, and End Date.	System shall provide the ability to select: <ul style="list-style-type: none"> - State (Checkbox) - Local Agency (Checkbox) - Clinic (Checkbox) - Start Date and End date for the report duration. 	No	
RRC 7.1.4	Hemoglobin Required Report	User shall have the ability to generate the report with following information: <ul style="list-style-type: none"> - Clinic - Client name - Client ID - Date of Next Cert Appt. 	No	

RRC ID#	Reports	Reports Description	Gap	Gap description
RRC 7.1.4.1	System Prompt – State, Local Agency, Clinic, Date From, and Date Thru.	System shall provide the ability to select: <ul style="list-style-type: none"> - State (Checkbox) - Local Agency (Checkbox) - Clinic (Checkbox) - Date From and Date Thru for the report duration. 	No	
RRC 7.1.5	High-Risk Client Care Plan Closed or Not Needed Report	User shall have the ability to generate this report with the following information: <ul style="list-style-type: none"> - Client Name - Client ID - Cat - Cert End Date - High Risk Factor - CP - Closed - Waived - Refused - Non-WIC RD 	No	
RRC 7.1.5.1	System Prompt – Clinic Dropdown, Date From and date Thru	System shall provide the ability to select: <ul style="list-style-type: none"> - Clinic (Dropdown) - Date From and date Thru for the report duration 	No	
RRC 7.1.6	Summary of High Risk Enrollees	The system shall support the user to generate this report with the following information: <ul style="list-style-type: none"> - LA Name & ID - Clinic - Pregnant - Breastfeeding - Non-Lactating - Infants - Children - Total - Total Clients - High Risk Clients - State Summary with Statewide Clients 	No	
RRC 7.1.6.1	System Prompt – LA Dropdowns, Year Dropdown, and Month Dropdown.	System shall provide the ability to select: <ul style="list-style-type: none"> - LA (Dropdown) - Year (Dropdown) - Month (Dropdown) 	No	
RRC 7.2	Participation			
RRC 7.2.1	Active Enrollees by Zip Code	User shall have the ability to generate this report with the following information: <ul style="list-style-type: none"> - Zip Code - Clinic ID & Name - Total 	No	

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RRC ID#	Reports	Reports Description	Gap	Gap description
RRC 7.2.1.1	System Prompt – State, Local Agency, and Clinic	System shall provide the ability to select: <ul style="list-style-type: none"> - State (Checkbox) - Local Agency (Checkbox) - Clinic (Checkbox) 	No	
RRC 7.2.2	Alphabetical Client Listing	The system shall support the user to generate this report with the following information: <ul style="list-style-type: none"> - LA ID # & Name - Authorized Representative - Client Full Name - Cat Code - Birth Date - Cert Date - Cert Status - BVT Date - Term Date - Reason for Short Cert - Next Appointment 	Yes	Make authorized rep one column. Need this to be sorted on participant. Add participant, phone #, language, LA, Clinic. Change the order of the fields to: LA ID # & Name, Clinic # Participant Full Name Authorized Representative Cat Code Birth Date Cert Date Cert Status BVT Date Term Date Reason for Short Cert Language Next Appointment
RRC 7.2.2.1	System Prompt – Local Agency, Clinic, Export to Excel/CSV	System shall provide the ability to select: <ul style="list-style-type: none"> - Local Agency (Checkbox, then Dropdown) - Clinic (Checkbox, then Dropdown) - Export to Excel/CSV (Checkbox) 	Yes	
RRC 7.2.3	Alphabetical Complete Listing	The system shall support the user to generate this report with the following information: <ul style="list-style-type: none"> - Clinic ID # & Name - Auth Pers Information/Client Full Name - Family ID/Client ID - Cat Code - Address 	Yes	Add phone number and language.

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RRC ID#	Reports	Reports Description	Gap	Gap description
RRC 7.2.3.1	System Prompt – Clinic Dropdown	System shall provide the ability to select: - Clinic (Dropdown)	Yes	Add export this to Excel/CSV
RRC 7.2.4	Client Complaint and Investigation Summary	User shall be able to generate report with the following information: - Case Number - Date Complaint Received - Complaint Method - Type of Complainant - Complainant - Complainant Contact Information - Complaint Recipient - Complaint Notes - Complaint Subject - LA/Clinic - Family or Client ID - Description - Investigation Notes with Date, User ID, type of Note and Note - Violation Type(s) Alleged/Substantiated - Investigation Status - Claim Amount - Sanction/Restitution Information (Sanction Eff Date, Sanction Action, Claim Disposition, Abuse Resolution, Pmt Due Date, Pmt Recd Date, and Amount). - Fair Hearing Information (Date Requested, Reason, Date of Hearing 1, Date of Hearing 2, Date Closed, Ruling, Notes)	Yes	Please see FRC 30.3.2
RRC 7.2.4.1	System Prompt – Case Number	System shall provide the ability to enter case number.	Yes	Please see FRC 30.3.2

RRC ID#	Reports	Reports Description	Gap	Gap description
RRC 7.2.5	Client Compliance Log	User shall be able to generate report with the following information: <ul style="list-style-type: none"> - LA ID # & Name - Case # - Date Complaint Received - Complaint Method - Complaint Recipient - Complaint Received From - Agency & Clinic # - Complaint Subject (Name, ID) - Investigation Status - Claim Amount - Violation Type Alleged - Substantiated - Sanction Type - Claim Disposition 	Yes	Please see FRC 30.3.2
RRC 7.2.5.1	System Prompt – State, Local Agency, Unassigned, Date From, and Date Thru	System shall provide the ability to select: <ul style="list-style-type: none"> - State (Checkbox) - Local Agency (Checkbox) - Unassigned (Checkbox) - Date From to Date Thru for the duration of the report 	Yes	Please see FRC 30.3.2
RRC 7.2.6	Clients Eligible for Benefits	User shall have the ability to generate report with the following information: <ul style="list-style-type: none"> - Clinic ID # & Name - Auth Rep Information/Client Full Name - Cat Code - Cert Start - Cert End - BVT Date - Term Date - Term Reason - Next Appointment 	No	
RRC 7.2.6.1	System Prompt – State, Local Agency, Clinic, Date From, Date Thru, No Future Appt, All Participants	System shall provide the ability to select: <ul style="list-style-type: none"> - State (Checkbox) - Local Agency (Checkbox) - Clinic (Checkbox) - Date From and Date Thru for the duration of the report - No Future Appt (Checkbox) - All Participants 	No	

RRC ID#	Reports	Reports Description	Gap	Gap description
RRC 7.2.7	Clients by Cert End Date	User shall have the ability to generate this report with the following information: <ul style="list-style-type: none"> - Clinic ID # & Name - AP Information/Client - Full Name - Cat Code - Birth Date - Cert Start - Cert End - BVT Date - Term Date - Term Reason - Next Appointment 	No	
RRC 7.2.7.1	System Prompt – State, Local Agency, Clinic, From Date, Thru Date, No Future Appointments, All Clients.	System shall provide the ability to select: <ul style="list-style-type: none"> - State (Checkbox) - Local Agency (Checkbox) - Clinic (Checkbox) - From Date and Thru Date for the duration of the report - No Future Appt (Checkbox) - All Clients 	No	
RRC 7.2.8	Expiring Short Certs	User shall have the ability to generate this report with the following information: <ul style="list-style-type: none"> - Clinic ID & Name - Auth. Person/Client Full Name - Category - Cert Start Date - Cert End Date - Termination Date - Short Cert Reason (Identity, Income, Pregnancy, Residency) 	No	
RRC 7.2.8.1	System Prompt – State, Local Agency, Clinic, Date From, and Date Thru	System shall provide the ability to select: <ul style="list-style-type: none"> - State - Local Agency - Clinic - Date From and Date Thru for the report duration 	No	
RRC 7.2.9	Families Count By Primary Languages	User shall have the ability to generate this report with the following information: <ul style="list-style-type: none"> - Local Agency - List of NYS Languages - Total families - State Total 	Yes	List of languages to be consistent with NY State languages.

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RRC ID#	Reports	Reports Description	Gap	Gap description
RRC 7.2.9.1	System Prompt – State and LA	System shall provide the ability to select: <ul style="list-style-type: none"> - State (Checkbox) - LA (Checkbox) 	No	
RRC 7.2.10	Immunization	User shall have the ability to generate Immunization Report	No	
RRC 7.2.10.1	System Prompt – State, Local Agency, Clinic, Date From, Date Thru	The system shall provide the ability to select: <ul style="list-style-type: none"> - State (checkbox) - Local Agency (checkbox) - Clinic (Checkbox) - Date From and Date Thru for the report duration. 	No	
RRC 7.2.11	Income Guidelines	The system shall support the display of income guidelines with following information: Family Size, Hourly, Weekly, Bi-weekly, Bi-Monthly, Monthly, Annual.	Yes	Please see FRC 12.2
RRC 7.2.12	Pregnant Women Expected delivery Date	User shall have the ability to generate this report with the following information: <ul style="list-style-type: none"> - Clinic ID & Name - Client ID - First Name - Last Name - Expected delivery Date - Next Appt - Phone Number 	No	
RRC 7.2.12.1	System Prompt – State, LA, Clinic, Expected Date From, and Expected Date Thru	System shall provide the ability to select: <ul style="list-style-type: none"> - State - LA - Clinic - Expected date From and Expected Date Thru for the report duration. 	No	

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RRC ID#	Reports	Reports Description	Gap	Gap description
RRC 7.2.13	Terminated Clients	User shall have the ability to generate this report with the following information: <ul style="list-style-type: none"> - State Agency ID # - Local Agency ID # & Name - Client ID - Name - Cert Start Date - Cert End date - Category - Priority - Termination - Termination Reason 	No	
RRC 7.2.13.1	System Prompt – State/Local Agy, and Local Agy/Clinic	The system shall provide the ability to select: <ul style="list-style-type: none"> - State/local Agy (Checkbox) - Local Agy/Clinic (Checkbox) 	No	
RRC 7.2.14	Transfers	The system shall give the user the ability to generate this report with the following information: <ul style="list-style-type: none"> - Clinic ID # & Name - Client ID - Name - Priority - Category - From - To - Transfer date 	No	
RRC 7.2.14.1	System Prompt – State, Local Agency, Clinic, Date From and Date Thru	The system shall provide the ability to select: <ul style="list-style-type: none"> - State (Checkbox) - Local Agency (Checkbox) - Clinic (Checkbox) - Date From and date Thru for the duration of the report 	No	
RRC 7.2.15	WIC Dual Enrollment	User shall have the ability to generate this report with the following information: <ul style="list-style-type: none"> - Local Agency ID # & Name - Clinic ID # & Name - Res - Client ID - Client Name - Birth Date - Cert Start - End date - BVT Date - Authorized Person - Clinic 	No	

RRC ID#	Reports	Reports Description	Gap	Gap description
		- Date ID'd		
RRC 7.2.15.1	System Prompt – State, Local Agency, Clinic, Month (Dropdown), Year (Dropdown), Resolution (Dropdown)	The system shall provide the ability to select: <ul style="list-style-type: none"> - State (Checkbox) - Local Agency (Checkbox) - Clinic (Checkbox) - Month (Dropdown) - Year (Dropdown) - Resolution (Dropdown) 	No	
RRC 7.2.16	WIC Ineligible Client Report	User shall be able to generate this report with following information: <ul style="list-style-type: none"> - Local Agency - Clinic - Client ID - Client Name - Birth Date - Cat - Reason for ineligibility - Inelig Date - Notice Given - Local Agency Total - State Total 	No	
RRC 7.2.16.1	System Prompt – State, Local Agency, Date From and Date Thru	The system shall provide the ability to select: <ul style="list-style-type: none"> - State (Checkbox) - Local Agency (Checkbox) - Date From and Date Thru for the duration of the report. 	No	
RRC 7.2.17	Waiting List Report	User shall have the ability to generate waiting list report with the following information: <ul style="list-style-type: none"> - Federal Priority Group - Wait List Order Group - Number of Clients. 	No	
RRC 7.2.17.1	System Prompt – State, and Local Agency	The system shall provide the ability to select: <ul style="list-style-type: none"> - State (Checkbox) - LA (Checkbox) 	No	
RRC 7.3	Scheduler			
RRC 7.3.1	Clients Scheduled Outside 10/20 Day Limit	User shall have the ability to generate the report with the following information: <ul style="list-style-type: none"> - Agency Name and Org Code: - Client Name - Client ID - Cat - 10 Day with Yes/No - 20 Day with Yes/No 	No	

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RRC ID#	Reports	Reports Description	Gap	Gap description
		<ul style="list-style-type: none"> - Authorized Person - Date Scheduled - Appt Date/Time 		
RRC 7.3.1.1	System Prompt – State, Local Agency, Clinic, Date from and date To.	<p>The system shall provide the ability to select:</p> <ul style="list-style-type: none"> - State (Checkbox) - Local Agency (Checkbox) - Clinic (Checkbox) - Date from and Date to for the report duration 	No	
RRC 7.3.2	Client Appointment List	<p>User shall have the ability to generate this report with the following information:</p> <ul style="list-style-type: none"> - Mid Cert Assessment Due - Client Name - Service - Client ID - DOB - Cat - Cert End - Base Date - Authorized Consent 	Yes	See FRA 12.4 for Scheduling requirement. Note: NY State uses Health Nutrition Update (HNU) for Mid Cert Assesment
RRC 7.3.2.1	System Prompt – Clinic (Dropdown), Dates From and Dates Thru	<p>The system shall provide the ability for the user to select:</p> <ul style="list-style-type: none"> - Clinic (Dropdown) - Dates From and dates Thru for the report duration. 	No	
RRC 7.3.3	Clinic Scheduled Appointments	<p>User shall have the ability to generate Clinic Scheduled Appointment with the following information:</p> <ul style="list-style-type: none"> - Agency: - # of Appts - Earliest Appt Start - Latest Appt End 	No	
RRC 7.3.3.1	System Prompt – State, LA, and Appointment Date	<p>The system shall provide the ability to select:</p> <ul style="list-style-type: none"> - State (Checkbox) - LA (Checkbox) - Appointment Date 	No	

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RRC ID#	Reports	Reports Description	Gap	Gap description
RRC 7.3.4	List of Cancelled Appointments	User shall have the ability to generate this report with the following information: <ul style="list-style-type: none"> - Clinic Name - Staff - Cat - Appt Type - Language - Authorized BVT Date - Food Presc - Cert End date - Phone Number 	No	
RRC 7.3.4.1	System Prompt – Local Agency, Clinic, Date From and Date Thru	The system shall provide the ability to select: <ul style="list-style-type: none"> - Local Agency (checkbox) - Clinic (Checkbox) - Date From and Date Thru for the report duration. 	No	
RRC 7.3.5	No Show Report	User shall be able to generate No Show report with the following Information: <ul style="list-style-type: none"> - Local Agency: - Clinic/Site: - Service - Appt Date - Client ID - Category - Client Name - Contact Consent - Phone Number - Authorized Rep 	No	
RRC 7.3.5.1	System Prompt - Local Agency, Clinic, Date From and Date Thru	The system shall provide the ability to select: <ul style="list-style-type: none"> - Local Agency (checkbox) - Clinic (Checkbox) Date From and Date Thru for the report duration.	No	

State Only Module Functional Requirements

FRS – Functional Requirements for State Only module

RRS – Reporting Requirements State Only module

ID#	Functional Requirement	Functional Requirement description	GAP	GAP description
FRS 4	Food Group	The Food Group section of the STATE ONLY Module maintains Food Group Maximums and Category Maintenance.	No	
FRS 4.1	Food Group Maximums	The system shall support rules for conversion of foods that can be used interchangeably within a particular food group. Food group maximums are entered for a specific Effective Date.	No	
FRS 4.2	Category Maintenance	The system shall capture each Category Code, Description and the Food Group and this shall be recorded in ADMIN Module.	No	
FRS 5	Managing UPC Data	Managing UPC Information such as adding Sub Categories, Managing Peer Group Prices shall be supported by the system.	No	
FRS 5.1	Cat/Sub Category Information	The system shall support the management of each sub category information such as Sub Cat Code, Description, Shopping List Description, Proration Rules, Package Size, Product Description and Unit of Measure. Sub Category can only have one Food item associated with it.	No	
FRS 5.2	Uploading UPC Data	The system shall support the upload of UPC items and their prices.	No	
FRS 5.3	Maintaining UPC Information	The system shall maintain UPC Information, where the system shall support search for existing UPC items, authorize a UPC Item, View/Edit UPC Item Information, Manually Add UPC Item Information, and Update Peer Group Maximum Prices.	No	
FRS 5.3.1	Searching UPC Information	The system shall support the search for existing UPC items using UPC Code, Product Description, Manufacturer, Category, Sub Category, and Authorization Status.	No	
FRS 5.3.2	Viewing UPC Item Information	The system shall support the viewing of UPC item information.	No	
FRS 5.3.3	Manually Adding UPC items	The system shall support the users to manually adding UPC Items in the UPC maintenance screen.	No	

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ID#	Functional Requirement	Functional Requirement description	GAP	GAP description
FRS 5.3.4	Peer Group Maximum Price Update	The system shall record the food item's peer group information and future price, the current price and previous price will display if applicable to the UPC item. The system shall also support adding or removing Peer Groups.	No	
FRS 5.3.5	PGA Price Input	The system shall support the users to update the UPC item prices by entering UPC code and Peer Group the item is assigned to.	No	
FRS 5.4	Downloading UPC Prices	The system shall support the user to download Peer Group UPC prices information.	No	
FRS 5.5	Max Price Adjustments	The system shall support changing the prices of Food items by applying a % change flat price or applying the current price to State entered amount.	No	
FRS 6	Maintaining Food Items	The system shall provide the ability to update food items, assign food maximum amounts, and manage formulary information.	No	
FRS 6.1	Assigning Maximums for a Food Item	The system shall support the user to enter the maximum quantity of the food item.	No	
FRS 6.2	Assigning Conversion Factors for a Food Group	The system shall support the user to substitute one food item for another and support the values entered to calculate the quantities for food items linked to one or more in a Food Package.	No	
FRS 6.3	Formulary Information	The system shall support the Formula Information such as Manufacturer Product Code, WIC Class and Manufacturer Standard Reconstituted Volume.	No	
FRS 7	Managing Formula Manufacturers	The system shall support the users in capturing the information of formula manufacturers.	No	
FRS 7.1	Formula Manufacturer Information	The system shall allow the users to capture manufacturer information for the formulas such as Company Name, Address, Phone Number and Fax Number.	No	

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ID#	Functional Requirement	Functional Requirement description	GAP	GAP description
FRS 8	Creating and Maintaining Food Package	The system shall support the following functionalities: Create Food Packages, View Food Packages, Subsequent Food Packages, Assign Preference Order to Food Packages, and Check Food Package Status.	No	
FRS 8.1	Creating a Food Package	The system shall support the user to create a Food Package and enter Food Package Start and End date, Food Items and their quantities and the client category. The system shall also support the ability of the user to check/uncheck the 'Active Flag' checkbox which will be available for selection in CLINIC Module.	No	
FRS 8.1.1	Adding a Food Item to a Package	The system shall support the ability to add/delete food items and quantities of Food Items must be within the Food Allowable limit for appropriate client category as specified by NYS WIC.	Yes	Formula quantity for partial breastfed infants must default to NY State minimum allowed quantity.
FRS 8.1.2	Loading a Food Package's Category Assignment	The system shall support a pre-existing food package to be assign to the client categories.	No	
FRS 8.1.3	Error Report	The system shall support the display of an Error when loading Category Assignments. Errors include food item quantities that are greater than the established Food and Food Group Maximums.	No	
FRS 8.2	Viewing a Food Package	The system shall support the user to select the desired Food Package from the drop down box and click GO to view the Food Package.	No	
FRS 8.2.1	Editing a Food Package	The system shall support the user to select the Food Package which will provide the ability to Edit.	No	
FRS 8.2.2	Creating a copy of a Food Package	The system shall support the user to create a Food Package similar to an existing Food Package; the user shall be able to copy an existing Food Package; the system shall support changing Food Package name and Food Item quantities prior to saving.	No	
FRS 8.3	Subsequent Food Package	The system shall allow the user to Add or Remove a Subsequent Food Package.	No	Whatever the user selects here in the 'Subsequent Food Packages' will automatically reflect in

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ID#	Functional Requirement	Functional Requirement description	GAP	GAP description
				the 'Food Prescription Screen' in the CLINIC MODULE.
FRS 8.4	Determining Food Package Preference Order Based on Category	The system shall support the Preference Orders in which Food Packages will be display in the CLINIC Module which are captured by Client category and Effective Date.	No	
FRS 8.5	Viewing the Status of Active and Inactive Food Packages	The system shall support the user to view the status of Active and Inactive Food Packages.	No	Display the screen for Total Active and Inactive Food Package Status, and the Total Packages.
RRS 9.0	Reporting Requirement	This section covers reports requirements		
RRS 9.1	Food Packages - Category Groups Assignment	The user shall have the ability to generate Food Packages - Category Groups Assignment Report with following information <ul style="list-style-type: none"> - Food Package name - Food Package Description - Active status - Active period - Categories to which that food package will be available. 	No	
RRS 9.1.1	System Prompt - Category & Status	System shall provide the ability to select a particular category and active status.	No	
RRS 9.2	Rebate	User Shall have the ability to generate the following Rebate reports: <ul style="list-style-type: none"> - Formula Redemption Control Report - Infant Formula Allocation Report - Infant Formula Redemption Trend Report - Rebate Billing Report 	Yes	NY State has rebate contract for food items as well as formula.

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ID#	Functional Requirement	Functional Requirement description	GAP	GAP description
RRS 9.2.1	Formula Redemption Control Report	The user shall have the ability to generate Formula Redemption Control Report with following information -Formula name -Category code -Subcategory -Total quantity -# of debit transactions. -# of credit transactions -# of EBT transactions	No	
RRS 9.2.1.1	System Prompt - Redemption Month	System shall provide the ability to select a particular redemption month.	No	
RRS 9.3	Infant Formula Allocation Report	The user shall have the ability to generate Infant formula allocation report with following information -Infant formula units allocated by Issuance month	No	
RRS 9.3.1	System Prompt - Redemption Month	System shall provide the ability to select a particular redemption month.	No	
RRS 9.4	Infant Formula Redemption Trend Report	The user shall have the ability to generate Infant Formula Redemption Trend Report with following information -Redemption Month/Year -Infant Participation/Issue Month -Cans Concentrate/Redemption Month -Cans Powder/Redemption Month -Cans RTF/Redemption Month -Total Rebate Amount/Redemption Month -Average Year To Date Rebate Amount. The report can be generated for selected Fiscal Year.	No	
RRS 9.4.1	System Prompt - Fiscal Year	System shall provide the ability to select fiscal year.	No	
RRS 9.5	Rebate Billing Report	The user shall have the ability to generate the Rebate Billing Report with following information: -Product -Type/Form -Rebate Per Can -Number of Cans to be Billed -Amount to be billed	No	

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ID#	Functional Requirement	Functional Requirement description	GAP	GAP description
		-Total Amount Billed		
RRS 9.5.1	System Prompt - Redemption Month	System shall provide the ability to select a particular redemption month.	No	

Vendor Module Functional Requirements

FRV – Functional Requirements for Vendor module

RRV – Reporting Requirements Vendor module

ID#	Functional Requirement	Functional Requirement Description	Gap	Gap Description
FRV 5	Search for a Vendor	This section is to search for an existing Vendor, print labels and make a vendor record active	Yes	Please see 5.1 below
FRV 5.1	Searching for an Existing Vendor	User shall have the ability to search for a Vendor and retrieve the information based on the Search criteria	Yes	Two additional columns – No. of Registers and Prior month's redemption should be added to the search results
FRV 5.2	Printing a Vendor List	User shall have the ability to print the list of Vendors based on the Search results from the Search screen	No	
FRV 5.3	Printing Vendor Labels	User shall have the ability to print labels for the selected Vendors from the Search screen	No	
FRV 5.4	Printing Vendor Bulk Labels	User shall have the ability to print bulk labels for the selected Vendors	No	
FRV 5.5	Printing Bulk Mail	User shall have the ability to print bulk labels (Physical Address and/or Mailing Address) for the selected Vendors	No	
FRV 5.6	Making a Vendor Record Active	User shall have the ability to make a Vendor record Active in order to update or modify the respective data from the Search Screen	No	
FRV5.6.1	Populate Vendor Record Box	System shall populate the Vendor Record Box with the selected Vendor's details from the search screen	No	
FRV 6	Establishing Regions, Cycles and Assigning Local Agencies	User shall have the ability to: <ul style="list-style-type: none"> - Assign a Region (Regions are created in Admin module) - Assign a Zip Code (Zip Code are created in Admin module) - Assign Cycles 	Yes	NY State uses Vendor Management Agencies to manage vendor application enrollment and monitoring. Change Local Agency to Vendor Management Agency (VMA)

ID#	Functional Requirement	Functional Requirement Description	Gap	Gap Description
FRV 6.1	Establishing Cycles and OAP Start and End Dates	User shall have the ability to create the Cycles with the following information: <ul style="list-style-type: none"> - Cycle Name - Open Application Process (OAP) State date - OAP End date - Contract Start date - Year - Interval 	No	
FRV6.1.1	Assign Store Type to a Cycle	User shall have the ability to assign the Store types to a Cycle	No	
FRV 6.2	Assigning a Local Agency to a Region and Cycle	User shall the ability to assign a Local Agency to a Region and Cycle	Yes	Please see FRV6
FRV 6.3	Assigning Local Agencies to a Zip Code	User shall have the ability <ul style="list-style-type: none"> - To select a Zip Code (dropdown) for assigning/removing Local Agencies - Select Rural/Urban based on Zip Code - Enter Notes (Date posted, Last Modified by, User ID, Modified By, Notes) 	Yes	Please see FRV6
FRV 7	Entering Record Details for a New Vendor	This section is to enter Vendor's demographic and license information	Yes	Please see 7.4
FRV 7.1	Entering Demographic Information	User shall have the ability to enter the following demographic information: <ul style="list-style-type: none"> - Vendor Name* - Store Type* - Contact* - Street Address (Street 1*, Street 2, City*, State*, County*, Zip Code* 4-3) - Mailing Address* (If different from Street address) - Store Contact* - Person responsible for WIC (Last name*, First name*, MI, Position*, E-mail) 	No	

ID#	Functional Requirement	Functional Requirement Description	Gap	Gap Description
FRV 7.1.1	Adding a Phone Number	User shall have the ability to add the following phone contact information: <ul style="list-style-type: none"> - Phone Number* - Ext and - Phone Type* - Cell and Land line 	No	
FRV 7.2	Selecting an Owner (Finding an Existing Owner)	User shall have the ability to select an existing owner	No	
FRV7.2.1	Delete Owner association	User shall have the ability to delete Vendors who do not have Owners associated with them	No	
FRV 7.3	Entering a New Owner	User shall have the ability to add a new owner. Types of ownership are: <ul style="list-style-type: none"> - Corporation information - Corporation Phone - Street Address (Street 1*, Street 2, City*, State*, County*, Zip Code* 4-3) - Mailing Address* (If different from Street address) - Recoupment Email Selections (Send EBT Recoupment Summary check box) 	No	
FRV7.3.1	Ownership Type	System shall populate the data based on the ownership type selected: <p><u>Corporation</u></p> <ul style="list-style-type: none"> - Corporation Name* - President's Legal Name* - Vice-Pres. Legal Name - Secretary's Legal Name - Chain Suffix* <p><u>Limited Liability</u></p> <ul style="list-style-type: none"> - Company Name* - 1st Mem./Partner's Name* - 2nd Mem./Partner's Name* - 3rd Mem./Partner's Name* - Chain Suffix* <p><u>Sole Proprietorship</u></p> <ul style="list-style-type: none"> - Owner's Legal Name* - Chain Suffix* <p><u>Partnership</u></p> <ul style="list-style-type: none"> - 1st Partner's Name* - 2nd Partner's Name* - 3rd Partner's Name* - Chain Suffix* 	No	

ID#	Functional Requirement	Functional Requirement Description	Gap	Gap Description
		<p><u>Government Entity</u></p> <ul style="list-style-type: none"> - Gov. Agency Name* - Contact Name* - PF-Market Master ID* - Mail Code <p><u>FMNP – Farmers Market</u></p> <ul style="list-style-type: none"> - Corporation Name* - President’s Legal Name* - Vice-Pres. Legal Name - PF-Market Master ID* - Mail Code <p><u>Limited Liability Partnership</u></p> <ul style="list-style-type: none"> - Owner’s Legal Name* - PF-Market Master ID* - Mail Code <p><u>Lmt Liability Lmt Partnership</u></p> <ul style="list-style-type: none"> - Corporation Name* - President’s Legal Name* - Vice-Pres. Legal Name - PF-Market Master ID* - Mail Code <p><u>Other</u></p> <ul style="list-style-type: none"> - Company Name* - 1st Mem./Partner’s Name* - 2nd Mem./Partner’s Name* - 3rd Mem./Partner’s Name* - PF-Market Master ID* - Mail Code 		
FRV 7.4	Entering License Information	User shall have the ability to enter Owner’s License information	Yes	Change the label from FL Food Permit Number to “AG & Markets Number and add additional field for Pharmacy License Number
FRV 7.5	Initiating a New Application	<p>User shall have the ability to initiate a new application and enter the following details:</p> <ul style="list-style-type: none"> - Application Log - System generated current time stamp - Application Type - New Request <ul style="list-style-type: none"> – Open period, Change of ownership, Change of Ownership – incorporation, New request – 	No	

ID#	Functional Requirement	Functional Requirement Description	Gap	Gap Description
		Non open App period, Renewal, FMNP Farmer's Market – New, FMNP Farmer's Market – Renewal (Dropdown) <ul style="list-style-type: none"> - Request Type - Application, PreAuth Letter, Solicitation Letter, WL Letter (Dropdown) - Received Data - Sent Date - Due Date - Status - Incomplete, Complete, Pending (Dropdown) - Disposition - Returned To vendor, Denied Application, Approved, FMNP Farmer's Market (Dropdown) - Response Status - Timely, Not Timely (Dropdown) - Affidavit Reqd (Check box) - Notes (Free text box) 		
FRV 7.5.1	Adding a New Request to an Existing Application	User shall have the ability to add new requests to an existing application	No	
FRV 7.6	Notifications	User shall have the ability to print notifications for the vendor	No	
FRV7.6.1	Notifications History	System shall provide history of all notifications sent to the vendor	No	
FRV 7.7	Documents	User shall have the ability to upload documents for a vendor with: <ul style="list-style-type: none"> - Document Category – Warning, CAP, Compliance Review, Inventory Audit, Contract, Application, Annual Training, Interactive Training, Food prices, Food Permit, Change of Owner Notification, Certified Mail Receipt) 	No	
FRV7.7.1	Uploaded Documents	System shall provide the list of all documents uploaded for the vendor	No	
FRV 7.8	Notification Letters Management	User shall the ability to upload word documents to print notifications for the vendor	No	
FRV7.8.1	Notifications – Tag list	System shall provide the following tags to be added to the Notification Letters: <ul style="list-style-type: none"> - Date - Vendor Name 	No	

ID#	Functional Requirement	Functional Requirement Description	Gap	Gap Description
		<ul style="list-style-type: none"> - Vendor Number - Vendor Address – Street, City, State, Zip - Other information 		
FRV 8	Enter Eligibility for a Vendor	This section covers the compliance and geographic limitations	No	
FRV 8.1	Compliance Eligibility	User shall have the ability to review the federal ID and SNAP number of the Vendor	No	
FRV8.1.1	Check duplicate entry	System shall provide a list of vendors that have a change of ownership and to prevent a vendor from being entered in the system more than once.	No	
FRV 8.2	Authorization Milestones	System shall provide the ability to keep track of the milestones completed and/or to-be completed for the vendor based on the store type	No	
<i>FRV8.3</i>	<i>AG & Markets Interface</i>	<i>System shall have the ability to interface with AG & Markets system</i>	<i>N/A</i>	<i>Not required for roll out.</i>
<i>FRV 8.4</i>	<i>GPS Limitation</i>	<i>System shall provide the ability to list vendors within a 1 to 5 mile radius of the vendor's street address.</i>	<i>N/A</i>	<i>Not required for roll out.</i>
FRV 9	Reviewing or Verifying Milestones	This section is to review the milestones to be completed by the Vendor	Yes	Please see 9.7
FRV 9.1	Entering Store Details	<p>User shall have the ability to enter the following store information</p> <p><u>Store Details</u></p> <ul style="list-style-type: none"> - Peer Group ID* (Select if not prepopulated) - Local Agency* (Dropdown) - Store Opening Date - Number of Registers* - Square Footage (Retail)* <p><u>Sales Information</u></p> <ul style="list-style-type: none"> - Actual (or) Estimate (Radio buttons) - Annual Food Sales* - WIC Food Sales <p><u>Vendor Questionnaire</u></p> <ul style="list-style-type: none"> - List of questions – Yes /No - Notes 	Yes	Note: List of questions should be consistent with NYS State questions. FDVMS to provide the list of questions

ID#	Functional Requirement	Functional Requirement Description	Gap	Gap Description
FRV 9.1.1	Selecting a Peer Group	User shall have the ability to select Peer Group ID* (Select if not prepopulated)	No	
FRV 9.1.2	Selecting a Local Agency from the Store Details Screen	User shall have the ability to enter the following store information <u>Store Details</u> <ul style="list-style-type: none"> - Local Agency* (Dropdown) - Store Opening Date - Number of Registers* - Square Footage (Retail)* <u>Sales Information</u> <ul style="list-style-type: none"> - Actual Sales (or) Estimate Sales (Radio buttons) - Annual Food Sales* - WIC Food Sales <u>Vendor Questionnaire</u> <ul style="list-style-type: none"> - List of questions – Yes /No - Notes 	Yes	Please see FRV 9.1
FRV 9.2	Food Price Application	User shall have the ability to enter food prices from the Vendor's application	No	
FRV 9.2.1	Food Item Search	User shall have the ability to find the food items and enter the food items prices from Vendor's application`` based on the following selection: <ul style="list-style-type: none"> - Category (Dropdown) - Sub-Category (Filtered Dropdown based on Category selected) - Brand (Filtered Dropdown based on Sub-Category selected) - Description (Filtered Dropdown based on Brand selected) - UPC (Filtered Dropdown based on Brand selected) 	No	
FRV 9.2.1.1	Add/Remove items	User shall provide the ability to Add and/or remove food items	No	
FRV 9.2.2	FTP Screen	System shall provide the ability to upload the UPC items and price information	No	
FRV 9.2.2.3	Upload Errors and Status	System shall provide the status of: <u>Upload Errors</u> <ul style="list-style-type: none"> - UPC - Upload Error reason <u>Upload Status</u> <ul style="list-style-type: none"> - Total UPC processed - # Items Added 	No	

ID#	Functional Requirement	Functional Requirement Description	Gap	Gap Description
		<ul style="list-style-type: none"> - # Items Updated - # of Errors 		
FRV 9.2.3	Manual Entry Screen	User shall have the ability to manually add and/or remove food items by UPC and Price	No	
FRV 9.3	Standard Food Package Comparison from the Application Screen	<p>System shall provide the ability to view and compare the following food items price information based on previously entered prices from the Vendor's application:</p> <ul style="list-style-type: none"> - Food item - Highest price (Highest price of the food item in the system) - Lowest price (Lowest price of the food item in the system) - Total Price (combination of the highest price and the lowest price) - Average Price (total price divided by Highest and Lowest) - Count - Total of each column 	No	
FRV 9.4	Food Price - Pre-Authorization	<p>User shall have the ability to enter food prices from the Pre-Authorization Site visit User shall have the ability to find the food items entered from Vendor's application based on the following selection:</p> <ul style="list-style-type: none"> - Category (Dropdown) - Sub-Category (Filtered Dropdown based on Category selected) - Brand (Filtered Dropdown based on Sub-Category selected) - Description (Filtered Dropdown based on Brand selected) <p>UPC (Filtered Dropdown based on Brand selected)</p>	No	
FRV 9.5	Standard Food Package Comparison from Pre-Authorization Site Visit	<p>System shall provide the ability to view and compare the following food items price information based on previously entered prices from the Pre-Authorization Site visit:</p> <ul style="list-style-type: none"> - Food item 	No	

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ID#	Functional Requirement	Functional Requirement Description	Gap	Gap Description
		<ul style="list-style-type: none"> - Highest price (Highest price of the food item in the peer group) - Lowest price (Lowest price of the food item in the peer group) - Total Price (combination of the highest price and the lowest price) - Average Price (total price divided by Highest and Lowest) - Count Total of each column		
FRV 9.6	Pre-Authorization Site Visit	User shall have the ability to enter Site Visit Verification, Training Certification, and Vendor Certification details	No	
FRV 9.6.1	Pre-Authorization Site Visit - Site Visit Verification	User shall have the ability to verify <ul style="list-style-type: none"> - On-site inspection requirements (check box) - # In Stock vs # Required for all the food items 	No	
FRV 9.6.1.1	Minimum Stock items	System shall populate all the food items with # In Stock (Editable box) and # Required (prepopulated)	No	
FRV 9.6.2	Training Certification	User shall have the ability to check the list of items provided to the vendor	No	
FRV 9.6.3	Vendor Certification	System shall provide the ability to electronically capture <ul style="list-style-type: none"> - Vendor Signature - Vendor Title - WIC Vendor Analyst Signature - Date of the two signatures 	No	
FRV 9.7	Minimum Stock	User shall have the ability to verify all categories and the minimum amount of food items a vendor must have in stock in order to continue the authorization process	Yes	Need two site visit columns with dates Change column names to "First Pre-Auth Site Visit" and "Follow-up/2nd Pre-Auth Site Visit"
FRV 9.8	The Ranking Process	User shall have the ability to view a list of vendors according to their ranks	No	
FRV 9.8.1	Ranking – Point	System shall provide the ability to view Vendors by <ul style="list-style-type: none"> - Zip Code (Dropdown) 	Yes	Please see FRV6

ID#	Functional Requirement	Functional Requirement Description	Gap	Gap Description
		<ul style="list-style-type: none"> - Local Agency (Filtered dropdown based on Zip Code selection) - Total Number of Applicants (prepopulated based on Zip and LA) - Vendor/Client Ratio - Max # of Vendor contracts (Prepopulated) - Client count (Prepopulated) - Number of Contracts available - Result grid • Quarterly Dollar Volume of Sales • Vendor Name • ID • Peer Group • Points for # of WIC foods • No. of Food Items • Points for price on SFPC • Plus points for WIC Authorization • Sub-Total of Points • Minus History points • Grand Total 		
FRV 10	Status Entry	This section covers the status of a vendor	Yes	Please see 10.2 below
FRV 10.1	Current Status and Processing Status	<p>System shall populate the current status (Vendor's status) and Processing Status (Application status) and Application History with:</p> <ul style="list-style-type: none"> - Posted date - Application Type - Contract Date - Contract Expiration Date - Termination Date - Denied Date - Status - Reason - Posted By - Risk Level 	No	
FRV 10.2	Action Types and Reasons	<p>User shall have the ability to select the following Action Type and associated Reasons:</p> <p><u>Authorized</u></p> <ul style="list-style-type: none"> - Contract Start Date* - Contract End Date* - Vendor ID (System* generated) - Reason <p style="padding-left: 40px;">Unfilled Opening Client Accessibility</p>	Yes	Vendor ID must be system generated

ID#	Functional Requirement	Functional Requirement Description	Gap	Gap Description
		Change of Ownership Incorporation Change of Location Renewal - Effective Date* <u>Disqualified</u> - Contract Start Date* - Contract End Date* - Vendor ID* (System generated) - Reason* Change of Ownership Change of Ownership/Inc Out of Business Change of Location Voluntary Withdrawal Terminated/Disqualified Low Volume No History Available - Effective Date		
FRV 10.3	History of Vendor's Status	System shall provide the ability to view history of Vendor's statuses with: - Status - Reason - Date Posted - Effective Date	No	
FRV 10.4	Appeal Application	User shall have the ability to enter the following Vendor Appeal information: - Action Appealed* - Appeal Result* - Request Date* - Created By – Staff Name (prepopulated) - Hearing Date - Close Date - Notes	No	
FRV 10.5	Contract Log	User shall have the ability to enter Contract Log details: - Mailed date - Received date - Executed date - Note	No	
FRV 11	Vendor Compliance	This section covers the compliance details	Yes	Not required in Vendor module

ID#	Functional Requirement	Functional Requirement Description	Gap	Gap Description
FRV 11.1	Complaints	User shall have the ability to enter complaints with: <ul style="list-style-type: none"> - Name of the Complaint (Date and Free text box) - Date received - Source (Dropdown) - Complaint (Dropdown) 	Yes	See FRV 11
FRV 11.2	Monitoring Visits	User shall have the ability to add the following Monitoring case details: <p><u>Monitoring Case Details (1st level)</u></p> <ul style="list-style-type: none"> - Contract Start and End Date (prepopulated) - Reason* (Dropdown) - Name of the Monitoring Case* (Date and Free text box) - Date Opened* - Date Closed - Outcome* (Dropdown) - Sum of Points (System generated) - Disposition* (Dropdown) - TIP Indicator (Dropdown) - Notes (Free text) <p><u>Monitoring Activity Details of each case (2nd level)</u></p> <ul style="list-style-type: none"> - Activity* (Dropdown) - Visit date* - Outcome* (Dropdown) <p><u>Monitoring Outcome Details of each Activity (3rd level)</u></p> <ul style="list-style-type: none"> - Violation date* - Violations* (Dropdown) - Description (Free textbox) - Outcome* (Dropdown) - Violation Points (system generated) 	Yes	See FRV 11
FRV 11.2.1	History of Monitoring Cases	System Shall provide the ability to view the history all Monitoring Cases for the vendor	Yes	See FRV 11
FRV 11.3	Investigations	User shall have the ability to add the following Monitoring case details: <p><u>Investigation Case Details (1st level)</u></p> <ul style="list-style-type: none"> - Contract Start and End Date (prepopulated) - Reason (Dropdown) - Name of the Monitoring Case* (Date and Free text box) 	Yes	See FRV 11

ID#	Functional Requirement	Functional Requirement Description	Gap	Gap Description
		<ul style="list-style-type: none"> - Date Opened* - Date Closed - Outcome* (Dropdown) - Sum of Points (System generated) - Disposition* (Dropdown) - TIP Indicator (Dropdown) - Notes (Free text) <p><u>Investigation Activity Details of each case (2nd level)</u></p> <ul style="list-style-type: none"> - Activity* (Dropdown) - Visit date* - Description - Outcome* (Dropdown) <p><u>Investigation Outcome Details of each Activity (3rd level)</u></p> <ul style="list-style-type: none"> - Violation date* - Violations* (Dropdown) - Description (Free textbox) - Outcome* (Dropdown) - Violation Points (system generated) 		
FRV 11.5	Sanctions	<p>User shall have the ability view and/or enter:</p> <p><u>Chronic Violations</u></p> <ul style="list-style-type: none"> - Start Date - Name - Description <p><u>Sanctions</u></p> <ul style="list-style-type: none"> - Investigation/Monitoring - Description* (Dropdown) - Sanction Type* (Dropdown) - Start Date - End Date - Ref. FA (SNAP) - Penalty Applied (Check Box) 	Yes	See FRV 11
FRV 11.6	Appeals	<p>User shall have the ability to enter the following Vendor Appeal information:</p> <ul style="list-style-type: none"> - Action Appealed* - Appeal Result* - Request Date* - Created By – Staff Name (prepopulated) - Hearing Date - Close Date <p>Notes</p>	Yes	See FRV 11

ID#	Functional Requirement	Functional Requirement Description	Gap	Gap Description
FRV 11.7	Violations	User shall have the ability to view and/or enter: <u>Violation Points from Monitoring/Investigation Cases</u> <ul style="list-style-type: none"> - Open Date - Description - Disposition - Sum of Points - Carry points forward <u>Admin Violations</u> <ul style="list-style-type: none"> - Open Date - Description - Outcome - Points 	Yes	See FRV 11
FRV 12	Training	The Training section of the VENDOR Module allows the user to set up, schedule and keep attendance for training classes for authorized vendors	No	
FRV 12.1	Set Up Training Classes	User shall have the ability view and/or set up new training classes with: Class Name (Dropdown if existing) Class Information <ul style="list-style-type: none"> - Training Type* (Dropdown) - Trainer* (Dropdown) - Contact Person (Dropdown) - Scheduled date - Scheduled Time - Max. Size (text box) - Phone Number Class Location <ul style="list-style-type: none"> - Location* (Dropdown if existing, Text box for new) - Address – Street 1*, Street 2, City*, State*, Zip Code*, Directions 	No	
FRV 12.1.1	Rename a Class	User shall have the ability to Rename the existing class name	No	
FRV 12.2	Schedule Training	User shall have the ability to schedule a vendor for a training class	No	
FRV 12.3	Class Attendance	User shall have the ability to mark the attendance of each vendor for the selected class	No	

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ID#	Functional Requirement	Functional Requirement Description	Gap	Gap Description
FRV 13	Miscellaneous	This section covers all the other functionalities	No	
FRV 13.1	Selection Plan	User shall have the ability to view all Full-Line Grocer, Grocer w/Pharmacy, and Pharmacy Only vendors within a selected zip code and Local Agency based on their status	Yes	Please see FRV6
FRV 13.2	Alerts	System shall notify the user of alerts associated with the vendor when the vendor's record is accessed	No	
FRV 13.2.1	Alert Indicator	System shall provide the ability to notify the user that the vendor has active alerts	No	
FRV 13.3	Notes	User shall have the ability to add Notes for a Vendor	No	
FRV 13.3.1	Edit Notes	System shall allow Notes to be edited only within 24 hours of entry	No	
FRV 13.4	Print Labels	User shall have the ability to print mailing labels for active Vendor	No	
FRV 13.5	Messages	User shall have the ability to view messages with the following information: <ul style="list-style-type: none"> - From - To - Subject - Message - Priority - Expires On - Extend Expire date To 	No	
FRV 13.5.1	Message indicator	System shall provide the ability to notify the user that the user has received messages	No	
FRV 13.6	TIP Indicator	User shall have the ability to view TIP report that describes the practices employed by State agencies to deter fraud, waste and abuse as well as actions and outcomes in response to abusive vendors.	Yes	Not required in Vendor module
FRV 13.7	Table Maintenance	User shall have the ability to add and/or remove values from the dropdown tables	No	

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ID#	Functional Requirement	Functional Requirement Description	Gap	Gap Description
FRV 14.0	Reports	This section covers the various Reports that users can generate	No	
RRV 14.1	Group Training Sites	User shall have the ability to generate Group Training Sites report with the following information: <ul style="list-style-type: none"> - Date of the Training - Time - Training Site - Address - Phone Number 	No	
RRV 14.1.1	System prompt - Report Duration	System shall provide the ability to select Start and End date for the report duration	No	
RRV 14.2	Vendors Assigned to Group Training	User shall have the ability to generate Vendors Assigned to Group Training Sites report with the following Vendor information: <ul style="list-style-type: none"> - Vendor # - Chain Suffix - Vendor Name - Address 	No	
RRV 14.2.1	System prompt- Class Name	System shall provide the ability to select Class (Dropdown)	No	
RRV 14.3	Vendors Missed Three Training Sessions	User shall have the ability to generate a report to get a list of vendors that missed three training sessions with the following information <ul style="list-style-type: none"> - Vendor ID - Chain Suffix - Vendor Name - Vendor Address - # Missed 	No	
RRV 14.3.1	System prompt - Report Duration	System shall provide the ability to select Start and End date for the report duration	No	
RRV 14.4	Selection Plan Update	User shall have the ability to generate Selection Plan Update results report with the following information: <ul style="list-style-type: none"> - VMA - Zip Code - Rule C Checked - Selection Plan Exists - Previous Client Count 	Yes	Please FRV 6

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ID#	Functional Requirement	Functional Requirement Description	Gap	Gap Description
		<ul style="list-style-type: none"> - Updated Client Count - Previous Vendor/Client Ratio - Updated Vendor/Client Ratio - Net Openings Added or lost 		
RRV 14.4.1	System prompt - Region	System shall provide the ability to select Region (Dropdown)	No	
RRV 14.5	Vendor Application Log	User shall have the ability to generate Vendor Application Log report for each VMA with the following information: <ul style="list-style-type: none"> - Zip Code - Vendor Number - Suffix - Vendor Name - Document - Date Sent - Date Received - Status - Disposition 	Yes	Please see FRV 6
RRV 14.5.1	System prompt – State/VMA and duration	System shall provide the ability to select: <ul style="list-style-type: none"> - State (Check box – based on role) - VMA (Check Box – based on role) - Start and End dates 	No	
RRV 14.6	Vendor Complaint Log	User shall have the ability to generate Vendor Complaint Log report with the following information: <ul style="list-style-type: none"> - Vendor ID - Name - Address - Complaint Date - Chain Suffix - Type - Details/Note 	Yes	Not required in Vendor module
RRV 14.6.1	System prompt – State/VMA and duration	System shall provide the ability to select: <ul style="list-style-type: none"> - State (Check box – based on role) - VMA (Check Box – based on role) - Start and End dates 	Yes	Not required in Vendor module

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ID#	Functional Requirement	Functional Requirement Description	Gap	Gap Description
RRV 14.7	Vendor Compliance Activity	User shall have the ability to generate Vendor Compliance Activity report for each VMA with the following information: <ul style="list-style-type: none"> - Vendor ID - Suffix - Date of Visit - Type of Visit - Vendor Name - Mailing Address - Outcome 	Yes	Not required in Vendor module
RRV 14.7.1	System prompt – Fiscal Year	System shall provide the ability to select Fiscal Year (Dropdown)	Yes	Not required in Vendor module
RRV 14.8	Vendor Contract Expiration	User shall have the ability to generate Vendor Contracts Expiration report with the following information: <ul style="list-style-type: none"> - Vendor # - Suffix - Vendor Name - Authorization Status - Authorization Description - Application Status 	No	
RRV 14.8.1	System prompt - Report Duration	System shall provide the ability to select Start and End date for the report duration	No	
RRV 14.9	Vendor Contract Log	User shall have the ability to generate Vendor Contract Log report for each VMA with the following information: <ul style="list-style-type: none"> - Vendor ID - Suffix - Vendor Name - Contract Mailed - Contract Received - Contract Executed - Comments 	Yes	Please FRV6
RRV 14.9.1	System prompt - Report Duration	System shall provide the ability to select Start and End date for the report duration	No	

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ID#	Functional Requirement	Functional Requirement Description	Gap	Gap Description
RRV 14.10	Vendor Contract Log	User shall have the ability to generate Vendor Group Training No Shows report with the following information: <ul style="list-style-type: none"> - Vendor ID - Suffix - Vendor Name - Vendor Address - VMA - # Missed 	Yes	Please see FRV 6
RRV 14.10.1	System prompt - Report Duration and Region	System shall provide the ability to select: <ul style="list-style-type: none"> - Region (Dropdown) - Start and End date for the report duration 	No	
RRV 14.11	Vendor Contract Log	User shall have the ability to generate Statewide Monitoring Activity by Fiscal year report with the following information: <ul style="list-style-type: none"> - Vendor ID - Suffix - Vendor Name - Vendor Address - VMA - # Missed 	Yes	Please see FRV 6
RRV 14.11.1	System prompt – Fiscal Year	System shall provide the ability to select Fiscal Year (Dropdown)	No	
RRV 14.12	Cost Containment Reports	TBD		

Case Management Functional Requirements

FRCM – Functional Requirements for Case Management module

ID#	Functional Requirement	Functional Requirement Description	Gap	Gap Description
FRCM 1.0	Search for a Case	User shall have the ability to search for a case (dropdown) based one of the following criteria: <ul style="list-style-type: none"> - Case # - Investigator/Supervisor name - Target ID/Target Name 	Yes	
FRCM1.1	Case #	User shall have the ability to search for a case by Case number	Yes	
FRCM1.2	Investigator/Supervisor name	User shall have the ability to search either by: <ul style="list-style-type: none"> - Investigator (or) - Supervisor name 	Yes	
FRCM1.2.1	Names	System shall populate the Name (Dropdown) with either Supervisor or Investigator names (based on selection above)	Yes	Note: Dropdown values to be provided by BSI
FRCM 1.3	Target ID	User shall have the ability to search by one of the following: <ul style="list-style-type: none"> - Program (Dropdown) - Target Type (filtered dropdown) 	Yes	Note: Dropdown values to be provided by BSI
FRCM 1.4	Search Results	System shall retrieve the search results based on the search criteria entered	Yes	
FRCM 2.0	Actions Taken	User shall have the ability to review Action history, add new Actions, delete existing Actions, and add Notes specific to an Action Type.	Yes	
FRCM 2.1	Review Action History	User shall have the ability to review the Action history for a particular case with the following information: <u>Action</u> <ul style="list-style-type: none"> - Case Action - Action Date 	Yes	

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ID#	Functional Requirement	Functional Requirement Description	Gap	Gap Description
FRCM 2.2	Add New Action	User shall have the ability to add new action types from the following list: <ul style="list-style-type: none"> - Civil money penalty - Conference - Disqualification - Fines - Flag file - Hearing - Interview - None - Opened in error - Other - Payment flag - Recoupment - Recoupment for formula case - Referral for prosecution - Referred to Tax and Finance - Training Warming Letter 	Yes	
FRCM 2.3	Delete existing Action	User shall have the ability to delete an existing Action	Yes	
FRCM 2.4	Notes	User shall have the ability to add notes	Yes	
FRCM 2.5	Add Notifications	User shall have the ability to add Notifications with the following information: <ul style="list-style-type: none"> - Notification # - Notification Date - Notification Received Date 	Yes	
FRCM 2.6	Delete Notification	User shall have the ability to delete Notifications	Yes	
FRCM 3.0	Maintain Case Appeals	User shall have the ability to track Sanctions imposed, such as disqualification or civil money penalty (CMP) on a vendor with the following information: <ul style="list-style-type: none"> - Case Number - Case Status - Case Type - Supervisor - Target ID - Vendor name and ID 	Yes	

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ID#	Functional Requirement	Functional Requirement Description	Gap	Gap Description
FRCM 3.1	View Appeals	User shall have the ability to view Appeal type and Request date for all the Appeals.	Yes	
FRCM3.2	Add Appeals	User shall have the ability to add Appeals with the following information: <ul style="list-style-type: none"> - Appeal Type (Dropdown) - Request Date - Notes - Status (Dropdown) - Appeal Date - Adjournment Date - Referral to Legal Affairs Date - Assigned Lawyer - Order # - Outcome Date - Hearing Type (Dropdown) - Hearing Outcome 	Yes	
FRCM 4.0	Maintain Case Information	This section covers the Case details, Reasons for Opening, Other Cases for Target and Related Cases for Target information	Yes	
FRCM 4.1	Add a New Case	User shall have the ability to add a new case with the following information: <ul style="list-style-type: none"> - Program (Dropdown) - Target Type (filtered dropdown) - Target Name - Case Number (System Generated) - Case Type - Supervisor (based on role) - Target ID 	Yes	

ID#	Functional Requirement	Functional Requirement Description	Gap	Gap Description
FRCM 4.2	View Case details	User shall have the ability to view the following case details: <u>Case Details</u> <ul style="list-style-type: none"> - Program (Dropdown) - Open Date - Close Date (default to 00/00/0000) - Status (Dropdown) <u>Target Selection</u> <ul style="list-style-type: none"> - Type (Dropdown) - Target ID <u>Target Information</u> <ul style="list-style-type: none"> - Name - Address - Contact Name - Phone 	Yes	Note: BSI to provide dropdown values
FRCM 4.3	Reasons for Opening	User shall have the ability to add (individually/all) Reasons for Opening the case from the list	Yes	Note: BSI to provide the list of reasons
FRCM 4.3.1	Remove Reasons	User shall have the ability to remove (individually/all) the reasons opened for the case	Yes	
FRCM 4.4	Other Cases for Target	System shall: <ul style="list-style-type: none"> - Provide the ability to view previous and current cases opened for the same target - Display "Reasons for Opening" for the highlighted case 	Yes	
FRCM 4.5	Related Cases for Target	User shall have the ability to relate one case to another - Vendor to vendor, participant to participant or participant to vendor	Yes	Note: This functionality is not currently functional
FRCM 5.0	Investigation	User shall have the ability to view and add investigation case details	Yes	
FRCM 5.1	Investigator Assignment	User shall have the ability to designate the Investigator and Supervisor to whom the case is assigned with the following details: <ul style="list-style-type: none"> - Name of the investigator - Title – investigator/supervisor - Assign date 	Yes	Note: BSI to provide the values for dropdowns

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ID#	Functional Requirement	Functional Requirement Description	Gap	Gap Description
FRCM 5.1.1	Current Assignments	System shall populate the list of current assignments	Yes	
FRCM 5.1.2	Change or Roll off	User shall have the ability to Change or Roll off the case assignment to another Investigators and/or Supervisor with the following details: <ul style="list-style-type: none"> - Name of the investigator (Dropdown) - Title – investigator/supervisor (Dropdown) - Assign date - Assignment Roll off date 	Yes	Note: BSI to provide the values for dropdowns
FRCM 5.2	Investigation Details	User shall have the ability to enter the following investigation case details: <ul style="list-style-type: none"> - Investigation Status (Dropdown) - Closed Date - Law Enforcement Agency - Joint Investigation Date - Case Source (Dropdown) 	Yes	Note: BSI to provide the values for dropdowns
FRCM 5.2.1	Violation	User shall have the ability to select the applicable violations (List box)	Yes	Note: BSI to provide the list of violations
FRCM 5.2.2	Investigators Notes	User shall have the ability to add Investigator notes	Yes	
FRCM 5.2.2.1	Investigators	System shall provide the ability to view all investigators associated with the case with the following information: <ul style="list-style-type: none"> - Investigator - Assign Date - Roll-off date 	Yes	
FRCM 5.2.3	Supervisor Comments	User shall have the ability to add Supervisor Comments	Yes	
FRCM 5.2.3.1	Supervisors	System shall provide the ability to view all Supervisors associated with the case with the following information: <ul style="list-style-type: none"> - Investigator - Assign Date - Roll-off date 	Yes	
FRCM 5.3.3	Compliance Buy Info	User shall have the ability to enter the following Compliance buy details: <ul style="list-style-type: none"> - Compliance Buy Date - Compliance Buy Details 	Yes	Note: BSI to provide Compliance details information

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ID#	Functional Requirement	Functional Requirement Description	Gap	Gap Description
FRCM 5.3.3.1	Vendor and Investigator info	System shall populate the Vendor location and Investigator assigned information.	Yes	
FRCM 5.4	Compliance Buy Cards	User shall have the ability to generate Compliance Buy cards	Yes	Note: Compliance section of Clinic and Vendor module could be used for this section
FRCM 5.4.1	Compliance buy Card	User shall have the ability to generate a Compliance Buy card with the following information: Participant details: <ul style="list-style-type: none"> - Create New Family or use Existing Family - Family ID - Participant ID Proxy and Guardian selection <ul style="list-style-type: none"> - Co-caretaker - Proxy 	Yes	
FRCM 5.4.1.1	Print shopping list	User shall have the ability to print shopping list	Yes	Please see FRC 28
FRCM 5.4.2	Select Food Package	User shall have the ability to select an existing food package to be added to Compliance Buy card based on the following criteria <ul style="list-style-type: none"> - Family or Individual - Month - Year - Category - Food Packages 	Yes	
FRCM 5.4.2.2	Selection Results	System shall display a list of results based on the selection criteria with: <ul style="list-style-type: none"> - Participant ID - Participant Name - Category - Date of Birth - Authorized Date - Food Package ID - Amount 	Yes	
FRCM 5.4.2.3	Food package details	System shall display: <ul style="list-style-type: none"> - The food items associated with the selected food package - BLT date - BVT date 	Yes	

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ID#	Functional Requirement	Functional Requirement Description	Gap	Gap Description
FRCM 5.4.3	Modify Food Packages	User shall have the ability to modify food packages	Yes	
FRCM 6.0	Federal and State Refund Offset	System must flag participants who are delinquent on repayment agreements and who are eligible to have their NYS income tax refunds seized by NYS Tax & Finance to offset their debt through the State Wide Offset Program (SWOP).	Yes	

21.3 Appendix 3

21.3.1 Reference Documents

- a. NYWIC will comply with the NYS information security policies, and standards <https://www.its.ny.gov/eiso/policies/security> **with particular focus on**
 - NYS-P03-002 Information Security Policy
 - NYS-P14-001 Acceptable Use of Information Technology (IT) Resources Policy
 - NYS-S14-007 Encryption Standard:
 - NYS-S14-008 Secure Configuration Standard
 - NYS-S14-005 Security Logging Standard
 - NYS-S15-002 Vulnerability Scanning Standard
 - NYS-S15-001 Patch Management Standard
 - NYS-S13-001 Secure System Development Life Cycle (SSDLC) Standard
 - NYS-S13-002 Secure Coding Standard
 - NYS-P10-006 Identity Assurance Policy
 - NYS-S13-004 Identity Assurance Standard
 - NYS-S14-013 Account Management / Access Control Standard
 - NYS-S14-003 Information Security Controls Standard
- b. USDA/FNS WIC Universal MIS–EBT Interface Functional Requirements Specification (latest version)
<http://www.fns.usda.gov/sites/default/files/wic/WIC%20Universal%20MIS%20%20EBT%20Interface%20Specification%20March%202015.pdf>
- c. USDA Functional Requirements Documents (FReD) for a Model WIC MIS (latest version)
<http://www.fns.usda.gov/apd/wic-fred>
- d. USDA/FNS WIC EBT Technical Implementation Guide (latest version)
<http://www.fns.usda.gov/sites/default/files/WICEBT-TechnicalImplementationGuide.pdf>
- e. USDA/FNS WIC Technology Partners website
<http://wictechnologypartners.com/>
- f. USDA/FNS SSO State Agency Test Plan & Documentation Guidance Letter - attachment
- g. USDA/FNS WIC MIS Integrity Review Tool - attachment

SSO State Agency Test Plan & Documentation Guidance Letter

Background: On March 3, 2014, a new final regulation became effective based on a provision in Food, Conservation and Energy Act of 2008 (the 2008 Farm Bill). It requires that states conduct adequate system testing and system pilots, and that FNS approve the results of each before the state can advance from testing to pilot, or from pilot to rollout.

This guidance details FNS requirements for the Test Plan, introduces the System Integrity Review Tool, and the documentation needed to support a decision to go from testing (UAT) to Pilot and from Pilot to statewide rollout of the system.

1. **The Test Plan**

A State agency with an eligibility system project that meets the requirements for prior funding approval from FNS must submit a Comprehensive Test Plan prior to the beginning of User Acceptance Testing (UAT). The intent of this requirement is to ensure that the project has a process in place that thoroughly tests all functionality of the new system to mitigate the risks associated with implementation. The testing plan should cover the period that begins when the system is delivered in whole or in part for testing and ends when the system is fully implemented and the warranty period is in force. Though formal approval is not required FNS will evaluate the plan, may request additional information, and will determine the level and type of FNS oversight based on the project risk factors and the plan itself.

Test plans should contain, at a minimum, these components:

❖ **Timeline/Milestones** – The following milestones need to be scheduled:

- Pre-testing Validation of Functional Requirements (System Integrity Review Tool)
- System accepted for UAT
- Training on system and on test procedures
- User Acceptance Testing
- UAT Evaluation (FNS concurrence required)
- Pilot
- Pilot Evaluation (FNS concurrence required)
- Statewide Rollout

(The timeline will need to have multiple functional iterations if an agile development process is being used)

❖ **Testing Resources**

- Staffing - The plan should specify the number and skill sets of the staff involved in testing from:
 - Program/Business area Staff
 - Development/Integrator Staff
 - Quality Assurance/IV&V Staff
- Equipment – The plan should itemize:
 - Testing facility(s)
 - Testing Tools (software)
 - Equipment (workstations, etc.)

SSO State Agency Test Plan & Documentation Guidance Letter

- ❖ **Roles and Responsibilities** – It should specify the what, who, and how for:
 - Testing Management/Oversight
 - Testing Environment(s) and Test database generation
 - Selection of scenarios to test
 - Scripting of scenarios
 - Testing Documentation
 - Issue/defect Tracking and Prioritization – At a minimum we would expect to see these defect levels identified:
 - Severe – Affects accurate determination of eligibility, benefit amount, or has an unacceptable impact on system performance
 - Priority – Impacts eligibility, benefit amount, or system performance but a tested work around is a viable option
 - Medium – Does not meet system requirements but does not affect accuracy of eligibility, benefit amount, and the performance impact is acceptable in the short term
 - Minor – Does not meet system requirements but the impact is negligible, inconvenient, or cosmetic
 - Defect resolution process
 - Regression Testing process
 - Evaluation and Go/No-go Decisions (See Section 3)
- ❖ Contingency Plan – The strategy to mitigate risks/costs should a decision have to be made to stop testing or delay moving to pilot or to statewide rollout.
- ❖ Risk Management – Identify and assess risks and the approach to managing these risks
- ❖ System Security - Security is such a vital component of any system that the testing plan should specify how it will be thoroughly tested.
- ❖ Stress/load Testing – Explain how you will test the system to ensure its performance is not substantially degraded when fully operational.
- ❖ Data Conversion (if required) – Explain how data conversion will be tested

2. System Integrity Review Tool

The System Integrity Review Tool can be a valuable tool for both State agency and FNS staff to evaluate whether the system delivered meets all SNAP or WIC functional requirements. Ideally State agency staff should complete the Tool and validate system functionality before too much time and effort is spent on UAT. Results from the tool are due to FNS before UAT is complete, such that there is sufficient time for FNS to validate the results if deemed necessary, prior to the go/no-go pilot decision date.

Below is a link to the WIC version of the System Integrity Tool.

[FNS WIC MIS Integrity Review Tool](#)

SSO State Agency Test Plan & Documentation Guidance Letter

3. Go/No-go Decision Document

The State agency must submit to FNS a Go/No-go Decision Document prior to Pilot and then again prior to statewide rollout from pilot. There is little difference in what will need to be in the document at either decision point. FNS concurrence is required before FNS will fund project activities moving forward. There is no set format required so long as it has the information we need. **We encourage you to develop this document well ahead of the decision date and share iterations with us going forward so we are sure it has all the necessary information. As the decision date nears the frequency of meetings/calls should increase as should the number of updates. These efforts should make our response to the final document swift and thus cause little or no delay to the project.**

- ❖ Transmittal letter - From an executive sponsor showing support for moving forward
- ❖ System Defect Log – A list of outstanding system defects by severity level (from showstoppers to cosmetic or ‘nice to have’ enhancements) indicating the workarounds that will be used after ‘Go-live’ until a fix is in place. An explanation of how each severity level is defined should be included. Any defect that is outstanding at ‘Go-live’ that materially impacts the eligibility process must have a *successfully tested* workaround in place.
- ❖ Training Readiness – An assessment of the effectiveness of training based on UAT and then pilot and expectations for length of the learning curve. Are workarounds that will be used at ‘Go-live’ incorporated in the training?
- ❖ Site Readiness – This will include everything from the network to the workstations and peripherals. If the new system is implemented in conjunction with changes in workflow we would want to know the status of any needed redesign of physical space layout
- ❖ Current Program Performance (accuracy and timeliness) – If there are Program performance deficiencies then you need to explain how you will, at a minimum, maintain the current level of performance.
 - During a phased rollout we may need to evaluate performance region by region. If so, explain your strategy to prepare a region that has particularly poor performance.
- ❖ Data Conversion (if required) – It should include testing results (conversion rate) and minimum necessary thresholds for success. The post conversion clean-up activities and the impact on workload (i.e. % of cases affected times the average amount of time to clean-up the data per case) should also be included.
- ❖ Stakeholder Buy-in and Preparedness
 - A confirmation that partners have validated that all interfaces are working correctly
 - It is strongly recommended that you get a written statement from your issuance vendor that all due diligence has been taken to thoroughly test the issuance interface. Asking for a written statement is a way to motivate the vendor to ensure all necessary testing has been successfully completed and to avoid finger pointing if there are issues later.

SSO State Agency Test Plan & Documentation Guidance Letter

- ❖ Contingency Plan
 - Explain your strategy if you have to roll back to the legacy system
 - Project how long can you wait to make that decision if things go badly
 - Explain the impact to stakeholders of a rollback

- ❖ Escalation Plan
 - Explain the process to escalate issues happening on the ground to get technical support and inform impacted stakeholders?

- ❖ Communication Plan
 - Explain how and when you are informing the stakeholders and the public about the rollout of the new system and its impact in the short and long term

- ❖ Results of System Performance and Capacity Testing

- ❖ System Integrity Review Tool - Update any outstanding issues for required program functionality identified by the Tool

- ❖ Resources – Itemize the additional workload resources available to help during data conversion clean-up and while productivity is reduced due to the learning curve



Special Supplemental Nutrition Program for Women, Infants and Children (WIC)

Management Information System Integrity Review Tool

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Introduction – WIC Management Information System (MIS) Integrity Review Tool

1. About the tool

This review tool was designed to be used both by State Agency (SA) and Federal staff. It may be used by the SA during their planning and design stages as a list of data elements and system functions desirable for a WIC MIS and to conduct its own pre- and post-implementation review. It may also be used by FNS staff for pre- and post-implementation reviews.

2. Preparation for Federal on-site reviews

For FNS reviews, the tool should be sent to the SA approximately 60 days in advance of the on-site visit along with a transmittal letter notifying the SA of the FNS review, alerting the SA to plan for entrance/exit conferences, and highlighting the need for availability of appropriate SA staff during the on-site review. The SA should complete the tool and send it to the FNS Regional Office responsible for the review approximately 30 days prior to the review.

During the on-site review, FNS staff should ask the following:

Question	Comments
What is the source data for reports?	
How are reports compiled?	
How are reports edited?	
What are the timeframes for reports?	
If reports are not fully automated, how does the State agency plan to automate any or all reports and what is the timeframe for automation?	

The FNS review team should include staff with strong program knowledge and experience. The reviewers should research SA Implementation Advanced Planning Documents, system status reports, related policies, etc. before going on-site. These should be discussed at the entrance conference to ensure the reviewer's understanding is current and/or correct. The review tool should be modified, as appropriate, based on the SA circumstances. The reviewer should also arrange in advance for appropriate SA staff to be available, or on-call, during the visit to discuss all subject matter covered in the review tool, including program policy, systems and reports.

3. Federal use of review tool

The review tool contains both data elements commonly found in WIC MIS and questions about the MIS functionality. For data elements, the reviewer is expected to mark in the left column Yes or No as to whether or not the data element is collected by the MIS. For questions about the MIS, the left column may be similarly used when possible. If further explanations are necessary, the reviewer may use the appropriate section's Comments, or if need be, use remaining space on the back of the page. The item reference number should precede any explanations. Reviewers should ask follow-up questions when they are given incomplete or insufficient answers, and the explanations should be recorded as well. Reviewers are also expected to validate the information provided through observation and demonstration. No answers to these questions do not automatically mean the item is a finding, a No answer means the the function is not automated. The reviewer will have to use WIC Regulations, the Functional Requirements Document (FRd) and other Program Guidance to determine if No answers are findings.

4. SA use of review tool

The SA may use this tool in its own evaluation of the MIS at the testing stage and to conduct its own post-implementation review. The SA may also complete the tool in preparation for a Federal review.

A. Certification

#	Yes	No	QUESTION
A1			Does the system store the participant name?
A2			Does the system store the participant address?
A3			Does the system store the participant Date of Birth?
A4			Does the system store the participant Telephone Number?
A5			Does the system store the participant Date of Initial Contact?
A6			Does the system store the participant Date of Initial Visit?
A7			Does the system store the participant Employment Status?
A8			Does the system store the participant Annual Income or Range?
A9			Does the system capture if the participant is on TANF/SNAP/Medicaid?
A10			Does the system capture if each Family Member is on TANF/SNAP/Medicaid?
A11			Does the system capture if the participant is on Other Programs?
A12			Does the system store the participant proof of residency?
A13			Does the system store the participant Initial Certification Date?
A14			Does the system store the participant Certification End Date?
A15			Does the system store the participant Termination/Ineligibility Reason?
A16			Does the system store the participant Category Code?
A17			Does the system store the Category Code for breastfed only infants?
A18			Does the system store the participant Household(HH) Size (Total)?
A19			Does the system store all the participants in the HH that are on WIC?
A20			Does the system store the participant Migrant Status?
A21			Does the system store the participant Racial Ethnic Code?
A22			Does the system store the participant Language Spoken?

Comments:

#	Yes	No	QUESTION
A23			Does the system store the participant Gender?
A24			Does the system store the participant Proof of Identity (participant/Mother)?
A25			Does the system store the participant Education Level?
A26			Does the system capture whether the participant receives Public Health Assistance (State Program, Maternal Child Health Bureau, etc)?
A27			Does the system store the participant Health Care provider?
A28			Does the system store the participant Family ID/Code?
A29			Does the system store the participant Proof of Pregnancy (if required by State)?
A30			Does the system store the participant Proof of Income?
A31			Does the system store if the participant is referred from another agency to WIC?
A32			Does the system store if the participant is referred to another agency from WIC?
A33			Does the system store the participant voter registration information?
A34			Does the system have functionality for interstate (VOC) transfers?
A35			Does the system have functionality for intrastate transfers?
A36			Does the system store the Proxy Name(s)?
A37			Does the system store the participant Date of Anthropometric/Bloodwork (if different than certification date)
A38			Does the system flag participants that have not submitted blood work within 90 day allotment after certification? (The policy is as follows: Allows the State agency to defer the collection of blood test data for up to 90 days after the date of certification, provided the applicant is determined to have at least one qualifying nutritional risk factor at the time of certification).
A39			Does the system capture the date and documentation for when a participant has declined bloodwork and why?

Comments:

#	Yes	No	QUESTION
A40			Does the system distinguish bloodwork captured for infants at 6 months versus being captured between 9-12 months to determine inappropriate bloodwork assessment for infants? (Initial infant screening should occur between 9 - 12 months of age. Also, an infant enrolled in WIC must be tested prior to the end of their 12th month of life, unless initially certified at ≥ 10 months of age, and the 90-day deferral option is utilized).
A41			Does the system capture when 2 blood tests for anemia per individual per certification period will be permitted, when deemed necessary, for health monitoring by the CPA?
A42			Does the system allow edits for the date of Health Data Collection to Certification?
A43			Does the system allow edits for the estimated delivery date for Pregnant Women?
A44			Does the system allow edits for the participant Employment Status?
A45			Does the system allow edits for the participant Language Spoken?
A46			Does the system allow for change in priority to a higher priority?
A47			Does the system allow for change in priority to a lower priority?
A48			Does the system allow for the updating of nutritional risk criteria and subsequent upgrading in priority during the middle of a certification period?
A49			Does the system automatically determine income eligibility?
A50			Does the system sum all income sources?
A51			Does the system have the capability to sum income to weekly, biweekly, monthly or annual?
A52			Does the system address irregular income?
A53			Does the system calculate the gross income used for eligibility?
A54			Does the clinic staff calculate the gross income used for eligibility?
A55			Does the system provide an output showing the income calculation?

Comments:

#	Yes	No	QUESTION
A56			Does the system identify if a participant is eligible based on adjunctive eligibility?
A57			Does the system ensure that documented adjunctive eligibility takes precedence even if an applicant's household income is above the 185% of poverty (income limits)?
A58			Does the system store waiting list data for each local agency by participant priority level?
A59			Can a participant priority waitlist be produced on-demand?
A60			Does the system suspend benefits mid-certification due to a participant violation?
A61			Does the system generate an alert for other LAs to notify them that a participant has been suspended or terminated due to participant violations?
A62			Does the system relate two or more WIC applicants and participants from the same family?
A63			Does the system allow a category change from Breastfeeding to Post Partum, mid-certification?
A64			Does the system capture the appointment date?
A65			Does the system capture the appointment time?
A66			Does the system capture the appointment type?
A67			Does the system ensure participants are certified for any risk factor?
A68			Does the system generate immediate alerts for participant files that are missing assessment information?
A69			Does the system generate immediate alerts for participant files that are missing the WIC category and priority level?
A70			Does the system generate immediate alerts for participant files that are missing the food package prescribed (to include medical documentation when required and rationale for food package tailoring, if done)?
A71			Does the system generate immediate alerts for participant files that are missing nutrition education and referrals provided?
A72			Does the system generate immediate alerts for participant files that are missing follow-up activity plans and future scheduled visits?
A73			Does the system generate immediate alerts for participant files that are missing an individual care plan for high risk participants (identified by the CPA, per State agency protocols)?

Comments:

#	Yes	No	QUESTION
A74			Does the system support follow-up communication with participant (emails, autodial, mailing labels, appt letters, etc)?
A75			Does the system initiate an immediate alert when the signature, date and contact information (or name, date and contact information) is needed if the initial medical documentation was received by telephone and the signed document is forthcoming, of the health care professional licensed by the State to write prescriptions in accordance with State laws?
A76			Is there a system alert set for participants needing updated medical documentation due to the end of the prescription period?
A77			Does the system issue a Verification of Certification?
A78			Does the system print an End of Certification/Termination notice?
A79			Does the system notify the WIC staff of participant's recertification dates?
A80			Does the system provide a printed appointment notice for the participant of the scheduled appointment?
A81			What data items does the system check to determine dual participation?
A82			Are matches for dual participation done immediately on-line or by daily batch?
A83			Does the system check for dual participation across State agencies?
A84			Does the system check for dual participation between WIC and CSFP?
A85			Does the WIC system link to other systems? Is so, what other systems?
A86			If a participant transfers between local agencies within a State agency, is all data readily available to the transferee local agency?
A87			Does the system allow for the extension of 30 days of food package issuance beyond the 6-month certification period?
A88			Does the system allow for a shortened certification period, i.e., less than 6 months?
A89			Does the system capture participant category by month?
A90			Does the system determine that a member of a family in which a pregnant woman or infant (not a child) receives Medicaid is adjunctively eligible?
A91			Can the system determine that a member of a family who receives TANF or SNAP is adjunctively eligible?

Comments:

#	Yes	No	QUESTION
A92			Will the system allow TANF, SNAP or Medicaid eligible participants to become WIC income eligible if they are over WIC income eligibility guidelines due to adjunctive eligibility?
A93			Does the system allow for a Priority VII?
A94			Does the system record the physical presence of the participant at certification?
A95			Does the system allow for electronic signatures and/or an audit log of CPA, Nutrition Clerk for determination of nutritional risk criteria, food prescription, and income determination?
A96			Is there a signed form or electronic signature captured acknowledging that the participant/guardian understands the "Rights and Responsibilities."
A97			For reporting purposes, how does the system count infants? (At 11-months, 12-months, or 13-months?)
A98			How does the system maintain applicant information when the participant is not placed on the program at the time of application?
A99			Does the system track pending applicants?
A100			Does the system capture if an infant/child is in foster care?

Comments:

B. Nutrition Education, Health Surveillance and Referrals

#	Yes	No	QUESTION
B1			Does the system maintain a schedule of nutrition education class appointments?
B2			Does the system maintain a schedule of nutrition education appointments by class topics?
B3			Does the system maintain a schedule of nutrition education class appointments by category?
B4			Does the system store the data for each nutrition education contact by appointment type?
B5			Does the system store the data for each nutrition education contact by appointment date?
B6			Does the system store the data for each nutrition education contact by type of nutrition education delivery method: Computer Based ____, Third Party_____, Other (describe)___
B7			Does the system contain a nutrition education follow-up text area?
B8			Does the system store the data of who provided the nutrition education contact?
B9			Does the system support all aspects of care planning (SOAP Notes, Unlimited Text, Care Plan Outline) ?
B10			Does the system flag participants as high risk for purposes of education?
B11			Does the system maintain appointment schedule availability for nutrition education?
B12			Does the system maintain the number of maximum available slots for group nutrition education?
B13			Does the system track and/or generate a report of participation in nutrition education?
B14			Does the system track and/or generate a report of the reason for a missed appointment?
B15			Does the system track and/or generate a report of the date nutrition education was offered?
B16			Does the system track and/or generate a report of refusal-to-attend an appointment?
B17			Does the system track and/or generate a report of the actual numbers of participants attended?
B18			Does the system track and/or generate a report of No-shows?
B19			Does the system track the number of nutrition education contacts a participant has been offered?
B20			Does the system link participation in group classes back to the participant's individual file?

Comments:

#	Yes	No	QUESTION
B21			Does the system automatically count the initial visit as a core contact for nutrition education?
B22			Does the system capture pediatric (PedNSS) surveillance data for CDC or other outside agencies?
B23			Does the system capture pregnancy (PNSS) surveillance data for CDC or other outside agencies?
B24			Does the system gather data on the numbers of breastfeeding mothers? (e.g. through PNSS or other state specific systems)
B25			Does the system report women up to 1 year post-partum as breastfeeding?
B26			Does the system track both breastfeeding initiation and duration?
B27			Does the system track if an infant is breastfed?
B28			Does the system track if an infant has ever breastfed?
B29			Does the system track how long an infant has breastfed?
B30			Does the system track the age in weeks an infant has breastfed?
B31			Does the system track/record the number of infants who receive no food package? (Breastfed only infants)
B32			Does the system track/record data on breastfeeding exclusivity?
B33			Does the system generate the required Breastfeeding reports?
B34			Does the system store breast pump issuance date?
B35			Does the system store the type of breast pump issued?
B36			Does the system have an automated breast pump release form?
B37			Does the system store breastfeeding Peer Counselor contact/interventions?
B38			Does the system store other Breastfeeding aids issued?
B39			Does the system generate appropriate reports for tracking breastfeeding equipment?
B40			Does the system establish an alert for children between ages 2-5 who have an abnormal hematocrit/hemoglobin test?

Comments:

#	Yes	No	QUESTION
B41			Does the system automatically calculate and assign risk factors?
B42			Does the system allow for additional risk factors to be added?
B43			Does the system make priority assignments?
B44			Does the system assign risk codes by comparing participant nutrition and health data in order to determine if the participant is at nutritional risk (objective risk factors)?
B45			Does the system compute and store Body Mass Index (BMI)?
B46			Does the system capture multiple risk factors?
B47			Does the system display the risk codes on the screen?
B48			Does the system display the risk codes on reports?
B49			Does the system accurately rank all risk factors?
B50			Does the system accurately rank risk factors on the reports?
B51			Does the system allow for nutritional risk criteria to be updated mid-certification?
B52			Does the system store participant Height/Length?
B53			Does the system store participant weight?
B54			Does the system store infant/child Birth Length?
B55			Does the system store infant/child Birth Weight?
B56			Does the system store participant Hemoglobin?
B57			Does the system store participant Hematocrit?
B58			Does the system assign the correct priority to the risk?
B59			Does the system store participant Medical Data Date (blood test, prescription, anthro, etc)?
B60			Does the system store the Estimated Delivery Date?

Comments:

#	Yes	No	QUESTION
B61			Does the system store participant Last Menstrual Period (LMP) Date?
B62			Does the system store participant Medication?
B63			Does the system store Date Last Pregnancy ended?
B64			Does the system store Pregnancy Verification?
B65			Does the system store Total Number of Previous Pregnancies?
B66			Does the system store Pregnancy Outcome?
B67			Does the system store Source of Prenatal Care?
B68			Does the system store pre-pregnancy weight?
B69			Does the system store weight gain during pregnancy?
B70			Does the system store delivery date-actual?
B71			Does the system store Infant Birth Verification?
B72			Does the system store Live Births (Current Pregnancy)?
B73			Does the system store previous Live Births?
B74			Does the system store Total Live Births?
B75			Does the system store Breastfeeding Expectation?
B76			Does the system store Infant/Child (I/C)-Breastfeeding Duration?
B77			Does the system store I/C-Ever Breastfeeding?
B78			Does the system store I/C-Currently Breastfeeding?
B79			Does the system store I/C-First Formula at how many weeks?
B80			Does the system store immunization data (Infants & Children)?

Comments:

#	Yes	No	QUESTION
B81			Does the system store participant Blood Lead Value?
B82			Does the system store participant HIV status?
B83			Does the system capture the number of cigarettes/day?
B84			Does the system capture whether there is cigarette smoking in the household?
B85			Does the system store participant Alcohol Use?
B86			Does the system store the number of alcoholic drinks per day?
B87			Does the system store the number of alcoholic drinks per week?
B88			Does the system store participant drug use?
B89			Does the system store participant drug frequency?
B90			Does the system store participant Vitamin/Mineral supplement use?
B91			Does the system initiate an alert when the name of the authorized WIC formula, including amount needed, is not present (infant formula, exempt infant formula, WIC-eligible medical food)?
B92			Does the system initiate an alert when the prescription appropriate for the qualifying condition(s) and their prescribed amounts is needed?
B93			Does the system initiate an alert when the length of time the prescribed WIC formula and/or supplemental food is about to expire?

Comments:

C. Food Management, Food Benefit Issuance, Food Benefit Reconciliation

#	Yes	No	QUESTION
C1			Does the system store the Category/Subcategory for foods approved by the WIC Program?
C2			Does the system store the Food Unit Size for foods approved by the WIC Program?
C3			Does the system store the Food Name for foods approved by the WIC Program?
C4			Does the system store the Food Quantity for foods approved by the WIC Program?
C5			Does the system store the Packaging Description (box, can, carton, etc) for foods approved by the WIC Program?
C6			Does the system store the WIC Food Package name/number/type?
C7			Does the system store the Number of food benefit days (Proration)?
C8			Does the system store the FI Number?
C9			Does the system store the FI Issue Date?
C10			Does the system capture late FI issuance by participant category?
C11			Does the system store the Food Instrument Valid Start Date/End Date?
C12			Does the system store the participant Identification Number?
C13			Does the system provide a display of food instrument types to staff to aid in prescribing the appropriate food instruments and defining/revising existing instruments?
C14			Does the system allow for the issuance of FIs until the end of the month of expiration of a certification period?
C15			Does the system allow the tailoring of food packages for nutrition reasons?
C16			Does the system automatically introduce cereal and baby food to the infant's food package when the infant is past 6 months of age?
C17			Does the system allow partial packages for breastfed infants?

Comments:

#	Yes	No	QUESTION
C18			Does the system automatically reduce food quantities for late pickup? (prorate)
C19			Does the system automatically prorate at the initial FI issuance?
C20			Does the system accommodate infant formula changes in the middle of the month?
C21			Does the system initialize tracking of the serial numbers for preprinted stock using a new counter for each user session?
C22			Does the system calculate the estimated value and maximum value of the food instrument?
C23			Does the system consolidate all food instrument production data from all local agencies within 24 hours of the end of each working day?
C24			Does the system support collection of participant/proxy signature for receipt of printed food instruments?
C25			Does the system issue food instruments for more than one month?
C26			Does the system allow for staggering issuance dates for food benefits?
C27			Does the system produce any food instruments in advance of pick up?
C28			Does the system automatically void food instruments appropriately?
C29			Does the system identify and account for voided food instruments?
C30			Does the system capture information about manually voided food instruments?
C31			Does the system produce a void exception report?
C32			Does the system produce a reconciliation report?
C33			Does the system produce a food instrument history report?
C34			Does the system produce a redemption summary by vendor report?
C35			Does the system produce a redemption rate report (number of FIs issued/number of FIs redeemed, FI paid amount/FI obligation amount, redemption rate by LA, etc.)?

Comments:

#	Yes	No	QUESTION
C36			Does the system produce a rejection report/notification letter?
C37			Does the system produce a redeemed but unissued report?
C38			Does the system identify those food instruments reported as lost/stolen/expired/duplicate/not matching issuance data?
C39			Does the system prevent you from issuing an inappropriate food package for that category?
C40			Does the system produce an error message when you try to issue an inappropriate food package for that category?
C41			Does the system allow for changing a food package in the middle of the month?
C42			When a food package is changed during a month does the system allow for proration of the new food package?
C43			Does the system allow you to override a prorated food package?
C44			Does the system allow for issued food instruments to be voided and reissued in the same month to accommodate changes in infant formula exchanges within a month?
C45			Does the system allow for minimum and/or maximum dollar amount thresholds for food instruments to allow for high cost infant formulas?
C46			Does the system automatically change an infant's food package to a child's? At what age?
C47			Does the system report participation category (infant vs. child) consistent with the food package issued for that particular month?
C48			Can a 13-month old receive a tailored food package to include formula to address nutritional needs?

Comments:

D. Financial Management

#	Yes	No	QUESTION
D1			Does the SA have a separate Financial Management system or is it maintained as part of the WIC MIS system?
D2			Does the system interface with other State financial systems?
D3			Does the system record/track the Federal Financial Management Fiscal Year?
D4			Does the system track/record the WIC Food Grant?
D5			Does the system track/record the WIC Nutrition Service Administration (NSA) Grant?
D6			Does the system track/record Operational Adjustment(OA) projects separate from the NSA Grant?
D7			Does the system track/record general Infrastructure grant data?
D8			Does the system track/record BreastFeeding Peer Counselor grant data?
D9			Does the system track/record State-to-State Technical Assistance grant data?
D10			Does the system track/record any other grants awarded by FNS to the State agency?
D11			What other grants does the system track/record?
D12			Does the system track/record State funds from their own State WIC appropriated Fund?
D13			Does the system track/record FTE-Other Budget information?
D14			Does the system track/record Salaries & Benefits - General Admin Budget information?
D15			Does the system track/record Salaries & Benefits - Client Services/Food Delivery System Budget information?
D16			Does the system track/record Salaries & Benefits - Nutrition Education Budget information?
D17			Does the system track/record Salaries & Benefits - Breast Feeding Budget information?
D18			Does the system track/record Salaries & Benefits - Other Budget information?
D19			What other budget information is being tracked/recorded?
D20			Does the system track/record Administrative Budget for State & Local Agency?

Comments:

#	Yes	No	QUESTION
D21			Does the system track/record the Space Utilization Budget for State & LA (Cost Allocation)?
D22			Does the system track/record the Equipment Budget for State & LA?
D23			Does the system track/record the Supply Budget for State & LA?
D24			Does the system track/record the Travel Budget for State & LA?
D25			Does the system track/record the Telecommunications budget for State & LA?
D26			Does the system track/record Other Direct Costs Budget?
D27			Does the system track/record the LA Nutrition Services & Program Admin Budgets?
D28			Does the system track/record Full Time Equivalent (FTE) - General Admin Budget?
D29			Does the system track/record FTE-Nutrition Education Budgets at both the State & LA levels?
D30			Does the system track/record Indirect Costs Budget (should match with Indirect Cost Rate Agreement on file)?
D31			Does the system calculate the Annual Food Package Estimate for the next FFY?
D32			Does the system track Food Expenditures?
D33			Does the system track NSA Expenditures?
D34			Does the system track/record the Percentage of Formula Sold for each product type?
D35			Does the system track/record the Percentage of Non-Rebate Prescriptions?
D36			Does the system track/record Rebate Rate for each product type?
D37			Does the system track/record Rebate Invoice Number?
D38			Does the system track/record Rebate Invoice Amount?
D39			Does the system track/record Rebate Amount Adjusted?
D40			Does the system track/record Rebate Amount Collected?

Comments:

#	Yes	No	QUESTION
D41			Does the system track/record Rebate Adjustment Reason Code?
D42			Does the system track/record Rebate Manufacturer's ID?
D43			Does the system track/record Rebate Manufacturer Rebate Estimates?
D44			Does the system produce an Infant Formula Rebate Report (based on redemption count)?
D45			Does the system produce a Rebate Manufacturer Rebate Collection Status Report?
D46			Does the system produce WIC Grant reports?
D47			Does the system produce a Food & Nutrition Services & Program Administration Grant Report?
D48			Does the system produce an Infant Formula Rebate Report (based on market share)?
D49			Does the system produce the FNS-798 WIC Monthly Financial Management and Participation Report?
D50			Does the system track/record the WIC Cash Management Statement?

Comments:

E. Caseload

#	Yes	No	QUESTION
E1			Does the system track/record caseload?
E2			Does the system track/record Maximum State Caseload that can be served monthly?
E3			Does the system track/record Local Agency Caseload allocation estimates?
E4			Does the system track/record Caseload allocation by Local Agency?
E5			Does the system transmit Caseload allocation data to Local Agencies?
E6			Does the system report total available funds and caseload by month for staffing and resource allocation purposes?
E7			Does the system track/record Caseload achievement rate?
E8			Does the system track/record Caseload growth or reduction rate?
E9			Does the system assign caseload allocations and reassign allocations as necessary?
E10			Does the system track/record the Caseload Assignment (by month per local agency)?
E11			Does the system determine the maximum caseload for the local agency based on funding?
E12			Does the system produce a State Agency Caseload Allocation Report?
E13			Does the system produce a Local Agency Caseload Allocation Target?
E14			Does the system produce a Local Agency Actual Caseload Allocation?
E15			Does the system track/record actual participation?
E16			Does the system track/record Local Agency's prior year caseload allocations?
E17			Does the system track/record and produce a report based on actual participation levels by participant category?
E18			Does the system track/record the various priority levels served?
E19			Does the system produce a waiting list based on priority?
E20			Does the system produce a report based on racial/ethnic category?

Comments:

F. Operations Management

#	Yes	No	QUESTION
F1			Does the system store LA Name?
F2			Does the system store LA Address - Street, City, State, Zip?
F3			Does the system store LA Identification?
F4			Does the system store LA Point of Contact?
F5			Does the system store LA Telephone Number?
F6			Does the system store LA Fax Number?
F7			Does the system store LA Space (square footage)?
F8			Does the system store the number of clinics?
F9			Does the system store Regional/Agency level ID (if used by State)?
F10			Does the system store the number of Nutritionists assigned to the LA?
F11			Does the system store the number of CPAs/Educators/etc?
F12			Does the system store clinic NSA cost per participant?
F13			Does the system store total money spent on Redeemed Food Instruments by Issuance Month?
F14			Does the system produce a Local Agency Profile report?
F15			Does the system produce Local Agency Mailing Labels?
F16			Does the system produce a State Agency Activity Report?
F17			Does the system produce Local Agency Activity Report?
F18			Does the system have the capability to accept mass changes such as income eligibility guidelines, food package changes, etc?
F19			Does the system store data on participant violations and sanctions?

Comments:

#	Yes	No	QUESTION
F20			Does the system store data on participant complaints?
F21			Does the system identify Fair Hearing request date?
F22			Does the system identify Fair Hearing decision date?
F23			Does the system identify Fair Hearing decision type?
F24			Does the system print a notice of adverse action along with appeal rights?
F25			Does the system have components built to make the system EBT ready?
F26			Does the system have clinic outreach management capabilities?
F27			Does the system track referrals to other health and social services? (SNAP, TANF, Medicaid, substance abuse)?
F28			Does the system track immunization status, progress and follow-up?
F29			Does the system allow WIC staff to access and enter immunization data?
F30			Does the system interface with any other Programs' systems for sharing participant data?
F31			Does the system print a report by risk factor or code?
F32			Does the system print risk factor reports by participant category?
F33			Does the system print risk factor reports by participant?
F34			Does the system retain all historical data pertaining to the participant for a minimum of 3 years?
F35			Does the system include the capability of issuing an identification card?
F36			What happens to the data of an applicant that never returns to the program to be certified?
F37			Is the system designed to provide compatible population data to other state level health agencies? Who? _____

Comments:

G. Vendor Management

#	Yes	No	QUESTION
G1			Does the system store the vendor's name?
G2			Does the system store the vendor's mailing address - Street, City, State, Zip?
G3			Does the system store the vendor's authorization start date?
G4			Does the system store the vendor's authorization expiration date?
G5			Does the system store the vendor's authorization status?
G6			Does the system store the vendor's number of cash registers?
G7			Does the system store the type of vendor (retail, pharmacy, commissary, above 50%, etc)?
G8			Does the system store the vendor's WIC identification number?
G9			Does the system store the vendor's SNAP Identification Number?
G10			Does the system store the vendor's other owner name - First, Last, MI?
G11			Does the system store the vendor's outlet address- Street, City, State, Zip?
G12			Does the system store the vendor's other owner alias name?
G13			Does the system store the vendor's annual sales in dollars?
G14			Does the system store the vendor's monthly SNAP sales?
G15			Does the system store the vendor's outlet identification?
G16			Does the system store food pricing data?
G17			Does the system store the food pricing time period?
G18			Does the system store the food unit size?
G19			Does the system store the vendor's application?
G20			Does the system store the signed vendor's agreement or contract?

Comments:

#	Yes	No	QUESTION
G21			Does the system produce the peer grouping report (Does it meet your objectives?)
G22			Does the system store the vendor's peer group number?
G23			Does the system automatically assign a peer group?
G24			Does the system automatically determine high risk vendors?
G25			Does the system store high risk vendor criteria?
G26			Does the system produce the report of vendor risk analysis?
G27			Does the system produce the report of vendor risk rankings?
G28			Does the system store the vendor selection criteria?
G29			Does the system store the vendor limiting criteria?
G30			Does the system produce the report of vendor authorization data?
G31			Does the system produce the report of authorized vendors?
G32			Does the system produce the number of Food Instruments redeemed by month by location report?
G33			Does the system produce the report of authorized vendors by ownership?
G34			Does the system produce the vendor compliance & sanctions history report?
G35			Does the system produce the vendor food prices comparison report?
G36			Does the system produce the status of vendor authorizations report?
G37			Does the system produce the vendor authorizations milestones report?
G38			Does the system produce the report of vendors in participants' geographical areas?
G39			Does the system produce the vendor compliance summary report?
G40			Does the system produce the vendor compliance history report?
G41			Does the system produce the report of targeted vendors for routine monitoring?

Comments:

#	Yes	No	QUESTION
G42			Does the system maintain data about completed routine monitoring visits?
G43			Does the system produce the vendor sales analysis report?
G44			Is the system capable of exporting vendor data for The Integrity Profile (TIP) Report to FNS?
G45			Does the system produce the compliance investigations and sanctions summary report?
G46			Does the system produce the high mean value report?
G47			Does the system produce the low variance report?
G48			Does the system produce the summary Food Instrument reconciliation report by vendor?
G49			Does the system capture the date of vendor training?
G50			Does the system capture the type of vendor training (annual versus interactive)?
G51			Does the system store the vendor compliance investigation type?
G52			Does the system store the vendor compliance investigation activity date?
G53			Does the system store the vendor compliance investigation activity results?
G54			Does the system store the vendor compliance investigation reason?
G55			Does the system maintain data about completed compliance investigations?
G56			Does the system store the vendor compliance investigation violation indicators?
G57			Does the system store the vendor compliance investigation Food Instrument serial numbers?
G58			Does the system store the vendor complaint subject?
G59			Does the system store the vendor complaint summary?
G60			Does the system store the vendor complaint date?
G61			Does the system store the vendor complaint source type?
G62			Does the system store the vendor's sanction effective date?

Comments:

#	Yes	No	QUESTION
G63			Does the system store the vendor's administrative hearing outcome?
G64			Does the system store the vendor's administrative hearing start date?
G65			Does the system store the vendor's administrative hearing current status?
G66			Does the system store the vendor's administrative hearing sanction type?
G67			Does the system store whether the vendor was referred to SNAP?
G68			Does the system/program exchange information about sanctions imposed with the SNAP agency?
G69			Does the system store inventory audit/invoice audit data, status, and results?
G70			Does the system produce reports on inventory audit/invoice audit data, status, and results?
G71			Does the system store sanction points associated with sanctionable violations by vendor?
G72			Does the system produce summary reports on sanction points accumulated by vendor?

Comments:

H. System Administration

#	Yes	No	QUESTION
H1			Describe the procedures used to store, retrieve, maintain, and control data.
H2			Is there is separation of duties between those who enter/process data (ie. SA/LA users) and those with the authority to modify the database (ie. System Administrator)?
H3			Are all persons prevented from overriding or bypassing data validation on editing problems?
H4			Who has system override capabilities and what is their assigned role?
H5			Are all system overrides automatically logged by the application so that these actions can be analyzed for appropriateness and correctness?
H6			Are account codes, authorization codes, passwords, etc. controlled to prevent unauthorized usage?
H7			Does the system provide confidentiality of access to WIC information to only personnel directly responsible for WIC administration and operations, with proper credentials signifying the "need to know" the content/data being accessed?
H8			Does the agency use automated methods (e.g., file management system) to restrict access to computerized files?
H9			Has a formal change procedure for computer programs been established which requires management authorization before implementation?
H10			Do programmers test modifications against test data as opposed to live?
H11			Does the same programmer make code changes to programs as well as test these changes?
H12			Is an audit trail of all operating system actions maintained?
H13			Is access to system utility programs denied to end users?
H14			Does the system management function restrict access to application programs?
H15			Does the system management function control movement of programs from test to production modes?

Comments:

#	Yes	No	QUESTION
H16			Does the system management function provide an audit trail of all changes made to programs?
H17			Does the system management function remove obsolete programs on a regular basis from the source libraries?
H18			Does the system management function maintain object libraries?
H19			Does the system management function deny access to program libraries maintained by the system to computer operators?
H20			Are there documented procedures for password assignment, maintenance, and cancellation?
H21			Is the delegation and maintenance of the password system limited to a select number of people?
H22			How many people have rights to delegate and maintain passwords?
H23			Does the system have the capability to alert system administrators when there are personnel changes?
H24			How frequently are passwords changed?
H25			Who is assigned the responsibility for data storage?
H26			Are data storage procedures documented?
H27			Are sensitive files (such as security classification, participant data, or privacy act restrictions) properly identified as such and appropriately secured?
H28			Has an overall agency-wide responsibility for conducting periodic risk analyses been formally assigned?
H29			Does the risk analysis measure vulnerability related to fraud or theft or loss of proprietary data and harm to agency activities?
H30			How often are risk analyses conducted?
H31			Is a risk analysis required to be conducted whenever there is a significant change to the physical facility, hardware, or operating system software?
H32			Is there a list of all available access levels for the system and what can/cannot be done at each level?
H33			Has the agency assigned responsibility for computer security at each office?

Comments:

#	Yes	No	QUESTION
H34			When an employee is terminated are appropriate measures taken to deny access to the system promptly?
H35			Do means exist to restrict access to the computer room or spaces where computer equipment is available for use?
H36			Is access to the computer area limited to necessary personnel?
H37			Is there proper management of data storage?
H38			Does the system provide capability to transmit data to FNS?
H39			Is the system designed in such a way that it is easily expandable?
H40			Can major policy changes be incorporated into the system without major reprogramming?
H41			Explain your plans for the maintenance of the system.
H42			Is there a standard operating procedure that guides the preparation and maintenance of all source documents?
H43			Does program documentation include the original DFDD and any change orders or modifications?
H44			Does program documentation include detailed logic diagram or decision table?
H45			Does program documentation include Input record formats?
H46			Does program documentation include input record descriptions?
H47			Does program documentation include output record formats?
H48			Does program documentation include output record descriptions?
H49			Does program documentation include master file formats?
H50			Does program documentation include master file description?
H51			Does program documentation include list of constants, codes, and tables used?
H52			Does program documentation include source program listing?
H53			Does program documentation include object program listing?

Comments:

#	Yes	No	QUESTION
H54			Does program documentation include operating instructions?
H55			Does program documentation include a description of test data and protocols used to test system?
H56			Is access to program documentation restricted?
H57			Are copies of all documentation stored off-site?
H58			How is stored program documentation periodically updated to match that being used?
H59			Is there written evidence of who performed the systems and programming work?
H60			Are all program changes and their effective dates recorded in a manner which preserves an accurate chronological record of the system?
H61			How often is documentation reviewed to ensure it is current?
H62			Is the WIC system operation independent from other agency operations?
H63			Have documented procedures been established covering the operations of the data center?
H64			Is downtime shown and explained?
H65			Is there an error log or report for each program run?
H66			Is there a procedure to prevent superseded programs from being used by mistake?
H67			Does the State have a list of retention periods for each type of transaction and record it maintains?
H68			Is a 3 year automated history kept on all records?
H69			Have emergency procedures been documented?
H70			Do the emergency procedures include steps to take in the event of a natural disaster?
H71			Are employees familiar with the emergency procedures?

Comments:

#	Yes	No	QUESTION
H72			Describe the process used on a periodic basis to purge records from the active file. How often?
H73			Describe how disaster recovery arrangements have been planned, performed, and tested by the state. (Attach Narrative)
H74			Is the computer center backed up by an uninterruptible power supply?
H75			Do you have an inventory of computer hardware available?
H76			What is the system's data capacity and what do you expect usage to be at full implementation?
H77			During stress testing, what was the number of concurrent users that could use the system without negatively impacting system performance?
H78			How many concurrent users are now or are expected to be using the system?
H79			What are the save points in the eligibility system that protect loss of data?
H80			Does the system contain system user manual/guides?
H81			Is system training provided in a timely basis to allow for smooth implementation?
H82			Are provisions made for on-going system training of new user staff? (Provide listing of times and locations)
H83			Is management staff provided data for performance monitoring?
H84			Is management staff provided data to enable them to focus on areas where training may be necessary?
H85			Is there a system in place to get users' feedback?
H86			Are staff members informed timely of policy changes and the effective date of those changes in the system? How? (Attach Narrative)

Comments:

#	Yes	No	QUESTION
H87			Are the users manuals updated in a timely fashion?
H88			Who is responsible for changes to the manuals? (Attach Narrative)
H89			Describe the training which user staff receives to prepare them to use the system. (Attach Narrative)
H90			Describe the training which technical staff received to enable them to operate and maintain the system. (Attach Narrative)
H91			What are average response times for administrative actions: Inquiry? _____ Processing of Data entry? _____ Screen Refresh? _____ Other Actions? _____

Comments:

I. Local Agency

#	Yes	No	QUESTION
I1			How long does it take to certify a participant? (Total time)
I2			Does the same individual do certification and food instrument issuance?
I3			Does the system produce the necessary reports for the functional area?
I4			Are there any issues with the reports that you use? If yes, explain.
I5			The above 2 questions should be asked of each LA functional area.
I6			Does the system perform to your expectations?
I7			Are you experiencing any down time? Explain.
I8			Do you have procedures in place in the event of downtime? (especially prolonged downtime) Explain.
I9			Was the training for system use helpful?
I10			Is the system user manual/on-line help useful?
I11			Is there a designated contact or help-desk at the State agency for computer problems?
I12			When changes are made to the computer programs, are they implemented smoothly?
I13			Have you ever experienced any communications problems? If so, explain?
I14			Are you generating any written notices/form/letters with the system? If so, which ones and how?

Comments:

#	Yes	No	QUESTION
I15			To what extent do you use the system to support nutrition education (scheduling, class roster, type of class, etc.)?
I16			Should the system be expanded to better support nutrition education? In what ways?
I17			Has the State explained to you how to generate and use reports in the development of the nutrition education plan?
I18			Are you tracking immunizations? If so, to what extent?
I19			Do you think the system has reduced errors?
I20			What changes would you make to the system, if any?
I21			Any other concerns, questions, etc. you would like to discuss concerning system operation?

Comments:

J. Reports

Below is a list of suggested reports from the FNS Functional Requirements Document (FReD) for a Model WIC System, *Updated Jan 2009*. This list is provided as a reference. Some of these reports may be identified in the specific functional areas of this tool.

#	YES	NO	FUNCTIONAL AREA	REPORT NAME	DESCRIPTION
J1			Certification	Bloodwork Needed	Lists individuals who need a follow-up appointment for a blood test.
J2			Certification	Disqualified Participants Report	Provides information needed to prevent re-enrollment and for sharing with other WIC agencies during sanction period.
J3			Certification	How Participant Heard About WIC Local Agency and State Summary Reports	Lists how participants found out about the WIC Program. The report is to be used by agency staff to evaluate outreach efforts.
J4			Certification	Ineligibility Summary Reports for Local Agency and State	Reports applicants deemed ineligible.
J5			Certification	Migrant Participation Report	Provides the average annual migrant participation (from July to June) for use on the FNS-798 form submitted in July.
J6			Certification	Nutrition Risk Assessment Needed	Lists individuals who need an appointment for nutrition risk assessment.
J7			Certification	Outstanding Delayed Blood Work Report	Lists outstanding blood tests for reference by local staff. Staff members can then schedule the required bloodwork or remind the participant to bring in referral data by the specific due date.
J8			Certification	Participant Local WIC Agency and State Summary Reports	Various participant summary reports at State and local levels.
J9			Certification	Participant Services Summary Report	Summarizes WIC services provided to a participant.
J10			Certification	Participant Source of Health Care Report	Reports the providers where the participant receives health/prenatal care.
J11			Certification	Participant Summary Document	Summarizes case information for a participant for reference by local staff. May include current and historical case information.

#	YES	NO	FUNCTIONAL AREA	REPORT NAME	DESCRIPTION
J12			Certification	Participants by County and Municipality Local Agency and State Summary Reports	Lists participants by geographical grouping as specified (i.e. county, state, etc).
J13			Certification	Pending Applications	Reports the applications that are not yet completed, certified, or determined ineligible.
J14			Certification	Referrals from WIC to External Agencies Summary Report	Lists all referrals from a WIC agency to any external agency.
J15			Certification	Referrals from WIC to Outside Agencies Local Agency and State Reports	Lists referrals of WIC participants to specific outside agencies.
J16			Certification	Subsequent Certifications Due Summary Report	Reports participants in need of next certification visit.
J17			Certification	Termination Report	Reports all participants terminated from the program or found ineligible.
J18			Certification	Waiting List Local Agency Report and State Summary Reports	Reports the number of applicants on the waiting list and their priorities.
J19			Certification	WIC Priority Participation Report	Provides monthly participation by priority level. Categories include pregnant women, breastfeeding women, postpartum women, infants, and children. This information is part of the Minimum Data Set for the PC Report.
J20			Certification	Special Formula/Medical Foods Received	Lists participants who are receiving special formula/medical foods and the reason.
#	YES	NO	FUNCTIONAL AREA	REPORT NAME	DESCRIPTION

J21			Certification, Financial management	WIC Program State Agency Participation and Expenditure Report (FNS-798)	Provides monthly participation data, sorted by category and expenditure data, sorted by food and administration. This report also reflects monthly food and NSA funds and costs, as well as the status of food and NSA grants as State agencies exercise spending options. The closeout FNS-798 records the final status of the State agency's WIC grant and costs for the report year.
J22			Nutrition Education, Health Surveillance, & Referrals	Aggregate Health and Social Service Program Referrals Report	Displays frequency of referrals made and outcomes and referrals from other programs.
J23			Nutrition Education, Health Surveillance, & Referrals	High Risk Participants Report	Lists high risk participants and should include high risk indicators to aid in follow up.
J24			Nutrition Education, Health Surveillance, & Referrals	Participant Care Plan	This report is a plan that maintains the progress toward attaining nutrition and health goals over time. It tracks various aspects of a participant's case history including nutrition education provided and referrals to other programs.
J25			Nutrition Education, Health Surveillance, & Referrals	Participant Percentile Change Report	Displays participant growth over time in tabular format.
J26			Nutrition Education, Health Surveillance, & Referrals	Participant Referral Report	Lists participants referred and agency or program to which they were referred.
J27			Nutrition Education, Health Surveillance, & Referrals	Referrals to/from WIC By Program/Agency Report	Supports the analysis of referral program effectiveness by identifying those external health and social service agencies that refer Participants to WIC or receive referrals from WIC.
J28			Nutrition Education, Health Surveillance, & Referrals	Voter Registration Report	Reports participants assisted in voter registration.
#	YES	NO	FUNCTIONAL AREA	REPORT NAME	DESCRIPTION

J29			Nutrition Education, Health Surveillance, & Referrals	WIC Program Participant Characteristics Minimum and Supplemental Data sets for FNS (PC Report)	Data file for FNS.
J30			Nutrition Education, Health Surveillance, & Referrals	Report for Centers for Disease Control and Prevention – PedNSS60	Nutrition Education, Pediatric Nutrition Surveillance Set data file for CDC.
J31			Nutrition Education, Health Surveillance, & Referrals	Report for Centers for Disease Control and Prevention – PNSS61	Pregnancy Nutrition Surveillance Set data file for CDC.
J32			Food Management	Approved Foods	Lists and describes all foods authorized for use in the State agency’s WIC Program. This will include approved infant formulas.
J33			Food Management	Approved Food Packages	Lists and describes the food packages for each category of participant.
J34			Food Management	Food Category/Subcategory Table	List of all food categories and subcategories. Food Price List Lists foods at the Category/Subcategory level and their maximum prices allowed by peer group.
J35			Food Management	Estimated Food Redemption Values	Provides data at the Category/Subcategory level on the estimated value for each food type by peer group.
J36			Food Management	Food Management List of State Approved Food Instrument Types	Lists all food instrument types.
J37			Food Management	Estimated Food Instrument and Maximum Values	Provides data on the estimated value for each food instrument type and the maximum value for that food instrument by peer group.
#	YES	NO	FUNCTIONAL AREA	REPORT NAME	DESCRIPTION

J38			Food Management	Estimated Redemption Value for Food Instruments Issued	Lists by month of issue, all food instruments issued and their estimated redemption value by peer group. The system should array the data by local agency and total for the State agency. UPC Database for WIC Authorized Foods Lists and describes all foods with their UPCs that are authorized for issuance according to the standard category/subcategories. The system should provide a hard copy and electronic file.
J39			Food Management	Food Item List with Maximum Allowed Amounts	Lists all approved foods maintained in the UPC database and their maximum prices allowed by peer group.
J40			Food Benefit Issuance	Participants to Date by Local Agency	Lists all participants issued food benefits for the month to date.
J41			Food Benefit Issuance	Lost And Stolen Food Instruments By Local Agency	Provides a list of food instruments that have been reported as lost or stolen.
J42			Food Benefit Issuance	Food Instruments Issued (Monthly)	A list of food instruments issued during a month period for use in reconciliation.
J43			Food Benefit Issuance	Electronic Benefits Issued (Monthly)	A list of benefits via EBT issued during a month period for use in reconciliation.
J44			Food Benefit Payment, Settlement & Reconciliation	Rebate Report	Lists all redeemed foods that are eligible for a rebate (e.g., infant formula or infant cereal).
J45			Food Benefit Payment, Settlement & Reconciliation	Infant Formula Purchases	Totals the amount and value of all redeemed infant formula food instruments by type and form.
J46			Food Benefit Payment, Settlement & Reconciliation	Food Instrument Reconciliation Report	Lists the disposition of all food instruments issued and final redeemed value or designation as void – unissued, void-expired, or void-unclaimed.

#	YES	NO	FUNCTIONAL AREA	REPORT NAME	DESCRIPTION
J47			Food Benefit Payment, Settlement & Reconciliation	Food Instrument Rejection Reports by Vendor	Provides a listing of specific food instruments that the system has rejected for payment and the reason for each rejection. The report would include all rejections for both pre-payment and/or post-payment screens.
J48			Food Benefit Payment, Settlement & Reconciliation	Redeemed But Not Issued	Lists all food instruments without an issuance record by local agency for use in locating a certification record for investigation.
J49			Food Benefit Payment, Settlement & Reconciliation	Redemption Value by Issue Month	Provides the actual redemption value by month of issuance for all food instruments.
J50			Food Benefit Payment, Settlement & Reconciliation	Summary Food Instrument Redemptions by Vendor	Provides the value of food instrument redemption broken out by vendor.
J51			Food Benefit Payment, Settlement & Reconciliation	Redemption Value by Issue Month	Provides the outstanding estimated redemption values and actual redemption value by month of issuance for all household food benefits.
J52			Food Benefit Payment, Settlement & Reconciliation	EBT Reconciliation Report	Lists the issued food benefits (by food category/subcategory) versus the redeemed food benefits (by food category/subcategory) by month.

J53			Food Benefit Payment, Settlement & Reconciliation	Monthly Food Obligations and Redemption Report	Lists monthly food obligations (by food category/subcategory) versus monthly food redemptions (by food category/subcategory) by local agency.
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#	YES	NO	FUNCTIONAL AREA	REPORT NAME	DESCRIPTION
J54			Financial Management	Addendum to WIC Financial Management and Participation Report (FNS-798A)	Provides a breakout of total fiscal year NSA expenditures by category— Nutrition Education, Breastfeeding, Client Services and Program Administration.
J55			Financial Management	WIC Local Agency Directory Report (FNS-648)	Provides the name and address of each local agency funded by the State agency or Indian Tribal Organization.
J56			Financial Management	Breast Pump Budget and Expenditures	Provides data on each local agency's breast pump expenditures and compare expenditures to their budget.
J57			Financial Management	Cash Flow	Shows cash inflows and outflows on a daily basis.
J58			Financial Management	Local Agency NSA Expenditures	Provides data on each local agency's expenditures and compare expenditures to their budget.
J59			Financial Management	NSA Budget by Local Agency	Provides the local level NSA budgets by function and line item.
J60			Financial Management	Rebate Status	Provides data on rebate estimates, rebates billed and rebates collected. Rebate billing invoices should include: month/date that the food instrument was issued to the participant, date the food instrument was transacted by the participant, redeemed dollar

					amount, number of cans listed on the food instrument, WIC food instrument number, and the infant formula type/form.
J61			Financial Management	State Agency NSA Budget	Provides the State level NSA budget by function and line item.
J62			Financial Management	Summary of Food Expenditures	Provides data on total obligations and outlays for the year to date.
J63			Financial Management	Summary of Funds Receipts	Provides data on the receipt and use of program income, vendor and participant collections, and any other funds that increase the grant or reduce expenditures.
#	YES	NO	FUNCTIONAL AREA	REPORT NAME	DESCRIPTION
J64			Financial Management	Summary of Grants	Provides data on the Federal (and State if applicable) grants received for the year to date as well as spendforward or backspend funds applied to the grant.
J65			Caseload Management	Caseload by Local Agency	Shows caseload by local agency.
J66			Caseload Management	Caseload by Local Agency	Shows caseload by local agency.
J67			Caseload Management	Local Agency Caseload Utilization	Shows caseload, participation, and percent of caseload reached. This report could include a graphical component.
J68			Caseload Management	Local Agency Participation Profile	Shows each local agency's participation characteristics.
J69			Caseload Management	Monthly State Caseload Target	Shows the caseload target and the assumptions used to arrive at the caseload level.
J70			Caseload Management	No-Show Report	Shows rates and performance statistics by local agency or clinic for missed appointments.
J71			Caseload Management	Potential Eligibles Data	Displays the potential eligibles for the State agency and by local agency.
J72			Operations Management	Clinic/Patient Flow Report	Provides a summary of factors studied in clinic or patient flow analysis.
J73			Operations Management	Complaints About Participants Report	List of participants for which complaints are filed and nature of complaint.

J74			Operations Management	Customer Service Calls and Outcomes Report	Provides a log of type of calls received and their disposition. Customer Service reports generated by an ARU can provide the number of calls handled by type (i.e., by provider, Participant, and vendor), average time to handle call, reason for call, number of automated versus operator assisted calls, and time to answer calls.
J75			Operations Management	Dual Enrollment/Dual Participation Report	Lists matches of demographic information (i.e. name, address, sex, start/end dates of certification) that could potentially show dual enrollment or dual participation.
J76			Operations Management	Inventory Status Report-Non-Serialized Item Stock	Provides the status of non-serialized items in storage and shipped to local agencies.
	YES	NO	FUNCTIONAL AREA	REPORT NAME	DESCRIPTION
J77			Operations Management	Inventory Status Report-Serialized Item Stock	Provides status of serialized items in storage and shipped to local agencies.
J78			Operations Management	Local Agency Food Instrument Inventory Status	Provides data on the food instrument serial numbers assigned to each local agency. It would also identify the status of each food instrument as unissued, redeemed, or void.
J79			Operations Management	Local Agency Card Inventory Status	Provides data on the card serial numbers assigned to each local agency. It would also identify the status of each card as unissued or void.
J80			Operations Management	Local Agency/Clinic Participant To Staff/Facility Statistics Report	Provides an analysis of ratio of local agency/clinic participant to staff type and square foot of space to enable State and local agencies to monitor and assess the workload of the Local Agency.
J81			Operations Management	Local Agency/Clinic Profile Data Report	Provides a snapshot of local agency or clinic operations for review by State agency or preparation for site visitation. Profile will include information that reflects the size, capacity, productivity, and operating costs of the local agency or clinic.
J82			Operations Management	NSA Cost Per Participant By Local Agency/Clinic Report	Provides a summary comparison of the NSA cost per participant among local agencies.

J83			Operations Management	Outreach Organizations Report	Enables local agencies to review outreach organization information and provide mailing labels in order to increase participation levels when additional caseload is assigned by the State agency.
J84			Operations Management	Participant Hearing Status Report	Provides a summary of participant hearings status.
J85			Operations Management	Participants Shopping Outside Their Neighborhoods Report	Lists participants that are shopping at vendors outside the normal geographic boundary of their addresses.
#	YES	NO	FUNCTIONAL AREA	REPORT NAME	DESCRIPTION
J86			Operations Management	Participant Violations, Sanctions, and Claims Report	Provides reports on participant violations, sanction imposed and any claims collected.
J87			Operations Management	Potential Clinic Abuse Indicators Report	Provides data on patterns that may indicate clinic abuse.
J88			Operations Management	Potential Participant Dual Participation Matches Report	Lists participants that may be participating in another local agency within the State or in other State agencies or CSFP.
J89			Vendor Management	Compliance Summary Report	Lists the vendors scheduled for compliance buys with data on the vendor's name, address, history of past violations, high risk indicators, past routine monitoring visits and date planned investigation and assigned investigator.
J90			Vendor Management	List of Authorized Vendors By Identification Number	Lists all vendors authorized by the program with key information (e.g. name, address, type, date authorized, etc.).
J91			Vendor Management	List of Authorized Vendors By Peer Group	Lists all vendors authorized by the program with key information (e.g. name, address, type, date authorized, etc.) grouped by peer group.

J92			Vendor Management	List of WIC A50 Vendors	List of all vendors will WIC sales equal to or in excess of 50 percent of their food sales.
J93			Vendor Management	Average Food Instrument Redemption Values Excluding WIC A50 Vendors	Provides data on the average redemption value of food instruments for all authorized vendors excluding WIC A50 vendors.
J94			Vendor Management	Average Food Instrument Redemption Values WIC A50 Vendors Only	Provides data on the average redemption value of food instruments for all authorized WIC A50 vendors.
#	YES	NO	FUNCTIONAL AREA	REPORT NAME	DESCRIPTION
J95			Vendor Management	Average Food Instrument Redemption Values Comparison of WIC A50 Vendors to the All Vendor Average Excluding the WIC A50 Vendors	Provides data on the average redemption value of food instruments for all authorized vendors excluding WIC A50 vendors compared to all authorized WIC A50 vendors.
J96			Vendor Management	Average Food Item Redemption Values Excluding WIC A50 Vendors	Provides data on the average redemption value of UPCs for all authorized vendors excluding WIC A50 vendors.
J97			Vendor Management	Average Food Item Redemption Values WIC A50 Vendors Only	Provides data on the average redemption value of UPCs for all authorized WIC A50 vendors.
J98			Vendor Management	Average Food Item edemption Values Comparison of WIC A50 Vendors to the All Vendor Average Excluding the WIC A50 Vendors	Provides data on the average redemption value of food items for all authorized vendors excluding WIC A50 vendors compared to all authorized WIC A50 vendors.

J99			Vendor Management	Listing of WIC/Food Stamp Program Dual Disqualification Report	Lists all vendors that FSP has disqualified and sent to WIC and the action taken by WIC. It would also list the vendors WIC disqualified and sent to FSP.
J100			Vendor Management	High Risk Vendors and Their Risk Scores Report	Lists all vendors designated as high risk, the reason for high risk identification, their respective risk scores and the factors that support the risk scores. The report should array the vendors by location to facilitate the scheduling of compliance investigations.
J101			Vendor Management	Routine Monitoring Schedule Report	Lists the vendors scheduled for monitoring visits with data on the vendor's name, address, history of past violations, high risk indicators, past routine monitoring visits and date planned for the visit.
#	YES	NO	FUNCTIONAL AREA	REPORT NAME	DESCRIPTION
J102			Vendor Management	Summary of CMPs Due and Paid to Date	Tracks all vendors that were issued CMPs, the date of the CMP, the reason for the CMP in lieu of another sanction, and the amount collected from the vendor.
J103			Vendor Management	The Integrity Profile (TIP) Report	Provides required data for annual TIP report. FNS requires that all State agencies submit an annual TIP report, which provides vendor characteristics, training, compliance activities, and sanctions.
J104			Vendor Management	Vendor Applications Report	Lists all vendors that have applied for and are under consideration for WIC authorization. This report would display the basic vendor characteristics provided on the vendor application.
J105			Vendor Management	Scheduling Vendor Attendance at Training Sessions	Provides a listing of vendor training activities and the vendors that attended as well as those that did not and need to reschedule training.
J106			Vendor Management	Vendor Authorizations Actions Scheduled and Completed	Outlines the steps needed to complete vendor authorization and whether each step has been completed for each applicant vendor.
J107			Vendor Management	Vendor Complaint Log	Logs all complaints received about vendors, date received, complainant information and action taken.
J108			Vendor Management	Vendor Compliance History	Consolidates all education, monitoring, and compliance activities for each vendor.

J109			Vendor Management	Vendor Sales	Analysis Report Summarizes the data from a record audit. It would list the foods audited, the vendor food purchase invoices for those foods, and the total WIC redemptions for those foods.
J110			Vendor Management	Vendor Sanction and Appeal Summary Report	Lists all vendors that the State agency has sanctioned and the vendor has appealed. It would have the date of ppeal, status of appeal, hearing date, and outcome of the hearing.
J111			Vendor Management	Vendor Sanction Summary Report	Lists all vendors with sanctions and describe the violation, the sanction imposed (warning, disqualification, CMP) and date the vendor was advised of the sanction.
J112			Vendor Management	Vendor Selection Assessment	Lists all applicant vendors and the selection factors used to determine authorization, including shelf/bid prices of supplemental foods.
#	YES	NO	FUNCTIONAL AREA	REPORT NAME	DESCRIPTION
J113			Vendor Management	Scheduling Vendor Training Schedule	Provides a calendar of upcoming vendor training activities and the vendors scheduled to attend.
J114			Vendor Management	Vendors By Peer Groups	Lists all vendors according to their peer group assignment.
J115			Scheduling	Appointment Listing by Date Report	Lists appointments scheduled for a certain date for use by local staff in managing resources.
J116			Scheduling	Appointments Kept vs. Missed Summary Report	Tracks incidences of missed appointments.
J117			Scheduling	Appointment Schedule	Although appointment scheduling is anticipated to be performed online, there may be some instances in which a report of available appointments would be helpful. This report is used to display the appointment schedule for a particular day to aid WIC staff in confirming the availability of a requested appointment slot. Could be provided by appointment type or other parameters.
J118			Scheduling	Clinic Calendar Report	Provides a report or the clinic calendar, showing appointments, availability, and staff commitment.

J119			Scheduling	Individual/Family Appointment Schedule	Provides a listing of appointments by person (applicant/participant) or family. This report can be used to aid WIC staff in confirming the person's appointment schedule. By printing out the participant's appointment schedule, the WIC staff can give the participant a hard copy to take home as a reminder.
J120			Scheduling	Missed Appointments-Pregnant	Reports pregnant women who miss their first certification appointment. Should include contact information so that staff can try to reschedule/make contact.
J121			Scheduling	Missed Appointment Report	Lists the participants who missed an appointment and can be used for followup. Can be individual or aggregate.
J122			Scheduling	Nutrition Education Class Attendance Report	Reports attendance at specific nutrition education class.
J123			Scheduling	Nutrition Education Class Report	Reports information about a specific class, related to certification period and as a percent of caseload, by group or individual contacts. Provides detail and summary information.
#	YES	NO	FUNCTIONAL AREA	REPORT NAME	DESCRIPTION
J124			Scheduling	Upcoming Appointments Report	Lists upcoming clinic appointments for use by WIC staff in order to schedule resources appropriately.
J125			Scheduling	Upcoming High Risk Appointments Report	Lists upcoming high risk appointments for the use of WIC staff in order to schedule resources appropriately.
J126			System Administration	Authorized User Report	Provides a list of all authorized users at a specified site to assist the system administrator.
J127			System Administration	Code Table Change Report	Allows users to identify when changes have been made to the content of data tables and who has made these changes.
J128			System Administration	Code Table Report	Allows users to verify the current content of data tables to be used in preparing inputs to the system and in reading output reports. The Code Table Report is generally requested by the System Administrator as needed to verify code table updates.
J129			System Administration	System Administration Communications Exception Report	Provides detailed information about transactions that were not completed satisfactorily. It can identify sources of transmission errors or patterns of transmission problems.

J130			System Administration	Modified Data Element Report	Provides detailed audit information about changes to the system data. It can be used to report information to identify any fraudulent patterns of system usage by entering a particular location, period of time, or user to show types of changes made.
J131			System Administration	New User ID Report	Confirms the establishment of new users in the system and provides the new ID and temporary password to that user.
J132			System Administration	System Access Log Listing Report	Lists who has logged into the system during a specified period.
J133			System Administration	System Back-up/Restoration Report	Provides detailed information about files that were backed-up or restored at a local clinic.
J134			System Administration	Transaction Processing Report	Provides detailed information about batch transmissions sent to the host. It shows the last upload by terminal, number of transactions in a batch, and counts of transactions by type. This would be applicable if there is a disconnected component to the online system.
#	YES	NO	FUNCTIONAL AREA	REPORT NAME	DESCRIPTION
J135			System Administration	Unauthorized Access Report	Provides detailed information about attempts to gain access to the system (invalid entry of PIN/password) or to specific functions for which a user is not authorized. It is used by State or local agencies to verify a specific user's unauthorized access and help detects user fraud.
J136			System Administration	User Profile Report	Provides a listing of the functional capabilities for a user in the system. It is used on demand by State and local agencies to verify user privileges.

Comments:

System Testing Guidance

The MIS Integrity Review Tool can be a valuable instrument for both SA and FNS WIC staff to evaluate whether the MIS delivered meets all WIC functional requirements.

This paper discusses three go/no-go points in the System Development Life Cycle (SDLC) when the SA and Federal staff must evaluate whether a system is meeting expectations. The first point is prior to/during/after User Acceptance Testing (UAT). The next point is prior/during/after the Pilot Test. The third point is after the system has been rolled out Statewide and is ready to transition from implementation to the operations stage. This review tool was designed so it can be used during pre- or post-implementation reviews conducted by SA and/or Federal reviewers.

User Acceptance Testing (UAT)

The objective of systems development is to design a system that meets the needs of the user, not just the system specifications. User Acceptance Testing (UAT) is necessary to confirm that the developed system meets all user requirements. During and at the completion of the development phase of the project the SA should be prepared to participate in intensive UAT. UAT is a crucial part of the integration and testing phase of the SDLC. A common mistake is to assume testing is at the end of the system's lifecycle development process and that it requires minimal attention. This can result in project delays since testing was not thoroughly conducted. Testers should work with users early in the project to define system criteria for meeting user needs, incorporate them into the acceptance test plan and create detailed test scripts. Once the acceptance criteria have been established, the testers should incorporate them into all aspects of development as much as possible.

UAT should be conducted in a simulated "real" user environment in which the users use simulated or real target platforms and infrastructures. This environment should be separate from the development or production environments, but as similar to the production environment as possible. Typically, a separate test environment is set up for testing by developers. An additional test environment is set up for UAT. The system should be tested from end-to-end, including both normal and abnormal conditions such as user mistakes. SAs should develop a formal UAT plan that includes real-life scenarios and establishes severity levels, error tracking software, results reporting and regression testing traceable to requirements or functionality documents. These scenarios should have detailed scripts, developed by SA project staff and/or consultants independent of the development contractor, so that any errors found can be easily replicated and regression tested, so that as errors are reported the developers will have a period of time to fix the errors and testers will have an opportunity to retest. To avoid a conflict of interest, it is critical that development and implementation team resources do not perform UAT testing. FNS strongly recommends that SA and local users participate in the UAT. At the end of the UAT testing, an acceptance decision must be made based on the results of this testing, followed by users sign-off upon successful completion of the UAT plan.

Pilot Testing

The goal of the Pilot Test is to achieve a high probability that the implemented system will meet the objectives specified in the approved Implementation Advance Planning Document (IAPD). The Pilot Test is a key milestone in project development and occurs when a fully functional prototype system is available for testing, but before statewide implementation. When a contractor is used for system development, the contract should clearly state that the SA's approval of the Pilot Test results is a condition of project continuation. This provision ensures that SAs have control of the development process. SAs are responsible for defining go/no-go criteria, and FNS may also establish go/no-go points for continuation of the project. Successful UAT and Pilot testing are commonly used decision points.

Pilot acceptance testing may be performed by the State and/or by an independent contractor, but not by the contractor developing or transferring the system. This will ensure the testing results are not biased as a result of a conflict of interest. Optionally, FNS may participate in the Pilot Test to assist and corroborate the findings of the SA. If the SA intends to use an independent contractor for contract monitoring or Quality Assurance (QA), those activities must be incorporated into the project schedule and budget.

In some cases, prior approval of funds by FNS may be conditional on the results of the Pilot Test; therefore, SAs must plan to secure this approval before rollout of the system beyond the pilot area. In particular, SAs should submit documentation of the results and findings of their pilot tests to FNS.

In planning for the Pilot Test, the SA should ensure that the test, at a minimum, includes the following elements:

Performance Test - To simulate system operation, and thereby project whether the system will meet the criteria in the IAPD for sizing, performance, and capacity;

Systems Test - To ensure that each component, as delivered by the contractor or SA systems staff, operates in accordance with the design specifications;

End-to-End Test - To ensure that the interactions between each component and interface perform in accordance with the design specifications. This must include reconciliation between the SA's banking contractor or EBT processor and the SA's system.

The Pilot Test needs to be completed or conducted on the entire system in a "live" environment to ensure that it will meet the objectives of the IAPD after implementation. If a legacy system exists, this test will involve parallel processing of data (e.g., calculation of benefits based on household or participant information) through the current and pilot system, and then comparing the results.

Results of the Pilot Test must be evaluated to determine if the system is ready to be rolled out to the rest of the Geographic State or Indian Tribal Organization (ITO). As stated earlier, this is another significant go/no-go point for continuation of the project.

More information on testing and other system-related information can be found in FNS Handbook 901 located at:

http://www.fns.usda.gov/apd/Handbook_901_2007/HB901_2007.htm

When evaluating the plan for system testing, pilot and implementation, the following information should be gathered and questions asked if not specified in the SA's planning documents:

1. What is the projected timeframe for each of these phases; UAT, pilot, rollout?
2. What are the go/no-go criteria for determining when to move from one phase to the next?
3. What scenarios are being tested during UAT?
4. Are these scenarios scripted?
5. Who identified the scenarios to be tested and developed the scripts?
6. What is the profile and number of staff involved in UAT?
7. When errors are found, how are they prioritized?
8. Are fixes regression tested and validated by UAT staff?
9. How is the conversion process being tested?
10. Is an interface being built between the legacy and new system so they can run in parallel during the pilot?
11. Will the new system become the "system of record" during the pilot?
12. What is the plan for rolling the new system out to the rest of the Geographic State or ITO? Is it a phased rollout?

Acronyms

APD	Advance Planning Document
BF	Breast Feeding
CDC	Centers for Disease Control
CPA	Competent Professional Authority
CSFP	Commodity Supplemental Food Program
CVV	Cash Value Voucher
DFDD	Detailed Functional Design Document
EBT	Electronic Benefit Transfer
FFY	Federal Fiscal Year
FI	Food Instrument
FNS	Food and Nutrition Service
FTE	Full Time Equivalent
HH	Household
HIV	Human Immunodeficiency Virus
IAPD	Implementation Advance Planning Document
ID	Identification
ITO	Indian Tribal Organization
LA	Local Agency
LMP	Last Menstrual Period
MIS	Management Information System
NSA	Nutrition Services & Administration
PedNSS	Pediatric Nutrition Surveillance System
PIR	Post or Pre Implementation Review
PM	Policy Manual
PNSS	Pregnancy Nutrition Surveillance System

Acronyms

QA	Quality Assurance
SA	State Agency
SDLC	Systems Development Life Cycle
SNAP	Supplemental Nutrition Assistance Program
SOAP	Subjective Objective Assessment Plan
TANF	Temporary Assistance to Needy Families
TIP	The Integrity Profile
UAT	User Acceptance Testing
USDA	United States Department of Agriculture
VENA	Value Enhanced Nutrition Assessment
VOC	Verification of Certification
WIC	Special Supplemental Nutrition Program for Women, Infants & Children

Review Cover Sheet

STATE: _____ **Review Date(s)** _____

System Name: _____

Reviewer(s):

SA: _____

FNS: _____

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21.4 Appendix 4

21.4.1 Vendor and ITS Services Responsibilities Matrix

Responsibility Description	ITS	Vendor	Joint
Install the in-scope server operating system, system management software and operating system utilities.	X		
Support of the in-scope server operating system, system management software and operating system utilities, including minor upgrades (such as a release upgrade)	X		
Manage the operating system configuration: Initial server configuration Modify configuration files Document system configuration Control access to system configuration files	X		
Manage operating system file systems: Create, maintain and delete volumes and directory structures Modify file system sizes Verify mount point availability Repair defective file systems Modify File-system permissions	X		
Monitor file systems to prevent file systems from overfilling	X		
Manage Operating System Processes (e.g. continuously running system subtasks, or daemons): Refresh processes as required Establish startup sequences Maintain system clock synchronization Change process priorities as appropriate	X		
Recommend operating system updates and configuration modification	X		
Apply operating system patch set updates	X		
Maintain tools for remote management and alert monitoring	X		
Maintain operational support procedures			X
Maintain the hardware, Virtualization and OS software configuration server information	X		
Coordinate in-scope server hardware service with the appropriate vendor	X		
Manage ITS Operating System ID's	X		
Evaluate planned changes to the server environment and advise of any requirements to support such changes	X		
Manage OS Security (Does not include customer User ID Admin) Enable passwords for servers to use to connect with other servers on the network Adhere to standard security processes and procedures Support trusted third party security servers authentication Synchronize security information among servers Create and modify system login/logon scripts Assign account, workgroup and print managers	X		
Define Print Queues	X		

Responsibility Description	ITS	Vendor	Joint
Provide health check and trending reports which include: CPU Memory Disk Server Red Action List (servers which have gone above defined set of thresholds)	X		
Monitor ITS managed hardware, virtualization & operating system software during in-scope service hours	X		
Administer and/or execute the contracted Service Management processes and procedures	X		
Perform basic problem determination on systems and components managed by ITS Services: Hardware problems System software problems Network problems	X		
Provide information and monitor for changes affecting the server environment	X		
Evaluate planned changes to the server environment and advise of any requirements to support such changes	X		
Perform System Recycles per predefined Short Term Operational Schedule and maintenance window	X		
Monitor and respond to system alerts and events			X
Monitor and respond to hardware alerts and events	X		
Monitor and maintain system error logs	X		
Provide system administration and operational support for server environment(s)	X		
Assist with hardware facilities requirements planning	X		
Assist in coordinating hardware availability for scheduled maintenance, EC's, microcode updates and fixes for hardware products through use of the problem/change management process			X
Assist in hardware product reviews of system environment			X
Participate, if required, in root cause analysis for problem isolation and resolution for hardware related problems			X
Participate in technical reviews, as required, for hardware configuration/environment issues	X		
Assess in raised-floor equipment power / cooling facility issues	X		
Conduct system space planning	X		
Manage system hardware inventory	X		
Maintain physical configuration plan for the Mainframe	X		

Responsibility Description	ITS	Vendor	Joint
Facilitate change for equipment	X		
Coordinate equipment install / moves and changes of third party hardware	X		
Assist in coordinating install / de-install of hardware equipment due to technical refresh, growth and capacity balancing			X
Manage the operating system configuration: Initial server configuration Modify configuration files Document system configuration Control access to system configuration files	X		
Maintain the hardware and software configuration server information	X		
Maintain tools for performance monitoring and reporting	X		
Define performance indicators and establish thresholds to monitor server performance against these indicators. Examples include utilization of Storage, CPU and memory.	X		
Perform Capacity Management	X		
Provide analysis and report on system performance trends	X		
Maintain tools for capacity reporting	X		
Recommend corrective action to resolve system capacity problems.	X		
Implement corrective actions approved by the change management process.	X		
Recommend configuration changes to optimize utilization of assets.			X
Monitor and document the in-scope servers' current capacity baselines and provide the information to the customer for the customer's use in determining future capacity requirements.	X		
Provide analysis and report on system capacity trends	X		
Identify the need and make recommendations for additional system capacity to validate performance levels are appropriate to achieve Service Level Objectives and Agreements (if in scope)			X
Install database products (e.g. Oracle, etc.) and associated products and tools.	X		
Apply maintenance and corrective service for database products and associated DBMS products and tools.	X		
Perform database system level database backup and recovery	X		
Perform database system level space management and monitoring	X		
Run Database system level reorganizations, statistics and other applicable utilities to ensure proper database function and performance	X		
Database system level tuning	X		
Database connectivity support	X		
Plan and implement a database backup strategy.			X

Responsibility Description	ITS	Vendor	Joint
Create a backup script or use a backup utility or tool to perform database backups.	X		
Create the physical database (object DDL).			X
Run object DDL to create objects.	X		
Monitor performance.	X		
Monitor space.	X		
Monitor backups.	X		
Monitor database availability and resources.	X		
Monitor size of the physical database objects.	X		
Modify or suggest modifications for system parameters for performance tuning.			X
Assist with data / database conversions.			X
Create and maintain links to other databases.	X		
Unload and reload (reorganization of data) to improve performance, change physical layout, reclaim space etc.	X		
Ensure compliance with Agency and ITS Security Standards.	X		
Manage job scheduler for database jobs (maintenance).	X		
Management and resolution of database problems.	X		
Management of database changes.	X		
Perform database maintenance (including running of appropriate utilities)	X		
Install middleware software	X		
Configure middleware	X		
Plan and implement Fiber Channel Switches and Fiber Channel Directors in a Storage Area Network (SAN).	X		
Perform storage device preparation and initialization	X		
Manage storage space through the implementation and customization of storage management software.	X		
Manage space / utilization rate of storage hardware. Verify availability and sufficient capacity of ITS controlled file systems during scheduled service times.	X		
Report customer's disk space utilization via the activities listed in Performance and Capacity Management	X		
Execute backup and recovery procedures for the operating system image. Document and maintain the backup and restore processes, hardware and software	X		
Provide a recovery procedure for restoring the image to a previous level within a mutually agreed time frame	X		
Implement regularly scheduled backup and recovery procedures as prioritized by the customer (for example, file set restore), so as to avoid impacting scheduled operations	X		

Responsibility Description	ITS	Vendor	Joint
Execute backup and recovery procedures for user data files. Document and maintain the backup and restore processes, hardware and software	X		
Perform catalog management, backup and recovery of data stored on storage devices	X		
Develop and maintain a plan that enables the recovery of data due to unplanned operational types of failures such as equipment malfunction, temporary power disturbances and abnormal termination (Disaster Recovery procedures)			X
Provide system administration and operational support for configurations	X		
Initial setup and ongoing maintenance of High Availability Configurations	X		
Configuration of parameters for recovery and failover, with assistance from Customer where applicable (such as application parameters)			X
Reconfiguration of parameters when updates are performed to the system configuration	X		
Testing of fail-over recovery after each system configuration update or change			X
Periodic testing of fail-over recovery (semi-annually)	X		
Perform server consolidation activities	X		
Server Datacenter moves or relocations	X		
Applications-monitor up/down status of system processes	X		
Plan and Maintain software currency on all platforms and systems	X		
Plan and Perform physical hardware HW upgrade(s) and HW refresh to ensure systems application functionality.	X		
Order & schedule installation of network equipment required for application connectivity to ITS Data Center	X		
Assess, evaluate, document and review integration of network components managed by ITS	X		
Plan, develop and design document logical design and connectivity solution using Agency requirements. Perform setup, test and install the physical connectivity to solution customer requirements, including all labeling of components in the environment	X		
Assess, Plan, Design, Implement, Maintain, document and review network integration of bridges, gateways, routers, hubs, switches, multiplexers and wireless access points. Develop procedures for the environment we are supporting. Includes, bridges, gateways, routers, hubs, switches, multiplexers and wireless access points as required. Implement Firewall / VPN solution	X		
Assess, evaluate, document and review compliance to ITS standards, guidelines and processes	X		

Responsibility Description	ITS	Vendor	Joint
Perform Level 1, 2,3 Network Problem Determination/Problem Source Identification (to determine & isolate sources of network outages and problems, inclusive of degraded performance)	X		
Perform and review 'ready to use' initial performance tests and checkout for all components			X (Vendor participates in initial testing)
Use Incident and Problem management data proactively to assist in the recognition and prevention of recurring problems	X		
Evaluate, assess and track all problems and changes for the network environment using ITS Incident toolset (Service-Now)	X		
Implement and maintain backup and archive of configuration data for standard network vendor product devices	X		
Post implementation, run and operate/maintain current customer network operational processes (Steady State)	X		
Manage and track network changes being performed (where applicable)	X		
Manage network backup and recovery processes	X		
Install application code			X
Configure application			X
Application availability monitoring implementation			X
Monitor job scheduler related incidents, and develop, recommend and implement changes to the job scheduler database	X		
Define and write procedures for code promotions/releases			X
Document standards to promote applications from development and / or test into production			X
Document production application acceptance criteria	X		
Move code from development and / or test environments to production	X		
Maintain automated code promotion system(s)	X		
Coordinate and/or perform installation and maintenance of in scope application	X		
Own and administer all application security resource definitions including specific user IDs and group IDs	X		
Coordinate security of application resources	X		

Responsibility Description	ITS	Vendor	Joint
Conduct vulnerability scanning and apply associated remediation(s) actions to resolve issues			X
Perform Application Security Risk Assessment	X		
Create System Security Plan		X	
Provide problem determination and resolution of application and related infrastructure problems	X		
Promote application load modules at exit points	X		
Maintain and update application restart documentation	X		
Provide the necessary requirements to the System Administration/Programming Team for the system/infrastructure and all application definitions that are to be backed up with the regular operating system/subsystem backups	X		
Provide off-shift support for test and development subsystems			X
Provide and support custom Business Integration exits	X		
Provide performance and tuning analysis for the application			X
Perform "health check" monitoring for the application			X
Application capacity planning initiatives in the production environment	X		
Provide requirements and documentation for Disaster Recovery and Business Continuity. Maintain documentation for life of the application as applicable.	X		
Perform and support assistance for the testing of the changes made to the server operating system, system management software and operating system utilities/platform software and tools, including minor and major upgrades (such as a release upgrade) to maintain software currency.			X
Perform and support assistance for the testing of the changes made to the physical hardware environment to accomplish HW upgrade and HW refresh) to ensure application functionality.			X
Develop application run-books and production control procedures to allow ITS to run operate and manage applications. Ex. Document application restart procedures. Templates will be provided by ITS		X	
Own and administer the incident and problem management processes and document	X		
Review and manage incidents and problems			X
Provide trend analysis and develop action plans to resolve problems			X
Coordination of problem resolution activities			X

Responsibility Description	ITS	Vendor	Joint
Facilitate and attend applicable incident & problem management meetings			X
Establish the project implementation plan including : overall objectives, deliverables, major milestones, team structure, roles and responsibilities, major assumptions, customer responsibilities, project risks, project exclusions, etc.			X
Provide application procedures and special requirements as needed to operationalize the application on ITS Platforms		X	
Set up application security access, user-id protocols and procedures for security administration.			X