

**STATE OF MAINE**  
**Department of Health and Human Services**  
*Maine Center for Disease Control and Prevention*



**RFP# 202012169**

**Maintenance & Enhancement Services for WIC SPIRIT Software**

<b>RFP Coordinator</b>	<p><i>All communication regarding the RFP <u>must</u> be made through the RFP Coordinator identified below.</i></p> <p><b>Name:</b> Rick Henning <b>Title:</b> Procurement Analyst  <b>Contact Information:</b> <a href="mailto:richard.henning@maine.gov">richard.henning@maine.gov</a></p>
<b>Submitted Questions Due</b>	<p><i>All questions <u>must</u> be received by the RFP Coordinator identified above by:</i></p> <p><b>Date:</b> September 30, 2021, no later than 11:59 p.m., local time</p>
<b>Proposal Submission</b>	<p><i>Proposals <u>must</u> be received by the Division of Procurement Services by:</i></p> <p><b>Submission Deadline:</b> November 29, 2021, no later than 11:59 p.m., local time.</p> <p><i>Proposals <u>must</u> be submitted electronically to the following address:</i></p> <p><b>Electronic (e-mail) Submission Address:</b> <a href="mailto:Proposals@maine.gov">Proposals@maine.gov</a></p>

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**PUBLIC NOTICE**

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**State of Maine  
Department of Health and Human Services  
RFP# 202012169  
Maintenance & Enhancement Services for WIC SPIRIT Software**

The State of Maine Department of Health and Human Services is seeking proposals to provide Maintenance and Enhancement Services for the WIC eligibility and benefit issuance computer system, SPIRIT (Successful Partners in Reaching Information Technology).

A copy of the RFP, as well as the Question & Answer Summary and all amendments related to the RFP, can be obtained at:

<https://www.maine.gov/dafs/bbm/procurementservices/vendors/rfps>

Proposals must be submitted to the State of Maine Division of Procurement Services, via e-mail, at: [Proposals@maine.gov](mailto:Proposals@maine.gov). Proposal submissions must be received no later than 11:59 p.m., local time, on November 29, 2021. Proposals will be opened the following business day. Proposals not submitted to the Division of Procurement Services' aforementioned e-mail address by the aforementioned deadline will not be considered for contract award.

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## RFP TERMS/ACRONYMS with DEFINITIONS

The following terms and acronyms, as referenced in the RFP, shall have the meanings indicated below:

<u>Term/Acronym</u>	<u>Definition</u>
<b>Certification of System Readiness</b>	Certification warranting that full system testing, from start to finish, has been conducted and no outstanding errors were identified. Certification of System Readiness shall include a summary of facts substantiating readiness.
<b>Certified Software Business Analyst</b>	Individual who is certified by the <a href="#">International Software Certifications Board</a> .
<b>Change Control Work Group (CCWG)</b>	Volunteers from the SPIRIT Users Group (SUG) member State Agencies. The CCWG is integral to the Change Process for the SUG.
<b>Change Control Process</b>	The process followed by Successful Partners in Reaching Innovative Technology (SPIRIT) User Group (SUG) in order to request, assess, approve, and implement any change to the core SPIRIT system and the artifacts that comprise it, such as source code, documentation, design, architecture.
<b>Change Request</b>	The document calling for an adjustment of a system. A Change Request is declarative and states what needs to be accomplished, but not how the change should be carried out.
<b>Client/Server</b>	An architecture using two (2) classes of computers on a network, one of which requests information and the other which provides the information.
<b>Contract Administration Liaison (CAL)</b>	The Lead State's Executive Steering Committee (ESC) member or designated alternate. Reference <b>Appendix H</b> SPIRIT Program Documentation, Contract Administration Liaison (CAL) Roles and Responsibilities.
<b>Cooperative Contract</b>	A multi-state contract resulting from this RFP.
<b>Cutover Date</b>	The date the awarded Bidder assumes full responsibility for all monitoring, maintenance, upgrades, code modifications, and services of the SPIRIT/SPIRIT Web product and its associated Issue Tracking System.
<b>Data Dictionary</b>	In database management systems, a file that defines the basic organization of a database. A Data Dictionary contains a list of all files in the database, the number of records in each file, and the names and types of each field. Most database management systems keep the Data Dictionary hidden from users to prevent them from accidentally destroying its contents.
<b>Defect</b>	An error in SPIRIT functionality caused by a revision(s) to the SPIRIT source code.

<u>Term/Acronym</u>	<u>Definition</u>
<b>Defect Severity Levels</b>	<p>Jira, the current Issue Tracking System, and SPIRIT documentation are the sources for these Definitions:</p> <p><b>Production Down:</b> Defect which causes total failure of the software, unrecoverable data loss, or functionality which severely affects users, there is no workaround. Production Down Defect has a severe impact on productivity or efficiency (e.g., users unable to complete a critical task necessary to perform his/her job).</p> <p><b>Critical:</b> Defect which results in severely impaired functionality in a major area of the system. A work around may exist, but its use is unsatisfactory or difficult. Critical Defect has a major impact on productivity or efficiency.</p> <p><b>Major:</b> Defect which results in impaired functionality in the system. There is a reasonably satisfactory work around. Major Defect has a moderate impact on productivity and efficiency.</p> <p><b>Medium:</b> Defect of some significance. A work around exists or, if not, the impairment is slight; Medium Defect has a low impact on productivity and efficiency.</p> <p><b>Minor:</b> Cosmetic or consistency error. Minor Defect has no impact on productivity or efficiency.</p>
<b>Demand Management</b>	<p>A planning methodology used to forecast, plan for, and manage the demand for products and services. Demand Management has a defined set of processes, capabilities, and recommended behaviors for companies that produce goods and services. Demand Management balances the customers' requirements with the capabilities of the supply chain. With the right process in place, Demand Management can match supply with demand proactively and execute the plan with minimal disruptions.</p>
<b>Department</b>	Maine Department of Health and Human Services
<b>Designated Governing Body (DGB)</b>	<p>A subset of the ESC that, provides contractual oversight of the SUG contracts and manages project risks. The DGB meets weekly with the awarded Bidder's Project Managers to review outstanding issues, review SLAs, and manage project risks.</p>
<b>Detailed Functional Design Document (DFDD)</b>	<p>Defines the technical and business requirements for a system (e.g., how features function, elements that comprise the data sets and tables, field constraints, files produced, etc.)</p>
<b>Detailed Technical Specifications Document (DTSD)</b>	<p>Describes how the system software will be structured and how data structures will be organized, specifying coding standards, software versions, third-party tools, architectural diagrams, best practices, and other technical parameters ensuring all stakeholders agree on system construction.</p>
<b>Disaster Recovery Plan (DRP)</b>	<p>A documented, structured approach with instructions for responding to unplanned Incidents. DRP is a step-by-step plan which consists of the precautions to minimize the effects of a disaster, so the organization can continue to operate or quickly resume mission-critical functions.</p>
<b>Electronic Benefit Transfer (EBT)</b>	<p>An electronic system that allows a recipient to authorize transfer of their government benefits from a federal account to a Retailer/Vendor account to pay for products received. EBT is currently used in many states to issue food stamp (SNAP), WIC, and</p>

<b><u>Term/Acronym</u></b>	<b><u>Definition</u></b>
	other benefits.
<b>Entity Relationship Diagram (ERD)</b>	A structural diagram for use in database design that contains different symbols and connectors that visualize two (2) important pieces of information, the major entities within the system scope and the inter-relationships among these entities.
<b>Executive Steering Committee (ESC)</b>	Provides overall leadership/direction to the SUG and is composed of representatives from SUG State Agencies (SAs) who have decision-making authority for their state WIC programs.
<b>Food and Nutrition Service (FNS)</b>	An agency of the United States Department of Agriculture (USDA) who administers the nutrition assistance programs and provides children and needy families better access to food and a more healthful diet through its food assistance programs and comprehensive nutrition education efforts.
<b>FTE</b>	Full Time Equivalent
<b>Help Desk</b>	Provides information and support to SPIRIT users.
<b>Incident</b>	An unplanned interruption to an Information Technology (IT) service or reduction in the quality of an IT service. Failure of a configuration item which has not yet affected service is also an Incident, for example one (1) of two (2) mirrored disks failing.
<b>Interface Control Document (ICD)</b>	Defines and controls the detail interface design and implementation between two interfacing systems. The ICD contains the detailed interface design drawings, definitions, characteristics, and constraints of the interfacing items.
<b>Issue</b>	Any error in SPIRIT functionality not caused by a revision(s) to the SPIRIT source code.
<b>Issue Tracking System</b>	The software application in which Issues and Defects are reported and/or their resolution monitored.
<b>IT</b>	Information Technology
<b>ITIL</b>	IT Infrastructure Library
<b>ITSM</b>	IT Service Management
<b>IV&amp;V</b>	Independent Verification and Validation
<b><a href="#">Jira</a></b>	The proprietary Issue Tracking System product developed by Atlassian and used by SPIRIT for Issue Tracking System and Agile project management.
<b>Known Defect</b>	A problem which has a documented root cause and a workaround. Known Defects are created and managed throughout the lifecycle by problem management. Known Defects may also be identified and documented during development.
<b>Lead State</b>	State of Maine
<b>Level-3 Support</b>	The highest level of support in the three-tiered technical support model responsible for handling the most difficult or advanced problems. Level-3 Support, as referenced in this document, is specifically associated with support provided by the awarded Bidder in support of SPIRIT. Level-3 Support is used by the production operations support organization, SA IT department, or awarded Bidder providing SPIRIT operations support services, as a last resort support call requiring SPIRIT software (code) expertise.

<u>Term/Acronym</u>	<u>Definition</u>
<b>Maine OIT</b>	State of Maine Office of Information Technology
<b>Major Software Release</b>	Major software releases and hardware upgrades normally contain large amounts of new functionality, some of which may make intervening resolutions to problems redundant. A major upgrade or release usually supersedes all preceding minor upgrades, releases, and emergency fixes.
<b>MIS</b>	Management Information System
<b>.NET</b>	An open-source developer platform, created by Microsoft, for building different types of applications within the Microsoft Windows operating system.
<b>Participant</b>	Pregnant, postpartum, and breast-feeding women; infants; and children up to five (5) years of age who are certified to receive benefits from the WIC Program, including food benefits, referrals, nutrition education, and breastfeeding support.
<b>Participating Purchasing State Addendum (Addendum)</b>	The document signed by the SUG WIC State Agencies, authorizing the SUG WIC State Agencies to place orders/purchases under this contract administered by the State of Maine, refer to <b>Appendix H</b> .
<b>Personally Identifiable Information (PII)</b>	Information which can be used to distinguish or trace an individual's identity, either alone or in combination with other personal or identifying information that is linked or linkable to a specific individual.
<b>Product Management Office (PMO)</b>	The centralized function providing support to the SUG. SPIRIT PMO offices are in Oklahoma City, OK.
<b>Project Assessment Quotation (PAQ)</b>	The mechanism within the awarded contract through which the SUG requests SPIRIT specialized or customized services or documentation changes that are not addressed under <b>TABLE 5</b> Core Services. Each PAQ is a separate tasking with associated price amounts and delivery schedules, refer to <b>Appendix H</b> for the SUG PAQ processes.
<b>Project Management Professional</b>	Individual who is certified by the Project Management Institute ( <a href="https://www.pmi.org/certifications">https://www.pmi.org/certifications</a> )
<b>Project Manager</b>	The awarded Bidder's assigned Project Manager.
<b>Quality Assurance Surveillance Plan (QASP)</b>	Supports SPIRIT by detailing the principles associated with post-award surveillance of the awarded Bidder's performance. The QASP recognizes the responsibility of the awarded Bidder to carry out its quality obligations and provide measurable inspection and acceptance criteria corresponding to the quality of the awarded Bidder's performance of the services detailed in the resulting contract. The QASP focuses on the level of performance required in resulting contract, rather than the methodology used by the awarded Bidder to achieve the level of performance required. Furthermore, the QASP shall be used as a governance document to enforce the inspection and acceptance clauses stated in the resulting contract.
<b>RFP</b>	Request for Proposal
<b>Security Patch</b>	A software or operating-system patch that is intended to correct a vulnerability to hacking or viral infection. Attackers wanting to break

<b><u>Term/Acronym</u></b>	<b><u>Definition</u></b>
	into systems can exploit such vulnerabilities. Security updates are analogous to updates, but should be considered mandatory, and the updates must be deployed quickly.
<b>Service Level Requirements (SLR)</b>	Statements describing service expectations of the awarded Bidder, refer to <b>Appendix I</b> .
<b>SharePoint</b>	A collection of web tools from Microsoft allowing users to share and manage digital information. Also referred to as a web portal.
<b>SPIRIT Provider</b>	Custom Data Processing, the current contractor providing maintenance and enhancement services for SPIRIT.
<b>SPIRIT Users Group (SUG) “Shoog”</b>	Members of SAs who have fully implemented and maintain the integrity of SPIRIT. In addition, the SUG provides enhancements and manages changes to SPIRIT.
<b>SPIRIT Technical Advisory Committee (STAC)</b>	A team composed of SUG SA Subject Matter Experts who specialize in specific modules that are being reengineered as part of the SPIRIT Reengineering Project.
<b>Standard Imaging</b>	Includes, but is not limited to, the required software versions, patch levels, hardware components, and models with required capacity levels, storage size, memory, processor speeds, and/or network speed to successfully install, configure, and run SPIRIT at a SA.
<b>State</b>	State of Maine
<b>State Agency(ies) (SA)</b>	Multiple states who utilize SPIRIT in support of the provision of services to Participants in their respective designated geographical areas. Each SA directs and supports the WIC services provided through its clinics, the frontline facilities in which applicants are certified to participate in WIC.
<b>SA Model (SAM)</b>	An FNS initiative to plan, develop, and deploy model MIS’ in WIC SAs. There are three (3) WIC SAM consortia (no other consortia will be created): <ul style="list-style-type: none"> <li>• SPIRIT (Successful Partners in Reaching Innovative Technology)</li> <li>• MPSC (The Mountain Plains States’ Consortium)</li> <li>• Crossroads</li> </ul>
<b>Subject Matter Expert (SME)</b>	An individual who has special skills or knowledge of a particular job or topic.
<b>Subsequent Contractor</b>	The entity that succeeds the awarded Bidder at the natural end of awarded Bidder’s contract resulting from this RFP.
<b>Successful Partners in Reaching Innovative Technology (SPIRIT) System</b>	A SAM MIS developed by a consortium of WIC SAs to support the WIC program activities of its member partners. SPIRIT also refers to the system’s browser-based upgrade dubbed SPIRIT Web.
<b>SUGConnect</b>	The SharePoint site used by the SUG members, PMO, and awarded Bidder to share documents and source code. Permissions to document libraries are managed by the PMO.
<b>Technical Advisory Group (TAG)</b>	Members of the SUG, having technical expertise, convened as needed to review, discuss, and make recommendations to the ESC on matters of a technical nature, such as system security, infrastructure, code assessments, or maintainability.
<b>Testing Team</b>	Representatives from SAs who independently test versions of



<u>Term/Acronym</u>	<u>Definition</u>
	SPIRIT for their states and collaborate on calls.
<b>The Integrity Profile</b>	Data collection which provides FNS and WIC SAs an annual data set that can be used to assess SAs' compliance with WIC Retailer/Vendor management requirements and estimate SA' progress in eliminating fraud, waste, and abuse.
<b>Trouble Ticket</b>	The file contained within an Issue Tracking System that contains information about support interventions made by technical support staff on behalf of an end user who has reported an Incident.
<b>USDA</b>	United States Department of Agriculture
<b>User Acceptance Testing (UAT)</b>	The final phase of the software testing process performed by SUG SA testers who ensure, by testing in real-world, SPIRIT scenarios, the software performs according to specifications.
<b>WIC</b>	USDA/FNS' Special Supplemental Nutrition Program for <b>W</b> omen, <b>I</b> nfants, and <b>C</b> hildren enacted pursuant to Section 17 of the Child Nutrition Act of 1966. WIC is funded through USDA/FNS and provides nutrition, breastfeeding, health education, nutritious food benefits, and referrals to other health and social service programs.
<b>WIC EBT Universal Interface (UI)</b>	The UI Specifications standardize the functional requirements for the Universal Interface between the WIC MIS and the WIC EBT systems used in the WIC nutrition program. The document defines and describes: <ul style="list-style-type: none"> <li>• The types of WIC MIS and WIC EBT systems</li> <li>• The types of interfaces between WIC MIS and WIC EBT systems.</li> <li>• The functions to be supported in the Universal Interface.</li> <li>• The core data elements required by the defined functions.</li> <li>• The processing rules to be implemented to support the functions.</li> </ul> The recommended distribution of functions between the WIC MIS and the WIC EBT system.
<b>WIC Universal MIS/EBT Interface Functional Requirements Specification</b>	The UI Specifications standardize the functional requirements for the Universal Interface between the WIC MIS and the WIC EBT system used in the WIC nutrition program. The document defines and describes: <ul style="list-style-type: none"> <li>• The types of WIC MIS and WIC EBT systems</li> <li>• The types of interfaces between WIC MIS and WIC EBT systems.</li> <li>• The functions to be supported in the Universal Interface.</li> <li>• The core data elements required by the defined functions.</li> <li>• The processing rules to be implemented to support the functions.</li> </ul> The recommended distribution of functions between the WIC MIS and the WIC EBT system. See <b>Appendix K</b> – SPIRIT Miscellaneous Information/Documentation.

**State of Maine - Department of Health and Human Services**  
*Maine Center for Disease Control and Prevention*  
**RFP# 202012169**  
**Maintenance & Enhancement Services for WIC SPIRIT Software**

**PART I INTRODUCTION**

**A. Purpose and Background**

The Department of Health and Human Services (Department) is seeking maintenance and enhancement services for the Special Supplemental Nutrition Program for Women, Infants, and Children (WIC) eligibility and benefit issuance computer system, Successful Partners in Reaching Innovative Technology (SPIRIT), as defined in this Request for Proposals (RFP) document. This document provides instructions for submitting proposals, the procedure and criteria by which the awarded Bidder will be selected, and the contractual terms which will govern the relationship between the State of Maine (State) and the awarded Bidder.

WIC provides nutritious foods, nutrition education, breastfeeding support, and referrals to pregnant, breastfeeding, and postpartum women, infants, and children up to five (5) years of age who are determined to be at nutritional risk and meet income guidelines. WIC is designed to positively impact prenatal nutrition, infant birth weight, iron deficiency anemia, early childhood nutrition, and cognitive development. WIC Programs must comply with federal and state requirements and reporting mandates.

The United States Department of Agriculture (USDA) funds WIC, which is governed by [7 C.F.R. § 246](#), and is generally administered by state governments. WIC is available in all fifty (50) states, thirty-four (34) Indian Tribal Organizations, American Samoa, District of Columbia, Guam, Commonwealth of the Northern Mariana Islands, Puerto Rico, and the Virgin Islands.

The State Agency (SA) Model (SAM) to be supported as a result of this RFP is SPIRIT, the WIC Management Information System (MIS) which must comply with all WIC regulations, policies, procedures, and guidelines. Data integrity is of primary importance. Reports generated from SPIRIT are sent by SAs to USDA Food and Nutrition Service (FNS). The FNS Regional and National Offices administer WIC grants and compliance and are, therefore, major SPIRIT stakeholders. Currently, SUG SAs are located in six (6) of the seven (7) FNS Regions, refer to Exhibit 1.

Exhibit 1 FNS Regional Offices



WIC State Agencies by FNS Region	
FNS Regional Offices	SUG SAs by Regions
Mid-Atlantic Regional Office (MARO)	None
Midwest Regional Office (MWRO)	Minnesota
Mountain Plains Regional Office (MPRO)	Missouri Montana
Northeast Regional Office (NERO)	Maine Indian Township Passamaquoddy Reservation Pleasant Point Passamaquoddy Reservation
Southeast Regional Office (SERO)	Mississippi Mississippi Band of Choctaw Indians
Southwest Regional Office (SWRO)	Acoma Canoncito & Laguna Hospital Chickasaw Nation Choctaw Nation of Oklahoma Citizen Potawatomi nation Eight Northern Indian Pueblos Council, Inc. Five Sandoval Indian Pueblos, Inter-Tribal Council of Oklahoma Muscogee Creek Nation Osage Nation Otoe-Missouri Tribe Pueblo of San Felipe Santo Domingo Tribe Wichita Caddo Delaware Enterprises Zuni Pueblo
Western Regional Office (WRO)	Alaska

In 2004, FNS began a five (5)-year initiative to plan, develop, and deploy MIS in WIC SAs. This initiative is known as the WIC Program SA Model (SAM) and has the objective of saving money by creating single WIC eligibility and benefit issuance computer systems that can be used by multiple SAs. To accomplish this objective, FNS selected three (3) consortia to develop multi-user WIC eligibility and benefit issuance computer systems. Each SAM consortia built its own web-based system (refer to Exhibit 2) incorporating standing WIC data elements, modular components, and an open-system architecture that complies with WIC regulations, policies, procedures, and guidelines.

*Exhibit 2 – WIC Program SAMs*

Consortia	WIC Model Information System
SPiRiT Users Group (SUG)	Successful Partners in Reaching Innovative Technology (SPiRiT)
Mountain Plains User Group (MPUG)	Mountain Plains States Consortium (MPSC)
Crossroads User Group	Crossroads

The SUG governs SPiRiT’s overall software structure and function. SUG members share knowledge and experiences, manage changes to and protect the integrity of the system—for the good of all SAs, and, ultimately, all WIC program Participants receiving benefits through SPiRiT. To join the group, members must sign the “User Group Charter,” use the system core code (rather than creating any other version of the core code), share SAM-related information with other members of the group, and agree to test and share test results on all new releases. The Change Control Work Group, designated by SUG, is responsible for analyzing the technical and business impacts of system Project Assessment Quotations (PAQs). Task Forces are identified as needed to address subject or module-related potential changes (e.g., vendor, food package, risk codes, reports, and clinic). By collaborating with the Executive Steering Committee (ESC), the CCWG ensures requested code changes will not have a negative impact on the system.

The current source-code developer for SPiRiT performs Defect fixes, enhancements, and software maintenance. SPiRiT is an on-line, real time system, developed using Microsoft Smart Client architecture. SPiRiT consists of the high-level components which include: Application Server(s), Web Server(s), Database Server(s), Client Workstations, and Peripherals. Additional details on the system requirements and the current installation can be found in **Appendix H - Error! Reference source not found.** and **Appendix J - Spirit System Technical Documentation.**

In 2018, the SUG implemented a project to reengineer SPiRiT into a browser-based system. This project is referred to as SPiRiT Web. Both SPiRiT and SPiRiT Web systems will have the same WIC clinic, financial, and vendor modules.

The reengineered SPiRiT Web project clinic and financial modules should be completed by the execution of the initial period of performance resulting from this RFP. The objective is for SUG SAs to transition to the reengineered modules as soon as possible after module completion. In other words, the SAs can implement the reengineered clinic and financial modules when completed and these reengineered modules will work with the SPiRiT Provider module in the WIC SAs production environments for continued WIC operations. It is anticipated some SUG SAs will begin piloting the SPiRiT Web reengineered clinic and financial browser-based modules as soon as available. If all SAs have not implemented the reengineered clinic and financial browser-based modules, the awarded Bidder of this RFP will provide support for both the older WIC clinic and financial modules and the reengineered clinic and financial browser-based

modules.

As requested by and in conjunction with the SUG, the SUG will request the awarded Bidder to develop a plan to complete reengineering the remaining module(s) at a firm, fixed price, based on one or more PAQs. This plan shall include reengineering the SPIRIT Provider module, and possibly include completing the clinic and financial modules if current development is delayed and not completed by the start of the initial period of performance resulting from this RFP.

Note that, upon SPIRIT Web rollout at each SA, the terms "SPIRIT Web" and "SPIRIT" are interchangeable. For the purposes of this RFP, the terms are interchangeable except when referring to SPIRIT Web's separate development and deployment.

The scope and complexity of SPIRIT has evolved significantly since its inception. Initially, SPIRIT supported thirteen (13) WIC SAs, approximately thirteen thousand (13,000) WIC Participants monthly, and one hundred twenty (120) clinic users. Today, SPIRIT supports twenty-three (23) WIC SAs, approximately three hundred seventy-one thousand (371,000) WIC Participants monthly, and three thousand two hundred twenty-nine (3,229) clinic users. Although no other states have expressed interest in joining the SUG, additional membership remains a possibility. To join the SUG, the SA signs the SUG Charter, **Appendix H - SPIRIT Program Documentation**.

Exhibit 3 Number of Current SPIRIT Users (As of July 2019)

FNS Regional Office		SUG WIC SA		WIC Participant / Month	Local Agency Users
A.	Northeast Regional Office (NERO)	1.	Maine (ME)	16,681	117
		2.	Indian Township Passamaquoddy Reservation	61	3
		3.	Pleasant Point Passamaquoddy Reservation	55	3
B.	Mid-Atlantic Regional Office (MARO)				
C.	Southeast Regional Office (SERO)	4.	Mississippi (MS)	84,201	860
		5.	Mississippi Band of Choctaw Indians	665	8
D.	Southwest Regional Office (SWRO)	6.	Acoma Canoncito & Laguna Hospital (ACL)	390	6
		7.	Chickasaw Nation (CN)	3,400	32
		8.	Choctaw Nation of Oklahoma	4,975	18
		9.	Citizen Potawatomi Nation	1,500	9
		10.	Eight Northern Indian Pueblos Council, Inc.	240	7
		11.	Five Sandoval Indian Pueblos	275	4
		12.	Inter-Tribal Council (ITC) of Oklahoma	730	7
		13.	Muscogee Creek Nation	2,500	12
		14.	Osage Nation	3,000	19
		15.	Otoe-Missouri Tribe	423	6
		16.	Pueblo of San Felipe	240	5
		17.	Santo Domingo Tribe	213	5
E.	Western Regional Office (WRO)	18.	Wichita Caddo Delaware (WCD) Enterprises	3,495	13
		19.	Zuni Pueblo	520	7
F.	Mountain Plains Regional Office (MPRO)	20.	Alaska (AK)	16,300	100
F.	Mountain Plains Regional Office (MPRO)	21.	Missouri (MO)	96,770	997
		22.	Montana (MT)	14,855	150
G.	Midwest Regional Office (MWRO)	23.	Minnesota (MN)	102,778	840
<b>Totals</b>				<b>354,267</b>	<b>3,228</b>

In addition to the SPIRIT Users in Exhibit 3, other SPIRIT stakeholders include FNS, individual states' health divisions and Information Technology (IT) departments, Independent Validation and Verification (IV&V) contractors, planning contractors, maintenance and operations contractors, and the SUG Product Management Office (PMO).

## B. SUG Business Hours

SUG offices hours are Monday through Friday 7:00 a.m. to 7:00 p.m., their local time, and Saturday 8:00 a.m. to 12:00 p.m., their local time, excluding federal holidays. The SUG Product Management Office (PMO) is located in Oklahoma City, Oklahoma with hours Monday through Friday 8:00 a.m. to 5:00 p.m., local time, excluding federal holidays.

## C. Other Service Providers

Currently, there are both internal and external SPIRIT-related service providers in place, such as:

1. Maintenance and Operations Services to some SUG SAs. These services may include combinations of Help Desk, hosting services, hardware support, and Network support.
2. Internal IT groups who provide a combination of Help Desk, hosting services, hardware support, network support, etc. for some SUG SAs.
3. Electronic Benefits Transfer (EBT) processing services.
4. Quality assurance and/or IV&V services to some SUG SAs.

SAs use WIC EBT for their benefit delivery, online and smart card, and contract with EBT processors. Enhancements to the WIC MIS must function appropriately with the online and smartcard EBT service providers and meet SAs security requirements.

### *Exhibit 4 EBT Service Providers*

Current SUG EBT Processing Service Providers
Custom Data Processing, Inc.
Fidelity National Information Services, Inc.
Conduent Inc.
Solutran Inc.

## D. Roles and Responsibilities

A description of the roles and responsibilities of SUG stakeholders can be found in the SUG Charter, **Appendix H** - SPIRIT Program Documentation

## E. General Provisions

1. From the time the RFP is issued until award notification is made, all contact with the State regarding the RFP must be made through the RFP Coordinator. No other person/ State employee is empowered to make binding statements regarding the RFP. Violation of this provision may lead to disqualification from the bidding process, at the State's discretion.
2. Issuance of the RFP does not commit the Department to issue an award or to pay expenses incurred by a Bidder in the preparation of a response to the RFP. This includes attendance at personal interviews or other meetings and software or system demonstrations, where applicable.
3. All proposals must adhere to the instructions and format requirements outlined in the RFP and all written supplements and amendments (such as the Summary of Questions and Answers), issued by the Department. Proposals are to follow the format and respond to all questions and instructions specified below in the "Proposal Submission Requirements" section of the RFP.
4. Bidders will take careful note that in evaluating a proposal submitted in response to the

RFP, the Department will consider materials provided in the proposal, information obtained through interviews/presentations (if any), and internal Departmental information of previous contract history with the Bidder (if any). The Department also reserves the right to consider other reliable references and publicly available information in evaluating a Bidder's experience and capabilities.

5. The proposal must be signed by a person authorized to legally bind the Bidder and must contain a statement that the proposal and the pricing contained therein will remain valid and binding for a period of 180 days from the date and time of the bid opening.
6. The RFP and the awarded Bidder's proposal, including all appendices or attachments, will be the basis for the final contract, as determined by the Department.
7. Following announcement of an award decision, all submissions in response to this RFP will be public records, available for public inspection pursuant to the State of Maine Freedom of Access Act (FOAA) ([1 M.R.S. § 401](#) et seq.).
8. The Department, at its sole discretion, reserves the right to recognize and waive minor informalities and irregularities found in proposals received in response to the RFP.
9. All applicable laws, whether or not herein contained, are included by this reference. It is the Bidder's responsibility to determine the applicability and requirements of any such laws and to abide by them.

**F. Contract Term**

The Department is seeking a cost-efficient proposal to provide services, as defined in the RFP, for the anticipated contract period defined in the table below. Please note, the dates below are estimated and may be adjusted, as necessary, in order to comply with all procedural requirements associated with the RFP and the contracting process. The actual contract start date will be established by a completed and approved contract.

Contract Renewal: Following the initial term of the contract, the Department may opt to renew the contract for four (4) renewal periods, as shown in the table below, and subject to continued availability of funding and satisfactory performance.

The term of the anticipated contract, resulting from the RFP, is defined as follows:

Period	Start Date	End Date
*Transition-In Period	1/1/2022	6/30/2022
Initial Period of Performance	7/1/2022	6/30/2024
Renewal Period #1	7/1/2024	6/30/2026
Renewal Period #2	7/1/2026	6/30/2028
Renewal Period #3	7/1/2028	6/30/2030
Renewal Period #4	7/1/2030	6/30/2032

Note: The "Transition-In Period" parallels the final six (6) months of the current SPIRIT modernization and reengineering contract with the SPIRIT Provider and includes the Cutover Date, which shall occur no more than six (6) months following Transition-In Period Start Date.

**G. Number of Awards**

The Department anticipates making one (1) award as a result of this RFP process.

The State will award any contract resulting from this RFP on behalf of the states participating in the SUG and serve as the lead SUG State Agency (SA).



## **PART II SCOPE OF SERVICES TO BE PROVIDED**

**Specific instructions for the Bidder to provide a narrative response to the Scope of Services may be found in Part IV, Section III, 1, Services to be Provided.**

### **A. WORK LOCATION**

1. Perform maintenance and enhancement services of the Successful Partners in Reaching Information Technology (SPIRIT) at the awarded Bidder's and/or its subcontractor's location(s) within the Continental United States.
  - a. Provide certification that all work will be performed in the Continental United States.
  - b. Ensure no maintenance and enhancement services are performed remotely from outside the Continental United States, despite connectivity to a server located within the Continental United States.
  - c. Any maintenance and enhancement service performed from a location outside of the Continental United States, will be deemed in breach of the awarded contract.
2. The Lead State's Contract Administration Liaison (CAL) and/or a designated representative(s) of the CAL may visit the awarded Bidder's and/or its subcontractor's work site(s) at any time during normal business hours upon giving a twenty-four (24-) hour verbal or written (electronic mail) notice.

### **B. CLASSIFICATION OF SERVICES**

1. Provide all services, labor, supervision, material, equipment, tools, insurance, and fees necessary to provide software and technical support services and software enhancements for SPIRIT.
2. Provide services under two (2) classifications:
  - a. Core Services including: Software enhancement, enhancement support, and all administrative functions necessary to support performance of the services and activities described in **TABLE 1**, as well as software transition activities. Core Services will be paid through the Lead State.
  - b. Services ordered through a Project Assessment Quotation (PAQ) as described in **TABLE 2**.
    - i. Individual SUG State Agencies (SAs) may submit a Participating Purchasing State Addendum (Addendum) to the Lead State to become a Participating Purchasing State authorized to place orders/purchases under the resulting contract.
      - 1.) The Addendum and the Cooperative Contract (administered by the State of Maine) together with its exhibits, set forth the entire agreement between the awarded Bidder and the SAs with respect to the subject matter of all previous communications, representations or agreements, whether oral or written, with respect to the subject matter hereof.
      - 2.) Terms and conditions inconsistent with, contrary to or in addition to the terms and conditions of the Addendum and the Cooperative Contract, together with its exhibits, shall not be added to or incorporated into the Addendum or the Cooperative Contract and its exhibits, by any subsequent PAQ or otherwise, and any such attempts to add or incorporate such terms and conditions will be rejected.

- 3.) The terms and conditions of the Addendum and the Cooperative Contract and its exhibits shall prevail and govern in the case of any such inconsistent or additional terms within the Participating Purchasing State.
- 4.) The Participating Purchasing State that signs a PAQ is responsible for the PAQ funding and payment to the awarded Bidder.
- 5.) PAQs for source code modifications must follow the SUG Change Control Process and be approved by the Executive Steering Committee (ESC) prior to any work being performed.

**TABLE 1 - Core Services**

Section	Core Services	
A.	1.	Support SPIRIT Users Group (SUG) states (including any new states joining the SUG) with Help Desk Level-3 Support available during SUG Business Hours (refer to Part I, B.).
	2.	Work with the SUG to find work arounds for Defects.
	3.	As part of Help Desk Level-3 Support, provide supplemental support to individual SA Information Technology (IT) departments, EBT Processors, maintenance and operations contractors, and third party suppliers of associated hardware peripherals and software in troubleshooting Defects.
	4.	Track, report, and resolve Defects.
	5.	Resolve data corruption problems caused by Defects.
	6.	Enter comments into the Issue Tracking System to provide weekly status to SAs.
	7.	Ensure Defects identified during User Acceptance Testing (UAT) are fixed in a corrective release, so the next major release is provided to SAs as a production-ready release.
	8.	Ensure Defects identified outside of the UAT reporting period that do not fall into the Major or Critical categories are resolved in the next major release.
	9.	Discuss with the Change Control Work Group (CCWG) and Designated Governing Body (DGB) a delivery schedule for Critical and Major Defect resolutions identified outside of the UAT reporting period. <ol style="list-style-type: none"> <li>a. If Defects are not resolved in a corrective release prior to the next major release, then the Defect must be resolved in the next major release.</li> </ol>
	10.	Resolve all Known Defects prior to any contract end date or as agreed upon by the Product Management Office (PMO) and SUG. <ol style="list-style-type: none"> <li>a. Seek final acceptance of the work and formal closure of the project once the PMO/SUG provides written approval that all requirements have been met and the scope of work is complete.</li> </ol>
B.	11.	Work with the CCWG to develop Change Requests and provide the level of effort to make the change within the timeframe outlined in the Service Level Requirements ( <b>Appendix I - SLRs</b> ).
	12.	Facilitate the development of Change Requests.
	13.	Provide Business Analysts and Technical experts to be on calls with CCWG to work on Change Requests.
	14.	Provide design documents that may include screen shots for CCWG consideration.
C.	15.	Provide Level-3 Support.
	16.	Trouble shoot the cause of the problem.
	17.	Research the issue and formulate solutions.

Section	Core Services	
	18.	Lead or participate in demonstrations to explain the problems or solutions to the SUG and SA staff.
D.	19.	Acknowledge production down/critical Defects within fifteen (15) minutes of notification.
	20.	Find solutions and work arounds for the problem and work with SAs on the timetable for resolutions.
	21.	Enter a Trouble Ticket within twenty-four (24) hours to notify the SUG and provide details for problem resolution.
E.	22.	Provide Status reports as outlined in <b>TABLE 5</b> Report Schedule.
F.	23.	Provide recommendations to the SUG for technical upgrades to maintain current SPIRIT operations annually.
	24.	Research technical upgrades for the SUG and recommend the technical upgrades; Objective: keep the infrastructure up to date with industry standards and prevent end of life problems.
G.	25.	Host an Issue Tracking System for the SUG. The SUG currently uses Jira. However, the awarded Bidder may suggest the SUG consider an alternative Issue Tracking System.
H.	26.	Provide representation on SUG calls as outlined in <b>TABLE 3</b> - SUG Telephone Meetings is required as part of Core Services.
I.	27.	Provide representation by the Project Manager and an awarded Bidder decision-maker (in-person attendance) at all SUG biennial meetings. Additional meeting attendance may be required as determined by the SUG.
J.	28.	The SPIRIT Provider is responsible for fixing Defects prior to their contract end. The awarded Bidder shall be responsible for fixing Defects after the Transition-In period ends.
	29.	Prior to the end of the Transition-In period, the awarded Bidder shall identify the Defects that were not fixed by the SPIRIT Provider prior to contract end. This list of unresolved SPIRIT Provider Defects shall be provided to the SUG PMO on a biweekly basis and a final list of Defects shall be provided on the last day of Transition-In.
K.	30.	Maintain and support SPIRIT as it exists at the time of the Transition-In period, including but not limited to one or more modules of SPIRIT Web and the remaining modules of the original SPIRIT system In the event of a delay or stoppage of the SPIRIT Web reengineering project during the period prior to all SAs having installed the new SPIRIT Web into their production environments.

**TABLE 2 - Project Assessment Quotation (PAQ)**

Section	PAQ	
A.	1.	The six (6) New Mexico Tribal WIC programs have committed to leaving the SUG and transferring to a different WIC MIS. Should their transition not be completed prior to the beginning of the contract resulting from this RFP, the awarded Bidder shall support their SPIRIT system, at a firm fixed price based on one or more PAQs, until transfer is complete.
B.	2.	Provide transition support and data conversion as needed for new SAs joining the SUG who execute a PAQ.
C.	3.	Make code modifications for system enhancements not considered Defects based on the approved Change Request. The list of unresolved SPIRIT Provider Defects, submitted to the PMO on the last day of Transition-In, shall be reclassified as system enhancements.

Section	PAQ	
	4.	Provide access to beta copies of code design as requested.
	5.	Provide demonstrations of how code change operates as requested.
	6.	Update system documentation to reflect system code modification.
	7.	Include design documents and/or screen shots.
D.	8.	For production down problems that require a code change, if the problems were not Defects, a PAQ is written for the awarded Bidder to fix the problem.
E.	9.	Prior to delivering a release, certify: <ul style="list-style-type: none"> <li>a. The new versions will run on the existing hardware/software as part of the quality assurance performed by the awarded Bidder;</li> <li>b. The system has been load-tested and the change does not negatively impact performance;</li> <li>c. Code meets the agreed upon coding standard.</li> </ul>
	10.	Ensure deployment certification is conducted and completed by the State prior to delivering the release.
	11.	Comply with all State of Maine <a href="#">OIT policies, standards, and procedures</a> , including, but not limited to: <ul style="list-style-type: none"> <li>a. <a href="#">Digital Accessibility and Usability Policy</a>;</li> <li>b. <a href="#">Remote Hosting Policy</a>;</li> <li>c. <a href="#">Application Deployment Certification Policy</a>; and</li> <li>d. <a href="#">Information Security Policy</a>.</li> <li>e. Conducting a full SSAE-18 SOC 2 Type 2 Annual Audit, which includes testing the five (5) Trust Services Criteria (Security, Availability, Processing Integrity, Confidentiality and Privacy). <ul style="list-style-type: none"> <li>i. A copy of the audit and plan of action for remediation of any deficiencies shall be provided to the Department.</li> </ul> </li> </ul>
F.	12.	Provide Training/Instructions Documentation (manuals, online training, online notes, etc.) as delineated in the PAQ.
	13.	Ensure all system documentation is updated as appropriate to ensure all system documentation remains current and up-to-date as part of the PAQ when making code modifications. <ul style="list-style-type: none"> <li>a. System documentation may include but not be limited to: <ul style="list-style-type: none"> <li>i. Release notes;</li> <li>ii. Detailed Functional Design Document (DFDD);</li> <li>iii. Detailed Technical Specifications Document (DTSD);</li> <li>iv. Interface Control Document (ICD);</li> <li>v. Data Dictionary Document;</li> <li>vi. design documentation; or</li> <li>vii. Entity Relationship Diagram (ERD).</li> </ul> </li> </ul>
G.	14.	Other skilled representatives time on calls with the SUG (not including those listed in <b>TABLE 3</b> ) related to PAQ deliverables shall be included in the cost of PAQs.
H.	15.	As requested by and in conjunction with the SUG, the SUG will request the awarded Bidder to develop a plan to complete reengineering the remaining module(s) at a firm, fixed price, based on one or more PAQs. This plan shall include reengineering the SPIRIT Provider module, and possibly include completing the clinic and financial modules if current development is delayed and not completed by the start of the initial period of performance resulting from this RFP.

### C. PARTICIPATION IN STATUS CALLS

1. Meet via conference call as needed with various SUG working groups as delineated in **TABLE 3**. Conference calls will be facilitated/coordinated and tracked by the SUG PMO.

**TABLE 3 - SUG Telephone Meetings**

Established Meetings		Number per Week	Anticipated Average Length of Meeting (Hours)	Awarded Bidder Expertise Required During Meeting	Minutes completed by
Executive Steering Committee (ESC) Calls	The ESC functions as the overall governing body of the SUG and is authorized to make decisions, such as policy, and funding for the SUG.	1	1	Awarded Bidder participates periodically on special request - skillsets based on awarded Bidder Initiatives/ Proposals/ Performance	PMO
DGB Calls	The DGB is a sub-committee of the ESC and will interface with the awarded Bidder.	1	1	Project Manager, Lead Developer, SPIRIT Analyst/Subject Matter Expert (SME)	PMO
CCWG Calls	The CCWG call will be for communication between the SUG SMEs with awarded Bidder SMEs.	1	2	Lead Developer, SPIRIT Analyst/SME, Design Facilitator	PMO
CCWG Subgroup Calls as needed		1	2	Lead Developer, SPIRIT Analyst/SME, Design Facilitator	PMO
Testing Team Call	The Testing Team call is for communication between the SUG Testers (SMEs) and awarded Bidder SMEs.	2	1	Project Manager, Lead Developer, SPIRIT Analyst/SME	PMO
Technical Advisory Group (TAG) Call	The TAG interfaces with the awarded Bidder.	As Needed	1	Technology Experts, SPIRIT Analyst/SME	PMO
SPIRIT Technical	The STAC interfaces with the	As Needed	2	Lead Developer, SPIRIT	Awarded Bidder

Established Meetings		Number per Week	Anticipated Average Length of Meeting (Hours)	Awarded Bidder Expertise Required During Meeting	Minutes completed by
Advisory Committee (STAC)	awarded Bidder as needed for the development of the reengineered browser-based modules			Analyst/SME, Design Facilitator	
PMO & Awarded Bidder Status Call		1	1	Project Manager, SPIRIT Analyst/SME	Awarded Bidder

2. ESC conference calls shall include, but not limited to:
  - a. Implementing strategic initiatives to advance the SUG's mission;
  - b. Approving release schedules, release content, PAQs, and payments;
  - c. Evaluating recommendations from SAs, TAG, and the CCWG, making appropriate decisions, and communicating those decisions;
  - d. Reviewing contract performance, DGB recommendations and SUG feedback in order to resolve performance issues if they occur;
  - e. Reviewing UAT results for PAQs and approving payment for PAQs.
  
3. DGB interfaces shall include:
  - a. Communicating ESC contract decisions;
  - b. Providing oversight of contract terms and conditions;
  - c. Collecting SUG feedback and reviews awarded Bidder performance;
  - d. Negotiating contract amendments for SLRs (**Appendix I**); and
  - e. Making recommendations to the ESC.
  
4. CCWG conference calls shall include, but not limited to:
  - a. Trouble shooting issues, finding solutions and/or work arounds;
  - b. Prioritization of tracked issues and enhancements;
  - c. Communication: system information, release specifics, instructions, schedules, status of issues, risks, impact, mitigation strategies, work status, etc.;
  - d. Design software modification Change Requests, to include business and functional requirements, design requirements and options, design documentation and demonstrations, etc.
  
5. Testing Team call shall include, but not limited to.
  - a. Working through problems identified through system use or during UAT to ensure awarded Bidder's development staff and SMEs understand any problem identified and are better informed to research problems; and
  - b. Identify work arounds until all code Defects are resolved.
  
6. TAG interfaces shall include:
  - a. Assessing current technologies with the goal of improving SPIRIT usability, longevity, and efficiency and make recommendations to the ESC; and
  - b. Reporting project status to the ESC.

7. STAC interfaces shall be specific to the SPIRIT reengineering project and include:
  - a. Communication: System information, release specifics, status of issues, risks, impact, mitigation strategies, work status; and
  - b. Design software modifications to include business and functional requirements, design requirements and options, review design documentation and demonstrations, etc.
8. PMO and awarded Bidder Status call shall include:
  - a. Tracking status of issues, Trouble Tickets, release schedules, and content;
  - b. Coordination of reporting quality of the tracking tool;
  - c. Promoting communication related to SPIRIT functionality, information, documentation, and SUG processes; and
  - d. Coordination of UAT testing and communication of results as part of the acceptance process.

#### **D. SOFTWARE ENHANCEMENT SERVICES**

Each of the following subsections describes a service to be provided. SLRs (**Appendix I**) correlate with the technical requirements of this section. Tasks associated specifically with transfer of SPIRIT maintenance and enhancement services from the current SPIRIT Provider to awarded Bidder are found in Part II, F.1., Software Services Transition-In.

1. **Software Development** - Software modifications to SPIRIT shall be required throughout the life of the awarded contract. Modification process shall include, but not be limited to:
  - a. Making changes necessary to meet policy or regulatory requirements (such as a change in the status of pre-existing Business Rules in SPIRIT or the creation of new business rules).
  - b. Making any major changes (required design changes in response to federal requirements, such as food package changes).
  - c. Software modifications shall be required when upgrading technology, devices, or system components to meet WIC program needs/requirements.
  - d. Following all SUG Change Control Process for all software modifications, other than changes associated with Defect fixes.
    - i. SUG has established working groups, processes and procedures, and communication channels which shall be followed.
  - e. Being responsible for all changes made to the software and correcting all Defects that arise from or associated with said changes, at no additional cost.
  - f. As part of software code modification services:
    - i. Conduct design review and confirmation sessions.
    - ii. Work with CCWG to arrive at a suitable schedule for reviews.
    - iii. Facilitate design reviews.
    - iv. Assume responsibility for tracking and recording all change requirements.
    - v. Provide notes and subsequent change requirements for CCWG review and approval.
    - vi. Offer suggestions for system improvements in the areas of overall system design, security, speed, etc.
    - vii. Deliver thorough system installation guides and design documents including hardware and software requirements, release notes, installation procedures, and configuration instructions.
      - 1.) All documents shall be technically-specific and tested.

- viii. Notify the ESC/SUG, within their PAQ response, that it proposes to use a third-party software within SPIRIT.
    - 1.) Provide alternative third-party software solutions, as required by ESC/SUG, should there be contractual issues with the proposed third-party solution.
    - 2.) Assume all responsibility for all actions and performance of its selected third party solution and correct all Defects arising from or associated with installation of said third party software, at no additional cost.
  - ix. Provide automated software installation.
  - x. Propose release schedule to CCWG, DGB and ESC.
  - xi. Adhere to the release schedule, unless additional PAQs impacting the schedule have been approved or signed PAQ's were not available within prescribed timeframe, refer to **Appendix H** – SPIRIT Program Documentation.
- 2. Source Code Operational Support** - Provide source code operational support for SPIRIT to designated SAs as part of Core Services, including:
- a. Maintaining all third-party SPIRIT software as up-to-date with the latest developer-approved patches, ensuring the system remains secure and operational.
  - b. Installing, configuring, and testing third-party software patches.
  - c. Providing to the SUG a list of findings resulting from testing.
  - d. Acknowledging Production Down and Critical Defects within fifteen (15) minutes of notification.
    - i. See **Appendix I** SLR-04: Response Time-Production Down and Critical Defects in Production Environment.
  - e. Providing recommendations for upgrades to maintain SPIRIT and third-party software components at a version supported by the third-party software vendor.
  - f. Supporting at least three (3) production versions of SPIRIT.
  - g. Providing source code.
    - i. SPIRIT source code is and shall remain the property of SUG, including that of any third-party software integrated into SPIRIT.
- 3. Software Defect Resolution** - Resolve all Defects in SPIRIT per the Defect Severity Levels and as delineated in **Appendix I** SLR-01 Software Quality Standards – Defect Management and **Appendix I** SLR-04 Response Time – Production Down and Critical Defects in Production Environment as part of Core Services, including:
- a. Being familiar with the standard SUG Priority Definitions for Production Down, Critical, Major, Medium, and Minor Defects.
  - b. Resolving all source code Defects in SPIRIT, including those Defects inherited from current SPIRIT Provider that are not identified during the Transition-In Period.
  - c. Carrying out a strategy for delivering Defect resolutions to the code.
  - d. Providing support/resolution for software Defects as part of Core Services, including at a minimum:
    - i. Ensuring SPIRIT test environments are fully capable of testing each SA's business rules at the awarded Bidder's site.
    - ii. Ensuring direct collaboration with designated SAs when addressing state-specific production issues (Level-3 Support).
  - e. Providing emergency code resolution for all production down and critical software Incidents resulting from Defects.
  - f. Providing transparent reporting of all Defects.
  - g. Providing operational workarounds for use in the field, to mitigate the impact of known software errors, while an acceptable change is identified and implemented.
  - h. Fixing problems in SA data, such as data corruption caused by software Defects.



- 4. Technical Upgrades & Environment Certification** - Provide technology upgrades and certification services including, but not limited to, upgrades to infrastructure, operating system, and databases in maintaining a supportable environment as third-party technology vendors deliver upgrades or enhancements.
- a. Except in cases of imminent threat (e.g., a Security Patch), schedule patches and upgrades using the Change Control Process, in coordination with the SUG ESC, and publish the schedule(s) on the SUG SharePoint site.
    - i. Proactively test and certify SPIRIT for use with the latest release of operating systems and other relevant technologies.
      - 1.) An inventory of the certified hardware/software currently used by the SUG shall be maintained and available to all SAs. Examples of such hardware and software include:
        - a) Windows 10 or higher;
        - b) Office 2013 and higher;
        - c) Hardware – scanners, printers, signature pads, and EBT peripheral equipment in the marketplace;
        - d) Mobile devices.
    - ii. Perform activities as part of the SPIRIT certification process, including:
      - 1.) Analysis;
      - 2.) Planning;
      - 3.) Ensuring adequate hardware/software is on hand as required for testing the infrastructure or Operating System upgrade in awarded Bidder's environment;
      - 4.) Installing and configuring new hardware/software in awarded Bidder's environment;
      - 5.) Making SPIRIT-required coding changes;
      - 6.) Testing software;
      - 7.) Providing communications;
      - 8.) Providing updated documentation;
      - 9.) Providing implementation guidelines and support;
      - 10.) Establishing standard configuration requirements for all system environments;
      - 11.) Providing a hardware/software Image Document containing a description of the Standard Imaging process for software and a set of standard procedures and configuration parameters for installation of the software at the central processing site and any clinics, including, but not limited to:
        - a) The required software versions;
        - b) Patch levels;
        - c) Hardware components and models with required capacity levels;
        - d) Storage size;
        - e) Memory, processor speeds, and network speed to successfully install;
        - f) Configure; and
        - g) Run SPIRIT at the SA.
- 5. Source Code Expertise in Support of System Adoption by Additional WIC SAs** - From time to time, additional SAs may join the SUG. A SA transferring into the SUG may initiate a PAQ for the awarded Bidder to deliver services.
- a. Support the SA transition by providing, upon approval of an associated PAQ, transition support services including, but not limited to:
    - i. Facilitating a pre-install walk-thru of the install documentation answering any questions by the SA staff and/or its transition service provider regarding system requirements.

- ii. Providing SA support to set up a UAT environment for the new SA.
- iii. Allowing SAs to review the awarded Bidder/SPIRIT business processes.
- iv. Supporting data migration and conversion of all affected data tables.
- v. Supporting installation of system software at SA's or transition provider's hosting site; to include both test and productions environments.
- vi. Providing training for SA staff as delineated in the PAQ.

**6. Transfer and Maintenance of SPIRIT Tools and Environments** - Transfer and maintain SUG software tracking application software (Jira or an ESC/SUG-approved replacement, collectively referred to herein as tracking application).

- a. Transfer tracking application and ensure its full operational capability during the Transition-In period while providing maintenance services, including but not limited to:
  - i. Procurement and provision of the tracking application hosting equipment or subscription services to cloud-based application(s).
  - ii. Purchasing and/or transferring tracking application licenses.
  - iii. Installing and configuring tracking application software.
  - iv. Setting up tracking application design/branding.
  - v. Reviewing priorities, assignment structure, and projects within tracking application with PMO prior to setting permission structure(s).
  - vi. Migrating current Issue Tracking System (Jira) historical data.
  - vii. Maintaining ongoing support for and track all issues in tracking application.
  - viii. Reviewing with the PMO how issues are organized in tracking application and improve organizational setup.
  - ix. Reviewing processes and procedures related to tracking application and propose improvements.
  - x. Developing and providing, upon ESC approval of syllabus, training on any new tracking application or tracking application upgrades.
  - xi. In conjunction with PMO, developing standard templates for input of tracking application data.
  - xii. In conjunction with SUG, entering new and/or existing Defects/enhancements into tracking application.
  - xiii. Deferring to the PMO to close any and all tracking application issues.
    - 1.) Only the PMO will be permitted to close issues in tracking application.
  - xiv. Performing all tracking application maintenance and updates at a time of day outside of normal business hours for each and every SA.

**E. SUPPORTING SERVICE REQUIREMENTS**

- 1. Deliver all services, both those requiring and not requiring a PAQ, in accordance with the supporting service requirements, including:
  - a. Delivering documentation as described in **TABLE 4**.

**TABLE 4 - Documentation Requirements and Deliverables**

Documentation Requirement	Documentation Deliverables	
Maintain up-to-date documentation readily available through accessible distribution channels (SUG SharePoint)	1.	Provide detailed release notes with each release.
	2.	Provide and update documented installation requirements.
	3.	Provide and update installation guide.
	4.	Provide documentation on business rule changes, and how the changes affect business rule settings,

Documentation Requirement	Documentation Deliverables	
		including the relationship of each business rule to other business rules.
	5.	Provide and update User and Operations Manuals. Provide “cheat sheets” highlighting areas of user and operations manuals which have been updated as a result of a PAQ.
	6.	Provide and update Training Curriculum (self-paced interactive web-based training modules) and quick reference guides.
Make updated release (source code) and supporting documentation readily available through accessible distribution channels (SUG SharePoint)	7.	New release of SPIRIT source code
	8.	DFDD
	9.	DTSD
	10.	Data Model updates
	11.	Quality assurance software metrics and reports
	12.	ERD
Updates to DFDD, DTSD, and Data Models	13.	Release Notes
	14.	Detailed descriptions of all user interfaces, screen edits, and database edits.
	15.	Detailed descriptions of all reports, report definitions, any other system-produced outputs and the system interfaces, for example The Integrity Profile, the United States Department of Agriculture (USDA) minimum data set.
	16.	Describe all functional specifications for all inputs, processing and outputs.
	17.	Provide a Data Dictionary
	18.	Include for each data element in the system, at a minimum: field name, business definition, type and length, the table(s) to which the field belongs, whether it is a database key, a cross-reference to screens, reports and processing modules and a description of its purpose.
	19.	In the case of system calculated/generated fields document the formula or mechanism by which these fields are calculated/generated, a description of the fields purpose, and where the fields are being used in the system.
	20.	Include a cross-reference from screen and report fields to Data Dictionary entries.
	21.	Present in the form of an Initial Draft for review and Final Version for approval, in an easily searchable, electronic format.
	22.	The draft version shall be submitted for PMO/SUG review in accordance with the approved project schedule for each release of the source code.
	23.	The final version shall be submitted for PMO/SUG review in accordance with the approved project schedule for each release of the source code.

Documentation Requirement	Documentation Deliverables	
Security Management Plan	24.	The goal of SPIRIT security management is to ensure adequate information security. The primary goal of information security, in turn, is to protect information assets against risks, and thus to maintain their value to the organization. This is commonly expressed in terms of ensuring the confidentiality, integrity and availability, along with related properties or goals such as authenticity, accountability, non-repudiation and reliability.
	25.	The security management plan should address the security management from a software development point of view, as well as how the physical security and access of the development environment is managed, and how databases provided to the awarded Bidder by states will be kept secure.
Technology Roadmap	26.	A technology roadmap matches short-term and long-term goals with specific technology solutions to help meet those goals. It is a plan which applies to a new product or process or to an emerging technology. The State expects awarded Bidder to stay apprised of new industry standards and aging software components and recommend changes to ensure SPIRIT life is extended as needed.
Configuration Management Plan	27.	Service asset and configuration management is primarily focused on maintaining information (i.e., configurations) about Configuration Items (i.e., assets) required to deliver an IT service, including their relationships. Configuration management is the management and traceability of every aspect of a configuration from beginning to end and it includes the following key process areas under its umbrella: <ul style="list-style-type: none"> <li>a. Identification</li> <li>b. Planning</li> <li>c. Change Control</li> <li>d. Change Management</li> <li>e. Release Management</li> <li>f. Maintenance</li> </ul>
Quality Assurance Surveillance Plan (QASP)	28.	The QASP is pursuant to the requirements listed in this Scope of Services. This plan shall set forth the procedures and guidelines used to ensure the required performance standards or service levels are achieved by awarded Bidder.
	29.	The QASP is to describe the systematic methods used to monitor performance and to identify the required documentation and the resources employed. The QASP provides a means for evaluating whether awarded Bidder is meeting the performance standards/quality levels identified in the PWS and the awarded Bidder's Quality Control Plan (QCP), and to

Documentation Requirement	Documentation Deliverables	
		ensure the State pays only for the level of services received.
	30.	The QASP defines the roles and responsibilities of all members of the integrated project team, identifies the performance objectives, defines the methodologies used to monitor and evaluate awarded Bidder's performance, describes quality assurance documentation requirements, and describes the analysis of quality assurance monitoring results.
Version control all documentation	31.	Indicate all changes in each version from the previous version.

- 2. Reporting Requirements** - Track and record all data/information necessary to complete the required reports listed in **TABLE 5** and deliver reports to the PMO/SUG on a frequency as delineated in the reporting requirements.
- Reporting shall be made accessible to all SUG stakeholders, be versioned using a consistent versioning scheme, and delivered in both PDF and Microsoft Word formats.
  - Provide e-mail notification to the PMO within one (1) hour following report posting.

**TABLE 5 - Reports**

Reporting Requirements	Reporting Deliverables	
Monthly Project status reports	1.	If a PAQ is a major system change, the PAQ may require monthly status reports on the progress for the specific PAQ.
Monthly Status Reports, to be delivered prior to the fifth (5 <sup>th</sup> ) calendar day of each month, including:	2.	Work accomplished in the reporting period.
	3.	Progress reports for all PAQs.
	4.	Planned work and objectives for the next reporting period.
	5.	Details of System component upgrade recommendations and patch status for the Client/ Server system, .NET Framework, IIS, SQL Server, SQL Server Express, and other system components that may affect server or client operability.
	6.	Awarded Bidder's adherence to SLRs ( <b>Appendix I</b> ) as reported in awarded Bidder's monthly reports and approved by DGB.
	7.	Defect Summary, with issues tracked by state, category, functional area, testing status, proposed resolution, and rollout schedule.
	8.	Outstanding decision/information requests, problems, schedule risks, and budget issues.
	9.	Responsibilities for all stakeholders and SAs, for the next period.
	10.	Establish, maintain, and provide a contact distribution list and organization chart of the awarded Bidder's organization.
		11.

Reporting Requirements	Reporting Deliverables	
Provide a technical memorandum summarizing each meeting held between awarded Bidder and PMO/SUG, in which the awarded Bidder leads the meeting. Ensure the monthly status report includes:	<b>12.</b>	Include major topics discussed.
	<b>13.</b>	Include decisions made and items needing follow-up.
	<b>14.</b>	Provide within three (3) business days of the meeting.
SLR Report following each software release.	<b>15.</b>	Compile SLR report and submit to the DGB within three (3) business days of release acceptance.
Defect and resolution reports, to be included within the Defect tracking system as well as new release notes.	<b>16.</b>	Track system issues and resolutions using the method approved by the CCWG.
	<b>17.</b>	Reports shall include metrics such as number of Defects reported in each priority level, number of Defects corrected in each priority level, number of outstanding Defects in each priority level, and total number of tickets outstanding.
	<b>18.</b>	Reports shall include Defect and enhancement impacts to all SUG members.
Organizational chart/resource management plans describing where work is being allocated to provide visibility to awarded Bidder's resources.	<b>19.</b>	This plan shall include resource information and provide credentials or assurance of qualified workers.
	<b>20.</b>	An updated plan reflecting any organizational or staffing changes that may impact awarded Bidder's overall performance shall be delivered within ten (10) business days of any staff change or within three (3) business days upon request by the SUG.
Annual future technology report	<b>21.</b>	Provide annual report on potential technology upgrades and how these future technologies may improve SPIRIT (See Technical Upgrades & Environment Validation).
	<b>22.</b>	To be submitted to PMO/SUG for review by ESC no earlier than December 1 <sup>st</sup> and no later than December 31 <sup>st</sup> annually.
Provide information and documentation as requested by the SUG needed for:	<b>23.</b>	Advanced Planning Document updates.
	<b>24.</b>	Estimates of enhanced system performance anticipated from potential system changes.
	<b>25.</b>	PAQ cost and level of effort estimates.
	<b>26.</b>	Technical updates.
Reports shall be accessible to SUG member state users	<b>27.</b>	Publish reports on SUGConnect SharePoint site or alternative as approved by SUG/ESC.
Performance Measures Report	<b>28.</b>	Submitted quarterly and due no later than thirty (30) calendar days following the end of each calendar quarter (March, June, September, December).
Report on Breach of PII	<b>29.</b>	Report simultaneously to PMO, ESC, and all SA within twenty-four (24) hours of a known or suspected security breach.

**3. Project Management - Submit a Project Management Plan as outlined in TABLE 6.**

**TABLE 6 - Project Management Plan**

The Project Management Plan shall:		
Include:	1.	Project Staffing Plan: Complete and accurate task descriptions and dependencies.
	2.	Risk Management Plan and Risk Log: A description of any known risk areas and the awarded Bidder's approach for mitigating said risks.
Include a Change Management Plan	3.	Which aims to ensure standardized methods and procedures are used for efficient handling of all changes, including minimal disruption of services and reduction in back-out activities. A change is an event that results in a new status of one or more Configuration items (CIs), and is approved by management, is cost-effective, and enhances business process changes (fixes/Defect resolutions) – all with a minimum risk to IT infrastructure.
Include a Release and Deployment Management Plan	4.	Which is used by the software migration team for platform-independent and automated distribution of software and hardware, including license controls across the entire IT infrastructure. Proper software and hardware control shall ensure availability of licensed, tested, and version-certified software and hardware, which functions as intended when introduced into existing infrastructure. Quality control during the development and implementation of new hardware and software is also the responsibility of release management. This guarantees all software meets the demands of the business processes.
	5.	With goals including: <ul style="list-style-type: none"> <li>a. Planning the rollout of software;</li> <li>b. Designing and implementing procedures for the distribution and installation of changes to IT systems;</li> <li>c. Effectively communicating and managing expectations of the customer during the planning and rollout of new releases; and</li> <li>d. Controlling the distribution and installation of changes to IT systems.</li> </ul>
	6.	Which focuses on the protection of the live environment and its services through the use of formal procedures and checks. A Release, in this context, consists of the new or changed software and/or hardware required to implement approved changes.
	7.	With Release categories to include: <ul style="list-style-type: none"> <li>a. Major software releases and major hardware upgrades, normally containing large amounts of new functionality, some of which may make intervening resolutions to problems redundant. A major upgrade or release usually supersedes all preceding minor</li> </ul>

The Project Management Plan shall:		
		<p>upgrades, releases, and emergency fixes.</p> <p><b>b.</b> Minor software releases and hardware upgrades, normally containing small enhancements and fixes, some of which may have already been issued as emergency fixes. A minor upgrade or release usually supersedes all preceding emergency fixes.</p> <p><b>c.</b> Emergency software and hardware fixes, normally containing the corrections to a small number of known problems.</p> <p><b>d.</b> Releases can be divided based on the release unit into:</p> <ul style="list-style-type: none"> <li><b>i.</b> Delta release: a release of only the part of the software which has been changed. For example, Security Patches.</li> <li><b>ii.</b> Full release: the entire software program is deployed, e.g., a new version of an existing application.</li> <li><b>iii.</b> Packaged release: a combination of many changes, e.g., an operating system image which also contains specific applications.</li> </ul>
Include a Demand Management Plan	<b>8.</b>	A planned process for quickly redeploying the awarded Bidder resources to take on new projects.
	<b>9.</b>	Processes the awarded Bidder shall put in place to ensure redeployed staff will have the necessary skills and experience.
	<b>10.</b>	Processes used to manage requests which require awarded Bidder and SUG staff time to respond.
	<b>11.</b>	Processes used to ensure awarded Bidder staff is working on the projects with the highest business priority.
	<b>12.</b>	A plan to ensure visibility to the SUG on prioritization of requests for IT services and ongoing activities.
	<b>13.</b>	A plan for collecting, tracking, and resolving IT service requests and for enforcing the business processes established for handling IT requests.
	<b>14.</b>	A plan for service levels the awarded Bidder shall provide when responding and completing requests.
	<b>15.</b>	A plan for providing transparency (audit trail) for requests or actions taken.
Include a Disaster Recovery Plan (DRP)	<b>16.</b>	In its full context, the focus of a DRP is to restore the operability of systems that support mission-critical and critical business processes. The objective is for the WIC SAs to return to normal operations as soon as possible. Since many mission-critical and critical business processes depend on a technology infrastructure consisting of applications, data, and IT hardware, the DRP shall be an IT focused plan. Restoration of systems does not necessarily imply technology redundancy. The DRP may call for some procedures to



The Project Management Plan shall:		
		<p>be completed manually. The decision to revert to manual procedures, rather than to build and maintain an IT infrastructure is a cost-driven decision made by the SUG/ESC. Having a DRP in place reduces the risk that the length of time a disruption in a business process does not go beyond what has been determined to be acceptable by the SUG/ESC. During the recovery phase, the focus is on establishing controls over occurring events to limit the risk of any additional losses. The scope of the DRP shall include, but not be limited to:</p> <ul style="list-style-type: none"> <li>a. IT Disaster Recovery Process;</li> <li>b. Application identification and classification;</li> <li>c. System Recovery Time (SRT);</li> <li>d. Recovery Time Objective (RTO);</li> <li>e. Recovery Point Objective (RPO);</li> <li>f. Identify data currency for application;</li> <li>g. Data backup method;</li> <li>h. Copy directly to recovery site;</li> <li>i. Backup to tape and store off-site;</li> <li>j. Identify critical personnel and recovery teams;</li> <li>k. Testing recovery plan a minimum of one (1) time per year; and</li> <li>l. DRP Maintenance.</li> </ul>
Include a Detailed Transition Plan	17.	Which outlines how the development/enhancement and support services of the PAQ will be transitioned in at initiation of the project and out at project closeout. The plan shall include task level detail with key dates, facilities, equipment, personnel required for completing each task, and any identified issues and corresponding mitigation strategies.
Include a Communications and Coordination Plan	18.	Which addresses how the awarded Bidder will communicate during performance of the work described in the PAQ as well as the on-going communications with stakeholders throughout the performance of the PAQ work. Communication best practices shall be identified as well as how the awarded Bidder plans to incorporate those best practices into completion of PAQ work and outlined in detail with frequency, locations, and media presented. At a minimum, the Communication and Coordination Plan shall include: <ul style="list-style-type: none"> <li>a. Monthly electronic status reports.</li> <li>b. Weekly telephone conference calls between the Project Manager and SUG/PMO staff to discuss the status of the enhancements, Defect updates, or any other issues.</li> <li>c. Regular telephone conference calls between the Awarded Bidder's technical lead and the SUG/PMO staff to ensure adequate communication in order to</li> </ul>

The Project Management Plan shall:		
		<p>define scope, develop modifications, and implement solutions.</p> <p>d. Methodology for providing reports.</p> <p>e. Strategy for maintaining an open line of communication among all stakeholders associated with project(s).</p>
Employ project management software program (e.g., Microsoft Project)	19.	Include the ability to calculate and display the critical path at any point in the project.
	20.	Provide a project plan in standard calendar and Gantt chart format.
Include the Test Strategy/Approach Document	21.	The Test Strategy/Approach Document defines “software testing approach” to achieve testing objectives and sets the standards for testing processes and activities and other documents, such as the Test Plan, which draws its contents from those standards set in the Test Strategy/Approach Document. Scope of the Test Strategy/ Approach Document shall include roles and responsibilities, communication and status reporting, test deliverables, industry standards to follow, test automation and tools, testing measurements and metrics, risks and mitigation, Defect reporting and tracking, change and configuration management, and the training plan.

4. **Change and Release Management** - Work within the established SUG Change Control Processes (**Appendix H** – SPIRIT Program Documentation), to manage change and software releases in such a way as to minimize unplanned disruptions to production environments.

**TABLE 7 - Change and Release Management Responsibilities**

The Awarded Bidder shall:		
Assign staff with relevant WIC, EBT, System knowledge and technical skills. Provide staff with relevant SPIRIT knowledge and technical skills to actively participate in calls and meetings.	1.	ESC calls, as requested but not to exceed twice monthly.
	2.	Standard CCWG weekly calls.
	3.	CCWG Subgroup calls weekly or as necessary.
	4.	Special task force calls, as determined by the CCWG/ESC but not expected to exceed an average of one (1) call per month.
	5.	Design reviews, as part of the CCWG calls.
	6.	Defect resolution analysis calls, typically part of the CCWG calls, unless urgent.
	7.	Testing calls twice a week.
	8.	TAG calls, scheduled as needed.
Manage multiple PAQs in parallel from multiple SAs.	9.	Provide documented and binding level of effort estimates and risk assessment for PAQs within a reasonable timeframe.
	10.	Perform impact analysis on all PAQs and publish the results to ensure all SPIRIT members understand the impact within the environment.

<b>The Awarded Bidder shall:</b>		
Deliver a minimum of two (2) major software releases per year. Additional releases as may be required by need or as funding permits.	<b>11.</b>	Collaborate with the CCWG and ESC to approve and confirm existing detailed release schedule, as presented within the CCWG, and make recommendations for modifications to the schedule upon Transition-In.
	<b>12.</b>	Gather requirements and validate them for changes.
	<b>13.</b>	Deliver change and release management plans.
	<b>14.</b>	Provide access to a beta version for major SPIRIT releases.
	<b>15.</b>	Provide resources to support pre-deployment release issues. This support shall be provided, as needed, by phone, electronic mail, or by a Frequently Asked Questions (FAQ) document, published in a central location such as the SUG SharePoint site.
	<b>16.</b>	Comply with the overall release schedule unless exceptions to that schedule have been approved by the CCWG/ESC. All federal regulatory changes and timelines must be followed.
	<b>17.</b>	Deliver fully developed and executable code with each release to SUG SAs and PMO.
	<b>18.</b>	Provide a means for SUG SAs to perform automated software installation for each release for SUG SAs wishing to do their own installation.
	<b>19.</b>	By separate PAQ, paid for by the SA, install SPIRIT within the SA environment.
	<b>20.</b>	Report technical constraints involved in applying System updates and modifications.
Deliver and/or perform the following activities related to a software release.	<b>21.</b>	Submit, via email, to PMO a Certification of System Readiness prior to UAT for all releases.
	<b>22.</b>	All deliverables, as defined in <b>TABLE 2</b> , shall be reviewed and accepted by the PMO prior to installation.
	<b>23.</b>	Provide all information necessary for release-compatible installation of SA client-side hardware and software. Submit testing reports throughout the testing life-cycle of each release. The testing report shall be a summary of quality assurance testing approaches and results to include an introduction, the overall test results, metrics (what passed and failed), and a summary. The testing report shall be submitted to the SUG prior to any Defect resolution or release being tested by the SUG.
Provide installation support to each SUG SA accepting a release into any SA environment. This support shall include:	<b>24.</b>	Installation guides, submitted seven to fourteen (7-14) business days prior to any installation activity, describing the steps to be taken as part of the installation process (i.e., database scripts, tables impacted, modules impacted, configurations, interface changes, business impacts). The installation guide shall allow a SUG SA to manually install a release independently and include a detailed listing of all enhancements and other new functions, and Defect

The Awarded Bidder shall:	
	resolutions necessary to address both customer-reported and awarded Bidder testing issues.
25.	<ul style="list-style-type: none"> <li>a. Fully automated installation scripts that can be run by the SUG SA independently; or</li> <li>b. Support to an SUG SA for manual installation (providing step-by-step installation support) at their request.</li> </ul>
26.	Provide installation support for up to three (3) environments as defined by each SUG SA, such as production, training, or UAT.
Incorporate the current SPIRIT Change Control Process into awarded Bidder processes	
Intentionally Blank	
Analyze Defect resolutions as needed to perform system maintenance to meet the SLRs	
Intentionally Blank	

- 5. Software Testing Management** - Test fully all changes delivered to the SUG, ensuring a quality product through consistent execution of the QASP.
- a. In addition to the associated SLRs (**Appendix I**), monitor proactively performance in this area of the development life-cycle and make adjustments as necessary to provide error-free software.
  - b. Deliver the requirements in this section for all source code modifications.

**TABLE 8 - Software Testing Management Responsibilities**

Software Testing Management Responsibilities shall include:	
Test plan for each major release.	Test plan shall explain the rational for use and any associated risks and incorporate, at a minimum:
	1. Test cases and scripts.
	2. Specific Clinic scenarios scripted and tested in multiple SA databases.
	3. Requirements traceability matrix.
	4. Documented expected results.
	5. Documented actual results.
	6. Issues classification and defined acceptable levels of Pass/Fail for each.
	7. White box testing.
	8. Black box testing.
Perform detailed quality assurance testing prior to certifying a release for UAT through the use of industry best practices, methodologies and standards, such as ISO/IEC 29119. The testing approach shall include but not be limited to:	9. Adapt test scripts for individual SAs, addressing both parameters common to all SAs and business rules specific to each SA.
	10. White box testing.
	11. Black box testing.
	12. Functional Testing.
	13. Positive testing.
	14. Negative testing.
	15. Data driven testing.
	16. Boundary testing.
	17. Single User Performance testing.
	18. SQL Penetration.
	19. Security testing as required by Lead State policy.

<b>Software Testing Management Responsibilities shall include:</b>		
	<b>20.</b>	System/Integration testing.
	<b>21.</b>	Regression testing.
	<b>22.</b>	Load/Stress/Performance testing.
	<b>23.</b>	Testing across time zones.
	<b>24.</b>	Unit testing.
	<b>25.</b>	Testing by changing the clock or simulation of time advancement to ensure changes function across certifications, and across Participant category changes.
	<b>26.</b>	Testing functionality across two time zones.
	<b>27.</b>	Tests shall use real-world SA data, with all personal references anonymized, that is representative specifically of the Defect/enhancement being tested.
Test Scripts shall be made available to the SUG prior to the beginning of quality assurance Testing.	<b>28.</b>	Scripts and results shall include all phases of testing such as functional, end-to-end, and regression.
	<b>29.</b>	Parameterize test scripts to work for SAs with different business rules and system configurations.
	<b>30.</b>	Test data and test scripts for internal use. Ensure SUG SA UAT scripts is not used for the awarded Bidder's own System testing unless approved by the CCWG.
	<b>31.</b>	Test cases shall correlate to one hundred percent (100%) of the task order System requirements and be fully traceable to the requirements.
	<b>32.</b>	Facilitate test case/test script review sessions with the CCWG prior to scheduled UAT. Resolve any open issues/questions resulting from such reviews and adjust test cases/scripts as necessary.
Testing Documentation shall include:	<b>33.</b>	Specific Clinic scenarios scripted and tested in multiple state databases.
	<b>34.</b>	Requirements traceability matrix.
	<b>35.</b>	Documented expected results.
	<b>36.</b>	Documented actual results.
	<b>37.</b>	Issues classification and defined acceptable levels of Pass/Fail for each.
	<b>38.</b>	Test results should be made centrally available to all SPIRIT users.
Submit a Readiness Certification for UAT)/System Software to SUG/PMO for all code modifications, which shall include:	<b>39.</b>	Certification via electronic mail of system readiness for UAT.
	<b>40.</b>	The certification of system readiness for UAT shall be submitted to and approved by SUG prior to beginning UAT.
	<b>41.</b>	Delivery date alignment with project plan and agreed-upon milestones.
	<b>42.</b>	All pre-UAT testing results including Pass/Fail rates.
	<b>43.</b>	Explanation for all failed test cases and justification for why UAT shall begin with less than one hundred percent (100%) pass rate. SUG may require the awarded Bidder to do additional testing as needed.

<b>Software Testing Management Responsibilities shall include:</b>		
	<b>44.</b>	Provide SUG/PMO with the fully-developed system source code, executable code, and deployment instructions.
	<b>45.</b>	Prior to delivery of the release to the SUG, provide and ensure the automated system batch processes are fully tested and work efficiently in SUG SA testing environments
Be responsible for the software performance, response time, and ability of the system to operate under stressed conditions and maximum load:	<b>46.</b>	Perform such testing on all software modifications that is required to ensure performance levels are maintained.
	<b>47.</b>	Perform load testing and ensure code modifications do not negatively impact performance.
	<b>48.</b>	Provide reports on performance testing, including expected performance testing results and documented performance of testing results.
	<b>49.</b>	Report technical constraints involved in applying system updates and modifications.
	<b>50.</b>	As part of the QA performed certify new versions of the code to run on existing hardware/software.
Support UAT by:	<b>51.</b>	Ensuring UAT is no less than twenty (20) business days in duration, unless approved by CCWG.
	<b>52.</b>	If, during testing, the SUG discovers test case Defects or deficiencies, make necessary repairs within a timeframe that mitigates any potential testing delays.
	<b>53.</b>	Provide documentation that supports SUG SAs conducting or validating performance testing within their environments. Documentation shall include, but not be limited to, deployment code, database scripts, source code, changes made since the previous release, or changes in encryption keys (if applicable).
	<b>54.</b>	Assist with performance testing in SA environments, should issues arise.
	<b>55.</b>	Assist the SUG in classifying all Defects identified during UAT into one of four categories: Critical, Major, Medium, or Minor, as defined in the Definitions.
	<b>56.</b>	For all Defects reported during UAT testing and rated by SUG as Production Down, Critical, or Major, consider notification of such rating as instruction to undertake immediate action to resolve said Defect through a corrective release. If a significant number of test cases fail, or a testing SA cannot proceed with testing due to the nature of a Defect, the SUG (or SA) may halt UAT until the issues have been resolved.
	<b>57.</b>	At a Release level all Defects classified during UAT as Critical or Major shall be corrected and retested prior to any PAQ deliverable within the Release being accepted
After UAT, a PAQ will be accepted based on:	<b>58.</b>	A PAQ deliverable shall pass 100% of its documented UAT test cases before it will be accepted and considered for payment, unless approved by the ESC

<b>Software Testing Management Responsibilities shall include:</b>		
	<b>59.</b>	All Supporting Service Requirements are met as specified in the PAQ
	<b>60.</b>	SUG/ESC may include Additional Acceptance criteria to an individual Release/PAQ
	<b>61.</b>	Awarded Bidder shall resolve any Defects that are introduced inadvertently during the development process, even if those Defects are not within the scope of the requirements documented in the PAQ
	<b>62.</b>	Awarded Bidder shall deliver a plan to PMO for resolution of all open Defects
	<b>63.</b>	No open Defect that has been reported within the approved release schedule timeframe shall span more than one release. In the event awarded Bidder cannot meet this requirement, awarded Bidder shall deliver to, and for approval by, SUG a written Defect resolution plan with timeframe when the requirement can be met.
	<b>64.</b>	Each SA may deploy a release to production while waiting for corrective releases and prior to payment approval. Should SUG deploy a release to production, such deployment shall not imply, nor shall awarded Bidder infer from such deployment, acceptance of deployed release by SUG. Acceptance by SUG of said release shall be as per the process defined within this table.

**6. Training** - Deliver training requirements identified in **TABLE 9** as defined within each PAQ initiated under the resulting contract.

**TABLE 9 – Training**

<b>Training Requirements:</b>		
Provide training in categories as outlined in the PAQ.	<b>1.</b>	Kick-off Sessions.
	<b>2.</b>	Written instructions.
	<b>3.</b>	Training Curriculum (self-paced, interactive web-based training modules) with quick reference guides.
Provide training materials, as outlined in the PAQ, which shall include, but not be limited to:	<b>4.</b>	Quick-reference system tips.
	<b>5.</b>	SPIRIT screen shots that illustrate the operation of the function under instruction.
	<b>6.</b>	Training - Deliver training requirements identified in TABLE 9 when required within a PAQ.
	<b>7.</b>	Instructions shall be in electronic format that can be modified by SA(s).

**7. Policy, Procedures, and Industry Standards and Methodologies**

**TABLE 10 - Policy, Procedures, and Industry Standards**

<b>Awarded Bidder shall:</b>		
	<b>1.</b>	The SPIRIT Change Control Process for all software changes.

Follow publicly available frameworks and standards including:	2.	Software enhancement services that comply with FNS Handbook 901, ensuring designs meet relevant federal, state, and local regulation.
	3.	Adhere to industry best practices in executing tests of all SPIRIT PAQs.
Demonstrate compliance with or alignment to any other industry best practices and standards which may be applicable in the awarded Bidder's response to this RFP, such as, but not limited to:	4.	IT Infrastructure Library (ITIL), Project Management Institute Project Management Book of Knowledge (PMBOK).
	5.	Control Objectives for Information and related Technology (COBIT).
	6.	Capability Maturity Model Integration (CMMI).
	7.	eSourcing Capability Model for Service Providers (eSCM-SP v2) SIX Sigma.
	8.	ISO 9000.
	9.	Rational Unified Process.
	10.	Agile software development methodologies.
	11.	ADA Section 508 Standards.
	12.	NIST.
	13.	ISO/IEC 27001.

## **F. SOFTWARE SERVICES TRANSITION**

### **1. Software Services Transition-In Period of Performance**

#### **a. The Contract Transition-In Period of Performance**

- i. Ensure the Transition-In Period does not exceed more than six (6) months and shall coincide with the final six months of the existing maintenance and enhancement services contract of the SPIRIT Provider.
  - 1.) The Contract Cutover Date shall occur no more than one hundred twenty (120) calendar days following Contract Start Date.
  - 2.) The SUG SAs will provide the awarded Bidder a copy of the SA's redacted databases to:
    - a.) Analyze the schema to confirm there are no conflicts with the SPIRIT Web installations;
    - b.) Analyze the different business settings used by SUG SAs; and
    - c.) Set up in the awarded Bidder's test environments for quality assurance testing prior to release delivery.
  - 3.) Upon receipt of and prior to installing any database, run a script to ensure Personally Identifiable Information is redacted completely from all databases.

**TABLE 11 - Transition-In Timeline**

<b>Timeline</b>	<b>Description</b>	
Anticipated 1/1/2022	1.	Contract Start Date, Transition-In Period of Performance begins
No more than fourteen (14) calendar days following Contract Start Date	2.	Transition-in Kick Off meeting with ESC, PMO, CCWG stakeholders
	3.	Meetings with current SPIRIT Provider and WIC SA stakeholders
	4.	Current SPIRIT Provider-To-Awarded Bidder Debriefing



No more than thirty (30) calendar days following Contract Start Date	<b>5.</b>	Submit to SUG/ESC detailed Transition-In Plan and Schedule
No more than fifty (50) calendar days following Contract Cutover Date	<b>6.</b>	Deliver first software release
No more than one hundred twenty (120) calendar days following Contract Start Date	<b>7.</b>	Cutover Date
No more than one hundred eight (180) calendar days following Contract Start Date	<b>8.</b>	Awarded Bidder Transition-In Period of Performance ends

**b. Current SPIRIT Provider-To-Awarded Bidder Debriefing**

- i. Conduct, no later than fourteen (14) calendar days following Contract Start, a debriefing of the current SPIRIT Provider to obtain a complete system design and code overview and thorough understanding of the characteristics, nuances, and peculiarities of SPIRIT maintenance and enhancement services procedures and processes.

**c. Transition-In Plan and Schedule**

- i. No more than thirty (30) calendar days following Contract Start, submit to the SUG DGB, for approval by the SUG ESC, a Detailed Transition-In Plan and Schedule (Transition-In Plan).
- ii. The Transition-In Plan shall detail how the awarded Bidder will assume responsibilities for all SPIRIT maintenance and code modification services detailed herein.
- iii. Following approval of the Transition-In Plan by the SUG ESC, any changes shall be submitted to the SUG DGB for approval by the SUG ESC.
- iv. The Transition-In Plan shall detail all of awarded Bidder's actions, processes, procedures, resource requirements, etc. necessary to manage a seamless transition from previous maintenance and enhancement service contract.
- v. Each step/task shall indicate its associated requirements (facilities, equipment, personnel, etc.) necessary for completion and start/stop dates. At a minimum, ensure the Transition-In Plan includes:
  - 1.) Milestones indicating calendar dates based upon Transition-In Timeline (**TABLE 11**) and Contract Start Date:
    - a.) Contract Start (Transition-In Period begins);
    - b.) Submission of Transition-In Plan;
    - c.) Cutover Date;
    - d.) Deliver first software release - successfully deploy a release that can be installed, configured, and tested in the SUG test environments;
    - e.) Transition-In Period End.
  - 2.) A plan for transferring Issue Tracking System hosting responsibility during the Transition-In period without interruption in SPIRIT operations.
  - 3.) Installation at awarded Bidder site:
    - a.) Any and all hardware and/or software necessary to fully integrate SPIRIT with awarded Bidder's development, load testing, and quality assurance environments;
    - b.) Tracking application hosting equipment;
    - c.) SPIRIT test environment capable of testing each SA's business rules;
    - d.) Awarded Bidder's quality software release capability by providing quality assurance tests and result prior to release deployment;
    - e.) Testing regimen for SPIRIT-related configuration of awarded Bidder's development, load testing, and quality assurance environments;
    - f.) Implementation of Issue Tracking System;

- g.) Strategy and procedures for resolving and reporting status of code Defects and obtaining full and complete understanding of SPIRIT functionality, existing processes, and associated SA service expectations.
    - I. Stakeholder meeting dates;
    - II. SUG Change Control Process;
    - III. Defect definition;
    - IV. Defect Severity Levels;
    - V. Defect response expectations;
    - VI. Issue Tracking Tool;
    - VII. Facilitate planning meeting with stakeholder; and
    - VIII. SUG standard priority definitions for production down, critical, major, medium, and minor Defects.
  - h.) For SPIRIT code modifications in progress at Contract Start date, detail a completion plan for each modification.
  - i.) Contingency Plan to implement emergency release (as defined by SUG Change Control Process), if necessary following Cutover Date.
- d. Transition-In Plan Performance Indicators
- i. Awarded Bidder's performance during Transition-In Period will be measured against the following activities and deliverables:
    - 1.) Successful test(ing) of SPIRIT installation environment at the awarded Bidder facility, with test results provided to DGB, PMO, and Contract Administration Liaison (CAL).
    - 2.) Successful completion of environment test plan, confirming all applications are fully functional and performing as specified (development environments, load testing environments, quality assurance environments, etc.) including, but not limited to, validation of awarded Bidder's:
      - a.) Access to physical environments: application servers and databases.
      - b.) Access to all SPIRIT communication channels, including e-mail, SUGConnect.com, and the Issue Tracking System.
      - c.) Successful compilation of source code.
      - d.) Quality software release capability through quality assurance tests and results prior to release deployment.
    - 3.) Awarded Bidder's successful delivery of first software release, per Transition-In Timeline.
    - 4.) Delivery of release notes and DFDD updates for first software release no later than date of this first release.
    - 5.) Readiness to go live with SPIRIT code modification services through several facilitated sessions during which awarded Bidder demonstrates, to a level acceptable to PMO, thorough knowledge and proficiency in the following aspects of the SPIRIT environment:
      - a.) WIC EBT Processor and Clinic operational functions within all existing and future SPIRIT modules.
      - b.) Perform change and release management in the SPIRIT environment.
      - c.) Facilitation of collaborative sessions regarding SPIRIT daily, monthly, and annual operations.

## 2. Software Services Transition-Out

- a. Transition-Out Period shall start six (6) months prior to the final contract end date.
- b. Participate in a debriefing to provide the Subsequent Contractor with a complete system design and code overview and thorough understanding of the characteristics,

nuances, and peculiarities of SPIRIT maintenance and enhancement services procedures and processes within six (6) months for the final contract end date.

- c. Transition-Out Services:
  - i. Collaborate with Subsequent Contractor on methodology to “shadow” Subsequent Contractor from its contract start date to its Cutover Date.
  - ii. Deliver all relevant, up-to-date SPIRIT documentation (such as, but not limited to, DFDD, DTSD, data model, and Data Dictionary), tools, and utilities that are the intellectual property of USDA/FNS, State, or SA.
  - iii. Deliver in good working order the latest version of the SPIRIT source code, third party libraries, applications, tools, and any other documentation necessary to compile and run SPIRIT successfully.
  - iv. Relocate SPIRIT from the awarded Bidder’s facility(ies) to the Subsequent Contractor’s facility(ies) with no interruption to SPIRIT functionality or software enhancement services.
  - v. Provide support in the transition of SPIRIT to the Subsequent Contractor and provide knowledge transfer through documentation and code walkthroughs, including knowledge sharing at awarded Bidder’s facility(ies).
  - vi. Hand off to the Subsequent Contractor all documentation on software Defects and code modifications that are in the Software code modifications services pipeline.
  - vii. Provide knowledge transfer to the Subsequent Contractor for all systems batch processing, all business functional components, and installation procedures.
  - viii. Facilitate systems design, and code walkthroughs with the Subsequent Contractor and the CAL/DGB/PMO.
  - ix. Facilitate review sessions with the Subsequent Contractor to walkthrough all known-system errors and provide documented workarounds.
- d. Transition-Out Performance Indicators shall be measured against:
  - i. Successful relocation of SPIRIT from awarded Bidder facility(ies) to the Subsequent Contractor’s facility(ies) with no interruption to SPIRIT functionality or software enhancement services.
  - ii. Delivery of the most recent version of all SPIRIT-related documentation, as described in **TABLE 4**, to Subsequent Contractor.
  - iii. Transfer Jira project documentation to Subsequent Contractor.
  - iv. Transfer SUG SharePoint documentation to Subsequent Contractor.

## **G. STAFFING REQUIREMENTS**

1. Maintain a detailed Resource Demand Management Plan, which shall include, but not be limited to:
  - a. The ability to onboard and manage additional qualified staff to meet increased or emergent SUG requirements;
  - b. Staffing approach;
  - c. Staffing plan for core code modification release team; and
  - d. Training approach to prepare staff, relative to state-specific knowledge.
2. Systems Security – To mitigate risks and threats to SPIRIT systems and information, implement and maintain a systems security program personnel, including subcontractors, have systems security training adequate to protect SPIRIT systems and information as outlined in [FNS Handbook 901](#), Section 9.
3. Personnel Areas of Expertise – Provide personnel expertise in:

- a. System administration;
  - b. Database administration;
  - c. SQL programming;
  - d. SQL reporting;
  - e. .NET programming and C+;
  - f. Technical analysis;
  - g. Business analysis;
  - h. Data architecture;
  - i. Software architecture; and
  - j. Technical Level-3 Support.
4. Remove key personnel, which the SUG deem as no longer appropriate for participation in the SPIRIT project, from participation immediately upon notification from the SUG.
  5. Key Personnel Change Approval – Submit all key personnel changes for SUG approval.
    - a. In the event the SUG rejects a staffing change candidate, replace the candidate with an alternative acceptable to the SUG.
  6. Vacancy Backfill – Fill, with a SUG-approved candidate, all key position vacancies within sixty (60) calendar days of vacancy.
  7. Provide key personnel resumes, references, and updated organization charts.
  8. Ensure no key personnel included in the proposal are removed or replaced from the SPIRIT project for a period of one (1) year. Any change in key personnel must be approved by the SUG prior to transition.
  9. Designate key personnel approved by the SUG/ESC and/or the CAL, specifically:
    - a. Contract Manager to:
      - i. Be responsible for overall management and coordination of contract performance.
      - ii. Serve as the central point-of-contact with the CAL and ESC.
      - iii. Have the authority to represent and contractually commit to the contract deliverables.
      - iv. Have knowledge of WIC program and processes.
      - v. Have knowledge of federal and state regulations governing WIC programs.
 Designate, in writing, an alternate and notify the CAL and ESC with of the alternate's name and contact information should the acting Contract Manager be temporarily absent.
    - b. Product or Account Manager to:
      - i. Serve as the single point-of-contact with the SUG for information flow regarding specific code modification efforts.
      - ii. Be responsible for understanding the SUG's product vision and strategy.
      - iii. Clearly articulate to the product team SPIRIT's business value and the intent behind new product or product release.
      - iv. Plans product architecture and timeline for implementation.
      - v. Prioritizes product team activities to achieve the strategic goals and initiatives of the SUG.
      - vi. Ensures IT initiatives are met within budget.
      - vii. Define the release process and coordinates all activities required to bring the product to the SUG.

- viii. Be Project Management Professional or Certified Software Business Analyst or have advanced project management education.
  - ix. Participate in telephone conferences, per **TABLE 3**, with the ESC, DGB, CCWG, PMO and CAL.
  - x. Have a minimum of seven (7) years' experience managing IT/Information System projects.
  - xi. Have strong communication skills, both written and oral.
  - xii. Have knowledge of WIC programs and processes.
  - xiii. Have knowledge of federal and state regulations governing WIC programs.
- c. Product Owner to:
- i. Serve as lead of the product development team.
  - ii. Oversee product development.
  - iii. Be responsible for communicating with all stakeholders, ensuring product goals are clear and the awarded Bidder's vision is aligned with SUG business objectives.
  - iv. Define goals and create a vision for development projects.
  - v. Manage project backlog, prioritizing the backlog items list.
  - vi. Create project plans reflecting project dependencies that inform the sequence of software development.
  - vii. Prioritize requirements according to the needs and objectives of stakeholders, while balancing scope, budget, and time.
  - viii. Have proven experience executing complex development projects in fast-paced environments.
  - ix. Have the ability to translate IT designs, ideas, and functionality into WIC program language.
  - x. Have ability to perform and adapt effectively within the SPIRIT business culture and environment.
  - xi. Have ability to communicate with a variety of personality types and a large number of stakeholders.
  - xii. Have knowledge of WIC programs and processes.
  - xiii. Have knowledge of federal and state regulations governing WIC programs.
- d. Business Analyst(s) to:
- i. Coordinate with stakeholders, defining business needs and determining requirements for deliverables.
  - ii. Gather SAs' requirements.
  - iii. Document SA's requirements in a consistent, complete, and useful way for the development team.
  - iv. Ensure SAs' requirements are visible to, and understood by, all relevant stakeholders.
  - v. Develop clear requirements.
  - vi. Create data models, process diagrams, and design wireframes supporting SAs' needs.
  - vii. Determine key project detail shortfalls and their impact on and challenges to project solution.
  - viii. Offer guidance and advice on what requirements and solutions best fit an SA's needs.
  - ix. Coordinate with key decision makers, as well as development and Testing Teams, ensuring developed solutions meet the SAs' requirements.
  - x. Have proven experience leading design sessions and business-requirements-gathering sessions.

- xi. Have ability to communicate with a variety of personality types and a large number of stakeholders.
- xii. Have ability to translate IT designs, ideas, and functionality into WIC program language.
- xiii. Have ability to translate WIC user needs into requirements presented to development staff.
- xiv. Have ability to document requirements and design features for development staff and SUG users and stakeholders.
- xv. Participate in telephone conferences, per **TABLE 3**, with the DGB, CCWG, PMO, and CAL.
- xvi. Have knowledge of WIC programs and processes.
- xvii. Have knowledge of federal and state regulations governing WIC programs.

## **H. QUALITY ASSURANCE SURVEILLANCE PLAN**

1. Develop a QASP which supports SPIRIT by detailing the principles associated with post-award surveillance of awarded Bidder's performance.
  - a. The QASP shall acknowledge the awarded Bidder's responsibility to carry out its quality obligations by providing measurable inspection and acceptance criteria corresponding to the quality of the awarded Bidder's performance of services to be provided in the resulting contract.
  - b. The QASP shall focus on the outcomes and performance targets of the SLRs (**Appendix I**), rather than the methodology used by the awarded Bidder to achieve those outcomes and performance targets.
  - c. The QASP shall be used as a governance document to enforce the inspection and acceptance clauses of the services to be provided in the resulting contract.
  
2. Surveillance - In conducting surveillance activities, CAL and/or DGB team members will not intrude at any level that impacts awarded Bidder's ability to accomplish successfully the responsibilities associated with contractual subtasks.
  - a. Surveillance observations/ inspections made by CAL and/or DGB team members may be recorded weekly, and reported monthly, in order to track the awarded Bidder's performance.
  - b. These monthly reports become a CAL/DGB record of the awarded Bidder's performance. When surveillance observations/inspections detect unacceptable level(s) of performance, a CAL or DGB team member will notify awarded Bidder.
  - c. Any performance deemed unacceptable through the QASP process will be documented as such.
  - d. The CAL and DGB team members responsible for SPIRIT quality assurance will include, but not limit their methodology to, the actions in inspecting the awarded Bidder's performance, including:
    - i. Reviewing project plans;
    - ii. Reviewing records/reports;
    - iii. Reviewing user input/feedback;
    - iv. Watching actual performance and/or direct interaction with the awarded Bidder's staff/management.

## **I. SERVICE LEVEL REQUIREMENTS**

1. Comply with all Service Level Requirement (SLRs) outline in **Appendix I**.
  - a. The awarded Bidder shall be deemed nonperforming relative to a specific SLR for

- failing to meet the performance level(s) of a SLR.
  - b. The CAL and DGB will monitor the degree to which the awarded Bidder meets each SLR per the QASP.
  - c. The State will apply a financial remedy to address the loss in productivity caused by awarded Bidder's performance required by a SLR.

**J. STANDARDS & METHODOLOGIES / FEDERAL REGULATIONS**

- 1. Adhere to the standards and methodologies in **TABLE 12**.

**TABLE 12 - Standards and Methodologies**

**ISO 9000:** ISO 9001:2008 is the standard which provides a set of standardized requirements for a quality management system, regardless of what the user organization does, its size, or whether it is in the private, or public sector. It is the only standard in the family against which organizations can be certified – although certification is not a compulsory requirement of the standard

Source: [International Organization for Standardization](#)

**ISO 20000:** ISO/IEC TR 20000-3:2009 provides guidance on scope definition, applicability and demonstration of conformance for service providers aiming to meet the requirements of ISO/IEC 20000-1, or for service providers who are planning service improvements and intending to use ISO/IEC 20000 as a business goal. It can also assist service providers who are considering using ISO/IEC 20000-1 for implementing a service management system (SMS) and who need specific advice on whether ISO/IEC 20000-1 is applicable to the circumstances and how to define the scope of the SMS. It comprises ten (10) sections:

- 1. Scope
- 2. Terms and definitions
- 3. Planning and implementing service management
- 4. Requirements for a management system
- 5. Planning and implementing new or changed services
- 6. Service delivery processes
- 7. Relationship processes
- 8. Control processes
- 9. Resolution processes
- 10. Release process.

Source: [International Organization for Standardization](#)

**ISO 27001:** ISO/IEC 27001:2005 covers all types of organizations (e.g. commercial enterprises, government agencies, not-for profit organizations) and specifies the requirements for establishing, implementing, operating, monitoring, reviewing, maintaining and improving a documented Information Security Management System within the context of the organization's overall business risks. It specifies requirements for the implementation of security controls customized to the needs of individual organizations or parts thereof. ISO/IEC 27001:2005 is designed to ensure the selection of adequate and proportionate security controls which protect information assets and give confidence to interested parties.

Source: [International Organization for Standardization](#)

**IEEE 829:** A set of basic test documents which are associated with the dynamic aspects of software testing (that is, the execution of procedures and code) is described. The purpose, outline, and content of each basic document are defined. Although the documents described in the standard focus on dynamic testing, several of them may be applicable to other testing activities. Documentation on electronic media as well as paper is covered. The standard does not call for specific testing methodologies, approaches, techniques, facilities, or tools, and does not specify the documentation of use. It also does not imply or impose specific methodologies for documentation control, configuration management, or quality assurance.

Source: [IEEE Standards Association](#)

**SIX Sigma:** Six Sigma is a business management strategy, originally developed by Motorola, USA in 1986. Six Sigma became well known after Jack Welch made it a central focus of his business strategy at General Electric in 1995, and today it is widely used in many sectors of industry.

Six Sigma seeks to improve the quality of process outputs by identifying and removing the causes of Defects (errors) and minimizing variability in manufacturing and business processes. The term *Six Sigma* originated from terminology associated with manufacturing, specifically terms associated with statistical modeling of manufacturing processes. The maturity of a manufacturing process can be described by a *sigma* rating indicating its yield, or the percentage of Defect-free products it creates. A six sigma process is one in which 99.99966% of the products manufactured are statistically expected to be free of Defects (3.4 Defects per million)

Source: [Wikipedia](#)

**Capability Maturity Model Integration (CMMI):** CMMI (Capability Maturity Model Integration) is a process improvement approach which provides organizations with the essential elements of effective processes, which will improve the performance. CMMI-based process improvement includes identifying your organization's process strengths and weaknesses and making process changes to turn weaknesses into strengths

Source: [Software Engineering Institute – Carnegie Mellon](#)

**PMI PMBOK:** These standards provide a foundation for project management knowledge and represent the four areas of the profession: project, program, portfolio and the organizational approach to project management. They are the foundation on which practice standards and industry-specific extensions are built.

Source: [Project Management Institute](#)

**Scrum:** Scrum is an agile process for software development. With Scrum, projects progress via a series of iterations called sprints. Each sprint is typically 2-4 weeks long. While an agile approach can be used for managing any project, Scrum is ideally suited for projects with rapidly changing or highly emergent requirements such as we find in software development

Source: [Mountain Goat Software](#)



**Agile Development:** In the late 1990's several methodologies began to get increasing public attention. Each had a different combination of old ideas, new ideas, and transmuted old ideas. But they all emphasized close collaboration between the programmer team and business experts; face-to-face communication (as more efficient than written documentation); frequent delivery of new deployable business value; tight, self-organizing teams; and ways to craft the code and the team such that the inevitable requirements churn was not a crisis.

Source: [The Agile Alliance](#)

**Rational Unified Process® (RUP®):** is a comprehensive process framework that provides industry-tested practices for software and systems delivery and implementation and for effective project management. It is one of many processes contained within the Rational Process Library, which offers best practices guidance suited to your particular development or project need.

Source: [IBM – RUP Rules](#)

**eSCM-SP:** The eSourcing Capability Model for Service Providers (eSCM-SP) helps sourcing organizations manage and reduce the risks and improve the capabilities across the entire sourcing life-cycle. The Model's Practices can be thought of as the best practices associated with successful sourcing relationships. It addresses the critical issues related to IT-enabled sourcing (eSourcing) for both outsourced and in-sourced (shared services) agreements.

Source: [The eSourcing Capability Model](#)

**ITIL:** Information Technology Infrastructure Library is the most widely accepted approach to IT service management in the world. ITIL provides a cohesive set of best practice, drawn from the public and private sectors internationally. IT Service Management (ITSM) derives enormous benefits from a best practice approach. Because ITSM is driven both by technology and the huge range of organizational environments in which it operates, it is in a state of constant evolution. Best practice, based on expert advice and input from ITIL users is both current and practical, combining the latest thinking with sound, common sense guidance.

Source: [ITIL](#)

2. Comply with all federal, state, and local laws, ordinances, codes, regulations, instructions, technical guides, standards, and rules in performing under the resulting contract, including but not limited to:
  - a. FNS Required Federal Provisions outline in **Appendix L**; and
  - b. Specific federal documents that pertain to delivery of software and technical support services and software enhancements for the WIC eligibility and benefit issuance program's SAMs include, but is not limited to:
    - i. [USDA FNS Functional Requirements Document for a Model WIC Information System \(FReD-E\)](#), as revised.
    - ii. [7 C.F.R. § 246 – Special Supplemental Nutrition Program for Women, Infants and Children](#), as amended.
    - iii. [Food and Nutrition Service Handbook 901](#), as revised.
    - iv. [WIC Management Information System \(MIS\) – EBT Universal Interface](#), as revised.

## PART III KEY RFP EVENTS

### A. Questions

1. **General Instructions:** It is the responsibility of all Bidders and other interested parties to examine the entire RFP and to seek clarification, in writing, if they do not understand any information or instructions.
  - a. Bidders and other interested parties must use **Appendix G** (Submitted Questions Form) for submission of questions. The form is to be submitted as a WORD document.
  - b. The Submitted Questions Form must be submitted, by e-mail, and received by the RFP Coordinator, identified on the cover page of the RFP, as soon as possible but no later than the date and time specified on the RFP cover page.
  - c. Submitted Questions must include the RFP Number and Title in the subject line of the e-mail. The Department assumes no liability for assuring accurate/complete/on time e-mail transmission and receipt.
2. **Question & Answer Summary:** Responses to all questions will be compiled in writing and posted on the following website no later than seven (7) calendar days prior to the proposal due date: [Division of Procurement Services RFP Page](#). It is the responsibility of all interested parties to go to this website to obtain a copy of the Question & Answer Summary. Only those answers issued in writing on this website will be considered binding.

### B. Amendments

All amendments released in regard to the RFP will also be posted on the following website: [Division of Procurement Services RFP Page](#). It is the responsibility of all interested parties to go to this website to obtain amendments. Only those amendments posted on this website are considered binding.

### C. Submitting the Proposal

1. **Proposals Due:** Proposals must be received no later than 11:59 p.m. local time, on the date listed on the cover page of the RFP. E-mails containing original proposal submissions, or any additional or revised proposal files, received after the 11:59 p.m. deadline will be rejected without exception.
2. **Delivery Instructions:** E-mail proposal submissions are to be submitted to the State of Maine Division of Procurement Services at [Proposals@maine.gov](mailto:Proposals@maine.gov).
  - a. Only proposal submissions received by e-mail will be considered. The Department assumes no liability for assuring accurate/complete e-mail transmission and receipt.
  - b. E-mails containing links to file sharing sites or online file repositories will not be accepted as submissions. Only e-mail proposal submissions that have the actual requested files attached will be accepted.
  - c. Encrypted e-mails received which require opening attachments and logging into a proprietary system will not be accepted as submissions. Please check with your organization's Information Technology team to ensure that your security settings will not encrypt your proposal submission.
  - d. File size limits are 25MB per e-mail. Bidders may submit files separately across multiple e-mails, as necessary, due to file size concerns. All e-mails and files must be

received by the due date and time listed above.

- e. Bidders are to insert the following into the subject line of their e-mail proposal submission: “**RFP# 202012169 Proposal Submission – [Bidder’s Name]**”
- f. Bidder’s proposal submissions are to be broken down into multiple files, with each file named as it is titled in bold below, and include:
  - **File 1 [Bidder’s Name] – Preliminary Information:**  
*PDF format preferred*  
**Appendix A** (Proposal Cover Page)  
**Appendix B** (Debarment, Performance and Non-Collusion Certification)  
All required documentation stated in PART IV, Section I.
  - **File 2 [Bidder’s Name] – Organization Qualifications and Experience:**  
*PDF format preferred*  
**Appendix C** (Organization Qualifications and Experience Form)  
**Appendix D** (Subcontractors Form), if applicable  
All required information and attachments stated in PART IV, Section II.
  - **File 3 [Bidder’s Name] – Proposed Services:**  
*PDF format preferred*  
**Appendix E** (Response to Proposed Services Form)  
All required information and attachments stated in PART IV, Section III.
  - **File 4 [Bidder’s Name] – Cost Proposal:**  
*Excel format preferred*  
**Appendix F** (Cost Proposal Form)  
All required information and attachments stated in PART IV, Section IV.

## **PART IV PROPOSAL SUBMISSION REQUIREMENTS**

This section contains instructions for Bidders to use in preparing their proposals. The Department seeks detailed yet succinct responses that demonstrate the Bidder's qualifications, experience, and ability to perform the requirements specified throughout the RFP.

The Bidder's proposal must follow the outline used below, including the numbering, section, and sub-section headings. Failure to use the outline specified in PART IV, or failure to respond to all questions and instructions throughout the RFP, may result in the proposal being disqualified as non-responsive or receiving a reduced score. The Department, and its evaluation team, has sole discretion to determine whether a variance from the RFP specifications will result either in disqualification or reduction in scoring of a proposal. Rephrasing of the content provided in the RFP will, at best, be considered minimally responsive.

Bidders are not to provide additional attachments beyond those specified in the RFP for the purpose of extending their response. Additional materials not requested will not be considered part of the proposal and will not be evaluated. Include any forms provided in the submission package or reproduce those forms as closely as possible. All information must be presented in the same order and format as described in the RFP.

### **Proposal Format and Contents**

#### **Section I Preliminary Information (File #1)**

##### **1. Proposal Cover Page**

Bidders must complete **Appendix A** (Proposal Cover Page). It is critical that the cover page show the specific information requested, including Bidder address(es) and other details listed. The Proposal Cover Page must be dated and signed by a person authorized to enter into contracts on behalf of the Bidder.

##### **2. Debarment, Performance and Non-Collusion Certification**

Bidders must complete **Appendix B** (Debarment, Performance, and Non-Collusion Certification Form). The Debarment, Performance and Non-Collusion Certification Form must be dated and signed by a person authorized to enter into contracts on behalf of the Bidder.

#### **Section II Organization Qualifications and Experience (File #2)**

##### **1. Overview of the Organization**

Bidders must complete **Appendix C** (Qualifications and Experience Form) describing their qualifications and skills to provide the requested services in the RFP. Bidders must include three examples of projects which demonstrate their experience and expertise in performing these services as well as highlighting the Bidder's stated qualifications and skills. Describe the Bidder's experience with USDA/FNS and WIC Policy/Procedure Compliance by providing:

- a.** A list of the standards and methodologies of the FNS Handbook 901 which the Bidder has been in alignment with; and
- b.** Examples of the Bidder's use and benefits from previous engagements.

## 2. Subcontractors

If subcontractors are to be used, including consultants, Bidders must complete **Appendix D** by providing a list that specifies the name, address, phone number, contact person, and a brief description of the subcontractors' organizational capacity and qualifications.

## 3. Organizational Chart

Bidders must provide an organizational chart. The organization chart must include the project being proposed. Each position must be identified by position title and corresponding to the personnel job descriptions.

## 4. Litigation

Bidders must attach a list of all current litigation in which the Bidder is named and a list of all closed cases that have closed within the past five (5) years in which the Bidder paid the claimant either as part of a settlement or by decree. For each, list the entity bringing suit, the complaint, the accusation, amount, and outcome. If no litigation has occurred, write "none" on the submitted attachment.

## 5. Financial Viability

Bidders must provide the following information for each of the past three tax years:

- a. Bidders must provide the three (3) most recent years of Financial Statements audited or reviewed by a Certified Public Accountant; and
- b. Bidders must provide a current copy of their Dun & Bradstreet Business Information Report Snapshot.

## 6. Certificate of Insurance

Bidders must provide a valid certificate of insurance on a standard Acord form (or the equivalent) evidencing the Bidder's general liability, professional liability and any other relevant liability insurance policies that might be associated with the proposed services.

Required Attachments Related to Organization Qualifications and Experience	
Attachment #:	Attachment Name:
One (1)	Qualifications and Experience Form
Two (2)	Subcontractors/Consultants
Three (3)	Organizational Chart
Four (4)	Litigation
Five (5)	Financial Viability
Six (6)	Certificate of Insurance

Attachments 1 – 6, must be included in numerical order, as part of File 2, as outlined in PART III "Submitting the Proposal" of this RFP. Attachments 1 – 6 will be reviewed and evaluated by the Department's evaluation team under the Organization Qualifications and Experience section of this RFP.

### Section III Proposed Services (File #3)

Bidder must complete **Appendix E** - Response to Proposed Services form by providing a detailed response to the requirements outlined in this RFP.

Required Attachments Related to Proposed Services	
Attachment #:	Attachment Name:
Seven (7)	Help Desk Level-3 Support
Eight (8)	Draft Transition-In Plan
Nine (9)	Work Location Certification
Ten (10)	QASP
Eleven (11)	Staffing
Twelve (12)	Staffing Resource Demand Management Plan
Thirteen (13)	Security Management Plan
Fourteen (14)	Defect Tracking and Reporting
Fifteen (15)	Transition-Out Plan
Sixteen (16)	Document Samples and Descriptions <ul style="list-style-type: none"> <li>• Communications Plan</li> <li>• Outline of a Project Plan</li> <li>• High-level, short description of all other documentation required in <b>TABLE 4</b></li> </ul>
Seventeen (17)	Reports Descriptions
Eighteen (18)	Tracking Application

Attachments 7 – 18, must be included in numerical order, as part of File 3, as outlined in PART III “Submitting the Proposal” of this RFP. Attachments 7 – 18 will be reviewed and evaluated by the Department’s evaluation team under the Proposed Services section of this RFP.

### Section IV Cost Proposal (File #4)

#### 1. General Instructions

- a. Bidders must submit a cost proposal that covers the Transition-In Period of Performance, starting 1/1/2022 and ending 6/30/2022, and the Initial Period of Performance and subsequent renewals starting 7/1/2022 and ending 6/30/2032 as outlined in Part I.F. of the RFP.
- b. The cost proposal must include the costs necessary for the Bidder to fully comply with the contract terms, conditions, and RFP requirements.
- c. No costs related to the preparation of the proposal for the RFP, or to the negotiation of the contract with the Department, may be included in the proposal. Only costs to be incurred after the contract effective date that are specifically related to the implementation or operation of contracted services may be included.

#### 2. Cost Proposal Form Instructions

Bidders must fill out **Appendix F** (Cost Proposal Form), following the instructions detailed here and in the form. Failure to provide the requested information, and to follow the required cost proposal format provided, may result in the exclusion of the proposal from consideration, at the discretion of the Department.

## PART V PROPOSAL EVALUATION AND SELECTION

Evaluation of the submitted proposals will be accomplished as follows:

### A. Evaluation Process - General Information

1. An evaluation team, composed of qualified reviewers, will judge the merits of the proposals received in accordance with the criteria defined in the RFP.
2. Officials responsible for making decisions on the award selection will ensure that the selection process accords equal opportunity and appropriate consideration to all who are capable of meeting the specifications. The goals of the evaluation process are to ensure fairness and objectivity in review of the proposals and to ensure that the contract is awarded to the Bidder whose proposal provides the best value to the State of Maine.
3. The Department reserves the right to communicate and/or schedule interviews/presentations with Bidders, if needed, to obtain clarification of information contained in the proposals received. The Department may revise the scores assigned in the initial evaluation to reflect those communications and/or interviews/presentations. Changes to proposals, including updating or adding information, will not be permitted during any interview/presentation process and, therefore, Bidders must submit proposals that present their rates and other requested information as clearly and completely as possible.

### B. Scoring Weights and Process

1. **Scoring Weights:** The score will be based on a 100-point scale and will measure the degree to which each proposal meets the following criteria.

#### **Section I. Preliminary Information (No Points)**

Includes all elements addressed above in Part IV, Section I.

#### **Section II. Organization Qualifications and Experience (30 points)**

Includes all elements addressed above in Part IV, Section II.

#### **Section III. Proposed Services (35 points)**

Includes all elements addressed above in Part IV, Section III.

#### **Section IV. Cost Proposal (35 points)**

Includes the initial period of performance and subsequent renewals addressed above in Part IV, Section IV.

2. **Scoring Process:** The evaluation team will use a consensus approach to evaluate and score Sections II & III above. Members of the evaluation team will not score those sections individually but, instead, will arrive at a consensus as to assignment of points for each of those sections. Sections IV, the Cost Proposal, will be scored as described below.
3. **Scoring the Cost Proposal:** The total cost proposed for conducting all the functions specified in the RFP for the initial period of performance and subsequent renewals will be assigned a score according to a mathematical formula. The lowest bid will be awarded 35 points. Proposals with higher bids values will be awarded proportionately fewer points calculated in comparison with the lowest bid.

The scoring formula is:

(Lowest submitted cost proposal / Cost of proposal being scored) x 35 = pro-rated score

No Best and Final Offers: The State of Maine will not seek or accept a best and final offer (BAFO) from any Bidder in this procurement process. All Bidders are expected to provide their best value pricing with the submission of their proposal.

- 4. Negotiations:** The Department reserves the right to negotiate with the awarded Bidder to finalize a contract. Such negotiations may not significantly vary the content, nature or requirements of the proposal or the Department's Request for Proposal to an extent that may affect the price of goods or services requested. The Department reserves the right to terminate contract negotiations with an awarded Bidder who submits a proposed contract significantly different from the proposal they submitted in response to the advertised RFP. In the event that an acceptable contract cannot be negotiated with the highest ranked Bidder, the Department may withdraw its award and negotiate with the next-highest ranked Bidder, and so on, until an acceptable contract has been finalized. Alternatively, the Department may cancel the RFP, at its sole discretion.

### C. Selection and Award

1. The final decision regarding the award of the contract will be made by representatives of the Department subject to approval by the State Procurement Review Committee.
2. Notification of conditional award selection or non-selection will be made in writing by the Department.
3. Issuance of the RFP in no way constitutes a commitment by the State of Maine to award a contract, to pay costs incurred in the preparation of a response to the RFP, or to pay costs incurred in procuring or contracting for services, supplies, physical space, personnel or any other costs incurred by the Bidder.
4. The Department reserves the right to reject any and all proposals or to make multiple awards.

### D. Appeal of Contract Awards

Any person aggrieved by the award decision that results from the RFP may appeal the decision to the Director of the Bureau of General Services in the manner prescribed in [5 M.R.S.A. § 1825-E](#) and [18-554 Code of Maine Rules Chapter 120](#). The appeal must be in writing and filed with the Director of the Bureau of General Services, 9 State House Station, Augusta, Maine, 04333-0009 within 15 calendar days of receipt of notification of conditional contract award.



## PART VI CONTRACT ADMINISTRATION AND CONDITIONS

### A. Contract Document

1. The awarded Bidder will be required to execute a State of Maine BP54-IT with appropriate riders as determined by the issuing department.

The complete set of standard State of Maine Service Contract documents, along with other forms and contract documents commonly used by the State, may be found on the Division of Procurement Services' website at the following link: [Division of Procurement Services Forms Page](#).

Forms and contract documents commonly used by the Department can be found on the Department's [Division of Contract Management website](#).

Additional FNS Required Federal Provisions are included in **Appendix L**.

2. Allocation of funds is final upon successful negotiation and execution of the contract, subject to the review and approval of the State Procurement Review Committee. Contracts are not considered fully executed and valid until approved by the State Procurement Review Committee and funds are encumbered. No contract will be approved based on an RFP which has an effective date less than fourteen (14) calendar days after award notification to Bidders. (Referenced in the regulations of the Department of Administrative and Financial Services, [Chapter 110, § 3\(B\)\(i\)](#).)

This provision means that a contract cannot be effective until at least 14 calendar days after award notification.

3. The State recognizes that the actual contract effective date depends upon completion of the RFP process, date of formal award notification, length of contract negotiation, and preparation and approval by the State Procurement Review Committee. Any appeals to the Department's award decision(s) may further postpone the actual contract effective date, depending upon the outcome. The contract effective date listed in the RFP may need to be adjusted, if necessary, to comply with mandated requirements.
4. In providing services and performing under the contract, the awarded Bidder must act as an independent contractor and not as an agent of the State of Maine.

### B. Standard State Contract Provisions

1. Contract Administration

Following the award, a Contract Administrator from the Department will be appointed to assist with the development and administration of the contract and to act as administrator during the entire contract period. Department staff will be available after the award to consult with the awarded Bidder in the finalization of the contract.

2. Payments and Other Provisions

The State anticipates paying the Contractor on the basis of net 30 payment terms, upon the receipt of an accurate and acceptable invoice. An invoice will be considered accurate and acceptable if it contains a reference to the State of Maine contract number, contains correct pricing information relative to the contract, and provides any required supporting

documents, as applicable, and any other specific and agreed-upon requirements listed within the contract that results from the RFP.

## **PART VII LIST OF RFP APPENDICES AND RELATED DOCUMENTS**

**Appendix A** – Proposal Cover Page

**Appendix B** – Debarment, Performance, and Non-Collusion Certification

**Appendix C** – Qualifications and Experience Form

**Appendix D** – Subcontractors Form

**Appendix E** – Response to Proposed Services Form

**Appendix F** – Cost Proposal Form

**Appendix G** – Submitted Questions Form

**Appendix H** – SPIRIT Program Documentation

**Appendix I** – Service Level Requirements

**Appendix J** – SPIRIT System Technical Documentation

**Appendix K** – SPIRIT Miscellaneous Information/Documentation

**Appendix L** – FNS Required Federal Provisions

APPENDIX A

**State of Maine**  
**Department of Health and Human Services**  
*Maine Center for Disease Control and Prevention*

**PROPOSAL COVER PAGE**

**RFP# 202012169**

**Maintenance & Enhancement Services for WIC SPIRIT Software**

<b>Bidder's Organization Name:</b>			
<b>Chief Executive - Name/Title:</b>			
<b>Tel:</b>		<b>E-mail:</b>	
<b>Headquarters Street Address:</b>			
<b>Headquarters City/State/Zip:</b>			
<i>(Provide information requested below if different from above)</i>			
<b>Lead Point of Contact for Proposal - Name/Title:</b>			
<b>Tel:</b>		<b>E-mail:</b>	
<b>Headquarters Street Address:</b>			
<b>Headquarters City/State/Zip:</b>			

- This proposal and the pricing structure contained herein will remain firm for a period of 180 days from the date and time of the bid opening.
- No personnel currently employed by the Department or any other State agency participated, either directly or indirectly, in any activities relating to the preparation of the Bidder's proposal.
- No attempt has been made, or will be made, by the Bidder to induce any other person or firm to submit or not to submit a proposal.
- The above-named organization is the legal entity entering into the resulting contract with the Department if they are awarded the contract.
- The undersigned is authorized to enter contractual obligations on behalf of the above-named organization.

*To the best of my knowledge, all information provided in the enclosed proposal, both programmatic and financial, is complete and accurate at the time of submission.*

<b>Name (Print):</b>	<b>Title:</b>
<b>Authorized Signature:</b>	<b>Date:</b>

**APPENDIX B**

**State of Maine**  
**Department of Health and Human Services**  
*Maine Center for Disease Control and Prevention*  
**DEBARMENT, PERFORMANCE, and NON-COLLUSION CERTIFICATION**  
**RFP# 202012169**  
**Maintenance & Enhancement Services for WIC SPIRIT Software**

<b>Bidder's Organization Name:</b>	
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*By signing this document, I certify to the best of my knowledge and belief that the aforementioned organization, its principals and any subcontractors named in this proposal:*

- a. Are not presently debarred, suspended, proposed for debarment, and declared ineligible or voluntarily excluded from bidding or working on contracts issued by any governmental agency.*
- b. Have not within three years of submitting the proposal for this contract been convicted of or had a civil judgment rendered against them for:*
  - i. Fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a federal, state or local government transaction or contract.*
  - ii. Violating Federal or State antitrust statutes or committing embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property.*
- c. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or Local) with commission of any of the offenses enumerated in paragraph (b) of this certification.*
- d. Have not within a three (3) year period preceding this proposal had one or more federal, state or local government transactions terminated for cause or default.*
- e. Have not entered into a prior understanding, agreement, or connection with any corporation, firm, or person submitting a response for the same materials, supplies, equipment, or services and this proposal is in all respects fair and without collusion or fraud. The above-mentioned entities understand and agree that collusive bidding is a violation of state and federal law and can result in fines, prison sentences, and civil damage awards.*

<b>Name (Print):</b>	<b>Title:</b>
<b>Authorized Signature:</b>	<b>Date:</b>

**State of Maine**  
**Department of Health and Human Services**  
*Maine Center for Disease Control and Prevention*  
**QUALIFICATIONS and EXPERIENCE FORM**  
**RFP# 202012169**

**Maintenance & Enhancement Services for WIC SPIRIT Software**

<b>Bidder's Organization Name:</b>	
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**Present a statement of qualifications and describe the history of the Bidder's organization, especially regarding skills pertinent to the specific services required by this RFP and any special or unique characteristics of the organization which would make it especially qualified to perform the required services. You may expand this form and use additional pages to provide this information.**

**APPENDIX C (continued)**

Provide a description of projects that occurred within the past five years which reflect experience and expertise needed in performing the functions described in the “Scope of Services” portion of the RFP. For each of the project examples provided, a contact person from the client organization involved should be listed, along with that person’s telephone number and e-mail address. Please note that contract history with the State of Maine, whether positive or negative, may be considered in rating proposals even if not provided by the Bidder.

Project One	
<b>Business Reference Name:</b>	
<b>Reference Contact Person:</b>	
<b>Telephone:</b>	
<b>E-Mail:</b>	
Description of Project	

Project Two	
<b>Business Reference Name:</b>	
<b>Reference Contact Person:</b>	
<b>Telephone:</b>	
<b>E-Mail:</b>	
Description of Project	

**APPENDIX C (continued)**

<b>Project Three</b>	
<b>Business Reference Name:</b>	
<b>Reference Contact Person:</b>	
<b>Telephone:</b>	
<b>E-Mail:</b>	
<b>Description of Project</b>	



**State of Maine**  
**Department of Health and Human Services**  
*Maine Center for Disease Control and Prevention*

**SUBCONTRACTORS FORM**

**RFP# 202012169**

**Maintenance & Enhancement Services for WIC SPIRIT Software**

If subcontractors are to be used, including consultants, provide each individual subcontractor business name, contact person, address, phone number, and a brief description of the subcontractor’s organizational capacity and qualifications.

Subcontractor	
<b>Subcontractor Business Name:</b>	
<b>Contact Person:</b>	
<b>Address:</b>	
<b>Phone Number:</b>	
<b>E-Mail:</b>	
<b>Subcontractor’s organizational capacity and qualifications</b>	

Subcontractor	
<b>Subcontractor Business Name:</b>	
<b>Contact Person:</b>	
<b>Address:</b>	
<b>Phone Number:</b>	
<b>E-Mail:</b>	
<b>Subcontractor’s organizational capacity and qualifications</b>	

APPENDIX D (continued)

<b>Subcontractor</b>	
<b>Subcontractor Business Name:</b>	
<b>Contact Person:</b>	
<b>Address:</b>	
<b>Phone Number:</b>	
<b>E-Mail:</b>	
<b>Subcontractor's organizational capacity and qualifications</b>	

<b>Subcontractor</b>	
<b>Subcontractor Business Name:</b>	
<b>Contact Person:</b>	
<b>Address:</b>	
<b>Phone Number:</b>	
<b>E-Mail:</b>	
<b>Subcontractor's organizational capacity and qualifications</b>	

**APPENDIX E**

**State of Maine**  
**Department of Health and Human Services**  
*Maine Center for Disease Control and Prevention*  
**RESPONSE TO PROPOSED SERVICES FORM**  
**RFP# 202012169**

**Maintenance & Enhancement Services for WIC SPIRIT Software**

The response to proposed services form may be obtained in a Word (.docx) format by double clicking on the document icon below.



Response to  
Proposed Services Fin

APPENDIX F

State of Maine  
Department of Health and Human Services  
*Maine Center for Disease Control and Prevention*

**COST PROPOSAL FORM**

**RFP# 202012169**

**Maintenance & Enhancement Services for WIC SPIRIT Software**

<b>Bidder's Organization Name:</b>	
<b>Proposed Total Fixed Cost for all Performance Periods:</b>	\$

**Instructions:** The Bidder must complete and submit budget forms providing a detailed breakdown of expenses in performing the services for the Transition-In Period of Performance, the Initial Period of Performance, and subsequent renewals as described in this RFP and in the Bidder's proposal. The Total Fixed Cost for all Performance Periods is the proposed cost to be used in the scoring cost formula for evaluation purposes.

**The Budget Form may be obtained in an Excel (.xlsx) format by double clicking on the document icon below.**



COST PROPOSAL.xlsx

**APPENDIX G**

**State of Maine**  
**Department of Health and Human Services**  
*Maine Center for Disease Control and Prevention*

**SUBMITTED QUESTIONS FORM**

**RFP# 202012169**

**Maintenance & Enhancement Services for WIC SPIRIT Software**

<b>Organization Name:</b>	
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<b>RFP Section &amp; Page Number</b>	<b>Question</b>

\* *If a question is not related to any section of the RFP, state "N/A" under "RFP Section & Page Number".*









\*\* *Add additional rows, if necessary.*

APPENDIX H

**State of Maine**  
**Department of Health and Human Services**  
*Maine Center for Disease Control and Prevention*  
**SPIRIT PROGRAM DOCUMENTATION**  
**RFP# 202012169**

**Maintenance & Enhancement Services for WIC SPIRIT Software**

The documents may be obtained by double clicking on the document icons below.

<b><u>SPIRIT USERS GROUP (SUG) GOVERNING DOCUMENTS</u></b>					
<b>1</b>	<p>SUG Charter (January 28, 2021 Version 10)</p>  <p>SUG Charter V10_compressed.pdf</p>	<b>2</b>	<p>SUG Communications Management Plan (January 28, 2021 Version 1.6)</p>  <p>SPIRIT Comm Mgmt Plan_compressed.pc</p>	<b>3</b>	<p>SUG Change Control Process</p>  <p>SUG Change Control Pro_compre</p>
<b>4</b>	<p>Project Assessment Quotation Template</p>  <p>Project Assessment Quo_compressed.pc</p>	<b>5</b>	<p>Individual SAs Contracting for Additional Support to be provided by the M&amp;E Contractor (ESC Approved Process, November 3, 2015)</p>  <p>Contracting with M&amp;E Contractor_cor</p>		
<b>6</b>	<p>Sample Participating Purchasing State Addendum</p>  <p>Sample Addendum.pdf</p>	<b>7</b>	<p>Contract Administration Liaison (CAL) Roles and Responsibilities</p>  <p>SPIRIT Web Reeng Project Plan.pdf</p>		
<b><u>SPIRIT WEB RE-ENGINEERING PROJECT MANAGEMENT DOCUMENTS</u></b>					
<b>8</b>	<p>SPIRIT Web Re-engineering Project Plan</p>  <p>SPIRIT Web Plan_compressed.pc</p>				

APPENDIX I

**State of Maine**  
**Department of Health and Human Services**  
*Maine Center for Disease Control and Prevention*  
**SERVICE LEVEL REQUIREMENTS**  
**RFP# 202012169**

**Maintenance & Enhancement Services for WIC SPIRIT Software**

The SLRs may be obtained in an Excel (.xlsx) format by double clicking on the document icon below.



Service Level  
Requirements.xlsx




**State of Maine**  
**Department of Health and Human Services**  
*Maine Center for Disease Control and Prevention*  
**SPIRIT SYSTEM TECHNICAL DOCUMENTATION**  
**RFP# 202012169**

**Maintenance & Enhancement Services for WIC SPIRIT Software**

The following represent the basic technical documentation for the SPIRIT MIS and the SPIRIT Reengineering Project.

The documents may be obtained by double clicking on the document icons below.

<b><u>SPIRIT MIS TECHNICAL DOCUMENTS</u></b>	
<b>1</b>	<a href="#"><u>SPIRIT Detailed Functional Design Document (DFDD)</u></a>

<b><u>SPIRIT WEB RE-ENGINEERING PROJECT DOCUMENTATION</u></b>		
<b>1</b>	<b>2</b>	<b>3</b>
SPIRIT WEB Design Guidelines and Rules (Version 1.7)  SPIRIT Web Design Guidelines and Rule	SPIRIT WEB Detailed Technical Specifications Document (Version 1.7)  SPIRIT Web Detailed Tech Spec I	SPIRIT WEB Coding Guidelines and Rules (Version 1.4)  SPIRIT Web Coding Guidelines and Rule

<b><u>ADDITIONAL TECHNICAL DOCUMENTS ACCESSED ONLINE</u></b>
<a href="#"><u>SPIRIT Source Code and Release Install Files</u></a>



APPENDIX K

**State of Maine**  
**Department of Health and Human Services**  
*Maine Center for Disease Control and Prevention*  
**SPIRIT MISCELLANEOUS INFORMATION/DOCUMENTATION**  
**RFP# 202012169**  
**Maintenance & Enhancement Services for WIC SPIRIT Software**

The documents may be obtained by double clicking on the document icons below.

<b><u>EXAMPLES OF CONTRACTOR-PRODUCED RELEASE DOCUMENTATION</u></b>	
<b>1</b>	<p>SPIRIT WIC System Release Notes (Version 2.36.19203.1848)</p>  <p>SPIRIT Release Notes_compressed.pdf</p> <hr/>

<b><u>LINKS TO USDA FNS GUIDANCE DOCUMENTS</u></b>	
<ol style="list-style-type: none"><li>1. <a href="#">USDA FNS Handbook 901 (Version 2.4)</a></li><li>2. <a href="#">USDA FNS – WIC EBT Technical Implementation Guidelines (2018 Version)</a></li><li>3. <a href="#">WIC Universal MIS – EBT Interface Functional Requirements Specification (March 2015 Version)</a></li></ol>	

APPENDIX L

**State of Maine**  
**Department of Health and Human Services**  
*Maine Center for Disease Control and Prevention*  
**FNS REQUIRED FEDERAL PROVISIONS**  
**RFP# 202012169**

**Maintenance & Enhancement Services for WIC SPIRIT Software**

The FNS Required Federal Provisions may be obtained in a PDF (.pdf) format by double clicking on the document icon below.



FNS Required Fed  
Prov.pdf

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