



CONSULTING AND TECHNICAL SERVICES (CATS)

TASK ORDER REQUEST FOR PROPOSALS (TORFP)

MARYLAND ACCOUNTABILITY AND REPORTING SYSTEM (MARS)

CATS TORFP PROJECT R00P8205000

MARYLAND STATE DEPARTMENT OF EDUCATION

ISSUE DATE: JUNE 11, 2008

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KEY INFORMATION SUMMARY SHEET

This Consulting and Technical Services (CATS) Task Order Request for Proposals (TORFP) is issued to obtain the services necessary to satisfy the requirements defined in Section 2 - Scope of Work. All CATS Master Contractors approved to perform work in the functional area under which this TORFP is released are invited to submit a Task Order (TO) Proposal to this TORFP. All Master Contractors must complete and submit a Master Contractor Feedback form via the CATS web site regardless of whether a TO Proposal is submitted or not. The form is accessible via, your CATS Master Contractor login screen and clicking on TORFP Feedback Response Form from the menu. In addition to the requirements of this TORFP, the Master Contractors are subject to all terms and conditions contained in the CATS RFP issued by the Maryland Department of Budget and Management (DBM), Office of Information Technology (OIT) and subsequent Master Contract Project Number 050R5800338, including any amendments.

| | |
|---|--|
| TORFP Title: | MARYLAND ACCOUNTABILITY & REPORTING SYSTEM (MARS) |
| Functional Area: | SOFTWARE ENGINEERING Functional Area 5 |
| TORFP Issue Date: | JUNE 11, 2008 |
| Closing Date and Time: | JULY 15, 2008 BY 2:00 PM |
| TORFP Issuing Agency: | Maryland State Department of Education Office of Information Technology |
| Send Questions and Proposals to: | Dorothy M. Richburg, Procurement Officer drichburg@msde.state.md.us |
| TO Procurement Officer: | Dorothy M. Richburg, Procurement Officer Office Phone Number 410-767-0628 Office FAX Number: 410-333-2017 |
| TO Manager: | Robin Ziegler, Branch Chief School and Community Nutrition Programs Office Phone Number: 410-767-0198 Office FAX Number: 410-333-2635 |
| TO Project Number: | R00P8205000 |
| TO Type: | Fixed price (project) / time and materials (O&M) |
| Period of Performance: | Development activities are approved through the end of the CATS procurement (12/31/2010) with a goal of completing in advance of this date. O&M annual renewals (1 year base period with 1 renewal option period through 12/31/2010) |
| MBE Goal: | 30 Percent |
| Small Business Reserve (SBR): | No |
| Primary Place of Performance: | Maryland State Department of Education Nancy S. Grasmick State Education Building 200 West Baltimore Street, Baltimore, MD 21201 |
| TO Pre-proposal Conference: | Maryland State Department of Education Nancy S. Grasmick State Education Building 8 th Floor, Conference Room 6 200 West Baltimore Street, Baltimore, MD 21201 See Attachment 6 for directions. THURSDAY, JUNE 19 @ 2:30 PM |

**CATS TORFP PROJECT NUMBER # R00P8205000
MARYLAND ACCOUNTABILITY & REPORTING SYSTEM (MARS)**

PRE-PROPOSAL CONFERENCE INTENT TO ATTEND

Print or Type

NAME OF COMPANY:

ADDRESS OF COMPANY:

E-MAIL:

EXPECTED NUMBER OF ATTENDEES:

**NAME OF PRIMARY CONTACT FOR
PURPOSES OF SENDING INFORMATION:**

If you are unable to attend the Pre-Proposal conference or submit a proposal, for this project please fill out the bottom portion of this letter and return to:

Maryland State Department of Education
Attention: Dorothy Richburg
200 West Baltimore Street
Baltimore, Maryland 21201

I ___ will ___ will not attend the pre-proposal conference

I ___ will ___ will not submit a proposal for this project. If not, please explain:

___ Too busy at this time ___ Not engaged in this type of work

___ Site location too distant ___ Project too large/small (please check one)

___ Other (Specify) _____

Signature _____ Company Name _____

Telephone No. _____ Fax No. _____

E-mail _____ Date _____

**MARYLAND ACCOUNTABILITY AND REPORTING SYSTEM (MARS)
CATS TORFP PROJECT R00P8205000**

NOTICE TO MASTER CONTRACTORS

All CATS Master Contractors approved to perform work in the functional area under which this TORFP is released are invited to submit a Task Order (TO) Proposal to this TORFP. Those Master Contractors deciding not to submit a TO Proposal are required to submit the reason(s) why per Section 3.1 of the TORFP. If you have chosen not to propose to this TORFP, you must complete and email this notice to the TO Procurement Officer drichburg@msde.state.md.us. If you are submitting a TO Proposal, we also ask that you take a few minutes and provide comments and suggestions regarding the enclosed TORFP.

TORFP TITLE **MARYLAND ACCOUNTABILITY AND REPORTING SYSTEM (MARS)**
TORFP R00P8205000

1. If you have responded with a "not submitting Task Order Proposal", please indicate the reason(s) below:
 - () Other commitments preclude our participation at this time.
 - () The subject of the TORFP is not something we ordinarily provide.
 - () We are inexperienced in the services required.
 - () Specifications are unclear, too restrictive, etc. (Explain in REMARKS section.)
 - () The scope of work is beyond our present capacity.
 - () Doing business with the State of Maryland is too complicated. (Explain in REMARKS section.)
 - () We cannot be competitive. (Explain in REMARKS section.)
 - () Time allotted for completion of a Task Order Proposal is insufficient.
 - () Start-up time is insufficient.
 - () Bonding/Insurance requirements are too restrictive. (Explain in REMARKS section.)
 - () TORFP requirements (other than specifications) are unreasonable or too risky. (Explain in REMARKS section.)
 - () Prior State of Maryland contract experience was unprofitable or otherwise unsatisfactory. (Explain in REMARKS section.)
 - () Payment schedule too slow.
 - () Other: _____.

2. If you have submitted a Task Order Proposal, but wish to offer suggestions or express concerns, please use the Remarks section below.

Remarks: _____

Master Contractor

Name: _____ Phone: _____ Date: _____

Contact Person: _____ E-mail _____

SECTION 1 - ADMINISTRATIVE INFORMATION

1.1 RESPONSIBILITY FOR TORFP AND TO AGREEMENT

The TO Procurement Officer has the primary responsibility for the management of the TORFP process, for the resolution of TO Agreement scope issues, and for authorizing any changes to the TO Agreement. See SECTION 12.10 for information on change orders.

The TO Manager has the primary responsibility for the management of the work performed under the TO Agreement; administration functions, including issuing written directions; ensuring compliance with the terms and conditions of the CATS Master Contract; and, in conjunction with the selected Master Contractor, achieving on budget/on time/on target (e.g., within scope) completion of the Scope of Work.

1.2 TO AGREEMENT

Based upon an evaluation of TO Proposal responses, a Master Contractor will be selected to conduct the work defined in Section 2 - Scope of Work. A specific TO Agreement, Attachment 3, will then be entered into between the State and the selected Master Contractor, which will bind the selected Master Contractor (TO Contractor) to the contents of its TO Proposal, including the price proposal.

1.3 TO PROPOSAL SUBMISSIONS

The TO Procurement Officer will not accept submissions after the stated date and exact time. The time will be local time as determined by MSDE e-mail system time stamp. The TO Proposal is to be submitted via e-mail as two attachments in MS Word format. The "subject" line in the e-mail submission shall state the TORFP # R00P8205000. The first file will be the TO Proposal technical response to this TORFP and titled, "CATS TORFP # R00P8205000 Technical". The second file will be the financial response to this CATS TORFP and titled, "CATS TORFP # R00P8205000 Financial". The proposal documents that must be submitted with a signature, Attachment 2 - MBE Forms D-1 and D-2 and Attachment 4 - Conflict of Interest and Disclosure Affidavit, must be submitted as .PDF files with signatures clearly visible.

1.4 ORAL PRESENTATIONS/INTERVIEWS

All Master Contractors and proposed staff will be required to make an oral presentation to State representatives. Significant representations made by a Master Contractor during the oral presentation shall be submitted in writing. All such representations will become part of the Master Contractor's proposal and are binding, if the Contract is awarded. The Procurement Officer will notify Master Contractor of the time and place of oral presentations.

1.5 MINORITY BUSINESS ENTERPRISE (MBE)

A Master Contractor that responds to this TORFP shall complete, sign, and submit all required MBE documentation (Attachment 2 - Forms D-1 and D-2) at the time it submits its TO Proposal. **Failure of the Master Contractor to complete, sign, and submit all required MBE documentation at the time it submits the TO Proposal will result in the State's rejection of the Master Contractor's TO Proposal.**

1.6 CONFLICT OF INTEREST

The TO Contractor awarded the TO Agreement shall provide IT technical and/or consulting services for State agencies or component programs with those agencies, and must do so impartially and without any conflicts of interest. Each Master Contractor shall complete and include a Conflict of Interest Affidavit in the form included as Attachment 4 this TORFP with its TO Proposal. If the TO Procurement Officer makes a determination that facts or circumstances exist that give rise to or could in the future give rise to a conflict of interest within the meaning of COMAR 21.05.08.08A, the TO Procurement Officer may reject a Master Contractor's TO Proposal under COMAR 21.06.02.03B.

Master Contractors should be aware that the State Ethics Law, State Government Article, §15-508, might limit the selected Master Contractor's ability to participate in future related procurements, depending upon specific circumstances.

1.7 NON-DISCLOSURE AGREEMENT

Certain system documentation may be available for potential Offerors to review at a reading room at 200 West Baltimore Street. Offerors who review such documentation will be required to sign a Non-Disclosure Agreement (Offeror) in the form of Attachment 10. Please contact the TO Procurement Officer of this TORFP to schedule an appointment.

In addition, certain documentation may be required by the TO Contractor awarded the TO Agreement in order to fulfill the requirements of the TO Agreement. The TO Contractor, employees and agents who review such documents will be required to sign, including but not limited to, a Non-Disclosure Agreement (TO Contractor) in the form of Attachment 11.

1.8 LIMITATION OF LIABILITY CEILING

Pursuant to Section 28(C) of the CATS Master Contract, the limitation of liability per claim under this TORFP shall not exceed the total TO Agreement amount established.

SECTION 2 - SCOPE OF WORK

2.1 PURPOSE AND BACKGROUND

2.1.1 PURPOSE

The Maryland State Department of Education (MSDE) is issuing this CATS TORFP to obtain technical services to acquire, design, develop, implement, and support services for the technology transformation project to replace the School and Community Nutrition Programs Branch (SCNPB) legacy applications with current technologies.

The goal of this project is to replace the SCNPB legacy data processing systems (combination of custom built client/server applications and spreadsheets) at MSDE. This TORFP is to purchase contractual services to provide an application to support all essential operations for statewide SCNPB services.

On an annual basis, the SCNPB office administers the dissemination of approximately \$170 million in federal funds. SCNPB processing includes program administration, claims processing, financial management (AR/AP), training, program compliance, Outreach, and food distribution. The recipients of the SCNPB processing include Local Educational Agency (LEA), Child\Adult Care Food Program Agencies, Nonprofit Private Schools, Residential Child Care Institutions, Charitable Institutions, Special Milk Programs, Summer Food Service Agencies, MSDE, and United States Dept. of Agriculture (USDA).

The overall goal of the project is to enable optimal efficiency and integrity in the management of federal and State Child Nutrition Programs (CNP) for the State of Maryland. This project is part of the MSDE Technology Project portfolio.

The technology to be sunset consists of custom developed client/server software. This technology will be retired with the final production release of the new technology or sooner if possible.

2.1.2 PROJECT BACKGROUND

Currently, MSDE SCNPB operations are supported by a client/server application that is not performing with the most up to date technology and requires significant manual intervention and data entry. The system does not incorporate current workflow and customer oriented technologies. The SCNPB system cannot evolve to handle the changing business needs of the State and federal governments. This has resulted in SCNPB constructing several manual processes and spreadsheets containing data redundant with main systems data and used for new reports and queries. Also, evolving business requirements have shown that there are business benefits to connecting the SCNPB system to other MSDE or other State agency systems and allowing these systems to share information. A new system can accommodate this connection.

SCNPB is focused on providing improved benefit to their customers. By using current internet technology, the SCNPB team will be able to offer a superior level of service directly to customers. Bottlenecks and other problem areas shall be identified so that SCNPB processes and services shall be continually improved.

2.1.3 REQUESTING AGENCY BACKGROUND

The Maryland State Department of Education (MSDE) exemplifies energetic leadership and innovative products and services to improve public education, library services, and rehabilitation services.

Organizational Principles

- We provide quality products and services to all customers.
- We embrace the mission of the department as the basis for our program and professional objectives.
- We believe in our obligation to be accountable to our customers and to use public resources effectively.

- We believe people are our greatest resource and are committed to their growth and development.
- We believe cultural diversity, mutual trust, respect, open communication, and celebration of achievements are essential to a productive organization.

Two MSDE goals aligned with the SCNPB include: 1) *improving student achievement*; and 2) *providing environments conducive to learning*. To assist the Department in reaching these goals, the SCNPB is: 1) providing the leadership to food and nutrition programs throughout the State and ensuring programs meet or exceed federal standards; and 2) maximizing the nutritional well-being of children and adults in Maryland.

2.1.4 CURRENT SYSTEM DESCRIPTION

MSDE supports the existing SCNPB process with a client/server application and a series of manual processes and spreadsheets. The client/server application is based upon Access 2003 with SQL Server. The client/server application has a real-time interface to the IVR and the internet (FNSWEB) which updates the SQL server backend based on data entry provided by external agencies.

Regarding software, the MSDE/OIT hosts the following products:

- IVR (MS Technologies)
- eForms (MS Technologies) in progress
- MS Exchange 2003
- MS Internet Explorer (IE)
- MS SQL 2003 SP3A
- Microsoft BizTalk
- Microsoft CRM 3.0
- Cardiff Liquid Office
- Microsoft Content Manager
- Integration with Pay Pal Pro (VeriSign)
- Kofax, ASCENT, ACIS Scanning Technology

2.1.5 ACRONYMS

The following is a list of acronyms that are used throughout the TORFP and associated appendices.

| | |
|---------------|--|
| ADA | Average Daily Attendance |
| ADC | Adult Day Care |
| ADM | Average Daily Meals |
| ADP | Average Daily Participation |
| ADPICS | Advanced Purchasing Inventory Control System |
| AFR | Annual Financial Reports |
| AP | Accounts Payable |
| AR | Accounts Receivable |
| ARS | At Risk Snacks in child and adult centers |
| CACFP | Child and Adult Care Food Program |
| CAP | Corrective Action Plan |
| CCB | Change Control Board |
| CCC | Child Care Centers |
| CFDA | Code of Federal Domestic Assistance |

| | |
|---------------|---|
| CIL | Cash-In-Lieu |
| CIO | Chief Information Officer |
| CI s | Charitable Institutions |
| CNP | Child Nutrition Program |
| COTS | Customized off the shelf |
| CRE | Coordinated Review Effort |
| CRR | Claim Reimbursement Report |
| CS | Compliance Section |
| DCE | Direct Certification Eligibility |
| DHR | Department of Human Resources |
| DTS | Date Time Stamp |
| ECOS | Electronic Commodity Ordering system |
| ECRR | Estimated Claim Reimbursement Report |
| EDW | Educational Data Warehouse |
| ES | Emergency Shelters |
| FA | Fiscal Action |
| FCC | Family Child Care |
| FD | Food Distribution |
| FDW | MSDE Financial Data Warehouse |
| FEIN | Federal Employer Identification Number |
| FFVP | Fresh Fruit and Vegetable Program |
| FM | Financial Management & Accountability Section |
| FMA | Financial Management Administration |
| FMIS | State of Maryland's Financial Management Information System |
| FMNV | Foods of Minimal Nutritional Value |
| FNSWeb | Web Interface to the SNACS data system |
| FSMC | Food Service Management Company |
| HACCP | Hazard Analysis Critical Control Point |
| IT | Information Technology |
| IVR | Interactive Voice Response System |
| LEA | Local Educational Agency |
| LOC | Letter of Credit |
| MARS | Maryland Accountability Reporting System |
| MBA | Meal Benefit Application |
| MMFA | Maryland Meals for Achievement In Classroom Breakfast Program |
| MSDE | Maryland State Department of Education |
| MSEB | Maryland State Education Building |
| NP | Non-Pricing Program |
| NPPS | Non-Public Private Schools |
| NSLP | National School Lunch Program |
| NYSP | National Youth Sports Program |
| OARS | Operations and Administration Review System |

| | |
|-----------------|---|
| OIT | Office of Information Technology at MSDE |
| OSH | Outside School Hours |
| OVS | Offer verses Served |
| P1 | Provision One |
| P2 | Provision Two |
| P3 | Provision Three |
| PA | Program Administration |
| PDTA | Professional Development and Technical Assistance |
| POS | Point of Service |
| PP | Pricing Program |
| PUBS | Public Schools |
| RCCI | Residential Child Care Institutions |
| REG | Regular |
| RES | Residential |
| ROI | Return on Investment |
| SBP | School Breakfast Program |
| SCNPB | School and Community Nutrition Programs Branch |
| SDLC | System Development Life Cycle |
| SFA | School Food Authority |
| SFSP | Summer Food Service Program |
| SM | School Meals |
| SMP | Special Milk Program |
| SMI | School Meals Initiative Nutrient Analysis Review |
| SNACK AE | An Area Eligible Snack in School Meals Programs |
| SNACS | School Nutrition Accounting and Claims System (client/server) |
| SOPS | Standard Operating Procedures |
| TCA | Temporary Cash Assistance (also called TANF) |
| TL | Transmittal Log |
| TO | Task Order |
| TTY | Text Telephone or Telecommunications for the Deaf |
| USDA | United States Department of Agriculture |
| WIC | Women, Infants and Children |

2.1.6 PROJECT GOALS

Improved process design

The new process model for the MARS application shall replace unsupported and non-expandable systems. It will be designed to minimize processing time by using strategies such as: task automation, simplifying processes, improving data integrity, increased timeliness and accuracy of financial data and payments, eliminating redundancy and multiple entries, removing tasks without outputs, reducing transfer time between tasks, and increasing the number of tasks that can be accomplished in parallel.

Introduction of Workflow Management and Automation

The new process will be supported by an automated workflow management system. The system will aid the SCNPB processes by: automatically triggering events based on predefined conditions (e.g., sending an email to an applicant when a document is received), routing documents to appropriate individuals, checking electronic case files in and out of the repository, automatically launching processing needed to accomplish tasks, providing automated checklists for each task in the process, task automation (sending emails, creating tasks, generating letters, etc.), event notification (e.g., notify internals and/or externals deadlines and events, CAPs in process), monitoring the process (current and future workloads measures, process status information), and user activity logging (for accountability and performance measures). Implementing the workflow management system will improve communication; provide the flexibility and power to implement future process improvements.

Improved information gathering

The new process will be more efficient because document gathering will be aided by technology. Applications will be completed online using a web browser over the Internet. Paper documents will be eliminated or will be scanned, reducing paper handling. All relevant correspondence will be scanned, simplifying filing and accelerating retrieval.

Improved output generation system

As specialists post the results of their work in the MARS system, this will trigger the generation of appropriate output. Disposition letters, Corrective Action Plans, Master contracts, and termination notices for Agencies will be automatically generated. The MARS database can be used as the source for any number of reports, tables, or graphs, distributed by email or website.

Improved customer service

Customer service will be improved by using the Internet to make services and information available to customers 24 hours a day, 7 days a week. This will reduce the volume of repetitive requests for frequently asked questions, leaving staff available for other tasks. The administrative burden on agencies will be reduced by allowing reporting over the internet. Technologies that will be used include the new MARS website that will provide basic SCNPB information as well as allow Agencies to apply/renew online, review their information, download results, and upload support materials. Agencies can check their application or claims at the website at any time for status.

Improved access to information

The information in the new MARS database will be made accessible to those who require it using pre-defined application reports, ad hoc queries, and 3rd party report writers. The MARS website will provide a query capability for use by applicants. Authorized MSDE staff will be able to access Program database information from the field using standard displays, reports, and graphs.

Improved information management

The new system will be able to electronically store and present all information related to MARS. All documents and data will be indexed to allow rapid retrieval. Security will be improved by: destroying paper documents once scanned; limiting access to electronic data by user login and password; limiting access to the level of information users can view. Data reliability will be improved by only handling documents once, reducing paper documents, and periodically backing up all MARS information, all of which will reduce missing or duplicate information. Storing the information in a modern database management system will allow easy integration across Programs, with other databases at MSDE, and other stakeholders.

Return on Investment (ROI): Improved communications to and from SCNPB, implementation of ad hoc reporting and analysis capabilities, access to on-line reports, data uploads for multi-site agencies, elimination of duplicate data entry, web-based monthly claim input for all programs, 24 hours/7 days a week access to real-time program data including monthly claim data in meals or dollars, review results and areas for improvement, training or course opportunities, course availability and scheduling, on-line payments for fee-based services provided by SCNPB, and donated food inventories and commodity storage charges. The system shall enable better allocation of resources based upon statistical data that is not currently available.

The system will allow SCNPB staff to address Outreach activities in order to increase participation in programs (i.e. currently school systems and other agencies are not capitalizing on all of the available programs). The system will make it easier for the school systems and agencies to perform “what if” scenarios themselves to determine what programs/monies they may qualify for but are not enrolled. Based on program expansion, the overall State of Maryland entitlement could increase significantly (for example if the ratio of breakfast to lunch participation was increased from 43% to 60%, then an additional \$7.8 million can be realized in federal aid to school systems based on data provided by the “Food Research and Action Center” in the School Breakfast Scorecard 2006).

2.1.7 RETURN ON INVESTMENT/CRITICAL SUCCESS FACTORS

MARS I-Release 1:

Overall Improvements

- Shall be available to SCNPB staff 24 hours/7 days a week; excluding backup and scheduled maintenance windows
- 50% reduction in the processing of postal mailings
- Improved analysis and reporting capabilities (eliminate or streamline manual processes in support of State/federal reporting requirements)
- Enable comprehensive search and analysis
- 95% of all applications entered will be retrievable for review by staff within one minute

Streamline & expand Program Administration processing and timeframe

- Easy access to application and correspondence materials per Agency
- Reduce volume of misplaced applications/documents by 95%
- 50% reduction in time spent managing and administering contracts
- 95% automated journaling and tracking of program applications, application edits, and application renewals

Streamline & expand Financial Management processing and timeframe

- 75% decrease in calculation errors, reprocessing, and manual work-arounds
- 95% automated journaling and tracking of claims, claim edits, and claim revisions
- Improve forecasting to identify the level of federal reimbursement from USDA
- 80% increase in controlling and monitoring operational and administrative budgets and accurately determining funds available for program operations
- 100% automation of USDA reporting

MARS I-Release 2 (incremental improvements)

Overall Improvements

- Portal access to SCNPB applicants for direct access to applications, inquiries, requests, claims process, and training

- 80% reduction in the number of inquiries regarding program guidance and governance by allowing agencies to receive the information online and by e-mail
- 80% reduction in the need for SCNPB staff to update applicant information by allowing the agency to obtain and maintain their own information electronically
- 90% reduction in calls inquiring about claims, using the on-line system with auto edit checking and validations with corresponding error messages to eliminate/reduce input errors
- 98% of applications will be completed online
- 80% reduction in time spent on duplicate data entry
- 75% reduction in time spent scheduling
- 75% reduction in staff workload related document receipt and processing (paper)
- 25% reduction in the processing of postal mailings
- 10% reduction in the processing of paper reports
- 20% reduction in the time associated to handling inquiries and requests
- Reduce paper by 75%
- 50% increase in complaint response time
- 75% decrease in customer phone calls due to real-time update of facts and tracking of statistics
- Allow customers access to Program information

Streamline & expand Program Administration processing and timeframe

- 90% reduction in staff workload related to mailing out applications
- 50% reduction in time spent scheduling site visits
- 80% reduction in time spent on data entry
- 75% reduction of reviewing applications for completed data
- Reduce cycle time by 25% for Sponsor approval and renewal
- 50% of inquiries by telephone will be addressed within 2 minutes

2.1.8 SCNPB BUSINESS MODEL

The Branch administers the Child Nutrition Programs in Maryland by providing customers with nutrition program access, federal and State funding for meals served to eligible participants, guidance and policy materials, technical assistance, ensures integrity by conducting compliance reviews, nutrition education and training, and coordinates the distribution of commodities to agencies that provide nutritious meals to children and qualifying adults.

The Branch works with the State's 24 public school systems, nonprofit private schools, residential child care institutions, child care centers, adult care centers, emergency shelters, family child care agencies and homes, summer camps, charitable institutions, faith based organizations, certain proprietary agencies, and other organizations across the State.

In 2007, agencies received approximately \$173 million in federal dollars, \$14 million dollars in USDA donated foods, and over \$7 million dollars in State funds for providing meals that met federal and State nutrition requirements.

2.1.8.1 SCNPB CUSTOMERS

The SCNPB customer is referred to as an "agency". The agency is the entity that has the direct relationship with the SCNPB and enters into an agreement with the State Agency to assume final administrative and financial responsibility for Program operations. Each agency oversees one or more "sites". The site is the location where meals are served to a recipient population.

SCNPB has classified the agencies into the following five “business domain” classifications. The table below shows the estimated volume of agencies and associated sites by the business type classification.

| Business Domain | School Meals | Special Milk | Summer | Child and Adult Centers | Family Child Care Homes |
|-----------------|--------------|--------------|--------|-------------------------|-------------------------|
| # of Agencies | 80 | 107 | 50 | 340 | 7 |
| # of Sites | 1650 | 200 | 800 | 620 | 4000 |

The agency is able to gain access to one or more SCNPB programs, filing claims for monetary reimbursements, ensuring that all sites remain compliant with the rules and regulations associated to each program, training, program monitoring, recordkeeping, and maintaining the relationship with SCNPB on an on-going basis.

Agencies include:

- Local Educational Agencies (LEAs)
- Child and Adult Care Centers
- Summer Camps
- Emergency Shelters
- After-School Care Programs
- Social Service Programs

2.1.8.2 SCNPB MARS STAKEHOLDERS

MSDE SCNPB – We are the office charged with the responsibility by the USDA to administer the USDA child nutrition grants. As the State Agency, MSDE SCNPB is responsible to monitor, keep accurate records, provide training, and provide technical assistance and communications to all recipients of the federal child nutrition grants. MSDE SCNP is responsible for compliance in all aspects of any federal law concerning child nutrition programs.

U.S. Department of Agriculture (USDA) - Is the lead federal agency that has been charged by congress to administer and monitor federal laws concerning the child nutrition programs. This includes interpreting federal law and promulgating regulation to enforce the law.

MD State Treasurer’s office – Charged by State law to safe guard and account for all monetary assets belonging to the State of Maryland. This includes the receipt of federal grant funds and their ultimate disbursement.

MSDE Accounting office – The department within MSDE that is responsible for the maintenance of all accounting records and provides oversight for all accounting transactions. MSDE Accounting office is responsible to the State government for reporting accurate accounting transactions and records that are in compliance with established State and GAAP (Generally Accepted Accounting Principles) requirements.

Department of Human Resources (DHR) – The State agency responsible for all social service functions in Maryland. DHR approves individuals for various federal public assistance programs. Because MSDE SCNP also operates federal public assistance programs, federal law allows for cross approval of individuals to receive public assistance. This is done to avoid duplication of efforts and wasting of resources. Specifically DHR provides MSDE SCNPB with an electronic file of all school age children in Maryland that have been approved for public assistance so that the schools systems can categorically approve those children to receive a free or reduced meal. This qualifies individuals for benefits from the federal child nutrition programs without additional documentation to substantiate income.

Children and families in the State of Maryland – Indirectly receive benefit from the federal child nutrition programs. Whereas the benefits provided by DHR are usually direct cash payments to the family receiving public assistance, funds paid from the federal child nutrition programs are paid directly to an agency that operates the program which provides the benefit of a nutritious meal to an eligible recipient. The funding is to offset the additional costs incurred by an agency in providing a nutritious meal.

Customers/Agencies – Operate the federal child nutrition programs as a business partner with MSDE SCNPB. Funding received by the agency is used to offset the additional costs in providing a nutritious meal. Examples of major customers are public schools, private schools, residential child care institutions, various nonprofit, for profit and governmental entities that operate the Child and Adult Care Food Program. Also various nonprofit and governmental entities operate the Summer Food Service Program. Indirect customers include recipients of federally donated food stuffs, public warehouses and food processors. They participate in the federal Food Distribution program.

2.1.8.3 SCNPB PROGRAMS

The SCNPB currently offer the following Child and Nutrition Programs to agencies in the State of Maryland:

Child and Nutrition Programs

1. School Meals
2. Special Milk
3. Summer Food Service
4. Child & Adult Care Centers
5. Family Child Care

Food Service Program - out of scope for MARS

6. Food Distribution (commodities)

Grants

1. Team Nutrition Grant(s)

The first 5 programs reimburse the agency based on “meals served” to eligible recipients. Refer to **External Worksheet Attachment PA Attachments - 1-Business Programs** for details regarding each of these programs and associated sub-programs. The sixth program deals with the actual ordering and distribution of food (and is out of scope of the MARS system), whereby eligible agencies multiple the number of lunch and supper meals by a rate and use the result like script money to purchase commodities. Within SCNPB, a special team is dedicated to the Food Distribution administration with the other programs based on a common model. The Team Nutrition Grant is a competitive grant that the Branch received from USDA in late 2007 to provide role modeling in specific child care centers. Grant expenditures include SCNPB incurred costs to administer the grant and mini grants to approximately 35 sub-recipients (Judy Centers).

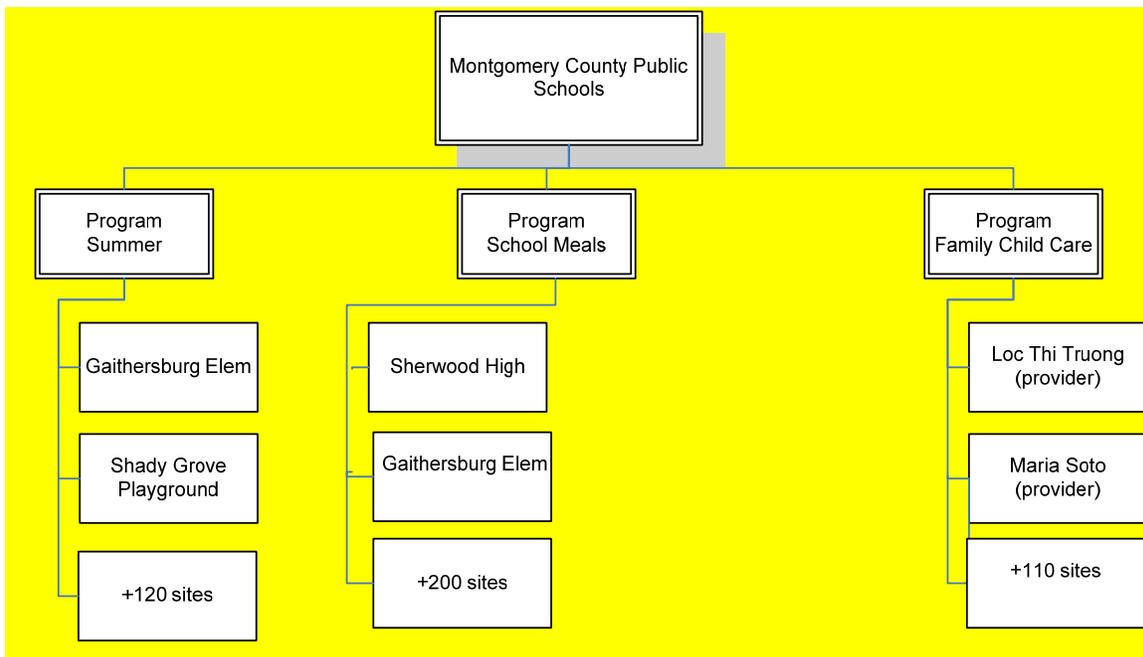
Agencies may be eligible to apply for one or more programs. Note, there are extensive “eligibility criteria” for each program. Eligibility criteria are based on the business type of the agency, the type of site(s) under the agency, and how the agency oversees the meal service activities. Each site associated to an agency may be eligible for one or more nutrition programs under which the agency is eligible.

The summary “agency to program” eligibility matrix is the following:

| Business Domain → | School Meals | Special Milk | Summer | Child and Adult Centers | Family Child Care Homes |
|---------------------------|---------------------|---------------------|---------------|--------------------------------|--------------------------------|
| Program | | | | | |
| Breakfast | X | | X | X | X |
| Lunch | X | | X | X | X |
| Snack | X | | X | X | X |
| Milk | | X | | | |
| Fresh fruit and vegetable | X | | | | |
| Supper | X | | X | X | X |

See **External Worksheet Attachment PA Attachments 1-Business Programs** for the mapping/control data required to define the processing options and requirements associated to SCNPB activities. All of these parameters and values will need to be finalized during the Requirements validation activities associated to this project. These values are defined as they stand today and may change based on the end state architecture of the MARS system.

The diagram below shows the relationship of the agency to the SCNPB programs and to the sites.



2.1.8.4 SCNPB FUNCTIONAL BUSINESS UNITS

The SCNPB operates the following 5 functional business areas defined below. As is defined in *Table 1 Release Strategy*, the MARS project is divided into several releases. Each release is designed to support the full functionality and workflow automations associated to one or more functional business units. A second procurement will be initiated in the future for MARS II. This TORFP is providing the overall processing picture and is identifying functionality that is not in scope of the MARS I project but is associated to MARS II.

1) Program Administration and Outreach (PA)

- Interprets new and current laws, regulations, and guidelines, and facilitates their implementation by development and communication of policies, procedures, and other pertinent information to School and Community Nutrition Programs Branch-administered programs;
- Provides program information to current and prospective participants;
- Reviews, processes, and evaluates program agreements and financial reports according to regulation and policy;
- Supports, trains, and evaluates participating programs to maximize benefits;
- Provides technical assistance, including site visits, to local educational agencies (LEAs) and agencies seeking to expand or enhance their participation in Child Nutrition Programs;
- Conducts bi-monthly and annual trainings for current and potential program participants; and
- Evaluates program effectiveness, determines program needs, and recommends plans for advancing program objectives.

2) Financial Management Administration (FM)

- Administers the financial reporting requirements of the U.S. Department of Agriculture and fund transfers between the federal and State governments, and School and Community Nutrition Programs;
- Administers the Branch's budget;
- Administers procurement activities of the Branch;
- Administers accountability systems for Food Distribution and Child Nutrition Programs; and
- Provides training and technical assistance for financial reporting in the Child Nutrition Programs and the Food Distribution Program.

3) Compliance Section (CS) – MARS II (Not in scope)

- Develops, implements, and maintains a comprehensive monitoring and review system for all participants of the Child Nutrition Programs;
- Analyzes nutritional content of meals served in National School Lunch and Breakfast programs;
- Monitors local educational agencies (LEAs) and agencies participating in the Child Nutrition Programs;
- Provides on-site technical assistance in program operations to LEAs and agencies of Child Nutrition Programs;
- Develops and monitors Corrective Action Plans when food program deficiencies are noted and assesses fiscal actions, when required.

4) Professional Development and Technical Assistance (PDTA) – MARS II (Not in scope)

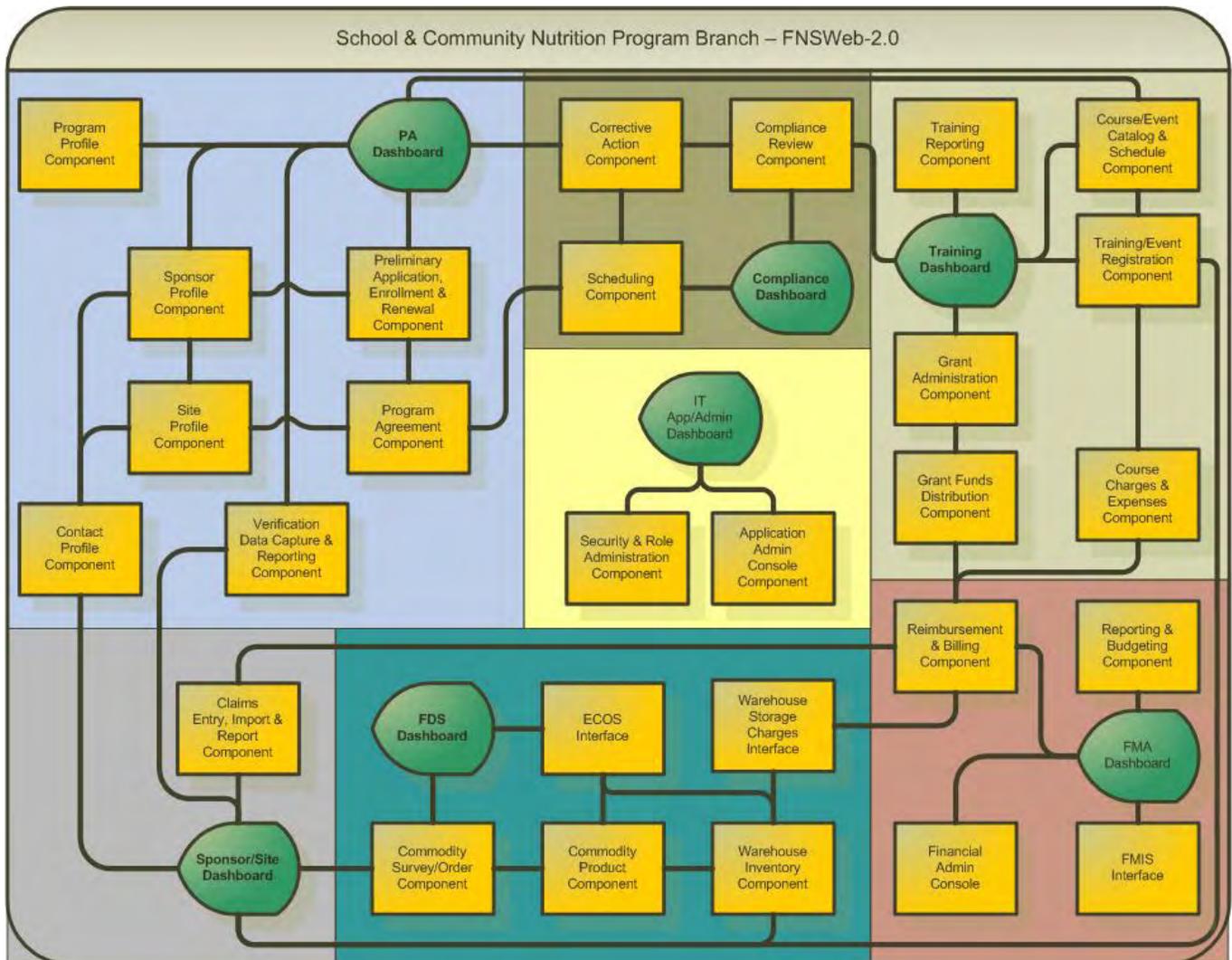
- Provides leadership to all U.S. Department of Agriculture (USDA) Child Nutrition Program directors and staff on issues involving child nutrition and foodservice operations;
- Enhances and maintains the teaching methods and skills of the School and Community Nutrition Programs Branch staff;
- Builds the capacity of local educational agencies (LEAs) and agencies by providing them with a variety of technical assistance and professional development opportunities;
- Provides training materials to LEAs and agencies by building, customizing, purchasing, and

- collaborating with outside organizations;
- Meets requirements of USDA for Team Nutrition Grants, training, and technical assistance, through identifying, establishing, and maintaining accurate records and providing timely reports;
- Ensures effective training by monitoring training methods, content, frequency, and appropriateness;
- Partners with local training organizations to maximize availability and quality of training opportunities to sponsoring organizations.

5) *Food Distribution (FD)* – MARS II (Not in scope)

- Administers the Food Distribution Program;
- Provides training and technical assistance to recipient agencies;
- Monitors program participation and entitlement balances;
- Orders commodities available from the U.S. Department of Agriculture and arranges for the storage and distribution to recipient agencies;
- Administers the approval of commodity processing agreements for the State;
- Manages State warehouse contracts, verifies storage fees, reconciles commodity inventories, invoices customers appropriately;
- Administers the Department of Defense (DOD) Fresh Produce Program.

Conceptual View of SCNPB Processing (Per Functional Business area)



2.2 TECHNICAL REQUIREMENTS & PROJECT APPROACH

The MARS system will be designed to function comprehensively. The Contractor shall be responsible to architect, design, build, test, and implement the system into the production environment in phases, called *releases*. The release strategy is designed to reduce the overall project risk by breaking down the project into smaller related sets of functional requirements and establish the dependencies and interfaces that exist between functions. Each release must be able to be implemented in a stand-alone fashion (i.e. will be fully functional in Production with no dependencies on subsequent releases or activities).

The TO Contractor must develop and implement releases in numerical sequence. All functional requirements of each Release shall be completed before the release is determined to be complete. Acceptance testing will be performed on each release. Each release and the associated functional components are described in the sections below.

The TO Contractor shall provide a technology system that supports the business functionality and requirements described throughout this TORFP utilizing existing technologies and Commercial Off the Shelf (COTS) systems wherever possible.

The TO Contractor must support a collaboration tool (i.e. Sharepoint, Docushare, ...) for both issue and project document management. The chosen tool and how it will be utilized should be described in the Technical Proposal.

The implementation of this project will be completed in two (2) releases. Each release will be a stand-alone set of functionality deployed into the production environment. The first release will define the core platform, architecture, and functionality internally on the intranet. Subsequent release will build onto the base architecture to provide expanded functionality to the internet.

Once Release 1 is implemented and accepted into the MSDE production environment, activities and work on Release 2 shall not proceed unless the following criteria are met:

1. Funding to proceed has been secured for the entire release
2. The TO Contractor has delivered the preceding release with a high degree of quality
3. The TO Contractor has identified, assigned, and completed knowledge transfer activities to operations and maintenance (O&M) support resource(s) that are not associated to the development team resources assigned to the next release.

The architecture and design for each release should account for the “end-state” requirements that will be implemented through both releases. All documentation and deliverables provided for a release will be updated for subsequent releases as necessary. The architecture defined by the TO Contractor must be expandable to accommodate the increased user community and functionality associated with each release.

As part of the various releases, there are hardware integration requirements with the following:

- Scanner at MSDE
- Servers at MSDE

The TO Contractor will be responsible for designing and implementing the MARS system to support all functional requirements and hardware integrations. The design specifications will include the hardware specifications for new hardware required.

The following table is a summary of the functionality required for each release. The subsequent sections provide the details associated with each Release.

TABLE 1: RELEASE STRATEGY

| MARS I-RELEASE 1 | MARS I-RELEASE 2 | MARS II-RELEASE 3 (not in scope) |
|--|--|---|
| MARS Core platform <ul style="list-style-type: none"> • Program Administration (PA) <ul style="list-style-type: none"> ○ Eligibility ○ Master Contract ○ Program Application(s) ○ Site registration ○ Termination/Renewal • Financial/Claims (FM) <ul style="list-style-type: none"> ○ Consolidated Claiming ○ Site Claiming ○ Reporting | Portal (internet) - MARS Core | MARS Core platform <ul style="list-style-type: none"> • Compliance Section (CS) <ul style="list-style-type: none"> ○ Review ○ Corrective Action Plan • Calendar/ Scheduling • Training (PDTA) • Food Distribution (FD) |
| Reporting (25) | Enhanced Reports (12) | Enhanced Reports (14) |
| Legacy Data Conversion (SNACS) <ul style="list-style-type: none"> • Agency profile • Historical Claims • Site Data • Control Tables | Data Upload: Verification Data and Processing | Portal (internet) <ul style="list-style-type: none"> • Claims • Compliance/CAP |
| Interface: Bridge to legacy data entry (IVR, FNSWEB) | Interface: CCATS (child care license) | Interface: FPRS |
| Interface: Scanner | Data Upload: DHR for Direct Certification Processing | Interface: Tablet PC |
| Data Extract: Payment transactions to FMIS | Data Upload: Site registration/renewal data | Interface: Tablet PC scanner |
| Data Upload: Site claim data (School Meals) | Data Upload: Site claim data (Family Child Care) | |
| Data Upload: National Disqualified list | | |
| Document Management | | |
| Data Extract & Match: Financial Data Warehouse | | |

With this phased release strategy, all functional business units will utilize the MARS application starting with the first release, but some business units will not have their specific business processing supported until a subsequent release or project (MARS II).

2.2.1 MARS GENERAL REQUIREMENTS (standards for all releases)

The MARS system should have the following design and development strategies incorporated into all releases. Many of these general requirements will be defined in detail by the TO Contractor as part of the documentation deliverables required in the design phase of the project.

| REQ. NO. | MSDE MARS REQUIREMENT: General Requirements |
|----------|--|
| 2.2.1.1 | <p>Role-based security model for both the MARS system and Portal such that:</p> <ul style="list-style-type: none"> • Specific roles are created with varying privileges (read, create, delete, modify) • Privileges are controlled at the functional area (i.e. administration, financial management, training, compliance, food distribution) • Data is viewable/accessible at an organization level (i.e. Agency read/update access, but only to activities associated to the specific Agency and associated sites) <p>The detailed role/security model will be defined during the design phase. As the primary users of MARS differ from the primary users of the portal, the roles associated to the MARS system will be different from the roles associated to the portal.</p> |
| 2.2.1.2 | <p>All screens/User Interfaces/Generated documentation for both the MARS system and the associated Portal must be accepted by MSDE from a visual usability perspective. As such, the TO Contractor is encouraged to provide screen mock-ups and prototypes for all screens <u>prior</u> to development. The prototype model is highly encouraged to prevent TO Contractor re-work.</p> |
| 2.2.1.3 | <p>All MARS system screens/User Interface should have a consistent look and feel and navigation model which includes show “page of pages” and the ability to go to the first, last, # of a page. A consistent error presentation and location should be provided.</p> |
| 2.2.1.4 | <p>All MARS portal screens must have a readability level no higher than 9th grade level (i.e. textual content and messaging). SCNPB must approve all error messages displayed on the portal.</p> |
| 2.2.1.5 | <p>The MARS system should provide MSDE SCNPB authorized staff application administration access and capabilities to perform the following sorts of activities:</p> <ul style="list-style-type: none"> • Create new users • Create new roles (note – workflow associated to a new Role will require changes by the TO Contractor) • Manage role based security setting • Maintain control data (i.e. tolerances for cut off dates) • Maintain functional data contained in drop down menus |
| 2.2.1.6 | <p>The core system must interface with MS Outlook in support of email functionality which could be “on demand” from the MSDE SCNPB staff or “auto-generated/triggered” by the MARS system.</p> |
| 2.2.1.7 | <p>The MARS system should have printing capabilities to print materials and templates that are stored/generated in the MARS system.</p> |
| 2.2.1.8 | <p>The MARS system shall support a template ability so as to allow authorized users to create templates for program applications, master agreements, and others such that the system will generate the resulting document that is customized for the activity (i.e. pre-populates content of a Master Agreement to reflect the appropriate Agency data)</p> |
| 2.2.1.9 | <p>The MARS system should provide the ability to define email templates that can be sent on demand or based on triggers (i.e. email confirmation is automatically sent when the Application is received or an error/tolerance is exceed or any designated workflow event).</p> |

| REQ. NO. | MSDE MARS REQUIREMENT: General Requirements |
|----------|---|
| 2.2.1.10 | The MARS system shall track the source of workflow events as either the “MARS” and “Specific User” or the “MARS Portal” and “user” in support of traceability, metrics and reporting requirements. This will enable analysis of processing performed via data entry by the SCNPB staff as compared to data entry performed by applicants via the portal. |
| 2.2.1.11 | The MARS system shall track the creator, creation date, modified by, and last change date attributes associated to data changes within the system. A model for handling portal initiated changes will be defined during the design phases. |
| 2.2.1.12 | The MARS system shall support search capabilities which include wildcard searches. Example: 123-45-* or SM*H |
| 2.2.1.13 | <p>The MARS system should support the generation of mailing labels and addresses for electronic communication based on agency/site sponsor address data. The system should allow for the selection criteria of which addresses to include for the agency or for the addresses associated to a specific agency contact (See External Worksheet Attachment PA Attachments - 15 Mailing Labels) :</p> <ul style="list-style-type: none"> • Business domain • Program type • Site type • Selection of an individual agency and all associated sites • Address type (agency address, mailing address, UPS address, other addresses types listed) <p>Standard Avery labels (30 to a page) should be supported.</p> <p>Sorting criteria to include:</p> <ul style="list-style-type: none"> • By Agency alpha • By program type • By agency number numeric • By zip |
| 2.2.1.14 | The MARS system shall provide event notification based on triggers in the system when various activities result in a change of status (i.e. site visit scheduled, application is approved, claim has been received ...). The notification will be automatically generated via email. |
| 2.2.1.15 | The MARS system should provide for a bulk edit capability. The system should allow selection of data based on query criteria and then enable bulk changes (i.e. select all sites associated to a program and perform an update of the site profile such as an address change such as adding an additional operating month in an emergency situation). |
| 2.2.1.16 | The “cursor” is always in a designated starting field (i.e. does not require the mouse to point to the first data entry position on a screen) for data entry screens. This applies for both the MARS system and the MARS portal. |
| 2.2.1.17 | A progress bar or mechanism is shown for both the MARS system and the MARS portal. |
| 2.2.1.18 | The MARS system shall have an efficient and optimized method of application data entry, inquiry and maintenance for the users of the system and portal. This should include auto-tabbing from field to field, real-time enforcement of data content rules (i.e. only numbers in a numeric field), and pre-formatting fields (i.e. no need to enter “-“in a phone number field). |

| REQ. NO. | MSDE MARS REQUIREMENT: General Requirements |
|-----------------|---|
| 2.2.1.19 | <p>The MARS system shall support initial data entry and update data entry for the following types of data for applicants:</p> <ul style="list-style-type: none"> • Applicant/Agency application • Site registrations with profiles and attributes • Claims • Training requirements • etc <p>The MSDE staff shall be able to enter and maintain (update or delete) all data entered into the system. These abilities will be controlled/restricted based upon the role of the MSDE user in the MARS system.</p> |
| 2.2.1.20 | <p>The SCNPB staff requires the ability to oversee/facilitate/manage the agency profile, applications, claims, and oversight processing. The core system will allow internal SCNPB users to support key base SCNPB processing functionality.</p> |
| 2.2.1.21 | <p>As described throughout this document, one of the key aspects of the SCNPB processing is in support of data entry and data validation processing. The system should provide “highlighting” capabilities of data entry fields that are “required” (i.e. marked in a yellow font) as well as fields that must be “reviewed” during renewal processing (i.e. marked in a blue font), and data entry values that fail in an edit check resulting in a warning (i.e. marked in a red font).</p> |
| 2.2.1.22 | <p>Throughout the processing defined within this TORFP, the workflow supported by the new system should allow for triggers, dashboard updates, and email notifications as changes occur (i.e. active status changes or such).</p> |
| 2.2.1.23 | <p>During some of the processing of the MARS system, there are requirements defined in subsequent sections referring to the pre-population of data based on the interpretation of other data in the system. Pre-populated data shall be distinguished from direct data entry (method to be determined during the design phase but may include a different color or highlighting mechanism).</p> |
| 2.2.1.24 | <p>The system should allow the users to modify pre-populated data.</p> |
| 2.2.1.25 | <p>As part of the workflow automation, the MARS system should support the concept of “automatically assigning” work to either a designated group of users or to round-robin assign through a designated group of users (i.e. new applications are automatically assigned to PA 1 followed by PA 2 and so on).</p> |
| 2.2.1.26 | <p>Automatic assignment (default assignment) of a triggered task should be based on predefined (and configurable) assignment criteria including: geography and program.</p> |
| 2.2.1.27 | <p>The system should allow for re-assignment of tasks that are both automatically or manually assigned.</p> |
| 2.2.1.28 | <p>The system should support escalation processing if certain workflow steps are not completed within timeframe tolerances.</p> |
| 2.2.1.29 | <p>The vendor must provide data entry prototypes for the design of the application user interface and portal which must be approved by MSDE.</p> |
| 2.2.1.30 | <p>The MARS system should record the transaction history as status changes for agencies, sites, programs, claims, This history should include who made the update, date of the update, and what was updated. This history should be viewable within MARS.</p> |

| REQ. NO. | MSDE MARS REQUIREMENT: General Requirements |
|----------|---|
| 2.2.1.31 | The system should allow SCNPB staff to enter a note associated to an agency and/or site. |
| 2.2.1.32 | The transaction history should incorporate the SCNPB entered notes in sequence with the system tracked transactions. |
| 2.2.1.33 | The system should allow SCNPB staff to set a reminder and enter free form reminder content associated to an agency and/or site. This reminder could include triggering an email. |
| 2.2.1.34 | This reminder could include triggering an email for which the SCNPB staff can designate who or what role should receive the email notification. |
| 2.2.1.35 | The application administrator should be able to create reminders associated at the program level which will trigger communication to all designees or roles. |
| 2.2.1.36 | <p>The system should support automatic emails/reminders if specific workflow elements are not completed in a timely manner. For example, during renewal processing, the PA should be able to generate a reminder to all agencies under their jurisdiction of the specific required materials that have yet to be received at MSDE.</p> <p>Each reminder email would be automatically customized based on the unfulfilled requirements on an agency-program basis. Or have reminders for due dates of information to MSDE for the claim as well as compliance items such as self assessments and equal rights statement.</p> <p>Similar scenarios will occur for each functional business area and workflow at SCNPB.</p> |
| 2.2.1.37 | The MARS system and portal should provide online help. The online help options may include the ability to “right click” on an option for instructions/definitions. |
| 2.2.1.38 | The user interface of the application and portal should provide summary totals at the bottom of each screen (for summary level screens) |
| 2.2.1.39 | The user interface of the application and portal should allow for sorting of the columns/rows presented on the screen (for summary level screens). The ability to filter, collapse and expand information on the user interface should also be support. |
| 2.2.1.40 | The system should allow for the distinction of fields on the User Interfaces (MARS, Portal). This distinction can be for “required fields”, fields that cannot be modified by the Agency, field was pre-populated, and other designations determined during the design phase. |
| 2.2.1.41 | Dates associated to all status changes defined throughout the TORFP should be tracked to provide an audit trail of what happened and when. |
| 2.2.1.42 | All data entry shall be reflected and stored in uppercase with the exception of passwords and email templates that SCNPB can define. |
| 2.2.1.43 | The SCNPB portal shall check date fields for logical and valid values. |
| 2.2.1.44 | The SCNPB portal shall use drop down lists or check boxes whenever possible to increase accuracy. |
| 2.2.1.45 | <p>The SCNPB portal shall support a consistent look, feel, and web logic including the following:</p> <ul style="list-style-type: none"> • A designated location and format for error messaging • Navigation button are always in same location, with the default “enter” option being defined by MSDE • All content fits on the “standard” monitor without requiring scrolling • Screen navigation via arrow key, tab key, auto tabbing through fields is supported • Required fields are clearly and consistently identified • Data entry for elements such as dates, ssn’s, phone numbers all support data entry validations (i.e. numbers only in SSN) do not require tabbing |

| REQ. NO. | MSDE MARS REQUIREMENT: General Requirements |
|----------|--|
| | <ul style="list-style-type: none"> • The “cursor” is always in a designated starting field (i.e. does not require the mouse to point to the first data entry position on a screen) for data entry screens • A progress bar or mechanism is shown |
| 2.2.1.46 | The MARS system architecture shall be such that all error messages are managed via table(s). MSDE system administrator should be able to change the content of existing messages directly. |

2.2.2 REPORTING (CANNED & AD HOC) AND FORECASTING (General Requirements)

The new MARS system will add a degree of complexity to the overall processing performed at the agency. It is essential that the new system provide adequate reporting to support the SCNPB analytical reporting to allow SCNPB administration to track and monitor the SCNPB activities for the State of Maryland. Throughout this document, several reporting requirements are defined to provide detail as to the types of data that shall be reported. This section provides the overall guidelines that apply to all reports, both canned and ad hoc, unless specifically stated otherwise in a specific requirement. Refer to **External Worksheet Attachment Report Attachments**

| REQ. NO. | MSDE MARS REQUIREMENT: General Reporting, Ad hoc Reporting & Forecasting |
|----------|--|
| 2.2.2.1 | <p>The MARS system should produce a series of reports that will be finalized during the end of the Requirements phase for each Release. A total of 37 reports for this project will be required with the following breakdown by Release:</p> <p style="padding-left: 40px;">MARS I-Release 1: 25 reports MARS I-Release 2: 12 reports</p> <p>The number of reports specified per release is for new reports for the specific release. If a subsequent release introduces additional data elements that are already reported on in existing report (from a previous release), then existing report shall be updated as necessary as part of the scope of the release and this shall not be deemed a new report. For example, in Release 1 reporting on approved applications will provide the metrics based on applications entered directly into the system. In Release 2, these same metrics will be reported, but would be broken out by source (i.e. portal versus system).</p> |
| 2.2.2.2 | <p>The MARS system shall enable SCNPB staff to produce ad hoc reports on the following types of processing:</p> <ul style="list-style-type: none"> • Requests for information • Applications (received, approved, rejected, renewals) • Training (requests, scheduled, completed) • Site Visits (by Compliance and by Program Administration staff) • Corrective Action Plans • Scanning • Financial Processing • MARS Workflow processing and events |
| 2.2.2.3 | <p>All reports (canned and ad hoc) generated by the MARS system:</p> <ul style="list-style-type: none"> • Shall be configurable for date range (with pre-defined criteria that can be modified on the fly by the person running the report) • Should support sorting by any element on the report (with pre-defined sorting criteria that can be modified once the report has been generated by simply clicking on the column) • Should enable data to be extractable into common formats such as MS Excel or Comma Separated File formats (data extraction only without header or footer) |

| REQ. NO. | MSDE MARS REQUIREMENT: General Reporting, Ad hoc Reporting & Forecasting |
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| | formatting) <ul style="list-style-type: none"> • Should allow for the report to be saved in a PDF retaining formatting • Shall be printable online • Shall be formatted for clear readability when either viewed online or printed • Shall have headers and footers containing data such as Title, Page Number of Total Pages, Date executed, Date range, other • Shall support hyperlinks to the data in the system allowing for drill down analysis • Can be emailed from the MARS system • Have a common look and feel for viewing, sorting, presenting selection parameters • Shall process in under 30 sec unless a longer run time is specifically approved by MSDE SCNPB staff • Shall support role based security as to who can run a report and what data is viewable based on MARS role • Shall support data grouping as detailed specifications are defined • Shall provide both detail and summary level reporting • Should allow the user to go to the first page, last page, or a specific page number |
| 2.2.2.4 | The MARS system shall have an ad-hoc reporting capability for reporting on any information in the database. |
| 2.2.2.5 | The MARS system shall provide filters for canned and ad hoc reports, where applicable, to include but not limited to: <ul style="list-style-type: none"> • Date range • Agency and associated sites • Zip code(s) • Program • Claim Month • Other to be defined during design |
| 2.2.2.6 | The MARS system shall provide sorting options to include but not limited to: <ul style="list-style-type: none"> • Agency name • Program name • Business Domain • Business classification or business type • Other to be defined during design |
| 2.2.2.7 | Reporting capabilities and the associated data architecture must support a “point in time” capability. This will reflect the agency program status as of 1 year ago or the claims reimburse as of 3 years ago. This point in time capability must allow the user to designate a “from” and “to” date. This requirement is associated to the reports that will be defined for each release. Not all reports will have this requirement. |
| 2.2.2.8 | For point in time reporting, we must be able to see how the data looked as of 3 months ago AND see how the exact same data looks today. This is especially important in the financial reporting in reflecting adjustment processing that may occur years after the original financial analysis completed. The goal of this requirement is to allow reporting on how something was originally assessed in relation to how it is currently assessed. |
| 2.2.2.9 | The MARS system should provide the ability to schedule and post reports. SCNPB staff should be able to set a schedule for specific reports to be run each evening or on a schedule such a 1 st week of the month with the resulting output posted to a designated location or emailed to a specific group of users. |
| 2.2.2.10 | Reporting shall also be role based such that the user running the report can only view data associated to their role. This carries further for agencies which will be running reports from the portal. The agency should only be able to run reports associated to their agency and associated sites. |

2.3 MARS I-RELEASE 1

MARS I-Release 1 will be used by MSDE SCNPB staff. The release strategy breaks down the *core* functionality by SCNPB Functional Business Unit. Release 1 supports Program Administration (PA) and Financial Management (FM) business units. The MARS II (NOT IN SCOPE) project will support the Compliance, Training, and Food Distribution business units.

For much of the functionality defined in Release 1, there are references to the “agency” performing the activities themselves through the portal. For Release 1, SCNPB staff will perform the activities on behalf of the agency. The agency will gain access to this functionality in Release 2 via the MARS portal.

The system should support workflow processing to streamline day to day activities and provide automation where possible (i.e. data entry, triggers, automatic processing and assignments, drop downs, data retrieval, reporting). The system must interface with MS Outlook in support of email and potentially calendaring functionality which could be “on demand” from the MSDE SCNPB staff or “auto-generated/triggered” by the MARS system.

The following sections of the TORFP detail the requirements and processing flows associated to Release 1 functionality. The focus of Release 1 is to build and support PA and Financial Management (FM) business units in order to enroll agencies and pay claims. Refer to **External Worksheet Attachment FM Attachments** for the table driven rules associated to FM processing which are reference throughout this TORFP. The primary goal of this release is to support and optimize the workflow processing for these 2 functional business units.

In order to support the PA and FM functional business units, the following must be supported:

- Legacy data must be converted with a bridge to the existing claims data entry interface.
- Various data upload capabilities will also be required to reduce data entry.
- Key data that is provided on an annual basis must also be uploaded into the new system in support of subsequent program renewal and on-going claims processing.
- Scanning interface in order to address the paper reduction and processing time reduction goals

2.3.1 SCNPB Program Infrastructure (i.e. Control Data)

The “Control Data” referenced in this section, and detailed in subsequent attachments, are the base data elements and attributes that are associated to an agency, program, site, and claim attributes that are:

- Predefined data selection options (selectable via drop-downs/ lists)
- Pre-populated (i.e. rate amount) that may/may not be overwritten by the Agency and/or SCNPB
- Business rule definitions – control data relationships, default values ... (i.e. defining the restriction setting that a “For Profit” agency cannot apply for the School Meals program).
- Workflow triggers associated to a data entry field (i.e. data entry field is designated as required, changes to the content of the field “require PA approval”, content of the field “expires” at renewal time and must be revalidated)

All *control data* should be maintainable by the MARS Application Administrator role and should not require development support in order to make changes. Samples of control data are represented throughout this document and the associated **External Worksheet Attachment PA Attachments**. The full list of control data and business rules will be finalized during the design phase.

Agency Control Data

As defined in section 2.1.8 SCNPB BUSINESS MODEL, an agency is classified by the SCNPB staff in various ways. These classifications then correlate to program(s) for which the agency may be eligible to participate. The current classifications are shown as the following:

| Business Classification | Business Domain | | | | | |
|-------------------------|------------------|--------|--------------|--------|-------------------------|-------------------------|
| | Business Type | School | Special Milk | Summer | Child and Adult Centers | Family Child Care Homes |
| Non-Profit | | | | | | |
| | Government | X | X | X | X | X |
| | Community Org | X | X | X | X | X |
| | Faith Based Org | X | X | X | X | X |
| | Private Business | X | | X | X | X |
| For-Profit | | | | | | |
| | Title XIX | | | | X | |
| | Title XX | | | | X | |

The agency classifications are divided further by assigning a site type to each site in the agency. There are specific site types based upon the business domain. The current configuration is as follows:

Site Types per Business Domain

| Site Type | School | Special Milk | Summer | Child and Adult Centers | Family Child Care Homes |
|-----------|--|---|--|--|---|
| | <ul style="list-style-type: none"> Public Private Non-Profit Charter Residential Child Care Institution (RCCI) | <ul style="list-style-type: none"> Camps CCC Schools | <ul style="list-style-type: none"> Day Camp (NYSP, Regular) Residential Camp (NYSP, Regular) Non-Camp | <ul style="list-style-type: none"> Adult Child (Emergency shelter, Day Care, outside of school hrs, at risk) | <ul style="list-style-type: none"> Homes |

Refer to **External Worksheet Attachment PA Attachments 1-Business Programs** for the detailed cross reference of agency, business domain, business type, site type to programs.

Based on the business type and business domain(s) pairings, the agency can become eligible for one or more programs administered by SCNPB. For example, the Archdiocese of Baltimore can be addressed as a: Non-profit faith based organization (business classification/type) that supports schools, camps, and charitable Institutions (business domains). In this scenario, the school business domain is eligible for the School Meals (SM) program, but the camps and charitable Institutions are not eligible for the SM program.

Once the agency becomes eligible for an SCNPB program, then each site associated to the agency is assessed to determine if it is eligible for the program(s). The agency submits monthly claims for reimbursement based on the activities (i.e. serving meals to eligible persons) at the sites.

Program Control Data

The *program control data* consists primarily of the data that must be entered in by the Agency when applying for a specific program. Refer to **External Worksheet Attachment PA Attachments 2-Program Control Data** for a sampling of program control data. There are several workflow triggers associated to this data as it ties to multiple workflows (i.e. eligibility assessment, program renewals, compliance reviews, ...). This data is described in the subsequent PA Processing sections and the associated spreadsheets.

Site Control Data

The *site control data* consists primarily of the data that must be entered in by the Agency when registering sites that are associated to program. Refer to **External Worksheet Attachment PA Attachments 7-Site Registration** for a sampling of site control data. There are several workflow triggers associated to this data as it ties to multiple workflows (i.e. eligibility assessment, program renewals, compliance reviews, ...). This data is described in the subsequent PA Processing sections and the associated spreadsheets.

Claim Control Data

The *claim control data* consists primarily of the data that must be entered in by the Agency as part of the program application and site registration processes.

In addition to assessing the agency information and eligibility for claiming, the PA staff assesses several “claim attributes” which dictate how the claim will be calculated in the Financial Management processing. These claim attributes may be at the agency level and/or at the site level. Claim attributes can be divided into the following categories:

- Base Rate Identifiers: drives the rate that is paid based on meal counts
- Supplemental Dollars: provides additional dollars to the claim calculation based on additional/qualifying need of the agency and/or site
- Administrative Costs: provides additional funding to applicable programs (FCC and FFVP)

The Financial Management section defines the logic and processing associated to the claim data entry and calculations. From the PA perspective, they must determine the eligibility of the agency and/or site in regard to the various claims attributes.

Refer to **External Worksheet Attachment PA Attachments 4-Claim Control&Eligible** for a sampling of claim control data. This data is then assessed in the MARS system to determine eligibility for various claim attributes (i.e. to receive additional funds). There are several workflow triggers associated to this data as it ties to multiple workflows (program renewals, compliance reviews, ...).

| REQ. NO. | MSDE MARS REQUIREMENT: SCNPB Program Infrastructure |
|----------|--|
| 2.3.1.1 | The MARS system architecture and database must support the requirements described above and throughout this TORFP associated to the data relationships, workflows, and SCNPB self-management of control data. |
| 2.3.1.2 | The system shall allow the Application Administrator role to change the rules (i.e. enable, disable) and associations of the control data (agency/business/site types and classifications). |
| 2.3.1.3 | The system shall allow the Application Administrator to add/archive control data. |
| 2.3.1.4 | The system shall support the following. Relationship guidelines (to be finalized during the design phase) <ul style="list-style-type: none">• An agency can have just one business classification. If an agency has both a for-profit and non-profit business classification, the agency will be set up as two distinct agencies in the MARS system and handled separately.• An agency will have one business type assignment. While an agency may fall into multiple business type categories, only one designation will be assigned in the system.• An agency can have multiple business domains that are applicable to the business classification and business type.• The business domain(s) control what programs are applicable for an agency• The same site can be deemed eligible for multiple programs based on the business domain/program relationships for the agency. |

| REQ. NO. | MSDE MARS REQUIREMENT: SCNPB Program Infrastructure |
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| 2.3.1.5 | The system shall be designed to be managed through tables such that the Application Administrator role can designate a field as “required”, date driven (i.e. content expires), default value, and/or triggers workflow processing. The bulk of these controls will be defined in the various control data architectures. See External Worksheet Attachment PA Attachments 5-System Admin Control for a sample list of control fields that will be applied to the various data structures. |
| 2.3.1.6 | Data entry, either directly into MARS or into the Portal (release 2) portal should support some basic edit checks (i.e. does the tax id already exist in the system) to determine if the Agency is already approved for a specific program. The system should provide messaging to the user and trigger a notification to the PA staff to follow-up. |
| 2.3.1.7 | Enhanced mechanisms for communicating with agencies should be included. This will include: <ul style="list-style-type: none"> ○ Establish a Distribution list for an LEA for distributing memos. Many times they miss memos because the recipient is out of office. ○ Ideas for a bulletin board, FAQs ○ Help desk type issues – forgot password to system ○ Calendar with due dates for claims, compliance reviews ○ Notifications – regarding renewals, claims payments |

2.3.2 Program Administration processing

The Program Administration (PA) processing is the entry and exit point for Agencies into the Child and Nutrition Programs (CNP). The core PA processing can be broken into the following steps:

PA Step 1: Application (program) Generation & Data Entry

PA Step 2: Program Eligibility Assessment & Review Process

PA Step 3: Master Agreement Processing

PA Step 4: Site Registration processing

PA Step 5: Site Assessment & Review processing

PA Step 6: Renewal\Termination Processing

PA Step 7: On-going activities

In support of the PA processing, there is a significant amount of data entry that the agency must complete in order to interact with the CNPs. For Release 1, existing agency/program/site data will be entered via legacy data conversion, a bridge to the legacy data entry system, and by the SCNPB staff.

For Release 2, the development vendor should provide a web portal to facilitate the data entry, status checking, reporting, and other requirements of the external agencies interaction with the SCNPB team.

A critical goal of the MARS system and portal is to facilitate ease of data entry as well as the review, approval, maintenance, and communication processes for the PA team with the rest of SCNPB and the agencies.

The legacy processing relies on paper (and more paper) to support almost all communications between agencies and the PA staff. The new system and portal should replace the paper communications as well as the need for a significant amount of phone call follow-ups.

2.3.3 PA Step 1: Application (program) Generation & Data Entry

When a perspective Agency wishes to enter into an agreement with SCNPB, they must first be assessed to determine if they are eligible for one or more SCNPB programs. The Agency must provide information (via an application) which is then reviewed and assessed by the PA staff. The system shall support the entry of this data by the SCNPB staff (Release 1) and by the Agency via the portal (Release 2).

The application consists of the following types of data entry that must be supported by the system:

- Agency profile questions (i.e. Agency name, tax id, authorized contacts, ...)
- Program profile questions (i.e. licenses, details on community who are served meals, total number of sites...) per business domain
- Program Administration and expense information (i.e. administrative costs and budget information incurred by the agency in support of certain programs)

One of the primary goals of the new MARS system is to significantly reduce the amount of data entry required by the SCNPB staff. While this will not be fully accomplished until the portal is available in Release 2 (thereby allowing the agency direct access to data entry), the new MARS system should greatly streamline and facilitate the data entry performed by the PA staff.

In Release 1, the PA staff will guide the agency by providing an application and associated information through training classes (tracking registration within MARS).

For Release 1, the application processing will remain conceptually as it is currently such that the paper application is mailed to the agency, the agency fills it out and mails it back, and then the SCNPB staff enters the application data into the new MARS system. With the new MARS system, these steps will be streamlined where possible as defined in this section.

| REQ. NO. | MSDE MARS REQUIREMENT: Application Generation & Data Entry |
|----------|---|
| 2.3.3.1 | <p>App Generation: The new MARS system should have the ability to generate a program application(s) that is tailored to the agency (i.e. requires data entry only for applicable programs based on the interest of the agency, business domain, and so on). The PA specialist should be able to designate which specific sections to generate or to generate all sections of the program questions (i.e. they can select which programs the agency may be eligible and only generate those questions on the application form).</p> <p>The <i>program control data</i> should pre-populate many of the fields (i.e. program year, program year expiration date, other).</p> |
| 2.3.3.2 | <p>App Generation: The generated application should be a downloadable PDF file for mailing (either paper or through the system via email) and shall be a professionally formatted with headers, footers, headings, and various formatting as deemed necessary by MSDE.</p> |
| 2.3.3.3 | <p>App Generation: The application format for hardcopy, MARS User Interface (UI), and Portal UI, should be the “same” in that manual data entry into MARS from the hardcopy application is efficient. All fields are in the same order and relative position so that the data entry is consistent and quick.</p> |
| 2.3.3.4 | <p>App Generation: All of the requirements associated to generating the application should apply to the data entry and the workflow associated to the data entry (i.e. the data entry should bypass programs/content that is not selected or sections of data entry that are not applicable based on the options selected by the user). For example, if the Agency is for-profit, bypass data entry associated to non-profit programs).</p> |
| 2.3.3.5 | <p>App Generation: The system should provide template functionality to support the dynamic generation of each program application based on both system data elements as well as content and formatting provided by the SCNPB staff.</p> |

| REQ. NO. | MSDE MARS REQUIREMENT: Application Generation & Data Entry |
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| 2.3.3.6 | App Generation: The Application Administrator should be able to maintain the construction and generation of the program applications via internal templates and data merge capabilities. |
| 2.3.3.7 | App Generation: The generated application(s) could be empty/blank or pre-populated with agency information that exists in the system. |
| 2.3.3.8 | App Generation: The system should allow for generating specific sections of an application (specifically the program profile and program administration sections) for use with an Agency that already is in the system. A pre-existing Agency could be participating in other programs. This capability will be used as part of Outreach processing or if the Agency had previously opted-out from applying for a program and they would now like to apply at a later time. |
| 2.3.3.9 | <p>App Generation: The application data associated to a program consists of the following:</p> <ul style="list-style-type: none"> ○ Program contact information ○ Budget: Administration and expense data ○ Menu Data ○ Affirmations <p>Refer to External Worksheet Attachment PA Attachments 6a-Eligibility Assess and PA Attachments 6b-Agency Registration.</p> |
| 2.3.3.10 | Data Entry: In Release 1, the system shall allow for data entry of the application data by SCNPB staff. This ability will be provided to the agency in Release 2 via the portal. |
| 2.3.3.11 | Data Entry: The SCNPB staff requires an enhanced ability to enter agency data which includes, overriding pre-populated default values, and the ability to search for, retrieve and maintain applicant information. |
| 2.3.3.12 | Data Entry: Data entry should flow smoothly, pre-populate associated fields, and require less key strokes for navigation (i.e. auto-tab from field to field, pre-populate related fields based on business rules and existing data, prevent letters from being entered into numeric fields and so on). Navigation should skip unnecessary sections/content based on content already entered and should flow from field to field. |
| 2.3.3.13 | Data Entry: The data entry flow associated to an application should be dynamic and support decision trees, drop down selections, electronic signatures, and affirmation statements. Only sections of the program data entry should be viewable (i.e. decision tree) based on previously entered data (i.e. a for-profit agency has very limited programs for which they are eligible). The questions for the ineligible programs should not appear during data entry. Final architecture to be defined during the design phase. |
| 2.3.3.14 | Data Entry: Based on the design of the system, the architecture should support the concept of “profile” data as defined in the subsequent External Worksheet Attachment PA Attachments . This is data that may be shared or propagated across the programs and sites associated to an agency. We envision there to be agency, program, and site profiles. |
| 2.3.3.15 | Data Entry: The MARS system should allow for partial input of application data and saved for completion at a later time. |
| 2.3.3.16 | Data Entry: The system shall support data pre-population based on data previously entered. |
| 2.3.3.17 | Data Entry: Pre-populated data shall be distinguished from direct data entry (method to be determined during the design phase but may include a different color or highlighting mechanism). |
| 2.3.3.18 | Data Entry: The system shall allow authorized SCNPB staff to override/change pre-populated data. |
| 2.3.3.19 | Data Entry: The system should provide edit checks reconciling the accuracy of data entered associated to the agency and program and either prevent invalid data entry or show |

| REQ. NO. | MSDE MARS REQUIREMENT: Application Generation & Data Entry |
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| | warning messages if invalid data is entered. To be finalized during design phase. |
| 2.3.3.20 | Data Entry: The system should support automated numbering schemes and assignments. Specifically, each site must have an identifiable and unique site tracking number. In addition, there could be other numbering associated to the specific school or center. The system must clearly distinguish between these sorts of numbering schemes. Each agency should also have a numbering scheme and so on. The number schemes will be finalized during the design phase. |
| 2.3.3.21 | Data Entry: The system should track the Training Requirements (control data setting) associated to each program. These requirements may need to be fulfilled as part of the application process. The system shall support data elements such as Training Required, Name of Required Training, Date Attended, and Name of person(s) who attended. |
| 2.3.3.22 | Workflow: When an application is deemed ready for review, it shall be <i>submitted</i> triggering notification and assignment to the PA staff (via round robin assignment if ownership of the agency and/or application has not yet been determined), trigger email to agency that application has been submitted, and other workflow initiation events. |
| 2.3.3.23 | Workflow: All required fields must be completed before an application can be “submitted” for review. Error messaging should be provided and required fields highlighted if the submission occurs for an incomplete application. |
| 2.3.3.24 | Workflow: The system should support ad hoc reporting on required fields that are not populated for un-submitted applications |
| 2.3.3.25 | <p>Workflow: Training activities may be required to facilitate the completion of the program application (in order to help with terminology and calculations). For new agencies this training may be set as mandatory where as for agencies that are adding an additional program, training requirements may be optional. The system should:</p> <ol style="list-style-type: none"> 1) Have a “Training Tab” or such with several training options 2) Allow the SCNPB staff to set various training options as “required for Application” (and to unset) or “required for xx” (where xx are other qualifiers where training may be required in other workflows) 3) Track whether or not training has been completed (manually tracked) 4) Report on training attributes (i.e. how many agencies have pending required training per xx”). 5) Restrict approvals of the Application if the training requirements are not completed. <p>If training is required, then the application will not be able to be submitted until the “training completed” flags are set.</p> |
| 2.3.3.26 | Workflow: The system should prevent the submission of a “duplicate” program application. Thus, if an application has been submitted for the “School Meals” program, then a new or modified application for this program cannot be resubmitted. |
| 2.3.3.27 | <p>Workflow: In Release 2 when the agency is performing the data entry, if they have submitted the application, they will have the option to “recall” the application which will then notify the assigned PA member. In Release 1, the PA staff should be able to recall the application on behalf of the agency.</p> <p>The system should allow the PA staff to mark a submitted application as un-submitted (i.e. recalled) to allow subsequent modifications. The recall option should only be available for an application that has not yet been approved. The “recalled” application will reflect any updates that the PA reviewer may have made during the review process. Refer to PA Step 7 for “On-going activities” which addresses making changes after an agency-program has been approved.</p> |

| REQ. NO. | MSDE MARS REQUIREMENT: Application Generation & Data Entry |
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| 2.3.3.28 | Workflow: A revision tracking strategy will need to be supported for applications (to be defined during the design phases). |
| 2.3.3.29 | Workflow: Subsequent changes to Agency profile data will not require the submission of a new application and can be made directly by the SCNPB staff. If release 2, the agency can submit these changes which will then go through PA verification and acceptance based on the type of changes being made. |

2.3.4 PA Step 2: Program Eligibility Review & Assessment Process

The MARS system must provide an *eligibility calculator* that will be used by both the PA staff and by potential agencies (in Release 2) to assess the eligibility of the agency in relationship to each SCNPB program. Refer to **External Worksheet Attachment PA Attachments 4-Claim Control & Eligible** for the sampling of eligibility calculation criteria and calculations.

The PA team will evaluate the data entered and the associated documents that have been attached for accuracy and completeness. The system will support both the system calculated eligibility as well as the final eligibility status as determined by the PA staff. In all instances, the PA staff can override any system generated eligibility assessment data.

In this step, the PA team assesses the agency at the program by program basis associated to the agency and program application data that has been entered. In subsequent steps, the site level data is entered and undergoes a similar review and assessment process.

The Agency Status (relationship with SCNPB) is one of the following:

- Pre-submission:** Data entry may or may not have started. Nothing has been submitted for review by the PA team.
- Pending:** The agency and program profile data associated to the application has been entered into the MARS system (i.e. submitted). Assessment of eligibility processing is in progress. (In Release 2) The agency is provided access to additional workflow elements such as uploading documents or registering for training.
- Eligible:** The SCNPB PA staff has assessed the qualifications of the agency and deemed the agency to be eligible for one or more SCNPB programs. The agency status will remain in the pre-approved status until all of the necessary processing and documentation associated to the Master Agreement have been completed, signed, and approved.
- Active:** The Agency has been approved and signed the Master Agreement contract (online in Release 2) with MSDE. The Agency is provided access to additional materials/workflow for completing site data entry.
- Ineligible:** The agency has been deemed ineligible and thus cannot proceed with any further activity until eligibility is resolved. This could include agencies on the “National Disqualified List.”
- Suspended:** Punitive actions are in progress or Program inactivity over an extended timeframe. In this State, the Agency should be restricted from the bulk of the functionality that would normally be available to the agency via the portal.
- Terminated:** The agency is no longer under Master Agreement (i.e. has a contract) with MSDE and is currently no longer deemed eligible. The portal accounts are terminated. This status can be initiated by either the agency or by SCNPB.

During the design phase of the project, the workflow and statuses will be finalized. Potentially additional statuses such as “Intent to Terminate” and “Seriously Deficient” may be required.

The Agency- Program Status (relationship of the Agency to each Program) is the following:

The data architecture of the agency should support a status to each program. These statuses will change based on the activities and workflow associated to SCNPB processing.

- Pre-submission:** Data entry may or may not have started. Nothing has been submitted for review by the PA team.
- Pending:** The program is being assessed for eligibility. Only PA staff can change this status to one of the other statuses below.
- Eligible:** The agency is deemed eligible for this specific program but has no “active” sites on this program.
- Active:** The agency is eligible AND has at least one active site. The agency can begin expanded activities such as claiming, training ... activities.
- Ineligible:** The agency is deemed ineligible for this specific program based on predefined reason codes.
- Opt Out:** The agency is eligible for a program, but specifically chooses to not participate in this program.
- Suspended:** Punitive actions are in progress for the agency for this program. In this status, the agency should be restricted from activities associated to the suspended program and sites. The agency can not submit claims associated to this program and associated site.
- Terminated:** The agency is no longer eligible to participate in this program. This status is for punitive actions by MSDE. For punitive terminations, the Agency cannot apply/re-apply/renew or associated workflow triggers.

As previously described, each agency has one or more sites (the actual locations where meal services are provided). In subsequent SCNPB processing, the site data is enter and assessed for eligibility for each *active* program for the agency.

The Site-Program Statuses (relationship of each site to each eligible program) are the following:

- Pre-submission:** Data entry may or may not have started. Nothing has been submitted for review by the PA team.
- Pending:** The site information for a specific program has been submitted and is pending approval (PA marking active) or rejection (PA marking denied).
- Eligible:** The site has been deemed eligible for this specific program but has no claim activity for a set amount of time. This status must be specifically set by the PA due to extended lack of claim activity for the site or other reasons that are being investigated.
- Active:** MSDE has approved the site for the specific program. The agency can submit claims associated to this specific program for this approved site when the program is in an active state.
- Ineligible:** The site is denied participation in a specific program based on predefined reason codes.
- Opt Out:** The PA team must change this status. In Release 2, the Agency may change the status back to “excluded” (i.e. choose no longer to participate).
- Suspended:** Punitive actions are in progress for the agency for this program. In this status, the agency should be restricted from activities associated to the suspended program and/or sites. The agency cannot submit claims associated to this program and associated site.
- Terminated:** The site is no longer eligible to participate in this program.

Overall, there must be in an active, active, active state (Agency “active” with SCNPB, Program “active” with the Agency, and Site “active” with the specific program) in order for the agency to submit claims

for a specific program. The agency may be active, active, and active for one program and still be in other states for other programs. Claiming is at the program level and independent of activities and issues associated to other programs associated to the agency.

Claims attribute eligibility statuses (per PROGRAM)

In addition to assessing the agency information and eligibility for program claiming, the PA staff assesses several “claim attributes” which dictate how the claim will be calculated in the Financial Management processing.

Most claim attributes are “calculated” (i.e. determination is made by aggregating system data and applying eligibility rules to make the determination). These claim attributes will be tied to either the Agency and/or the site and will be marked with the following statuses:

- Pending:** This is the default value for each supplemental claim field. The PA team must change this status.
- Ineligible:** The site is deemed ineligible for this attribute
- Opt Out:** The agency/site could be eligible for this attribute but has chosen not to participate.
- Active:** MSDE has approved the site and/or agency for this specific supplemental claim attribute. If active at the agency level, then this status applies to all sites under the agency the specific program claim attribute.
- Temporary:** Same as the “Active” status except that the approval is temporary. Claim calculation processing will treat this status as active. This status is used when baseline data for the calculation does not exist. The approval is based on forecasted data provided by the Agency. Either on demand and/or during renewal processing, the MARS system re-calculate the eligibility for the claim attribute based on the actual claim data that has been entered into the MARS system.

The CHART below is a sample representation of the relationships defined in this section:

| Agency | Program | Site/Program | Claim Eligibility | Agency Status | Agency/Program Status | Site/Program Status | Site/Claim Status |
|-------------------------------|--------------------------------------|------------------------|-------------------|---------------|-----------------------|---------------------|-------------------|
| ABC School & Daycare services | | | | ACTIVE | | | |
| | School Meals (SM) | | | | ACTIVE | | |
| | Special Milk (SMP) | | | | ACTIVE | | |
| | Summer Food Svc (SFSP) | | | | OPT OUT | | |
| | Child & Adult Care Centers (CCC&ADC) | | | | INELIGIBLE | | |
| | Family Child Care (FCC) | | | | PENDING | | |
| | | Alphabet School (SITE) | | | | ACTIVE | |
| | | SM | | | | | EXCLUDED |
| | | | MMFA | | | | ACTIVE |
| | | | 2 ct bonus | | | | EXCLUDED |
| | | | State Rev Match | | | | ACTIVE |
| | | | Severe Need | | | | TEMPORARY |
| | | | Area Eligible | | | | EXCLUDED |
| | | | Seamless Summer | | | | EXCLUDED |
| | | | Provision 2 | | | | EXCLUDED |
| | | | Provision 3 | | | | EXCLUDED |
| | | SMP | | | | PENDING | |
| | | | Pricing | | | | |
| | | | Non-pricing | | | | |
| | | | Pricing with Free | | | | |
| | | SFSP | | | | | EXCLUDED |
| | | CCC&ADC | | | | | EXCLUDED |
| | | FCC | | | | | EXCLUDED |

| REQ. NO. | MSDE MARS REQUIREMENT: Program Eligibility Review & Assessment Process |
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| 2.3.4.1 | Workflow: The system should support the processing logic defined above in this section. The system should support configurable triggers, emails, and workflows associated to the PA review activities which culminate in approval or not of each program. |
| 2.3.4.2 | Workflow: The new system should facilitate the workflows associated to assigning PA's, assessing/error checking the data that is entered, and tracking completed steps in the process. The system and portal (Release 2) should facilitate the communication flows (via emails and portal messaging) to address issues that may be found during the program application review lifecycle. |
| 2.3.4.3 | Workflow: As the status information defined in this section drives almost every interaction between SCNBP and the agency, effective start and end dates must be tracked and retained. Specifically, point in time statuses are required in order to support historical reporting, claim revisions, and other potential needs. |
| 2.3.4.4 | Workflow: The system should also track and monitor the completion date of each status change. This date is separate from the "effective" dates. |

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| 2.3.4.5 | Workflow: The system should provide mechanisms for marking programs as approved (i.e. active), noting issues (both free form and from drop down lists), adding reminders/follow-up options, setting reason codes for notes, and generating emails to the agency. |
| 2.3.4.6 | Workflow: The system must support the processing to allow the Agency to provide required materials, enter data, and respond to affirmation and signature content of the program application (via paper in Release 1 and online in Release 2). |
| 2.3.4.7 | Workflow: The system should provide edit checks and warning notices. For example, if the budgeted anticipated reimbursement exceeds the anticipated expense, a warning should be provided. Refer to External Worksheet Attachment PA Attachments 8-Application Edits for sample edit checks. |
| 2.3.4.8 | Workflow: After reviewing the data associated to a program, the assigned PA reviewer may mark the program as eligible. When the PA reviewer designates the first program as “eligible”, the agency status in regard to SCNPB shall automatically change to “eligible” thereby triggering master agreement processing to begin with the associated triggers and notifications commencing. |
| 2.3.4.9 | Workflow: The system should support escalation processing if certain workflow steps are not completed within timeframe tolerances. The escalation processing entails notifying additional users within the SCNPB branch for required actions. Refer to External Worksheet Attachment PA Attachments 9-PA Escalation for sample escalation processing. |
| 2.3.4.10 | Workflow: Upon approval of a program, the system should generate the “approved” application in pdf format and email to the designated agency recipients. |
| 2.3.4.11 | Workflow: Emails, notifications, and dashboard updates should occur when the program eligibility status changes to various and users of MARS (i.e. Compliance staff, Training,...). This should include “public release” announcements generated from predefined templates. |
| 2.3.4.12 | Workflow: The system shall support the processing in this section for both initial applications and subsequent application revisions and/or for additional program applications provided by the agency. |
| 2.3.4.13 | Workflow: If program eligibility does change for an agency, then the system should support automatic email notifications and triggers (Release 1) and update portal options (Release 2) for the agency to now complete an application for the program for which they are now eligible. |
| 2.3.4.14 | <p>Architecture: The new MARS system should provide an <i>eligibility calculator</i> that provides the business intelligence to “rate eligibility” of an agency for each program offered by MSDE based on pre-defined criteria associated to the responses provided on the application.</p> <p>In addition to program eligibility, the <i>eligibility calculator</i> should also calculate claim attribute eligibility. The eligibility calculator shall function with both the agency level and site level data (defined in subsequent sections) that exist in the system. Note some of the claim eligibility attributes cannot be assessed until the site data is entered.</p> |
| 2.3.4.15 | <p>Architecture: The eligibility calculation functionality should support complex logic as there may be several paths available to an agency in becoming eligible for a program or claim attribute.</p> <p>For example, Agencies may qualify for the Free or Reduced rate for a program in any of several ways, based on the program regulations.</p> <ul style="list-style-type: none"> • By completing a Meal Benefit Application (MBA) which provides total household income and demographic data. This is completed by the parents/family and submitted to the site. Eligibility is determined from a table of income ranges for |

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| | <p>the number of members in the household. If the applicant is on the Food Stamp, Temporary Cash Assistance program or Medicare (adults), they are automatically eligible.</p> <ul style="list-style-type: none"> • By the site being qualified due to a set percentage of meals being served at the Free and Reduced rates in a designated school. In this case all children at the site are eligible regardless of need. <p>Refer to External Worksheet Attachment PA Attachments 4-Claim Control&Eligible.</p> |
| 2.3.4.16 | <p>Architecture: Much of the eligibility calculation logic will be based on the agency “self assessment” information that is entered in the application (i.e. business type, agency type). This data should be stored as well as the PA staff determination of this assessment based on the support details provided on the application and in the materials provided by the agency. While the eligibility calculator uses the self assessment values initially, the PA staff makes the official determination of these values. Eligibility calculations/recalculations should always be based on the PA determination of these values <i>if it exists</i> in the system.</p> |
| 2.3.4.17 | <p>Architecture: The system should also support an “eligibility duration” data element associated to each program and claim attribute. Thus, once deemed eligible, the agency is eligible for the length of this timeframe assuming they continue to meet all other eligibility requirements. When the eligibility duration ends, the system should trigger re-assessment processing (i.e. severe need snack in particular).</p> |
| 2.3.4.18 | <p>Architecture: The Application Administrator should be able to define/manage the eligibility duration values which will be used as the defaults. The PA staff should be able to override the default value on a case by case basis as needed.</p> |
| 2.3.4.19 | <p>Architecture: The Application Administrator must be able to change the eligibility rules of agency classifications in regard to program eligibility. See External Worksheet Attachment PA Attachments 4-Claim Control&Eligible.</p> |
| 2.3.4.20 | <p>Architecture: The overall MARS data structures must support the “agency”, “program”, and “site” views of the data. This includes providing analysis and querying capabilities into the agency (business type, site type) model and the associated programs as well as the program view across agencies and sites.</p> |
| 2.3.4.21 | <p>Architecture: The MARS system shall track and report on application/agency status. This will include but not be limited to:</p> <ul style="list-style-type: none"> • Number of program applications in progress by program • Number of approved applications awaiting Master Agreements • Average Number of days “stalled” pending approval • Etc |
| 2.3.4.22 | <p>Architecture: The system should support a wide variety of data fields associated to the agency and associated sites as they relate to program eligibility, claiming eligibility, supplemental claiming, program renewal attributes, and reporting dimensions. This applies to the information in the attached spreadsheets.</p> |
| 2.3.4.23 | <p>Architecture: The system shall support two data elements for the eligibility status: one for the system generated assessment, and one for the finalized PA assessment. The system should automatically keep these data elements in sync until such time that the PA staff finalizes the assessment. The PA team should be able to change the status of the Agency’s eligibility for each program as needed. The PA team will make the final decision regarding program eligibility and update the status accordingly.</p> |
| 2.3.4.24 | <p>Architecture: The system shall support all of the fields to capture the data and the review/approval status. Typical types of PA validation include verifying “non-profit” status based on the tax id status, validating the tax id, review church documentation, license</p> |

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| | and license capacity, budget documentation, site aggregation data, and so forth. |
| 2.3.4.25 | Architecture: Application Administrator role set a flag for each agency, program and/or site field that must undergo some sort of PA Validation. |
| 2.3.4.26 | Architecture: The Application Administrator shall be able to add, delete, and modify “reason codes”, “messages”, edit checks, and so on. |
| 2.3.4.27 | <p>Architecture: The system should also support calculation processing that will impact program and site approval and claiming eligibility. These calculations include the following:</p> <ul style="list-style-type: none"> • # of “paid” participants (formula based on Enrollment minus (F&R) =paid) • % of total enrollment that is Free & Reduced $\geq 50\%$, then site is eligible for “at risk” certain programs or to qualify other sites for programs (if the site is listed as the “qualifying school”) • Calculations for Advances • MMFA Calculator - Identify the schools that are at $\geq 40\%$ free & reduced % of enrollment at a point in time (for MMFA and other supplemental claim benefits) – this should function for overall participants and then breakdown to each agency. <p>Note, for these items, they all will have an eligibility duration as previously noted. These calculations may be based on a point in time or at anytime.</p> <p>These are detailed in External Worksheet Attachment PA Attachments 4-Claim Control&Eligible.</p> |
| 2.3.4.28 | <p>Architecture: The MARS system should support the concept of the “program year” which is predetermined for each program. Eligibility is based on the specific “program year”. Subsequent program renewal processing will support the transition to the next year for the program operations.</p> <p>This ties to effective dates and structures as it is critical that “program year” data not be intermixed (i.e. cannot combine multiple years when performing calculations and reporting).</p> <p>As is detailed further in the subsequent program renewal section, the architecture must be such that an Agency can be operating under a previous program year while undergoing corrective actions for the “current program year”.</p> |
| 2.3.4.29 | Architecture: The system should trigger notifications to the PA team to review all new or changed system generated eligibility notifications/triggers. This will be for new agencies that have completed the application as well as PA initiated eligibility re-calculation processing. |
| 2.3.4.30 | Architecture: The system shall allow for “conditional approval” (i.e. temporary) for claim attributes such as <i>severe need</i> and others. This will allow for the agency to provide estimated information that will qualify for the claim attributes being assessed. This will be reassessed based on actual claim data during the renewal timeframe. |
| 2.3.4.31 | Architecture: The system should allow for the designation of “automatic approval” for either a program and/or site if defined criteria are satisfied (i.e. all materials have been reviewed and accepted, dates are met, ...). The PA staff should be able to override automatic system approvals. The Application Administrator should be able to designate the defaults regarding which fields will default to automatic approval. |
| 2.3.4.32 | Architecture: The system should allow eligibility re-calculation logic. This means if the eligibility assessment criteria changes through federal or State mandate, then the PA team can initiate a global or selective eligibility re-calculation of all active Agencies. The re-calculation process will then follow the exact same process flow as the initial assessment |

| REQ. NO. | MSDE MARS REQUIREMENT: Program Eligibility Review & Assessment Process |
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| | process. |
| 2.3.4.33 | Architecture: The eligibility calculation should provide reason codes such as “ineligibility” determinations (i.e. ineligible for National School Lunches since the Agency is FOR PROFIT). See External Worksheet Attachment PA Attachments 10-Reason Codes for sample scenarios. |

2.3.5 PA Step 3: Master Agreement Processing

Once an agency is pre-approved to enter into a relationship with MSDE for one or more programs, additional options will become available to them. These options include:

- Master Agreement Processing
- Site Registration Processing (for each eligible program) – refer to PA Step 4.

The Master Agreement is a permanent agreement that must be approved by SCNBP and the Agency. The Master Agreement is subject to change via addendum.

| REQ. NO. | MSDE MARS REQUIREMENT: Master Agreement Processing |
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| 2.3.4.34 | Workflow: The system must support the workflow and steps associated to Master Agreement processing. |
| 2.3.4.35 | Workflow: The system shall support the workflow associated to managing and tracking the activities and materials required by the PA staff to finalize the Master Agreement with the Agency. This includes allowing PA’s to see what is pending, triggering automatic notification when submitted, and rejecting submission if all required fields are not completed, and so on. |
| 2.3.4.36 | Workflow: The system must support the processing to allow the Agency to provide required materials, enter data, and respond to affirmation and signature content of the Master Agreement (via paper in Release 1 and online in Release 2). The Agency would <i>submit</i> the signed Master Agreement for approval. |
| 2.3.4.37 | Workflow: The Master Agreement must be finalized (signed) by SCNBP. |
| 2.3.4.38 | Workflow: The PA team will be able to change the status of the Agency’s Master Agreement status as needed. |
| 2.3.4.39 | Workflow: The PA team will evaluate the data entered and the associated documents that have been attached for accuracy and completeness. The system should allow the PA to enter notes and select pre-defined follow-up options and failure reason codes. |
| 2.3.4.40 | Workflow: The system should support “addendum” processing workflow that is similar to the master agreement such that the agency. No signature activities will be required, but this must be tracked as to when sent, tracking effective/ineffective dates, and so on. |
| 2.3.4.41 | Workflow: Barring withdrawal or MSDE termination, the Agency relationship with MSDE will remain in the active status once their Master Agreement is signed (i.e. there is no renewal requirement for the Master Agreement). |
| 2.3.4.42 | Workflow: If the Agency has no active programs, the system should support workflow and triggers to initiate MSDE termination of the Master Agreement if a configurable timeframe has passed. |
| 2.3.4.43 | Workflow: Agencies that are inactive for a timeframe (configurable) should be archived. |
| 2.3.4.44 | Workflow: The system should allow the PA team to re-activate an archived Agency. |
| 2.3.4.45 | Workflow: The system should support a mechanism for MSDE to terminate a Master Agreement. Terminated Agency’s should be archived but should not be available for re- |

| REQ. NO. | MSDE MARS REQUIREMENT: Master Agreement Processing |
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| | activation |
| 2.3.4.46 | Workflow: The system should automatically archive the Agency and the associated portal accounts if the signed Master Agreement is not submitted within a configurable timeframe. |
| 2.3.4.47 | Workflow: Emails, notifications, and dashboard updates should occur when the Master Agreement status changes. |
| 2.3.4.48 | <p>Workflow: FMIS Vendor File process:</p> <p>When a new agency signs the Master Agreement, an automatic trigger for the FMIS Vendor file creation should occur. This is a simple process that also must be triggered if the agency name, FEIN, or mail code/ mailing address fields are changed in the future.</p> <p>The FMIS system is responsible for actually paying the agency. As such this system requires certain updates to occur from the MSDE Accounting department.</p> <p>Upon approval of a new agency Master Agreement, a trigger should be set for the following workflow:</p> <ul style="list-style-type: none"> • Trigger notification to the FM to enter the “mail-code” (a 3-digit code as is reflected in FMIS) • Create an extract email to be used by Accounting (to create the FMIS Vendor File). This contains basic info about the agency • Email the extract to MSDE Accounting • Allow FM staff to mark that the FMIS Agency Vendor File was successfully created in FMIS. <p>The system should support triggers such that changes to agency profile data that could impact the FMIS Agency Vendor File will trigger a similar update workflow process to address the update.</p> |
| 2.3.4.49 | Architecture: The system shall allow the PA staff to generate a Master Agreement from a template file (see general requirements section) with the appropriate agency information pre-populated. |
| 2.3.4.50 | Architecture: The system should allow the Administrator role to change the default setting. These may include controlling whether or not the Master Agreement must be signed/approved prior to allowing for site data entry. See External Worksheet Attachment PA Attachments 11-Master Agreement. |
| 2.3.4.51 | Architecture: The system should allow the PA staff to override the default setting in regard to site data entry associated Master Agreement approval (i.e. either allow or block regardless of the system wide setting). |
| 2.3.4.52 | Architecture: The system should perform validation and edit checks for accuracy and to ensure that all required fields have been addressed prior to allowing for the submittal process to complete. |
| 2.3.4.53 | Architecture: The system should store the signed Master Agreement in a database as a PDF file available for download by SCNPB staff and the Agency. In Release 1, the document would be scanned into the system. In Release 2, it would be completed online and stored. |
| 2.3.4.54 | Architecture: The system should track the dates of workflow status changes and allow for “point in time” analysis such that the PA staff can view an agency’s status based on the current date or a date in the past. Other date tracking should include the effective date. |
| 2.3.4.55 | Architecture: The system should work such that once a Master Agreement is approved it cannot be modified unless the MSDE Administrator changes an indicator to open the Master Agreement for addendum processing by MSDE. |

2.3.6 PA Step 4: Site Registration Processing

As previously defined, in order for an agency to begin claiming for a program, there must be an *active*, *active*, *active* state. The Agency must be *active*. The program must be *active*. At least 1 site under the program must be *active*.

Site registration is the data entry of the site information which includes the following:

- Site profile data (i.e. meals served, who receives meals, contact info, claim eligibility...)
- Site Aggregation data which is the calculated aggregation of the site data (i.e. total meals served)

Once a program is approved with one or more active sites, the Agency can begin participating (i.e. claiming, training, ...) for that specific program. The agency can also be working toward approval of other programs and sites at any given time. This means the agency can be claiming for 5 approved sites under a specific program, be adding more sites to this active program, and be working toward program approval for other programs – all at the same time.

Refer to **External Worksheet Attachment PA Attachments 7-Site Registration** for site registration data fields.

| REQ. NO. | MSDE MARS REQUIREMENT: Site Registration Processing |
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| 2.3.6.1 | <p>Architecture: The system must support at least 2 “site numbering” models and potentially link them together. First there is the Agency designated site number which is somewhat free from and up to the agency to provide. The primary validation is that the agency defined site number must be unique (i.e. two sites under the same agency cannot have the same agency site number).</p> <p>The second site number shall be generated by the MARS system. The architecture should support a distinctive numbering scheme for tracking all sites (to be used for ad hoc reporting on various interrelationships). The system should be able to facilitate the same site associated to multiple programs such that the site has the same site number (potentially “-a”, “-b”) but virtually all other site attributes are different (i.e. different contact names, different number of meals served, different characteristics in the types of meals, different programs ...). The only common element may be the physical address of the site.</p> <p>Note – site numbering is a significant issue in the legacy system. Sites have their own internal number (designated by the agency) which should not interfere with the system designated site numbering scheme. But, the system should potentially allow for linking the system generated site number to the internal site number designation.</p> <p>Note - a physical site could be associated to more than 1 program within an agency as well as with programs across multiple agencies and tied to different site attributes such as operating months. The fact that it is the same site needs to be captured. Flags, queries, and reporting will be required as this is a potential area for fraud.</p> <p>The system generated site numbering architecture will need to be finalized during the design phase. The final design of the new system needs to have extensive tracking and cross referencing of agency and site numbering (i.e. identification) logic and the association to programs.</p> |
| 2.3.6.2 | <p>Architecture: When the Agency/PA creates a site, several defaults should be pre-populated (agency profile data should pass down to the site). Specifically, in some portions of the application, the site data shall default/inherit the agency setting, but will provide a place for</p> |

| REQ. NO. | MSDE MARS REQUIREMENT: Site Registration Processing |
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| | updates. For example, the agency may be identified as a “school” and be marked eligible for the School Meals program. The new site being entered could pre-populate “school” as the “site type” for all sites created under the agency. |
| 2.3.6.3 | Architecture: The system shall support the “inheritance” of agency and program profile data into the associated sites (i.e. the county such a “Baltimore County Public Schools” should inherit to all school sites automatically that are created). The system shall allow the SCNPB administrator to control what data is inherited. |
| 2.3.6.4 | Architecture: Each site under an agency will have a program status for each program as previously defined. This site may be active for one program and be in an ineligible state for another program. The final architecture must support an agency that has multiple programs and the same site is active on multiple programs (i.e. need to distinguish what data relates to which program or such). To be finalized during the design phase. |
| 2.3.6.5 | Data Entry: The agency should be able to change pre-populated (inherited) data. |
| 2.3.6.6 | Data Entry: In all cases the system shall allow the PA staff to override or change pre-populated data. |
| 2.3.6.7 | Data Entry: The system should provide edit checks reconciling the accuracy of data entered associated to the site and show warning or failure messages if invalid data is entered. |
| 2.3.6.8 | Data Entry: The system should allow the agency to add, edit, and delete site data. |
| 2.3.6.9 | Workflow: The system should also allow the agency to <i>submit</i> site data for review by the PA staff. Changes that are in a <i>submitted</i> status will be in a pending state until reviewed by the PA. |
| 2.3.6.10 | Workflow: The system shall automatically change the <i>agency status</i> from Eligible to Active when a site is marked as <i>active</i> on the program. In reverse, if the last active site becomes no longer active, then the system shall automatically change the <i>agency status</i> back to Eligible. |
| 2.3.6.11 | Workflow: Based on the site changes that an agency may make, workflow requiring PA approval or other SCNPB activities should be supported. Some changes may automatically be approved without subsequent review. |

2.3.7 PA Step 5: Site Assessment & Review Processing

Once sites are entered into MARS and marked as *submitted*, the PA review processing will be triggered. This will be very similar to the application review process with the focus on the site profile data attributes.

This processing entails the following workflow:

- Review site profile/detail data
- Schedule and complete a Pre-Approval Visit
- Results Notification (approved, ineligible,... with reasons)

| REQ. NO. | MSDE MARS REQUIREMENT: Site Assessment & Review Processing |
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| 2.3.7.1 | Workflow: The system should support configurable triggers and workflows associated to the PA review activities which culminate in approval or not of each site. |
| 2.3.7.2 | Workflow: The system should provide mechanisms for marking site approvals, noting issues (from drop down lists), and generating emails to the agency. |
| 2.3.7.3 | Workflow: The system should support configurable dropdown lists of items such as reason codes, approval notes, and issues. |

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| 2.3.7.4 | Workflow: The system should track approval dates and support relationship logic and edit checks relating to effective dates (i.e. claiming can be approved retroactively based on the first day of the previous month of the approval date – note there are specific guidelines for retro-active date logic that must be supported by the system). |
| 2.3.7.5 | Architecture: The system should provide the PA with the ability to “select all”, “deselect all” and other such techniques to optimize the PA review process (i.e. “approve all selected sites”). |
| 2.3.7.6 | Architecture: The system should allow for “effective” dates and other data entry aspects. |
| 2.3.7.7 | Architecture: The system should provide multiple views of looking at the agency or program or site or inter-relationships between them. For example, the system should allow the PA staff and the agency to drill down as well as looking at a particular program and seeing what agencies or sites are approved for the program. |
| 2.3.7.8 | <p>Architecture: The system should support Site Visit logic including scheduling, online forms data entry, notes data entry, and workflow in order to maximize coverage. Site Visit logic is shared by both PA and Compliance staff. There are 3 different Site Visit scenarios:</p> <ul style="list-style-type: none"> • Compliance site review • PA site review (see External Worksheet Attachment PA Attachments 3-Pre-Award CR Visit) • PA technical assistance <p>The workflows will be different based on the purpose of the Site Visit. Of note, the Site Visit audit trail must be maintained as this provides backup detail in the event of litigation.</p> |
| 2.3.7.9 | Architecture: The data entered during a Site Visit (either PA or Compliance) should be sharable – i.e. the visiting PA could complete or obtain information/processing on behalf of the Compliance team and vice versa. |

2.3.8 PA Step 6: Program Renewal/Termination Processing

The **program** lifecycle also includes a renewal (usually annually) which will require data entry, existing data propagation, data uploads and data affirmation activities by the agency, as well as a review and approval process by the PA staff.

Each specific program is governed by a “Program Year” which is *control data* associated to each program (i.e. Program_Year = 2008, start_date = 07/01/2007, end_date = 06/30/2008 OR Program_Year = 2008, start_date = 10/1/2007, end_date = 09/30/2008 or OTHER). The program year is defined per program.

As shown in the examples, program year attributes include start and end date for the program. They also include the various rate structures associated for claiming, reporting requirements (durations/timelines). See **External Worksheet Attachment PA Attachments 2-Program Control Data** for examples of this data.

Program renewal processing is the transition from one program year to the next for each program associated to an agency. Each SCNPB program is on an independent renewal cycle, but in many cases multiple programs are renewed at the same time.

As defined in the initial program application processing, data associated to programs and sites requires assessment and validation by the PA staff on a regular basis. The bulk of the renewal activities are similar to that of the initial program and site assessment. The focus of renewal processing is to assess the *changes*

that have occurred at the Agency/site, assess of *temporary* approved programs if the duration date has passed, and validate data that has expired such as a day care license.

Renewal processing is at the program level, not at the agency. Inconsistencies can be identified during the program renewal process. These could be simple such as a specific site has an expired license. In this instance the program may be renewed, but the site will be marked as ineligible until the license situation is resolved.

If issues occur between SCNPB and the agency for a specific program, for any reason, the mechanism to track and manage this situation is referred to as the Corrective Action Plan (CAP). The full workflow for the CAP processing will be implemented in MARS II (Not in scope) with the Compliance processing.

For Release 1, the basic CAP tracking status flags, dates, basic reminder/reporting triggers, notes that can be entered, and predefined reason codes. The workflow itself will be handled outside of the MARS system for this release.

If issues are found during the renewal process, the PA still will manually set the CAP status and data. If the CAP status is set to “SERIOUSLY DEFICIENT” for any program, then program renewal cannot be completed for the next program year. The key factors in this situation are:

- The status of the program for the “next program year” is marked *suspended (or potentially Seriously Deficient)*
- The status of the program for the “current program year” remains set to *active* (i.e. claiming continues)
- Claim submission for claims in the “next program year” is based on the financial rates associated for the “current program year” (i.e. terms, conditions, rates as established in the current operating year – which is now passed).
- Claim payment (and associated reporting) is funded through the “next program year” funding and rates.

Termination processing which is the conclusion of the worst case CAP scenario and/or performed voluntarily by the agency will be addressed through program and/or agency status flags as previously defined to be set manually by the PA staff initially. The Termination workflow will be automated in MARS II with the CAP process.

| REQ. NO. | MSDE MARS REQUIREMENT: Program Renewal/Termination Processing |
|----------|---|
| 2.3.8.1 | <p>Architecture: The data model defined to support all of the agency, program, and site data elements (<i>control data</i>) should be modifiable by the Application Administrator such that additional attributes can be controlled. These attributes will include:</p> <ul style="list-style-type: none"> • Renewal Required • Renewal Duration (i.e. never, 1 year, 2 year, based on expiration date) • Compliance Review • Site Review • Training Required • Other <p>Many of these attributes will be set at the program level and/or at the site level. The utilization of these attributes will allow the PA team to have full control over what content is due for renewal and when (i.e. partial renewals, full renewals, renewal not required if program was approved within 30 days of the program year renewal date, ...)</p> <p>The elements and attributes will be finalized during the design phase.</p> |

| REQ. NO. | MSDE MARS REQUIREMENT: Program Renewal/Termination Processing |
|----------|--|
| 2.3.8.2 | <p>Architecture: New data elements to track CAP processing are required and should include the following:</p> <ul style="list-style-type: none"> • CAP status (initiated, open, closed, ...) • CAP Reason Code • CAP Duration • CAP Effective Date • Seriously Deficient (open, closed, ...) • Termination initiated • Termination Reason Code • Termination Effective Date • Claim Exception REJECTED details (reason code, claim month,) • Other <p>The elements and attributes will be finalized during the design phase. See External Worksheet Attachment PA Attachments 12-CAPS for CAP/TERMINATION reason codes. This data may be tied to a formal report for distribution to the USDA for termination justifications.</p> |
| 2.3.8.3 | <p>Architecture: The system will store each program year data such that reporting on “program year” at the agency, program, or site level is supported. This is a variation of the previously defined requirement for “point in time reporting” such that the start and end dates for the point in time default to that of the program year.</p> |
| 2.3.8.4 | <p>Architecture: The system should support the logic defined in the narrative above (renewal processing, current/next program year, and CAPs).</p> |
| 2.3.8.5 | <p>Architecture: The system should support the “seriously deficient” processing scenario. Potentially this can be facilitated by having the PA staff simply extend the “current program year” expiration date. This would require close monitoring by the PA staff. The mechanism to control the funding should also be maintainable through associations with the “new program year” funding codes/rates (see details in the Financial Management section). This requirement must be supportable with the details solidified in the design phase.</p> |
| 2.3.8.6 | <p>Architecture: The system should allow PA staff renewal options to renew multiple sites (i.e. pick and choose, select all and deselect sites).</p> |
| 2.3.8.7 | <p>Architecture: The system should support various tolerance parameters to allow for “renewal extensions” and “license expiration extension” and others to account for uncontrollable delays (i.e. license bureau is late in renewing).</p> |
| 2.3.8.8 | <p>Architecture: The system should support “automatic renewal approval” for sites that have no changes, no updates required (i.e. licenses are not expired) or changes fall within acceptable tolerances (i.e. Enrollment will always change – automatic approval if change is <= 20%).</p> |
| 2.3.8.9 | <p>Architecture: The PA staff should be able to designate and control the use of the automatic renewal settings.</p> |
| 2.3.8.10 | <p>Workflow: The system should support triggers for emails, (Release 2) portal postings, and workflow processing based on date driven criteria indicating what data in the Agency program(s) and sites has expired or requires assessment as part of the renewal processing.</p> <p>Data that requires renewal assessment includes: licenses, budget, food service contracts, etc with these flags set in the control data.</p> |
| 2.3.8.11 | <p>Workflow: The system should track and monitor the completion date/status of each required step of the program renewal process and support triggers for email reminders and workflow processing.</p> |

| REQ. NO. | MSDE MARS REQUIREMENT: Program Renewal/Termination Processing |
|----------|---|
| 2.3.8.12 | Workflow: Renewal processing should support all of the previously defined program and site logic (PA Steps 1, 2, 4, and 5) in a scaled down form for renewal processing. This workflow processing will be streamlined to focus on data changes, required re-assessment fields, and required affirmations and signatures. |
| 2.3.8.13 | Workflow: The system should allow the PA staff to review and confirm when an agency “opts out” of a program. This will have an immediate impact on claiming and claiming calculations if the agency had previously be active and claiming for this program. Edits and should be driven based on the effective date of the approved withdrawal. Additional triggers and notifications to other SCNPB teams may also be required as well as formal confirmation emails to the agency. If the agency owes funds to SCNPB, CAP data elements should automatically be populated with an Alert and Follow-Up task created for FM staff. |
| 2.3.8.14 | Workflow: For program and site “claim attributes” that were approved on a temporary/conditional basis based on projections from the agency, the system should apply the “actual” data eligibility calculations at renewal time. Many temporary approvals are for data that is “two years prior”. Thus the renewal should account for the business logic as to when (duration has passed) to apply the actual data assessment versus the project data assessment. The system should perform these calculations and <u>compare</u> the results against the initial projections. This calculation should be enabled both on demand and as part of the annual renewal processing. |

2.3.9 PA Step 7: On-going Activities

All processing defined in the previous sections follows specific flows associated to entering, reviewing, and approving data. These activities will also be performed on an ad hoc/on-going basis as changes are entered into the system associated to an agency, program, site relationship or profile data. While changes to existing active programs or sites will require reviews and approvals, the workflow can be abbreviated based on the types of changes.

| REQ. NO. | MSDE MARS REQUIREMENT: On-going Activities |
|----------|---|
| 2.3.9.1 | Architecture: The system should support the ad hoc activities that occur in the previous defined workflows (i.e. activities are either “on demand” initiated or triggered by the workflow processing defined throughout the TORFP). |
| 2.3.9.2 | Architecture: For changes, the system should be able to track the type of change, date of change, who made the change, and trigger workflows based on the change. |
| 2.3.9.3 | Architecture: The system should provide basic ad hoc reporting of program, agency and site data which may be easily sorted and filtered to meet the information requirements of SCNPB in accordance with the general reporting requirements as previously defined. The system should allow for ad hoc reporting on the following types of examples (should support at least 4 levels of depth – by “a” by “b” by “c” by “d” for a specific timeframe) <ul style="list-style-type: none"> • Names and addresses of all homes that are earning more than \$600 in March 2006 by Agency. • Number of approved sites by agency by program by meal type • Number of agencies by business domain with number of sites on a specific program • Number of sites with expired licenses • Name and address of the family child care provider with food stamp indicator |

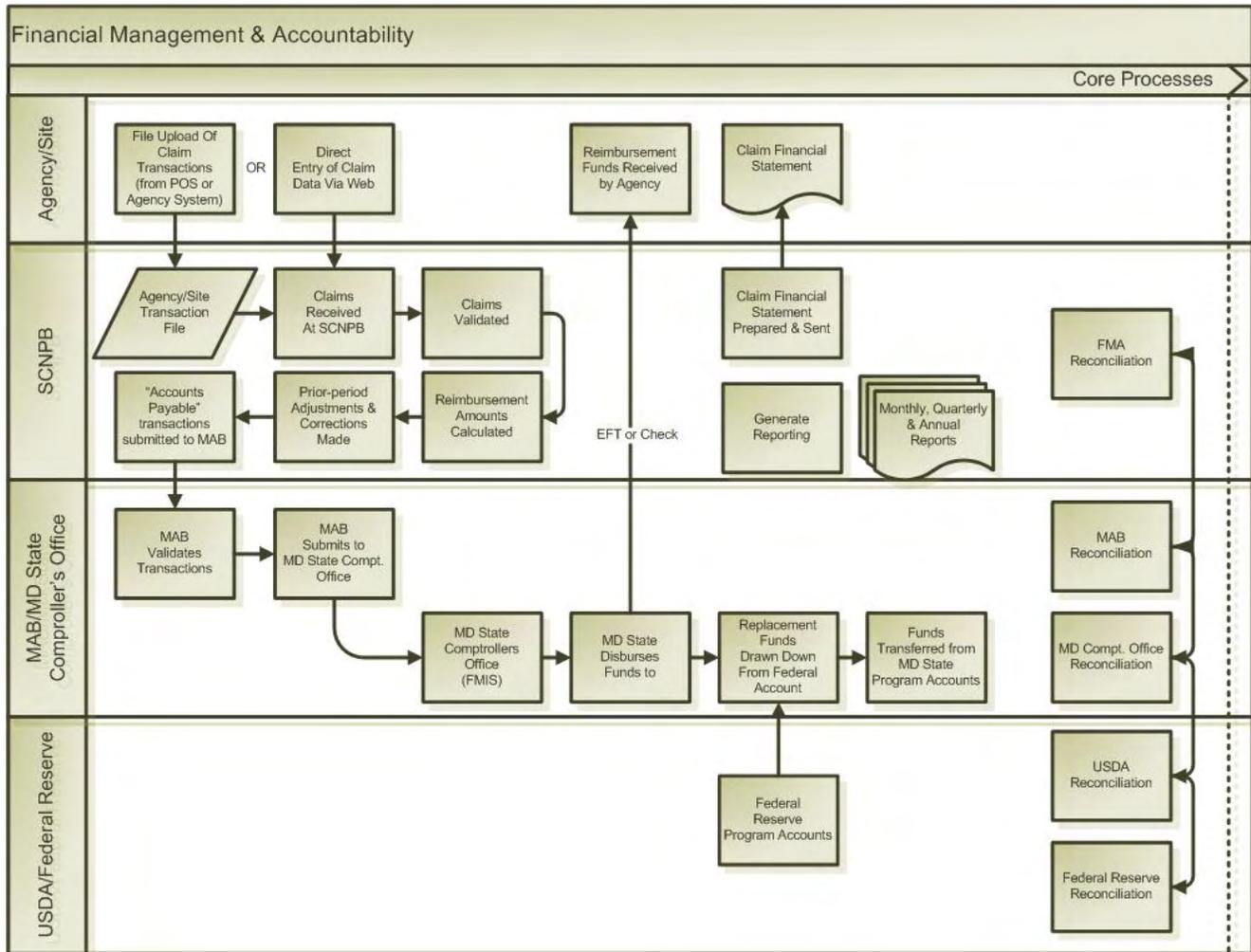
| REQ. NO. | MSDE MARS REQUIREMENT: On-going Activities |
|----------|---|
| | <ul style="list-style-type: none"> • Agencies that qualify for the 2 cent bonus • New Agency's approved for a given timeframe; terminated Agency's by a particular reason • Budget analysis report showing mid-year (as tracked in the Financial Management processing of the MARS system detailed in subsequent sections of the TORFP) spending against initial projections <p>Ad hoc reporting will be finalized during the design phase.</p> |
| 2.3.9.4 | <p>Workflow: Any changes that the agency may submit such as adding additional sites, changing site/program profiles, or annual program renewal data entry, will follow a similar submission process and subsequent PA review process. This process will be tailored based on the types of changes that are being made.</p> <p>For example, (For profit agency) for Child Care Center if the number of Reduced –Price and Free eligible students as a percentage of enrollments has changed, and the site was no longer eligible, they would appear on a list view for follow up by the PA.</p> |
| 2.3.9.5 | <p>Workflow: The system should provide triggers and notifications when an agency makes an update to the program and/or site data. The system should allow for the automation of process flows such that some changes are automatically approved while others require PA intervention.</p> |
| 2.3.9.6 | <p>Workflow: The system should allow the agency to “recall” their application for one or more programs. In Release 1, the PA staff will simply change the status to pending. In Release 2, the agency would make the request for recall and be required to provide details as to why they are recalling a submitted application. The PA staff will need to approve the recall which will change the status to pending.</p> |
| 2.3.9.7 | <p>Workflow: The status of program to site relationships will change based on the types of changes. The system should automatically change the statuses if triggers are initiated (i.e. the agency fails to complete renewal processing within the allowable timeframe then the program may switch from active to eligible).</p> |
| 2.3.9.8 | <p>Workflow: The system should support a multi-level approval workflow processing (i.e. once the PA approves, then the Section or Branch Chief may need to approve/rejection/termination prior to the approval/rejection/termination to be finalized).</p> |
| 2.3.9.9 | <p>Workflow: The system should support triggers to other events based on the data entered by the agency or mandated by federal and State program requirement. These may include the following:</p> <ul style="list-style-type: none"> • Trigger for FMIS vendor file update process (if agency name or mail code changes) • Trigger enabling a broader range of training options • Trigger Training (if required) on program management/administration by program – that could then prevent claiming (if required) • Trigger compliance review (review is not scheduled until after first claim has been submitted) • Triggers to mark sites and/or programs “inactive” if the Agency fails to provide required data and annual verification of “free and reduced eligible” (this would be tied to the December claim and prevent claiming for LEA's; the FCC annual reconciliation of the provider payments account) • Trigger memos required at points in year. (i.e. for Family Child Care requires reconciliation reports with food stamp data). |
| 2.3.9.10 | <p>Architecture: The system should allow the agency administrator role in the system (i.e. agency super user at the top) to manage the roles and permissions of the users associated to their specific agency in the system. For agency, program, and site administration,</p> |

| REQ. NO. | MSDE MARS REQUIREMENT: On-going Activities |
|----------|--|
| | <p>permissions will focus on:</p> <ul style="list-style-type: none"> • Who can perform initial data entry (site) • Who can change agency, site, program data • Other |
| 2.3.9.11 | <p>Workflow: The system should provide SCNPB with the ability to MOVE all sites associated to an Agency to a new agency- i.e. family child care organization. This would result in a new sponsor number. All flags for active, active, active – set not active – handled manually)</p> <p>This capability should include the option to move “pending claim data” that may have been submitted associated to the sites that have been moved.</p> |
| 2.3.9.12 | <p>Architecture: For programs that track and/or reimburse for administrative, expenses, and other costs, the system should provide an “analyze budget” capability to be used by the agency. This option would give real-time comparison results of budgeted costs against actual costs as reflected in the claim payment processing. This “analyze budget” option should also provide for forecasting (i.e. what if) analysis to project through the end of the year. This would be helpful to the agencies at renewal in providing next year estimates</p> |

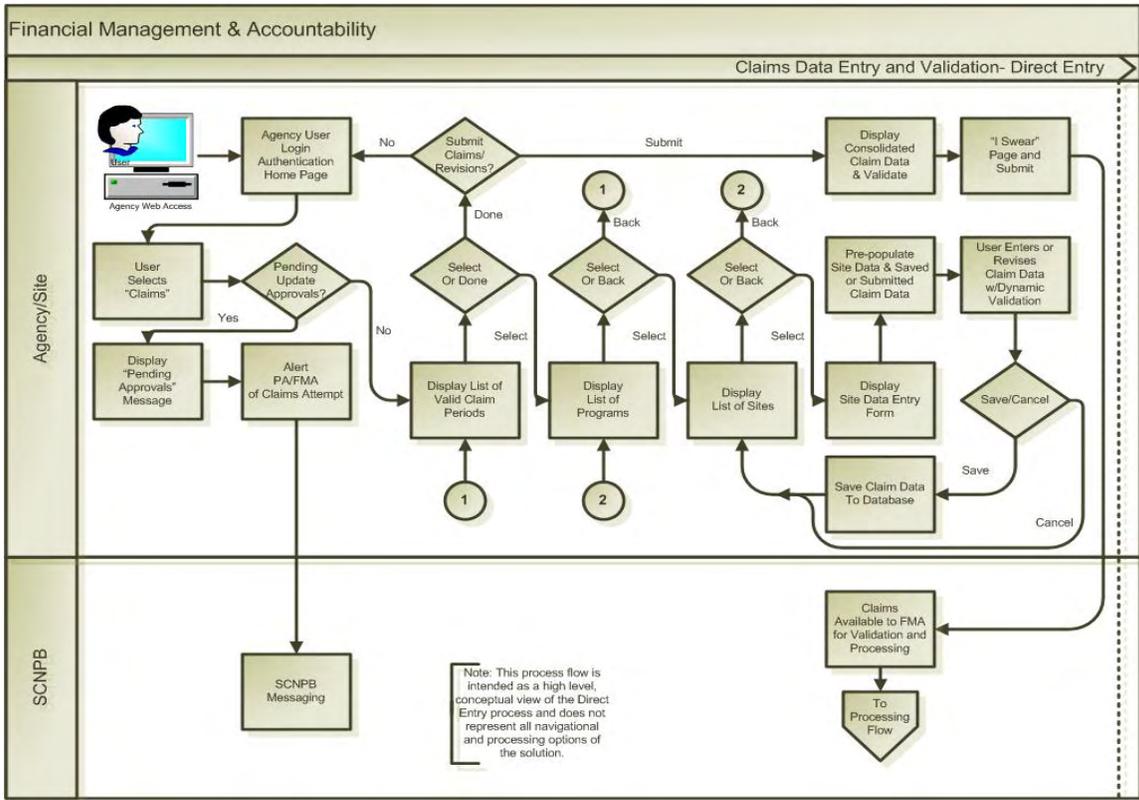
2.3.10 Data Upload: National Disqualified List (NDL)

| REQ. NO. | MSDE MARS REQUIREMENT: National Disqualified List |
|----------|---|
| 2.3.10.1 | <p>NDL: The system should allow the PA team to upload the NDL data file into the MARS system. Sample NDL data and format is in External Worksheet Attachment PA Attachments 13-NDL Organizations and PA Attachments 14-NDL Individuals.</p> |
| 2.3.10.2 | <p>NDL: The system should match the agencies and sites from the loaded NDL data and provide a view/report of all matched records.</p> <p>The system should check each new/existing Agency against this data. If an <u>Agency/Responsible Person</u> is matched on the list, then the Agency status shall change to “ineligible” status and notification to the PA team should office. The same logic should occur if a <u>site</u> is matched.</p> <p>CAP processing should be supported by the PA team.</p> |
| 2.3.10.3 | <p>NDL: The matching NDL report should be divided per agency. The PA team should be able to email the matched records to all impacted agencies (but should just send the agency specific data to each agency). In Release 2, the agencies will be able to pull this report directly from the portal.</p> |

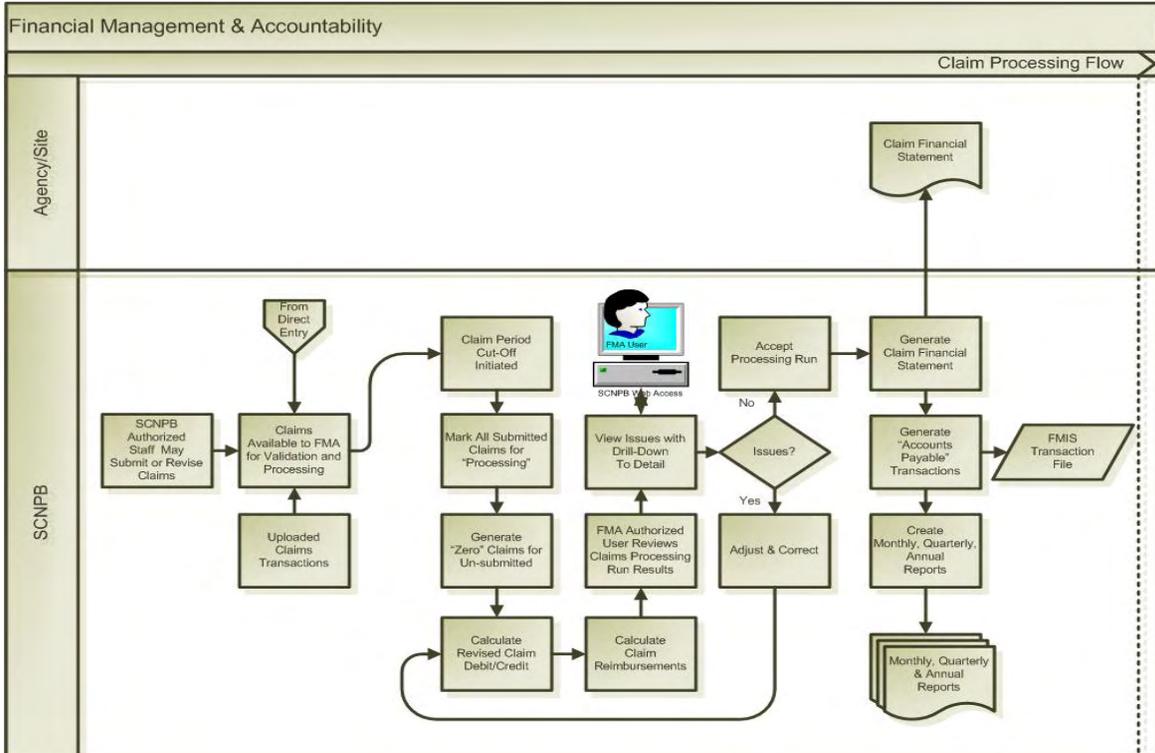
2.3.11 Financial Management Overview (FM Processing)



2-1 Core Processes



2-2Claims-Direct Entry



2-3Processing Flow

The Financial Management and Accountability Section (FM) have primary fiscal responsibility for the administration and reporting of all SCNPB programs and grants. In 2007 FM administered in excess of 170 million dollars of federal and State entitlements, matching program funds, and grants. Variations in the workflow and business rules required by the programs constitute the biggest challenge in implementing an integrated solution for SCNPB. The goal of the MARS application, and as reflected in this TORFP, is to standardize this processing wherever possible.

Approved¹ Agency, Program, Site, and Claim attributes are subject to FM/Claim processing. Claim reimbursement processing is fundamentally based upon paying dollars based on:

“**Number of meals served x Rate**” for an “active” Agency on an “active” Program for meals served at each “active” Site on the specific program (i.e. active, active, active).

Claiming for a site and/or agency will be suspended if the active status of the associated Agency, program, or Site status changes.

2.3.12 Claiming

FM reimbursement processing is driven primarily by the *claim*. All claiming activities occur for an approved Agency, program, and site (i.e. active/active/active statuses). The active/active/active status must be effective for the chosen claim period (i.e. if the effective date for the program is 2/1/07 for a site, claims cannot be submitted for January '07).

The MARS system shall take the basic claim information provided by the agency and calculate the total claim reimbursement amount using formulas and agency/site/claim settings.

Claim Processing

Claims can be initiated by the agency or scheduled in advance by SCNPB. Claim processing goes through the following stages: **submission, calculation, validation & release, and payment distribution**. The FM team is then responsible for **reconciliation and reporting** of this information.

Claim Month

Claim processing is performed one or more times each month. Claim activity is based on the “*claim month*” (i.e. the month that the meals were served). Key to each claim month is the “*last claim day*” which drives edits and calculations. Claims are submitted per program (i.e. claim for School Meals separately from claiming for Special Milk).

Claim Cycle

Each iteration of the claim processing activities performed during a claim month is referred to as a *claim cycle*. Each claim cycle will process all submitted claims as is defined below. Associated to each claim cycle is the “*claim cycle cutoff dts*” (dts=date time stamp). The agency can make changes (*recall*) to claim data that has not yet been processed (i.e. prior to the claim cycle cutoff).

¹ Approval of these elements occurs during the PA processing previously defined.

Claim Calendar

The MARS system should support a “*claim calendar*” for managing/triggering activities associated to claim processing (i.e. scheduling, processing, triggering notifications, reporting). The FM team will define events in the claim calendar which include:

- Scheduling 1 or more claim cycles in a month
- Scheduling program payment dates (for programs that pay a determined amount on a regular basis such as State Revenue Match)
- Scheduling reporting events
- Scheduling estimating and reconciliation events
- Setting the “last claim day” for each month (should default to the last calendar day of the month)
- Identifying other event days that will be finalized during the design phase
- Setting non-working days

The FM team should be able to define default values for all of the *claim calendar* settings and then be able to revise individual date settings as needed at anytime.

| REQ. NO. | MSDE MARS REQUIREMENT: Claim Administration & Architecture |
|----------|--|
| 2.3.12.1 | Architecture: All <u>submitted</u> claim transactions must create a fully auditable transaction log (i.e. who did what and when, status changes). |
| 2.3.12.2 | Architecture: The system should only allow authorized roles within an agency to submit an original claim, submit a revised claim, submit a claim exception, and recall a submitted claim. |
| 2.3.12.3 | Architecture: The system should allow the Application Administrator to control the roles/privilege settings (i.e. to distinguish whether or not the same person who submits the original claim can also submit a claim revision). Different roles may be defined for each capability (to be finalized in design). |
| 2.3.12.4 | <p>Architecture: The system should support role based intelligence by pre-setting certain defaults based upon the role of the person from the agency who is submitting the claim data. If the person is the designated claim submitter for a specific program, then that program should be the default program when the person chooses to submit a claim.</p> <p>If the person is designated for multiple programs, they should be able to indicate which program should be the default claim program upon initial entry into the claim process.</p> <p>The person submitting the claim should be able to select/override the program for which they wish to submit the claim based on the list of eligible programs for the agency.</p> |
| 2.3.12.5 | <p>Architecture: The system shall allow the FM administrator from SCNBP to configure the claims settings and defaults including:</p> <ul style="list-style-type: none"> • Set the last day of each claim month (claim month close date) • Set the last day of the program year (program year close date) • Original Claim duration (this is current set to 60 days) • Upward Claim duration (Agencies have sixty (60) days from the last day of the claim month to make upward corrections or adjustments) • Downward Claim duration (maybe set to no limit) • Schedules for “schedule driven” payments per program and claim attribute • Claim cycle dts (per claim cycle in each month) • Setting to allow for “automatic processing” to allow all submitted claims that do |

| REQ. NO. | MSDE MARS REQUIREMENT: Claim Administration & Architecture |
|-----------|--|
| | <p>not have any warnings or errors to automatically move to the reimbursement processing stage. This setting should also be configurable to allow claims with “warning” messages to also proceed to the reimbursement step.</p> <ul style="list-style-type: none"> • Set site level or consolidated claim default per program • Recall abilities – set whether or not allow or disallowed per program or per agency • Default all claim data to 0/null/empty as applicable • Maximum payment amount for a program (payment ceiling – which could be formula driven) • Other claim calculation parameters |
| 2.3.12.6 | <p>Architecture: The MARS system should perform automation associated to the FM processing including:</p> <ul style="list-style-type: none"> • Claim Month (should automatically change when the current claim month is “closed” either automatically by the system or by the FM team) • Claim Year (should automatically change when the last claim month of the year is “closed” either automatically by the system or by the FM team) • Zero out entered claim data if a claim is not submitted by the end of the “original claim duration”. To be finalized during design as we may want to leave this data. We may wish to keep the data, but we must distinguish that this data was never paid. This would then support a subsequent claim revision/exception which would be required to complete the claim. • Trigger claim cycle processing when the claim cutoff date/timestamp has passed • Other claim workflow automations |
| 2.3.12.7 | <p>Architecture: The FM team can override all default settings on a case by case basis or through a “bulk change” to change multiple settings for multiple agencies at 1 time.</p> |
| 2.3.12.8 | <p>Architecture: If a change at the agency, program, or site level is pending review/approval, and the nature of the change puts one of these elements in a non-active status, then claiming should be restricted pending the completion and approval of the change by the PA staff. (i.e. claim payment address or tax id has been changed by the agency, but the change is not yet approved by the PA and FM staff) . Triggers and notifications to the PA should be supported.</p> |
| 2.3.12.9 | <p>Architecture: The system must support the data entry and business logic defined throughout the FM section above including:</p> <ul style="list-style-type: none"> • Workflow automation • Calculations • Edit checks and data entry rule enforcement • Presentation UI – only presenting applicable options available to Agency, Program, Site • Tracking, estimating, notifications |
| 2.3.12.10 | <p>Architecture: The system should allow the agency administrator role in the system (i.e. agency super user at the top) to manage the roles and permissions of the users associated to their specific agency in the system. For claims processing, permissions will focus on:</p> <ul style="list-style-type: none"> • Who can submit a claim (both agency-wide for all program or only for a specific program or programs). • Who can revise a claim (at the program or agency-wide level) • Other |

| REQ. NO. | MSDE MARS REQUIREMENT: Claim Administration & Architecture |
|-----------|--|
| 2.3.12.11 | Architecture: Multiple claim cycles in a month should be supported. |
| 2.3.12.12 | Claim Calendar: The system should provide a calendar view for management activities. |
| 2.3.12.13 | <p>Claim Calendar: The claim calendar shall support the scheduling of all claim events and trigger days. The FM administrator should be able to define the calendar defaults (i.e. last day of the claim month may equal the last calendar day of the month or may be the last business day of each month), claim cycles occur on the 4th, 12th, ... of each month.</p> <p>The FM administrator should then be able to revise specific calendar entries as needed (potentially to account for holidays or fiscal year extensions).</p> |
| 2.3.12.14 | <p>Claim Calendar: The claim calendar shall support the scheduling of all claim events and trigger days including:</p> <ul style="list-style-type: none"> • Scheduling 1 or more claim cycles in a month • Scheduling program payment dates (for programs that pay a determined amount on a regular basis such as State Revenue Match) • Scheduling reporting events • Scheduling estimating and reconciliation events • Setting the “last claim day” for each month (should default to the last calendar day of the month) • Identifying other event days that will be finalized during the design phase • Setting non-working days |
| 2.3.12.15 | Claim Calendar: The system should allow for configurable parameters that allow/prohibit the month, year, and program acceptable for claim data entry (for both original and revised claims). |

2.3.13 Claim Types

There are 3 types of claims that can be submitted by Agencies. Each claim type has a series of business rules associated to it. The three claim types are as follows:

1. *Original Claim*

An original claim is the initial claim (i.e. first) entered for a claim month. There are submission rules that must be supported and be configurable in the system such as:

- (*Claim submission tolerance*) 60 days from the last day (i.e. *last claim day*) of the claim month, the claim must be submitted and in the SCNBP office. After that date, a claim *exception* process is used.

2. *Revised Claim*

A revised claim can be submitted to adjust an original claim that is marked as “paid” or “payment-pending” as defined below in “Claim Status”. Claim revisions are changes to meal counts and/or expenses for a previously paid claim. These instances arise when errors are detected through human error, audit or compliance reviews, or a newly added agency is eligible to make claims retroactive to the first day of a prior claim month.

Upward revision (i.e. agency gets paid) submission rules are the same as the original claim data entry rules (i.e. current month and up to 60 days from the last day of the claiming month). Upward revisions tend to be initiated by the agency as they uncover a mistake.

Downward revision (i.e. agency owes back money to the federal government) claim submission can be entered without any time constraints. Downward revisions tend to be initiated by SCNPB during compliance reviews. The agency is obligated to submit a downward revision should their own internal audit processing uncover an error.

For SCNPB initiated downward revisions (only), the agency has the right to appeal the finding. All SCNPB initiated downward claims shall remain in a *submitted* state until appeals and/or the allocated timeframe to appeal (*appeal duration* parameter), have been resolved. If an appeal is submitted, the CAP status is manually set by the PA team. When the appeal is resolved, SCNPB will manually change the status to whatever is appropriate based on the results of the appeal.

When a downward revision is actually processed through the MARS system, the amount of the dollars that the agency owes is deducted from the next claim for the same program or requires full payment by check. The MARS system should initiate a workflow requiring that a check be sent from the agency to cover the balance owed, and potentially restrict either claim submission and/or payment processing until the check is received by SCNPB. The FM team will manage checks through manual adjustments as defined in the following sections. The completion of the manual adjustment process will be for the FM team to enable the agency claim processing to resume.

3. Claim Exception

A Claim Exception is required for the submission of any claim that falls outside of the parameters of an original/revised claim rules listed above. Claim exceptions are upward only and have no time constraints. The claim exception process is similar to an upward claim revision with additional requirements on the agency and regulations/limitations on the frequency of submission.

The system should support a pre-defined (and configurable) list of claim exception reasons, descriptions, and associated approval workflows. ***The system must support the ability for claims to be paid regardless of the length of time between the claim submissions and the month and year of meal service (i.e. retain all claim history data).***

The system should allow the agency to request an exception to the data entry parameters/tolerances based on pre-defined justifications as shown in **External Worksheet Attachment FM Attachments 1-Claim Exceptions**. When requesting an exception for claims data entry, the agency must select a reason code, justification code, and provide additional corrective action commentary in free form.

An agency can submit a claim exception only 1 time every 3 years per program (this clock is based on the claim exception month and year, NOT the date that the claim exception is submitted). The agency can however request a “federal exception” (i.e. have 2 claim exceptions within the 3 years). The SCNPB must then ask the USDA for final approval/rejection. The SCNPB staff must have the ability to approve a claim exception even if the 1 time claim exception duration is exceeded.

The status and processing of the claim exception will involve the setting of CAP flags (manually) and claim processing similar to that of the claim revision. Manual intervention by the FM/PA team for the approval/rejection of the claim exception will always be required in the Validation & Release step.

If a claim exception request is approved, the claim will follow the same claim payment processing flow as that of a revised claim.

| REQ. NO. | MSDE MARS REQUIREMENT: Revised Claim & Exception Claim |
|----------|---|
| 2.3.13.1 | <p>Revised/Exception Claim: The system shall allow for the definition of pre-defined <i>revision reasons</i> to be managed by the application administrator. The agency or SCNPB must include a revision reason when revising claims. The system shall also allow for free form data entry for the revision reason as well.</p> <ul style="list-style-type: none"> • Overclaim agency • Underclaim agency • Overclaim CS • Underclaim CS • Overclaim audit • Underclaim audit • Overclaim desk audit SCNPB • Underclaim desk audit SCNPB • Other • for free form data entry |
| 2.3.13.2 | <p>Revised Claim: The revised claim workflow as defined must be supported. The general flow is as follows (agency initiated):</p> <ul style="list-style-type: none"> • Select the original claim for which the revision is to update (account for upward/downward submission tolerances). Only eligible claims should be presented (i.e. not a claim that has not been processed for payment). • The original claim should appear on the screen along with a place for the revised claim. The revised claim should be pre-populated with the data from the original claim • All changes associated to the revised claim should be highlighted/ distinguishable. • If the selected claim is older than the claim submission tolerance, than only a downward claim can be submitted. <ul style="list-style-type: none"> ○ Only numbers <u>less than</u> the corresponding original claim number can be entered (should be a real-time edit). Messaging should be provided as necessary • There should be an option to submit a claim exception for an upward claim if the selected claim is older than the claim submission tolerance. • A revision reason code must be provided |
| 2.3.13.3 | <p>Revised Claim: SCNPB may also submit a revised claim on behalf of an Agency. This may occur as the result of the following:</p> <ol style="list-style-type: none"> 1. Audit/Compliance results require a specific Agency claim(s) to be reprocessed based on changes to the claim data entry. 2. SCNPB change of either CLAIM or Program/Site ELIGIBILITY settings requiring claim reprocessing (usually for multiple agencies/programs) which could be required for multiple claim months. 3. SCNPB changing the rate associated to a claim. <p>In situation 1 above, the following changes to the revision process occur:</p> <ul style="list-style-type: none"> • Select the original claim for which the revision is to update – no limitation on |

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| | <p>upward/downward submission tolerances. Only eligible claims should be presented (i.e. not a claim that has not been processed for payment).</p> <ul style="list-style-type: none"> • The original claim should appear on the screen along with a place for the revised claim. The revised claim should be pre-populated with the data from the original claim • All changes associated to the revised claim should be highlighted/distinguishable. • A revision reason code must be provided • An automatic “Appeal duration” is set. The claim will remain in the “validation” status and not processed for payment (return of funds from the agency) until the appeal duration has completed. If the agency appeals, this will be manually addressed by PA and the setting of CAP flags to reflect the appeal process • This type of revised claim and/or exception under appeal (CAP flags set) will remain in the submitted status until such time that the CAP and/or appeal is resolved. <p>In situations 2 & 3, the overall logic would be similar with the following nuances:</p> <ul style="list-style-type: none"> • FM can select 1 or more claim months and/or agencies for revision processing on behalf of the agencies • This situation would be a different flow from the normal claim revision process as the actual claim data would not be modified. However, the behind the scenes calculations would be impacted. This special revision cycle would be managed through effective dates (i.e. support retroactive claim processing). • The FM team would be able to perform “what if scenarios” with this logic and negate the revised claims in the validation step if necessary. |
| 2.3.13.4 | <p>Revised Claim: If a revised claim results in the agency owing money (i.e. chargeback) back to the federal government, then special processing is required as follows:</p> <ul style="list-style-type: none"> ○ Automatic email notification should be sent to the agency letting them know that they owe money (and have the right to appeal) ○ A parameter for the “appeal duration” (controlled by SCNPB) should trigger into the CAP fields indicating that a CAP could occur within this duration ○ If the money owed is not disputed within the appeal duration, then SCNPB should be able to indicate that the owed amount should be deducted for the next claim payment(s) for that program OR that a check is required (this will be performed in the validation & release process) ○ If a check is required, this should be handled via the manual adjustment process. |
| 2.3.13.5 | <p>Revised Claim: The system should provide the ability to report/query on agencies who owe money (who, how much, which program, when, why, ...). These queries should also allow for point in time analysis to identify trends overtime.</p> |
| 2.3.13.6 | <p>Revised/Exception Claim: The system must ensure all financial processing associated to a revised claim (both credits and debits) must be applied (and subsequently reported on)</p> |

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| | based on the actual claim month/year for the revision. The funds (credit/debt) will be paid from the actual program claim year. Manual adjustments in FMIS may be required to reflect revisions impacting previous program years and/or State fiscal years. |
| 2.3.13.7 | Revised/Exception Claims: Will trigger notifications of specific reports that must be re-run for revised claims that impact previously reported on timeframes. |
| 2.3.13.8 | <p>Claim Exception: The system should support a “Claim Exception” workflow to allow claims to be submitted outside of the approved parameters. The claim exception process shall be the same as the claim revision process with the following changes:</p> <ul style="list-style-type: none"> • No tolerance on how far back a claim can be modified (upward) • Agency must provide additional corrective action commentary (as to why this won’t happen again) • Limitation as to the frequency of submission of claim exceptions <p>All revised claim requirements listed above and associated validation & release requirements must be supported for the claim exception process unless specifically noted as different.</p> |
| 2.3.13.9 | <p>Claim Exception: An agency can submit a claim exception only 1 time every 3 years per program (this clock is based on the claim exception month and year, NOT the date that the claim exception is submitted). The agency can however request a “federal exception” (i.e. have 2 claim exceptions within the 3 years).</p> <p>The system must provide the agency with the ability to request an appeal directly and support the associated data entry.</p> <p>The SCNPB must then ask the USDA for final approval/rejection. The system must support flags, parameters, date fields, and statuses to be manually updated by the FM/PA teams in support of the appeal processing.</p> |
| 2.3.13.10 | Claim Exception: The SCNPB staff must have the ability to approve a claim exception even if the 1 time claim exception duration is exceeded. |
| 2.3.13.11 | Claim Exception: only done 1 time every 3 years from the month of the claim they are submitting – special version of claim revision – need to have override option where SCNPB can get permission from USDA and allow for exception (special permission required for 2 nd exception within the 3 years) |
| 2.3.13.12 | Claim Exception: If tied to an un-submitted claim (with data entered) or a rejected claim (again with data entered), the claim should pre-populate with the data entered. Details to be clarified in design. |

2.3.14 Claim Status

A claim goes through a series of stages as defined below. Note the claim status applies to each active program associated to an agency (i.e. status for School Meals claim is separate from the status for a Special Milk claim). Claim data can be *recalled* (for revision/deletion) in either the *pending*, *submitted*, or *rejected* states.

- Pending** = This is the default status for a claim. A claim will be in this status until such time that the agency *submits* the claim for payment processing. A pending claim can include no claim data or having claim data entered/saved but not submitted. If the *claim submission tolerance* defined below is exceeded, the pending claim should be marked as *paid* (and reflect \$0 and potentially delete any un-submitted claim data that may have been entered).
- Submitted** = The agency has selected the option to submit the claim for payment processing. The system should perform real-time claim calculation processing. All hard edit checks must pass in order for a claim to be deemed submitted with real-time messaging to the agency for failures requiring resolution. Refer to **External Worksheet Attachment FM Attachments 2-Claim Edits** for claim edit checks.
- Validation** = The claim calculation has processed (i.e. past the claim cutoff dts). The final claims are now subject to review (validation and release step) by the FM team. The *claim validation and release* process defined below will finalize all eligible claims for payment distribution by moving them to the *approved* status. Some submitted claims will remain in the *validation* state if there are soft edits that need to be reviewed or a claim *revision/exception* is being reviewed or is subject to/being appealed. Claims which have a CAP or APPEAL will not change status (i.e. process further) until the CAP and/or APPEAL is resolved.
- Rejected** = This status is only for use with claim revisions and exceptions. Intervention from the FM or PA team is required to change both to/from this status prior to the workflow automation of CAP processing.
- Approved** = The FM team has released one or more claims that have been submitted for final payment calculation and subsequent payment processing. The claim payment transaction is sent to FMIS and reported on by the system. Payment is now pending.
- Paid** = FMIS has paid the claim and the system reflects the amount, date paid, and claim month from FMIS/Financial Data Warehouse (FDW).

2.3.15 Claim Submission

A claim can be initiated in two ways: 1) agency submits the claim² or 2) the claim payment is pre-approved and scheduled by SCNPB via the claim calendar. The scheduled claims are for programs/grants for which the agency has applied and been approved for payment.

A claim can consist of the following **Claim components**:

- Meals served (tied to base rates)
- Supplemental dollars (which may be tied to number of meals served or directly to the agency)
- Administrative costs

Original, revised, and exception claims can be submitted based on the guidelines and tolerances defined above. A full audit trail capability is required for all claims data processing (original and revised/exception claim(s)). In all cases the system shall log the user id and time stamp of any user that enter, edits, or submits claims data. All stages of a claim must also be tracked with associated date stamps, users, status.

All submitted claims will be processed when the *claim cycle cutoff dts* is reached. Once processed (now in the Validation stage), no changes to a submitted claim can be performed. Changes can be made through either a subsequent revised claim or through claim recall if the original claim is rejected by the FM team.

Agencies submit claims based on the **program(s)** for which they are approved. The MARS system will only show the data fields for the applicable information required in order to submit the claim for the specific program. Claim data submission can fall into two categories:

Consolidated Claim submission: The system should support *consolidated claims* (i.e. claim aggregation of meals served for the agency for the program). The current legacy system solely supports consolidated claims. Edit checks are at the agency level.

Site Claim submission: For site level claiming, the agency submits meal counts for each site for the program. The MARS system performs the data aggregation as part of the claim calculation processing. Edit checks are based both at the site and agency aggregation levels.

For Release 1, both Consolidated and Site level claiming options must be supported. The implementation of MARS I will initially be set to “consolidated claiming” for each program with the exception of MMFA which reports site level claims and some Severe Need. As the agencies will not have direct access to the MARS system until the portal is launched in Release 2, claim data entry will go through a “bridge” interface from the legacy data entry system into MARS.

Release 1 will however include an interface to upload site level claim data for the School Meals program. This interface will be run by the FM team on behalf of a select group of agencies for site claiming.

The system must support a default claim submission setting (either site or consolidated) for each program. This setting must be assigned to each agency for each active program. The FM team should be able to override this setting on an agency by agency basis and be able to change the setting for all agencies. Thus some agencies may be submitting consolidated claims for school meals while other agencies are submitting site claims for school meals during the same claim cycle.

² Prior to MARS there was a ³rd mechanism for claim submission. The agency could “invoice” (i.e. for grants, mini-grants ...) SCNPB. This will be consolidated with the online agency claim submission processing.

Data Entry

The data entry of claim data can be simple or complicated based on the requirements of the program and the associated claim attributes and parameters. Refer to **External Worksheet Attachment Claim Attachments 1-10** for the different claim data elements for each program. These spreadsheets provide the details of the claim data entry requirements and edits.

The MARS system should simplify the data entry where possible via defaults and by only presenting data entry screens that are applicable for a specific agency and the specific role of the person performing the claim data entry (i.e. if the agency user is the School Meal administrator, the screen should default to school meals and they should not be able to view other programs unless they have a role in another program as defined in MARS).

The MARS system should perform data aggregation and calculations wherever possible including totaling the meal counts, determine the average daily attendance. The agency, site, and program attributes should support/control claim data entry and calculations.

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| 2.3.15.1 | <p>Workflow: The workflow associated to Claim Data Entry should support the following sort of flow:</p> <ol style="list-style-type: none"> 1. Select Claim Month and Year 2. Select Program 3. Enter or Revise Claim data for 1 or more sites for the selected program 4. Save claim data (repeat process until data entry is completed) 5. Submit completed claim for reimbursement 6. Submit an Exception Claim 7. Upload claim data (if applicable – based on programs that allow upload) 8. Other to be determined during design <p>Default settings defined in the following requirements should be used in order to streamline data entry.</p> |
| 2.3.15.2 | <p>Data Entry: The system should support defaults for accessing the claims processing such as:</p> <ul style="list-style-type: none"> ○ Current claim month ○ Current claim year ○ Original claim ○ Showing only the claims that the user is authorized to submit |
| 2.3.15.3 | <p>Data Entry: Claim default settings (claim month, year, program) should pre-populate for the agency when choosing to enter a claim. These should be based on the claim calendar and the agency profile.</p> |
| 2.3.15.4 | <p>Data Entry: The claims data entry processing shall be designed to minimize the amount of keystrokes required to submit claim data. This may include providing views such that all sites that have not been marked “completed” are at the top of the screen before the “completed” sites are shown. The system should allow the user to manage this via sorting/viewing options (i.e. view sites in alpha order or in completed order, ...)</p> |
| 2.3.15.5 | <p>Data Entry: The system should support validation/edit check processing such as preventing an agency from selecting a claim month/year that is outside of the acceptable parameters.</p> |
| 2.3.15.6 | <p>Data Entry: In support of data entry, the strategy shall be that the agency selects the claim month, year, and program.</p> |

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| | <p>Based on these factors, the agency may have the option for:</p> <ul style="list-style-type: none"> ○ Entering Original claim information (base and administrative) ○ Recalling a Submitted claim ○ Entering a Claim Revision ○ Entering a Claim Exception ○ Etc <p>The system should only present the agency with the options that are applicable to that specific agency based on their configuration (i.e. if administrative costs are not applicable for the selected program, the option should not appear). Agency/site/program changes that are pending PA approval should not be visible for claim data entry until the changes are approved. Viewable options must take into account the “effective dates” of the program and site attributes as associated to the selected claim month/year.</p> <p>This final strategy will be defined during the design phase. Options should appear in consistent locations (human factors/usability to be finalized based on prototypes and design from the vendor).</p> |
| 2.3.15.7 | <p>Data Entry: For the claim data entry, only the applicable sites and claim data entry fields will be visible for data entry. Thus if an agency has 10 sites, but only 4 sites are on program school meals, only these 4 sites will be visible on the claim data entry screen associated to this Agency for claim data for the school meals program.</p> |
| 2.3.15.8 | <p>Data Entry: The system should only allow for claim activity for an active, active, active status (active agency, active program, active site on the program).</p> |
| 2.3.15.9 | <p>Data Entry: The agency shall be able to save the claim data at any point in the entry process and resume at a later time. The agency shall be able to report on saved claim data which identifies sites and/or claim data entry that may be incomplete. For example, claim data for all sites may not have been entered or claim data for site 1 was entered for breakfast but not for lunch.</p> |
| 2.3.15.10 | <p>Data Entry: Each program has specific data that must be entered in order to facilitate claim calculations. The different types of data that may be required to submit a claim are detailed in External Worksheet Attachment Claim Attachments 1-10. Examples of data entry include:</p> <ul style="list-style-type: none"> ○ Number of Operating days ○ Enrollment (this be done at the site level) ○ Total ½ pints milk purchased for the month ○ Total cost from dairy (milk) ○ Number of lunches served ○ Etc ... <p>Data entry will be different for a “site” claim versus a “consolidated” claim for the same agency and program which must be supported by the system</p> |
| 2.3.15.11 | <p>Data Entry: The system should perform real-time data entry validations. The system shall perform a series of edit checks for claim data entry based on program guidelines (i.e. claiming more meals than the enrollment data supports). See External Worksheet Attachment FM Attachments 2-Claim Edits.</p> <p>These include but are not limited to:</p> <ul style="list-style-type: none"> ○ Only numbers in numeric fields ○ Cannot enter numbers that do not make sense (i.e. 35 operating days, totals |

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| | <p>that exceed agency/site population numbers,...)</p> <ul style="list-style-type: none"> ○ Maintain running totals such that the culmination of the data entered so far will exceed expected results (claiming for more meals than the population). ○ Only x number of meals out of the total meal types that can be served per program ○ # of operating days per site ○ Average Daily Meals (ADM) – The average number of meals of a particular meal type served at the agency. ○ Average Daily Participation (ADP) – The average number of students participating in the program by meal type. |
| 2.3.15.12 | <p>Data Entry: The system should incorporate these edits based on tolerances provided by the FM team (which should be configurable by the FM team)</p> <p>The system shall allow for the Application Administrator to define hard and soft edits for definable tolerances.</p> |
| 2.3.15.13 | <p>Data Entry: In real-time, the system will perform validations and edit checks whenever claim data is entered (even if the claim is not yet submitted). To be finalized in design.</p> |
| 2.3.15.14 | <p>Data Entry: The system should allow for an iterative data entry process including revising data that has entered previously.</p> |
| 2.3.15.15 | <p>Data Entry: The agency should be able to modify ALL claim data entry prior to claim submission (i.e. even if the site is marked “saved/added to cart”). User can modify claims in a pending status (initial data entry or recalled).</p> |
| 2.3.15.16 | <p>Data Entry: The system shall have some flexibility for the individual’s view when performing claim data entry (i.e. a default view option that can be customized by the agency – agency preferences). Specifically, some agencies may want to enter in the claim data for all sites in a program for a specific meal served (i.e. enter all breakfast meals served for all sites in school meals versus enter all meals served for each site under a program and then do the same for the next site).</p> <p>These options to be finalized during the design phase and user interface finalization.</p> |
| 2.3.15.17 | <p>Data Entry: Once the Agency has selected the claim month and year for claim data entry, the system should show the list of available programs (associated to the agency and sites) that are valid for the selected claim month and year for the agency.</p> |
| 2.3.15.18 | <p>Data Entry: The full claim calculation process for the selected claim would occur (as defined in the next section) upon submission and would include additional validations to ensure that the entire claim meets aggregate edit checks.</p> |
| 2.3.15.19 | <p>Data Entry: The system should keep a running total of all claim data entry (both paid and unpaid) to be used in validations, edits, and reporting. This data may also be used to trigger notifications to the FM and/or PA teams as tolerances/ceilings are nearing. To be finalized in design.</p> |
| 2.3.15.20 | <p>Data Entry/Submission: The system should not allow claim data entry or submission if a hard tolerance is exceeded and should provide warning messages if a soft tolerance is exceeded.</p> <p>See External Worksheet Attachment FM Attachments 2-Claim Edits for soft/hard claim edits to be supported.</p> |
| 2.3.15.21 | <p>Administrative Data: For programs that track and/or reimburse for administrative, expenses, and other costs, the claim data entry and submission acceptance processes must support the entry of this data.</p> |
| 2.3.15.22 | <p>Administrative Data: The frequency of when administrative data must be entered should</p> |

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| | be definable by the FM staff per program/per type of administrative data. |
| 2.3.15.23 | Administrative Data: As with other claim data entry, the system should keep a running total of administrative data (distinguishable by paid or pending/not paid). |
| 2.3.15.24 | Administrative Data: The system should also support the optional data entry of expense data. While this data may not be used as part of the calculations, it will be accessible/reportable by the agency to assist them with checking status and in support of renewal processing. |
| 2.3.15.25 | Administrative Data: The system should allow the agency to compare their administrative and expense data entry (details and totals) against their budget data. The system should show +/- variance and potentially sent warnings to the PA/Agency when nearing the ceiling. |
| 2.3.15.26 | Site Claiming: The system must support site level claiming as defined in this document and all of the data elements necessary to support the claim calculation processing. |
| 2.3.15.27 | Site Claiming: As the claim data is entered or revised at a site by site level, the system should allow the user to enter and save claim data for a site and mark it as “saved/added to cart”. Subsequent data entry associated to that specific claim should highlight these “saved/added to cart” sites such that the user knows to focus on the sites that have yet to have data entered. |
| 2.3.15.28 | Consolidated claiming: The system must support the claim data entry through payment processing for consolidated claiming (agency level consolidation of detailed site claim data). |
| 2.3.15.29 | <p>Delta Days: The MARS system needs to support claiming for “delta days”. This is based at the program level and should be managed by parameters that SCNPB can set to indicate the tolerances associated to extra day claim data. This parameter should be applied to each designated month (i.e. some months may be designated as supporting extra days for a program and other months do not support extra days for the same program).</p> <p>“Delta Days” will contribute to soft edit checks for certain programs for which they apply.</p> <p>Without “delta days”, a claim is only for the days in the claim month. If the “claim delta days” parameter is set for a specific program, then the agencies on that program can (and/or may be required to) submit a claim that includes up to the number associated to the “delta days” for the specific program. The “delta/extra days” can be tied to either side of the claim month (i.e. July claim can include 10 extra days into August or the July claim could claim 10 extra days from June).</p> <p>At the current time for the Summer Food Service program, this policy is used to reduce the number claim months for the specific program. While Summer Food is a year round program, the bulk of the agencies are claiming in the months of May, June, July, and August. With the “delta days” option, the claim months can be reduced to June and July.</p> <p>The number of “delta days” is program specific and not all programs necessarily support “delta days”. The SCNPB application administrator must be able to control this parameter. “Delta Days” may also be referred to as “combined claiming”.</p> <p>The logic for “delta days” must be bi-directional (i.e. days from the previous claim month and/or days from the subsequent claim month).</p> <p>The logic for “delta days” must allow the FM staff to control the direction and number of days at the program level. There may be requirements for combining that could include “up to 3 days from the previous month and up to 5 days from the subsequent month”.</p> |

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| | <p>The “delta days” logic must also account for the “operating days” for each month for each site/agency as identified in the PA section. Thus if the number of “delta days” is 8 and there are 8 or less operating days in a designated month, the delta day logic (and associated edits/messaging) will apply. But if there are 9 operating days, the delta day logic may still apply in allowing up to 8 days to be entered. The final logic will be defined in the design phase.</p> <p>The “delta days” configuration should allow the FM team to designate which months on a program are associated to “delta days” logic.</p> <p>See External Worksheet Attachment PA Attachments 4-Claim Control&Eligible for the delta day parameter configuration.</p> <p>If the total number of operating days for the final month of the program is less than the “delta days”, then the final month claim MUST be combined to include the “delta days” from the subsequent month (only for SFSP).</p> <p>See External Worksheet Attachment FM Attachments 2-Claim Edits.</p> |
| 2.3.15.30 | <p>Delta Days: The claim data entry must support the extra day configuration if the parameter is set to be > 0.</p> |
| 2.3.15.31 | <p>Submission: The system should perform validations that may limit or warn of bad or questionable data entry at the time of <i>submission</i>. These include edit warnings/failures that are identified as a result of the claim calculation.</p> |
| 2.3.15.32 | <p>Submission: The system shall enforce that a “complete” claim be submitted (i.e. required fields and/or entering based claim information AND Administrative cost claim information where applicable). Note, base claim information need not be submitted for all sites in order for the claim to be considered complete (i.e. for some reason the agency does not have a claim data for a specific site, they can still submit the claim. The missing site can be addressed in a revised claim).</p> <p>Sites that are eligible for a submitted claim but not submitted with the claim should be identified and potentially provided with warning messages. To be finalized during design.</p> |
| 2.3.15.33 | <p>Submission: The system shall provide the agency and FM staff with a view of potentially missing data (i.e. sites with no claim data that have been entered) and/or fields that have warnings associated to them.</p> |
| 2.3.15.34 | <p>Submission: Reminders should be sent to the agency if a claim is not submitted for a program for the current claim month (after the last claim day of the claim month). The system should perform this notification (email) a configurable number of times based on claim calendar defined events (such as upcoming cut-off date, last claim day of the month, ...).</p> |
| 2.3.15.35 | <p>Submission: Additional reminders should be sent (with increasing frequency) as the last day to submit an original claim for a claim month nears.</p> |
| 2.3.15.36 | <p>Submission: Versioning and tracking of ALL claim <u>submissions</u> (and recalls, rejections) must be supported. This should include tracking of the claim status changes as they occur.</p> <p>To be finalized during design how this should be reflected for viewing historical claims that were not actually processed for payment.</p> |
| 2.3.15.37 | <p>Submission: The system should only allow authorized agency login accounts to submit claims data. Note, a different use may be authorized to enter claim data, but only an authorized user can submit the claim.</p> |
| 2.3.15.38 | <p>Submission: When an authorized claims user logs into the system and selects the submit</p> |

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| | claims processing option, the system should only show the claims options that are available to that user's role/permissions. |
| 2.3.15.39 | Submission: The system should allow the authorized user to submit a claim for a single program or for multiple programs (i.e. option to "select all" pending claims with ability to deselect or "deselect all" and then hit submit to submit all selected claims for submission) |
| 2.3.15.40 | Submission: The authorized user from the Agency must check "I certify" commentary(s) to attest to the accuracy of the data, their signatory authority as a required part of the claim submission process. |
| 2.3.15.41 | Submission: Once a claim has been submitted, it cannot be modified unless the agency recalls the claim. The submitted claim should be able to be viewed by the agency, but should be highlighted/grayed out or such that it shows that it cannot be modified. If the recall option is available, then it should be shown on the screen. |
| 2.3.15.42 | Submission: An original claim can be entered late (i.e. skip a month) within configurable tolerances (i.e. 60 days after the last day of the claim month). If a claim is not entered within the claim submission timeframe, then the system should default the claim amount to zero. |
| 2.3.15.43 | Recall: The system should provide a mechanism to <u>recall</u> a claim that is not in "validation", "approved", or "paid" status. A recalled claim will go into the pending status. |
| 2.3.15.44 | Recall: A recall reason free form commentary will be required to recall a claim. This information will be used in support of future training activities. |
| 2.3.15.45 | Recall: The system should provide FM with the ability to disable the recall capability for either ALL agencies, specific agencies, or a specific program |
| 2.3.15.46 | Not-Processed: The original claim amount for an "un-submitted" or "unapproved" claim past the submission deadline" is for zero dollars. Any claim data entered, may either be zeroed out or retained (decision to be made during design). This logic should hold true for a rejected claim that is not processed in time as well. |
| 2.3.15.47 | Annual Financial Report data entry: The system should allow additional data entry that is required at specific times throughout the year. Specifically, agencies are required to provide "Annual Financial Report" (AFR) data. Refer to External Worksheet Attachment FM Attachments 7-AFR Revenues and FM Attachments 8-AFR Expenditures for the details of the data entry that must be supported. For Release 1, the FM team will perform all of the required data entry based on data provided by the agencies. In release 2, much of the data entry will be performed by the agency. |
| 2.3.15.48 | Annual Financial Report data entry: The system should allow the FM team to be able to control the requirements/timing associated to the AFR data entry. Specifically they should be able to identify which agencies (or business domains, sponsor types, ...) are required to enter this data. The FM team should be able to set the month/day (currently 12/15) for which this data entry is required. |
| 2.3.15.49 | Annual Financial Report data entry: The system should support workflow such that if the data entry is not completed on time, then the agency "active, active, active" status will change. The workflow to be finalized in design. |
| 2.3.15.50 | Annual Financial Report data entry: The system should support analysis of the AFR data that is entered. This data is used to ensure the non-profit status of non-profit agencies. The logic to be supported includes assessing the data that is entered to ensure more dollars are expended than are taken in (revenue). Agencies where this situation does not occur should be highlighted/flagged for follow-up by the FM team (i.e. a CAP process will be initiated to address spending the extra dollars). The system logic should confirm that the operating balance does not exceed 3 months of the operating expenses or costs and highlight/flag agencies where this is not the case. |

| REQ. NO. | MSDE MARS REQUIREMENT: Claim Submission |
|-----------|---|
| 2.3.15.51 | Annual Financial Report data entry: The system should support template letters to be emailed to the affected agencies providing the directions as to how to proceed. The template letters will be different for each agency type. |
| 2.3.15.52 | Annual Financial Report data entry: The system should support a report on the AFR status that should be generated with the applicable data emailed to each agency and the full report available for FM review (External Worksheet Attachment Report Attachments 13-<i>AFR Full</i> and Report Attachments 18-<i>AFR Submission Summ</i>). |
| 2.3.15.53 | Special Milk AFR data entry: The system should support all of the AFR processes for the Special Milk program. The timing and agency selection criteria will be different. |

2.3.16 Claim Calculation

The FM processing supported by the new system will support edit checks and data driven validations. The effective dates associated to the agency/program/site attributes will drive data entry options, edit checks and calculations. For example, a site could be approved for School Meals by the PA team in May '08 with an effective date set to April '08. Thus they can claim starting for April '08. An edit to check that they are not claiming for too many days in the month based on the effective date will also apply. Data aggregation of program and site details will also drive aggregate data edit checks and validation logic within the system associated to the Claim processing. Refer to **External Worksheet Attachment FM Attachments 2-*Claim Edits*** for a sample of claim edit/validation checks.

Once a claim is submitted, the calculation processing is performed for three calculation steps:

1. Base claim calculation +
2. Supplemental dollars calculation (includes scheduled dollars) +
3. Administration calculations

The claim calculation processing should occur real-time upon claim submission and provide tentative results to the agency via an *Estimated Claim Reimbursement Report (ECRR)*. This report will provide either the tentative claim payment amount if successful and/or provide error messaging associated to the soft/hard edits performed at claim submission. At the end of each claim month, the agency will receive a final CRR which reflects all successful claim activity for the agency for the claim month.

The MARS system shall be designed such that only a complete claim can be submitted for each program. Thus if there are meal count, supplemental dollars tied to meal counts, and/or administrative costs tied to the agency and program, then all claim data entry must be satisfied before the system will accept the claim for further processing.

See **External Worksheet Attachment PA Attachments 4-*Claim Control&Eligible*** for a summary of the program-claim attributes which are further detailed below. The claim calculation processing logic defined in this section applies to all original, revised, and exception claims.

Base Claim Calculation (Meals served)

The primary component of a claim is the “meals served” count which is the meal count of meals served to eligible recipients per program. The actual claim content (i.e. 10 regular breakfasts at free, 25 at reduced, and 50 at paid) is calculated based on agency, site, and claim attributes.

Each Agency is responsible for providing the information in support of the claim process for each program. The claim information shall be submitted for each eligible site for each active program. The formula for base claim calculation is as follows:

Meal Count per Meal Served times Base Rate

Meal count = number of reimbursable meals served at the site (by eligibility)

Meal Served = the type of meal served such as breakfast, lunch, snack(s), supper, milk

Base Rate = the dollar amount associated to the meal served according to a rate structure associated to the program: Free, Reduced, Paid, High, Low, Tier 1, Tier 2

The claim is calculated by multiplying the number of meals served times a *base rate* (rate structure associated to the meal type). See **External Worksheet Attachment FM Attachments 3-Rate Table** for the rate table/structure to be supported.

In order to simplify some of the claiming requirements for the agencies, rules were introduced to automatically identify which base rate should be used based upon an agency or site attribute. In the new system, we are identifying these as ***base rate identifiers*** (i.e. Provision 2 for breakfast (after the initial year), the agency simply enters in the total participants and a pre-determined percentage is applied for free, reduced, and paid to determine the number of meals served per base rate).

A base rate identifier automatically selects which base rate (free, reduced, paid, high, low) to be used. For example, for agency identified as a “Center”, if it is identified as a “homeless shelter” (base rate identifier) Child Care Center program claims, then all meals served are at the “free” base rate. See **External Worksheet Attachment FM Attachment 5s-Claim Attributes**.

If an original claim is not submitted prior to the claim cutoff, then the base claim calculation should result in “\$0”. Entered/saved claim data shall be retained. Once the original and claim revision durations have passed, the entered/saved data may also be zeroed out (to be determined in design).

Note, the base rate amounts vary for each program and each meal served within a program. Below is an example of claim data and calculations.

BASE CLAIM: Agency: Smyth Foundation

| Program | Meal Served | Site | # of meals served | Base Rate | Claim Calc (base) |
|--------------|-------------|------------------------------|-------------------|----------------|-------------------|
| School Meals | Breakfast | Apple Junior High School | 0 | Free (1.35) | \$0 |
| | | | 50 | Reduced (1.05) | \$52.50 |
| | | | 40 | Paid (.24) | \$9.60 |
| | | Concord High School | 5 | Free (1.35) | \$6.75 |
| | | | 80 | Reduced (1.05) | \$84 |
| | | | 30 | Paid (.24) | \$7.20 |
| | | Brandywood Elementary School | 75 | Free (1.35) | \$101.25 |
| | | | 0 | Reduced (1.05) | 0 |
| | | | 0 | Paid (.24) | 0 |
| | Lunch | Concord High School | | Free (2.05) | |
| | | | | Reduced (1.87) | |
| | | | | Paid (1.00) | |

Supplemental Dollars Calculation

In addition to reimbursement for meals served some programs include additional calculations to receive supplemental funds (bonus, State funds, other). These calculations may or may not be tied to the meals served claim and/or scheduled in advance for payment with the specific claim month. These *supplemental dollar* attributes were defined in the PA section and associated external worksheet attachments. See **External Worksheet Attachment FM Attachments 6-Supplemental Funds**.

Supplemental dollars include additional reimbursement dollars such as a bonus for qualifying lunches served, or an agency may simply qualify for additional funds. If tied to the meals served claim data, they

are automatically calculated as part of the claim. If not tied directly to meals served claims (i.e. State revenue match), the payment processing will be scheduled in advance through the Claim calendar. Once an agency is approved for scheduled supplemental dollars, their payments will be distributed in accordance with the claim calendar (i.e. the agency does not need to submit a claim or request for payment).

In the example above, if the “Brandywood Elementary School” had been approved as a “severe need” site they would receive an additional .20 cents per breakfast served.

Other examples of **scheduled supplemental dollars** include grants, advances, cash in lieu of food distribution, and expansion funds.

Administrative Costs

Some programs offer reimbursement for the costs of running the program as identified through administrative costs (salaries, small equipment, facilities). The planned administrative costs and expenses are usually mapped out during the initial eligibility assessment and reassessed during the yearly renewal processing. During the monthly claim submission the information associated to the administrative costs must be entered. The system will calculate the reimbursement amount; provide edit checks and triggers based on the data entered and the yearly running totals (i.e. Family Child Care program – all claims must include meals served counts AND administrative cost details in order for the claim to be submitted).

| REQ. NO. | MSDE MARS REQUIREMENT: Claim Calculation |
|----------|--|
| 2.3.16.1 | <p>Architecture: The calculation processing should be configured through a series of tables that can be maintained by the FM team. The tables and a representation of the associated processing logic are represented in External Worksheet Attachment FM Attachments 3-Rate Table.</p> <p>Calculation logic to be supported must include:</p> <ul style="list-style-type: none"> • Rate times count • Applying a % to historical data (based on the previous month or the same month the previous year, or a combination of months) • Applying a % to system data (entered either by the agency with the claim or entered as part of the program application/renewal process) • Debit full or partial (% driven or formula driven) amounts from the claim payment calculations (i.e. deduct all or partial amount of previous months advance from the current months claim) • Other to be determined during design |
| 2.3.16.2 | <p>Calculation: All claims in a submitted state (original, revised, and approved exceptions) will be processed during the next claim cycle. The very first step of a claim cycle will be to change the status of the claims to “Validation” thereby preventing changes/recall.</p> <p>Additional claim data entry can still occur, but the data will not be processed in the current claim cycle.</p> |
| 2.3.16.3 | <p>Calculation: Claim reimbursements must be calculated using the rates and business rules in effect for the claim period. These rates and rules may differ from the current claim month. This situation may occur for revised/exception claims and for original claims that may be submitted late for the first month of a new program year.</p> |
| 2.3.16.4 | <p>Calculation: The system shall perform claim consolidation validations on saved claim data entry. This can be used by the Agency to identify and highlight issues with missing site data or other previously identified non-fatal exceptions that have not been corrected.</p> |
| 2.3.16.5 | <p>Calculation: The claim calculations should address the claim components: <i>base</i>,</p> |

| REQ. NO. | MSDE MARS REQUIREMENT: Claim Calculation |
|-----------|---|
| | <i>supplemental, and administrative/expense processing.</i> |
| 2.3.16.6 | Calculation: for TEMPORARY claim attribute approvals, additional validation edits will be required. For example, for severe need, the claim edit will take the previous 2 claims and calculate to confirm that it meets the validation criteria. |
| 2.3.16.7 | Calculation: The system shall calculate the dollar amount associated to the claim once the claim is submitted. This shall include calculations associated to “child” programs (i.e. breakfast program which is a child of the school meals program) based on the claim data submitted for the “parent” programs. |
| 2.3.16.8 | Calculation: The system should also perform additional math based on the claim data in conjunction with the agency/site data which could include: <ul style="list-style-type: none"> ○ Average Daily Participation & Average Daily Meals = number of meals served by meal type / number of operating days ○ Percentage of Participation = average daily participation / total enrollment ○ Etc ... |
| 2.3.16.9 | Calculation: The additional calculations may also include additional edit checks. Calculations resulting in failed edits will be highlighted for review by the FM staff during the Validation step. These calculations and edits include: <ul style="list-style-type: none"> ○ Confirming the average daily meals (by site) and the Average daily participation (by site). And then rolling up these totals of all sites and validating against agency/program data. ○ Payment ceilings for programs such as fruit and vegetables (i.e. cumulative maximum payment amount over the program year duration) |
| 2.3.16.10 | Calculation: The claim calculation processing and edit validations must account for the effective dates of all parameters and data used in the calculation process. |
| 2.3.16.11 | Supplemental (Scheduled) claims: Scheduled claim payments are predefined in the claim calendar. Once the PA approves an agency for a claim payment associated to a schedule, then the agency should be automatically added to the program claim payment schedule. |
| 2.3.16.12 | Supplemental (Scheduled) claims: MARS should support one or more payment schedules for each program (i.e. advances may be paid one-time, monthly, quarterly, ...). |
| 2.3.16.13 | Supplemental claims: Calculation of supplemental dollars associated to the meals served in the claim should be supported. |
| 2.3.16.14 | Supplemental claims: Calculation and automatic submission and ECRR distribution should occur automatically when the date/timestamp of the schedule occurs. |
| 2.3.16.15 | Supplemental Reconciliation: Some payments (i.e. advances) require repayment. The system should track these transactions (running net total) and debit claim payment calculations based on repayment formulas. Repayment formulas to be supported include: <ul style="list-style-type: none"> ○ Deducting full amount from current claim payment; carrying over to the next claim payment ○ Deducting a predetermined amount ○ Deducting a % amount from the current claim payment calculation ○ Deducting based on a schedule (i.e. reconcile/repay on a quarterly basis or on selected months) ○ Other – to be defined during the design phase |
| 2.3.16.16 | Administrative Calculations: Calculations associated to the agency administrative/expenses should be supported (as defined in External Worksheet Attachment FM Attachments 3-Rate Table). Administrative calculations can include: |

| REQ. NO. | MSDE MARS REQUIREMENT: Claim Calculation |
|-----------|---|
| | <ul style="list-style-type: none"> ○ Apply a % to the estimated budget ○ Apply a % to an estimated payment (provided by the agency) or an historical payment ○ Other formulas to be defined during the design phase |
| 2.3.16.17 | <p>ECRR: Once approved the system shall create the Estimated Claims Reimbursement Report (ECRR) for each agency which will be automatically emailed after the submission and subsequent calculation of a claim. This will include the estimated claim reimbursement (credits, debits, and summary of claim) AND the mailing addressed for claim payment. See External Worksheet Attachment Report Attachments 4-ECRR.</p> |

2.3.17 Validation and Release

When a claim cycle is processed, all submitted claims are calculated. At this time, the FM team is responsible for validating and releasing the claims for payment distribution. The system should allow the FM team to release all claims for which there are no soft or hard edit failures and/or specific CAP flags set. The FM team should then be able review and release (or not release) the remaining claims. In some instances the FM team may try to resolve the issue and should have the ability to work with an agency or agencies who will recall a submitted claim, make changes to correct the issue(s), resubmit the claim, and allow the FM team to re-run the claim cycle to recalculate the claim, and subsequently release the claim for payment. The FM team should also have the option to override a soft/hard edit failure and release the claim for payment.

| REQ. NO. | MSDE MARS REQUIREMENT: Validation & Release |
|----------|---|
| 2.3.17.1 | Validation & Release: The system shall provide functionality for an FM administrator to approve/hold/reject the claims for payment processing. |
| 2.3.17.2 | Validation: The system should provide a mechanism to provide the FM team with the “results” of a claim cycle <u>prior</u> to the payment distribution. This view/report should show all submitted claims for the claim cycle and highlight items that show warnings or failures associated to edit checks. |
| 2.3.17.3 | Validation: The system should not allow the FM staff to override claim data submitted by the agency. |
| 2.3.17.4 | Validation: The FM team should be able to then re-run the claim cycle (which will pick up the corrections and potentially additional claims that may have been submitted). |
| 2.3.17.5 | Validation: The FM staff should be able to view all claim components for an agency for 1 program, all programs, and by claim component. |
| 2.3.17.6 | Validation: The FM team should be able to change the status of a claim to reject. This status is only for use with claim revisions and exceptions. Intervention from the FM or PA team is required to change both to/from this status prior to the workflow automation of CAP processing. |
| 2.3.17.7 | Validation: For rejected claims prior to MARS II-Release 3, the PA team will track and handle through the Corrective Action Plan (CAP) codes. With Release 3 (not in scope), the CAP and appeal processing will be defined to automate this workflow. |
| 2.3.17.8 | Validation: The system should allow the FM team to leave some claims in the “validation” status such that they will not be processed with the approved claims in the specific claim cycle. |
| 2.3.17.9 | Validation - Revised Claim: In the event of a downward revision (agency owes money), the system should offer 2 options to the FM staff: |

| REQ. NO. | MSDE MARS REQUIREMENT: Validation & Release |
|-----------|--|
| | <ul style="list-style-type: none"> • Create a DEBIT transaction requiring payment by check. This will be handled via the manual adjustment process in FMIS (see reconciliation section). Claims processing will continue as normal. The FM/PA team may set the agency status into a non “active, active, active” status to prevent future payment until the balance owed is resolved • Deduct amount owed from next claim payment(s) – may span multiple months. In this situation, claim processing will debit the amount from the claim payment until full repayment is complete or CAP is triggered. <p>The default will be to deduct the amount.</p> |
| 2.3.17.10 | Validation - Revised Claim: MARS should have a tolerance parameter (number of months) which will set an alert to the FM and Compliance teams if a claim carryover is not resolved in a configurable number of months. This situation could then trigger CAP processing to require the agency to send a check. |
| 2.3.17.11 | Validation - Revised Claim: If a negative balance has occurred, during a subsequent claim release process, the FM team should have the option to then create a DEBIT transaction for full payment by check (i.e. this option occurs for each claim cycle associated to the program for which a debt has occurred). |
| 2.3.17.12 | Validation - Revised/Exception Claim: The status and processing of the claim exception should be supported and will involve the setting of CAP flags (manually) and claim processing similar to that of the claim revision. Manual intervention by the FM/PA team for the approval/rejection of the claim exception will always be required in the Validation & Release step. |
| 2.3.17.13 | <p>Release: The system should allow the FM team to release all or selected claims for payment distribution. The system should provide the ability to control the release by allowing the FM team to:</p> <ul style="list-style-type: none"> ○ Release all claims with no edit failures (soft or hard) ○ Release all claims with soft edit failures ○ Select all and deselect some claims – and release the selected claims ○ Release all claims by agency or agency type ○ Other to be determined during design |
| 2.3.17.14 | Release: The system should be able to override edit/validation issues and release the claim for payment processing. |
| 2.3.17.15 | Release: For the processing of a specific claim, the system should allow authorized FM staff to override claim configuration parameters/defaults. When an override is utilized, a reason must be provided (either free form or from a drop down list of reason codes). |
| 2.3.17.16 | Release: Claims with a CAP and/or associated Appeal should not be able to be released by the FM team without additional approvals and reason codes. |
| 2.3.17.17 | Release: The system should change the status of released claims to “approved”. |

2.3.18 Payment Distribution

The payment distribution is facilitated through **Financial Management Information System (FMIS)**. FMIS is the Maryland State accounting system which is available through a web-based interface to SCNPB. FMIS is the system of record for the financial information for each agency, grant, and program.

Within FMIS, there are two payment options: 1) “Check” payment (default) or 2) Journal Entry transfer of funds within FMIS from one State agency (MSDE) to another State agency. All payment calculation activities remain the same regardless of the payment option.

For all payment options, the MARS system must generate a file to be sent through secure transmission protocols to FMIS.

In addition to the FMIS payment file, several other payment requests, validation, and release files need to be created and email automatically to the various teams that support the payment distribution process.

The actual distribution of funds (i.e. sending of the checks) is handled by the Maryland State Comptroller’s Office through FMIS for check payments. Each agency that receives reimbursement through SCNPB administered programs is treated as a **vendor** in the State’s accounting system.

For Journal Entry transfers, a different extract is created and emailed to the MSDE Accounting department. The Accounting department then manually makes the changes in FMIS to reflect the transfer.

In addition to facilitating vendor payments, the FMIS system is also the “bank” used to manage the program funds. SCNPB is responsible for ensuring the FMIS has the funds available to cover all payments that are to be distributed.

FMIS is associated strictly to dollars in a program and the distribution of those dollars to agencies. FMIS does not track the details (i.e. meals served, administrative costs, ...) associated to how the dollars are being disbursed.

The FMIS system is not responsible for addressing the complexities of “balancing the books”. For the purposes of payment distribution, MARS should send only transactions that are greater than zero to FMIS and/or Accounting. The MARS reconciliation and reporting processing will address situations where the agency may owe money back. Reconciliation to FMIS requirements for MARS are defined in the next section.

Each transaction (i.e. credit/debit) should be reflected in the MARS system based on an original, revised, and/or claim exception claim month and year. If money is to be paid to an agency for the claim month, the net payment transaction (if > 0) should be sent to FMIS per program.

| REQ. NO. | MSDE MARS REQUIREMENT: Payment distribution |
|----------|--|
| 2.3.18.1 | Payment: The MARS system should support the overall processing defined in Claim Driven Payment Processing below. This processing should be automated and streamlined wherever possible for the activities within the control of SCNPB. Several activities may not be subject to change as they are part of external organizations jurisdiction. |
| 2.3.18.2 | Payment: The MARS system should support the creation of the FMIS payment file and the automatic transmission of this file based on established secure transmission protocols. |
| 2.3.18.3 | Payment: The MARS system should support the creation of the Accounting payment file and the automatic email to the Accounting team. |
| 2.3.18.4 | Payment: Upon release of a claim, the payment file(s) to be sent to FMIS or Accounting. |

| REQ. NO. | MSDE MARS REQUIREMENT: Payment distribution |
|-----------|---|
| 2.3.18.5 | Payment: MARS should transmit all payment files to FMIS & alert Accounting at a scheduled time daily. |
| 2.3.18.6 | Payment: FM should be able to manage the scheduled transmissions of the payment files (i.e. delay the transmission if needed for extra processing). |
| 2.3.18.7 | Payment: MARS should email the Claims Reimbursement Report (CRR) to the agency. The CRR is the same as the ECRR but the amounts now reflect actual payments have been made (not estimates). See External Worksheet Attachment Report Attachments 5-CRR . |
| 2.3.18.8 | Payment: The status of the claim should change to payment pending. |
| 2.3.18.9 | Payment: MARS should track the dates, claim month/year, program, ... details associated to the payment. |
| 2.3.18.10 | Payment: MARS should allow the FM team to override the “claim payment date” to be used in the FMIS file transmission. Specifically, <u>June 31</u> is used for the July processing of the June claims. This is required in support of the State Year close out activities. |

CLAIM DRIVEN PAYMENT PROCESSING

| Step | Activity | From | To | Notes |
|------|---|--------------|------------------|---|
| 1. | Run Claim Cycle – FMIS transmission file generated and sent | Linda (SCNP) | | <ul style="list-style-type: none"> By program, create batches (limit 200 payments per batch) Generate and track the “VZ #” (FMIS tracking #) which increments sequentially and must be unique. If a batch is deleted and resubmitted – must have a NEW VZ # Send transaction file to FMIS |
| 2. | (Next Day) Validate FMIS updated | Linda (SCNP) | | <ul style="list-style-type: none"> Load FMIS results file Match to transaction file Report on discrepancies (Manual) Reconcile results file to transaction file and address gaps. Verify dollars (make money only adjustments if needed). |
| 3. | Generate Transmittal Letter (TL) | Linda (SCNP) | Jim (Accounting) | <p>TL - Contains each Agency info</p> <ul style="list-style-type: none"> Organized differently for each sponsor type. Existing TL can be optimized in MARS to remove unnecessary content, drop 0\$ line items, and potentially collapse some line items (i.e. emergency, at risk). GL information – federal funds tracking code (PCA code tied to budget, fund, year, source) Summary page Agency information (name, doing business as, tax id, mail code) VZ # for each transaction Signature section <p>The TL is then printed, signed and delivered to Accounting (See External Worksheet</p> |

| Step | Activity | From | To | Notes |
|--|---|----------------------|--|---|
| | | | | <p>Attachment Report Attachments 6-TL)</p> <p>The TL is reconciled against FMIS as defined below. The TL must be sorted to match the presentation sort order in FMIS. Potentially use the same font and line spacing so that when printed, the reports will appear essentially identical.</p> |
| 4. | Review Transmittal Letter (TL) | Jim (Account) | | <p>Accounting</p> <ul style="list-style-type: none"> • Validate TL against FMIS (Agency and dollar amount) • Approve in FMIS • Notifies Treasury to Issue Payments |
| 5. | Generate Transmittal Cover Sheet with Archive Reference # | Jim (Account) | Linda (SCNP) | <ul style="list-style-type: none"> • Tracking # in FMIS • Reporting • Trigger CRR Generation |
| Process stops if State Funds | | | | |
| Federal Funds Draw Down (Clock start) | | | | |
| <ul style="list-style-type: none"> • 8 days (calendar days + any FEDERAL holiday days) after Generated Archive Reference # from accounting is approved – so money does not sit in Annapolis. Can have up to \$5000 reserve (sitting at Annapolis – no more) | | | | |
| 6. | Generate Request for Draw down | Linda (SCNP) | Henry (Treasurer) | <ul style="list-style-type: none"> • Draws down funds from Federal Reserve (See External Worksheet Attachment FM Attachments 9-DRAW and FM Attachments 10-LOC) • Deposits funds in MD bank <p>The deposits are handled by consolidating the data from the Transmittal Cover Sheet to the Draw Down Form and generate the USDA Letter of Credit Form.</p> <p>*For some State programs (Maryland School for the Deaf, as an example) funds are transferred through accounting transactions within the State accounting system and no monetary transactions occur. Currently the State programs are unable to be included in the batch files (special batch for all State agency payments). This is not given to Controllers office to pay and is instead given to MSDE accounting who posts the journal entry in FMIS (transferring the funds from MSDE to the appropriate agency). A check is NOT sent to a State agency as this would be same as sending to yourself.</p> |
| 7. | Generate and send Deposit Report (from FMIS) | Henry (Treasurer) | Paul (Account) Linda (SCNP) | <ul style="list-style-type: none"> • Money is wired to the State bank • Fax from Henry confirming done |

| Step | Activity | From | To | Notes |
|--|--|----------------|----------------|--|
| 8. | Generate supplemental Request for Draw down forms – summary of TLs | Linda (SCNP) | Paul (Account) | Generate from MARS and support automatic email distribution. (See External Worksheet Attachment FM Attachments 9-DRAW) |
| 9. | Generate FMIS Deposit screen via Journal Entry | Paul (Account) | Linda (SCNP) | <ul style="list-style-type: none"> FMIS - Moves funds to correct PCA\Fund code via Journal Entry – Approved and entered into GL by Accounting. Accounting returns a copy of the approved Journal entry to SCNP. MARS TL should match to the FMIS ordering/sorting. <p>To be used by both Accounting and FM staff.</p> |
| Federal Funds (Clock end) | | | | |
| Confirm money is in FMIS. May not have enough money – if not there, have to wait for federal government to put the money there. If the funds allocated for the entitlement program are insufficient, FM contacts the Regional USDA Office (MARO) by email to request additional funds. | | | | |

SCHEDULE DRIVEN PAYMENT PROCESSING (STATE FUNDS)

| Step | Activity | From | To | Notes |
|------|---|-------------|---------------|---|
| 1. | Determine Payment Schedule & Formatting Grant Award Document (BUFF PAPER) | Bob (SCNPB) | Accounting | <p>Determine payment amounts and schedule - Must be 6 equal payments – start in July – paid bi monthly</p> <ul style="list-style-type: none"> No paperwork from agency is required MARS support calculations and associated payment schedule (match to FMIS for data entry) Set up in MARS for tracking Format Grant Award Document – to be printed on BUFF PAPER Approved by Management Grant Award Document emailed to Accounting (with signed hard copies delivered) |
| 2. | Enter payment schedule info into FMIS | Accounting | | <ul style="list-style-type: none"> Grant Award Document entered by Accounting |
| 3. | Communicate Grant Award Document to Recipients | Bob (SCNPB) | Agencies | <ul style="list-style-type: none"> MARS generates letters to agencies using templates for emailing. Scan official Grant Award Documents and email to Agencies Financial Officers and Food Service Directors. |
| 4. | Bi-Monthly Grant Award Document Reconciles to State Revenue Match in MARS | Accounting | Robin (SCNPB) | <ul style="list-style-type: none"> Before each scheduled payment is to be disbursed, Accounting generates a list from FMIS of who is to be paid, walks it up to SCNPB, Robin signs. |
| 5. | Payment Sent | Accounting | | <ul style="list-style-type: none"> Approves payment in FMIS*(special process for State agency recipients) |

SCHEDULE DRIVEN PAYMENT PROCESSING (FEDERAL FUNDS)

| Step | Activity | From | To | Notes |
|-------------|--|-------------|------------|---|
| 1. | Advise Accounting on how to code federal funds for General Ledger. | Bob (SCNPB) | Accounting | <ul style="list-style-type: none"> USDA emails notification through GAD/LOC system to MSDE FM & MSDE Accounting. |
| 2. | Determine Payment Schedule & Formatting Grant Award Document | Bob (SCNPB) | Accounting | <p>Determine payment amounts and schedule</p> <ul style="list-style-type: none"> Paperwork from agency is required MARS support calculations and associated payment schedule (match to FMIS for data entry) Set up in MARS for tracking <ul style="list-style-type: none"> Dependent on type of Award – Agency may be required to submit quarterly reports and/or invoices for release of funds Format Grant Award Document – to be printed on BUFF PAPER Approved by Management Grant Award Document emailed to Accounting (with signed hard copies delivered) |
| 3. | Enter payment schedule info into FMIS | Accounting | | <ul style="list-style-type: none"> Grant Award Document entered by Accounting |
| 4. | Communicate Grant Award Documents to Recipients | Bob (SCNPB) | Agencies | <ul style="list-style-type: none"> MARS generates letters to agencies using templates for emailing. Scan official Grant Award Documents and email to Grant Recipients |
| 5. | Payment Sent – Could include Reconciliation to MARS | Accounting | | <ul style="list-style-type: none"> Approves payment in FMIS (Journal entry process for State agency recipients) |
| 6. | Reporting to USDA | Bob (SCNPB) | USDA | <ul style="list-style-type: none"> Reported on FNS 269 report Grantor (USDA) may require additional reporting |

2.3.19 Extract: Payment Transactions to FMIS

The FMIS interface to send and receive flat files to/from the **external system interface to the** FMIS system via secure transport. The MARS system will send claim payment transactions. The FMIS system will send claim payment reconciliation transactions (i.e. for each payment request sent from MARS, FMIS should send a receipt confirmation-Transmittal Cover Sheet with Archive Reference #).

| REQ. NO. | MSDE MARS REQUIREMENT: Payment Transactions to FMIS |
|-----------|--|
| 2.3.19.1 | FMIS - The system shall automatically generate a data file properly formatted for transmission to FMIS containing descriptive fields which identify the program and claims period for which the transaction(s) occurred based on <u>data layout and format</u> requirements provided by FMIS. |
| 2.3.19.2 | FMIS: The MARS system must match the “degree of precision” for all financial processing in FMIS to ensure that there are no rounding discrepancies. |
| 2.3.19.3 | FMIS: The MARS system should support the scheduling aspect of transmitting files to FMIS. Thus, not every payment distribution process will send specific files to FMIS. Potentially several claim cycles may run resulting in a consolidation of FMIS file transmission(s). |
| 2.3.19.4 | FMIS: MARS must accommodate limitations and capabilities of working with FMIS. These include: <ul style="list-style-type: none"> ○ Processing data in batches of 200 <u>payments</u> or less per batch (regardless of the number of lines that are being processed). ○ Capturing the claim month and year ○ Handling multiple claim cycles for a single program in a single month |
| 2.3.19.5 | FMIS: The MARS system should allow the FM team to designate which claims are to be batched together – by agency, by program, sponsor type ... |
| 2.3.19.6 | FMIS: The MARS batches will correspond in both content and format to the Transmittal Letter (TL) which should be automatically generated in conjunction with the FMIS transmission. This will be used to support MSDE Accounting activities defined previously. |
| 2.3.19.7 | FMIS: Designated reports from MARS system should “match” FMIS formats for: <ul style="list-style-type: none"> ○ Sort orders ○ Columns and line item spacing ○ Overall report/document formatting |
| 2.3.19.8 | FMIS: MARS should improve existing FM forms/reports by: <ul style="list-style-type: none"> ○ Capturing and automating “handwritten workarounds” or missing data content ○ Removing unnecessary content ○ Supporting electronic transmissions (email reports and/or predefined templates populated with financial data) ○ Automating calculations to handle activity supported in multiple batches |
| 2.3.19.9 | FMIS: MARS must accommodate State Fiscal Year End processing (special June claim payment requirement). This requires designating June 31 as the payment date in the FMIS transactions. This scenario is required when processing the June claims in July as the State year is closed. The June 31 date in FMIS tells MSDE accounting to perform a journal entry to put the claim payment in the correct fiscal year. This activity is only required for June claim processing. |
| 2.3.19.10 | FMIS: The MARS system should interface with the FDW to review/reconcile to the Transmittal Log. |

2.3.20 Reconciliation

The MARS system will be the SCNPB financial system for managing and tracking all detailed financial activity. SCNPB is obligated to provide specific and detailed reconciliation and subsequent reporting of this data to the State and federal governments as well as to MSDE Accounting. These external organizations have strict reporting requirements such that SCNPB must reconcile to each of their systems of record based on their defined reporting and reconciliation criteria. Thus the MARS system must be capable of supporting the SCNPB FM processing to enable the disbursement of funds **and** must be able to present the supporting data associated to these transactions in formats that may not tie directly to the actual FM processing (i.e. statement of account and other financial analysis).

The system must support views of the financial data in regard to **all fiscal years for both current and historical data**. The reconciliation and reporting must account for the following concepts:

Fiscal Year & Program Year

One challenging aspect of the Financial Management for SCNPB is that there are three (3) fiscal accounting years required to support the variations in federal, State and program financial periods.

- Federal Fiscal Year (FY) - October 1st through September 30th
- State Fiscal Year – July 1st through June 30th
- Program Fiscal Year (most follow either federal or State, but for the Summer Food Service Program, the program year is January 1st through December 31st). Note, a program fiscal year can exceed or be less than 12 months.

Each Program is allocated funds by the funding source (either State or federal government). These funds are allocated for a program year with a start and end date (day, month, year). As FMIS is the system of record and the source of ALL funds distribution for the State of Maryland, each program account must be set up in the FMIS system by SCNPB, MSDE Accounting, or MSDE Grant's Office.

The program fiscal year must be tied to the State fiscal year(s) in FMIS and will usually span two State fiscal years. Federally funded programs must also reconcile to the federal fiscal year. Thus for most federally funded programs, 75% of the funds are allocated in State FY X and 25% of the funds allocated in State FY X+1.

Reconciliation activities occur for the claim month and year mapped to the program. Both revised and exception claims may reconcile to a different program year. The MARS system must maintain and track all financial transactions (and adjustments) based on the month and year for the claim transaction; the month and year for the claim payment; the federal Fiscal Year for the program and fund that the claim is associated; and State program and fund that the claim is associated.

Program Funds: Allocation, Payment, Tracking, Estimation, and Forecasting

On a yearly basis (State FY, federal FY, Program FY), FMIS must be updated to allocate the anticipated dollars to be spent per funding source (i.e. PCA/Fund Codes). The budget processing varies between fund source (State or federal). SCNPB is encouraged to estimate budget amounts as accurately as possible as all spending must be appropriated in advance. SCNPB targets to be within +/- 10% by year's end.

SCNPB provides the payment detail (who gets paid how much) to the Accounting and Budget teams who setup up the programs in FMIS (PCA/Fund codes). Grants are allocated (setup in FMIS) via the MSDE Accounting office based on whatever funds are provided.

Program year budget estimations by SCNPB are performed annually in the March/April timeframe for the next program year. Thus in March of 2008, estimates are provided for a federal Program year operation

from Oct 1, 2009 – Sept 30, 2010. These funds would be allocated in State FY 2010 (75%) thru to State FY 2011 (25%). The FM team performs the estimates based on meal count projections and by estimating the meal rates that will be set by the funding source.

The MARS system must track all financial activity in regard to program fund allocation by program and program year. Funds may not cross programs or program years when reflected in MARS or FMIS. In some instances SCNPB is required to “return funds”.³ When this occurs, funds are not actually sent back to the federal government. In this instance funds are deducted from future fund allocations (i.e. the federal funds when allocated may result in a “net funds transaction” which incorporates current credits/debits for SCNPB that may cross fund years for a program).

MARS should always reflect the financial activity for the program claim month and year regardless of when the transaction took place or was paid. Outside of the MARS system, SCNPB will work with the appropriate external teams to ensure that the FMIS system also reflects all financial activity accurately. As previously stated, FMIS tracks strictly the financial activities, not the details (i.e. meals served) used in determining the financial transaction.

All fund allocations must be tracked via running totals. The system should provide for an estimation (“what if”) capability to estimate when the funds will be exhausted and allow SCNPB to run calculation based on forecasted rate changes and/or meal count projections.

Most federal programs have “unlimited” funding but require SCNPB to provide program year estimations for the initial allocation and for subsequent requests for additional funds should they be required. SCNPB is required to estimate within 5% for most programs. The MARS system should provide the capability to determine the variation amount of initial appropriated funds to paid funds per program and be broken into sufficient detail.

Given that the system of record is the State FY and most of the programs are based on the federal FY, there are specific complexities in reconciliation and processing that must be accounted for which include the following:

- 3 months when the State FY is closed, but payments are still to be distributed based on the federal FY for a program
- Additional 2 months for which claim revisions could be submitted and must be reflected in the correct program fund, year, and month.
- If the claim month is Sept and the claim year is 2008, claim payments can reflect original claim dollars for Nov. 2008 (State FY '09) and revised claim activity for June 2008 (State FY '08), and claim exception activity for Feb. 2005 (State FY '05). In this instance there are 3 different program year funding allocations that must be updated to reflect the claim payment.

Manual Adjustments

The bulk of adjustment processing is handled through the MARS system via revised/exception claims. In some instances, if the Agency owes a significant amount of dollars, SCNPB may require a check from the agency. In these instances, the FM staff may perform a manual financial adjustment in MARS associated to the program/program year and documented in the Agency’s Statement of Account. This manual adjustment would be tied directly to the revised claim. Another reason for a manual adjustment could include the write-off of un-cashed checks.

SUMMARY VIEW OF PAYMENT/ADJUSTMENT FINANCIAL STRUCTURE (BASED ON CURRENT PROCESSING)

³ This could occur with a claim revision that impacts a closed program year (i.e. a previous year).

TEAMS INVOLVED IN PAYMENT/FINANCIAL PROCESSING

MSDE Budget Office

- Setups up PCA/Fund information in FMIS (Federal Budget \$)

MSDE Accounting (AP)

- Setups up PCA/ Fund information in FMIS (State Budget \$)
- Approve claim financials in FMIS (ensure accuracy)
- Distribute funds in MD Bank to correct the PCA and Fund Codes

MSDE Grant's Office

- Setups up PCA/ Fund information in FMIS (other awarded funds)

MSDE SCNPB

- Initiate Claim financial processing
- Request Funds draw down from US Federal Reserve

MD Treasurer's Office

- Draw down funds from Federal Reserve to MD Bank and reflect in FMIS

| Budgeting (Funding Sources) | |
|--|--|
| Activities performed for 2 years out (i.e. already budgeted for current year, working on following fiscal year) | |
| Federal Funds | <p><u>Attributes</u></p> <p>Source: Federal Reserve</p> <p>Duration: Oct. 1 – Sept 30 (Federal FY)*</p> <p>Type: Variable amount (can change based on claim activity)</p> <p>Estimation: April-May</p> <p>FMIS Setup: Budget Office</p> <ul style="list-style-type: none"> • Dollars (broken out by the PCA/Fund (CFDA) number) • Meal counts (supplemental data which is not coded in FMIS) <p>Payment Schedule: Claim Driven</p> <p><u>Programs (6) & CFDA tracking #</u></p> <ol style="list-style-type: none"> 1. School Meals (Breakfast) (10.553) 2. School Meals (Lunch/Snack) (10.555) 3. CACFP (10.558) 4. Special Milk (10.556) <p>*Jan 1 – Dec 31 (Calendar FY)</p> <ol style="list-style-type: none"> 5. Summer Food (10.559) <p>*July 1, 2008 – September 30, 2009 (currently)</p> <ol style="list-style-type: none"> 6. Fruit & Vegetable (10.582) <p>*Configurable Dates</p> <ol style="list-style-type: none"> 7. Other Funds <p><u>Grants</u></p> <ul style="list-style-type: none"> • Other funds to be distributed-configurable |
| State Funds | <p><u>Attributes</u></p> <p>Source: State (Maryland Bank)</p> <p>Duration: July 1 – June 30 (State FY)</p> <p>Type: Fixed amount</p> <p>Estimation: April-May</p> |

| | |
|---------------------------------|--|
| | <p>FMIS Setup: Accounting Payment Schedule: Claim Driven or Scheduled for claim month</p> <p><u>Programs (2)</u></p> <ul style="list-style-type: none"> • MMFA • State Match <p><u>Grants</u></p> <ul style="list-style-type: none"> • Other funds to be distributed |
| Payment Schedule (Types) | |
| Claim Driven | <p>Variable dollar amounts paid based on meals served and administration costs. Agency must submit a claim to MSDE for payment.</p> <p><u>Programs</u></p> <ul style="list-style-type: none"> • All federal programs • (State) MMFA |
| Scheduled | <p>Pre-determined fixed dollar amount allocated. MSDE (SCNPB/Accounting) sets-up a schedule for payment in MARS.</p> <p><u>Programs</u></p> <ul style="list-style-type: none"> • (State) State Match • “Other” (federal or State) Grants |
| Reconciliation/Monitor | |
| Monthly | <ul style="list-style-type: none"> • FMIS fund amounts • MARS matching to FMIS |
| State FY | <p><u>Special requirements of note</u> MMFA</p> <ul style="list-style-type: none"> • (Rate Adjustment) Since the MMFA funds are variable based on claim activity, SCNPB closely monitors the amount that remains during the last few months of the State FY. Based on the remaining funds, SCNPB then <u>changes the rate</u> associated to the claim calculation to ensure that the available funds are not exceeded or to ensure all funds are disbursed. This rate adjustment occurs near the last month of the State FY. • The PA team in SCNPB must also perform annual reports for MMFA activity - meals served per school per school district. <p><i>State Match</i></p> <ul style="list-style-type: none"> • (Dollar Allocation/Rate Adjustment) If someone leaves program, the funds must be reallocated (near the last payment month via manual adjustment) |
| Federal FY | <p><u>Federal Programs</u></p> <ul style="list-style-type: none"> • These funds are then monitored throughout the year by SCNPB. If additional funds are required for one PCA/Fund code, SCNPB can move funds directly within FMIS from one PCA/Fund code to another as necessary. If the overall estimated federal funds are short, SCNPB must estimate the gap and go through the <i>budget amendment</i> process to allocate funds to address the shortage. • Federal funds are managed based on the federal FY and tracked in FMIS (State FY), <u>the federal fund budget as managed in the FMIS system spans two State FY (or two federal years depending on your point of view).</u> • Reporting/Reconciliation with USDA (Federal) <ul style="list-style-type: none"> • MARS |

| | |
|--|--|
| | <ul style="list-style-type: none"> • FMIS • USDA Statement of Account (sent to MSDE Quarterly with January reconciliation) <ul style="list-style-type: none"> ○ Maximum earning (meals x rates calculation from MARS) ○ 269 report (money spent – should match FMIS) • Treasury records (cash that left US Treasury) <p>All calculations/reports should match.</p> |
|--|--|

| REQ. NO. | MSDE MARS REQUIREMENT: Reconciliation |
|-----------|--|
| 2.3.20.1 | <p>Budget Estimation: The MARS system must support a budget estimator function. This function will support the various estimation logic and formulas for each specific program which include:</p> <ul style="list-style-type: none"> ▪ Determine the % allocated to each eligible agency based on enrollment or other agency factors ▪ Estimating based on program paid to all eligible agencies 2nd prior year (across the board “school” federal funds from SCNPB) – 2 years ago is key as data is “complete” ▪ Applying a “growth factor” to an estimate (i.e. will grow by 5%) ▪ Carry over dollars from the current year allocation • Estimate payment activity based on past claim activity <p>The budget estimator should allow FM to define the formula for the estimation based on existing data and calculation logic. To be finalized during design.</p> |
| 2.3.20.2 | Budget Estimations: The estimator tool allow for “what if” processing. |
| 2.3.20.3 | Budget Estimations: The results of the estimator tool should break down the estimates by program fund year, State fiscal year(s), and federal fiscal (years) where applicable. |
| 2.3.20.4 | Forecasting: The MARS system should provide a forecasting tool (could be part of the budget estimation tool) to forecast the expenditure of funds for a program year and supporting “what if” analysis capabilities. |
| 2.3.20.5 | Forecasting: The MARS forecasting tool should support viewing variations from the budget. |
| 2.3.20.6 | Reconciliation: The MARS system should support workflow triggers when tolerances are reached associated to the budget (i.e. 85% of funds have been expended). The tolerances should be customizable by the FM team and should be specific for each program. The tolerances could be set to negative numbers (i.e. for programs where FM must ensure that all funds are spent during the program year). |
| 2.3.20.7 | Reconciliation: The MARS system should provide a reconciliation view of the financial data per program which includes total fund allocation, year to date spent, meal counts, administrative \$... to be determined during design. |
| 2.3.20.8 | Reconciliation: Using the MARS forecasting tool, MARS should be able to determine if a Realignment is needed. Budget Realignment is a Manual process outside the MARS system. Budget figures will be updated in MARS by FDW. |
| 2.3.20.9 | Reconciliation: The system must support views of the financial data in regard to <u><i>all fiscal years for both current and historical data.</i></u> |
| 2.3.20.10 | Reconciliation: The MARS system must support the setup of the financial architecture to include all fiscal years, program name, funding source, ... and fiscal years that are less than/exceed 12 months. |
| 2.3.20.11 | Reconciliation: The MARS system must support reconciliation activities as defined in this |

| REQ. NO. | MSDE MARS REQUIREMENT: Reconciliation |
|-----------|--|
| | section including: <ul style="list-style-type: none"> ○ Both revised and exception claims may reconcile to a different program year. ○ Tracking all financial transactions (and adjustments) based on the month and year for the claim transaction; ○ Tracking the month and year for the claim payment; ○ Tracking all fiscal/program years ○ Handling returned funds ○ Determining net funds for credit/debit transactions over multiple program/fiscal years |
| 2.3.20.12 | <p>Manual Adjustment: MARS should support Financial Adjustments (money only). Pre-defined reason codes should be available and include:</p> <ul style="list-style-type: none"> ○ Check not cashed ○ Check returned (wrong FEIN or name) ○ <i>Prior year claim exception</i> ○ Stop payment processing was initiated ○ Payment for a revised claim (check is sent) ○ Other to be determine <p>The bulk of manual adjustments will be in conjunction with FMIS adjustment activity.</p> |
| 2.3.20.13 | <p>Manual Adjustment: MARS should support triggers based on the adjustment reason codes to generate pre-defined letters that FM will use to communicate with Annapolis or MSDE teams.</p> |
| 2.3.20.14 | <p>Manual Adjustment: MARS should support all aspects of adjustment processing including:</p> <ul style="list-style-type: none"> ○ Tracking when a payment is required ○ A payment is received ○ A payment is written off ○ Generation of a deposit report to be sent to Accounting detailing the amount, PCA and fund to deposit the money into ○ Reconciliation with FMIS |

2.3.21 Data Extract & Match: Financial Data Warehouse

On a weekly basis, MSDE receives data from the FMIS system for all financial transactions that have occurred that are associated to MSDE. These transactions are loaded into the MSDE Financial Data Warehouse (FDW). A batch process should be supported by the MARS system to extract financial data from the FDW at a scheduled time, and to then load the data into MARS. Thus MARS financial architecture should support “expected results” (based on MARS processing) and “actual results” (based on FDW) and compare the two sets of results, reporting all discrepancies. The MARS development vendor will need to create both the data extraction logic and the subsequent load/match logic.

| REQ. NO. | MSDE MARS REQUIREMENT: Reconciliation |
|----------|--|
| 2.3.21.1 | Financial Data Warehouse: The MARS system should provide a batch process that is scheduled to run weekly (in the middle of the night) to extract financial data from the FDW. |
| 2.3.21.2 | Financial Data Warehouse: The MARS system should load the extracted FDW data and match to MARS corresponding data. The matching logic should result in a log/report highlighting discrepancies, data that could not be matched, and anticipated data that has not been received. |
| 2.3.21.3 | Financial Data Warehouse: The data from the FDW should be matched to data calculated and manually entered (i.e. grants) into MARS. |
| 2.3.21.4 | Financial Data Warehouse: The MARS FDW processing should enable the FM team to track actual payment activity and status changes (i.e. check sent, cashed, return – for proactive monitoring). FMIS data tracking and matching will key on the Vz # and other data elements to be defined during the design. |

2.3.22 Reporting (and ad hoc queries)

Reporting on the agency, site, program, and claim data/processing is required in both detailed and summary levels. The financial processing reporting requirements are dictated by the program funding source and to the State of Maryland and federal governments. Financial reporting may include forecasting to account for late/un-submitted claims that will still be submitted for payment.

Refer **External Worksheet Attachment Report Attachments 1-21** for the requirements (data, frequency, and selection criteria) associated to each of the baseline system reports. Some of these reports can potentially be addressed through the querying capabilities that must be provided. The bulk of the financial reports will have report format standards/guidelines.

A summary of the reports/queries required is as follows (Refer to **External Worksheet Attachment Report Attachments 1-Report Catalog**) :

FORMATTED Reports

1. Agency catalog (Report Attachment 2)
2. Site catalog (Report Attachment 3)
3. Estimated Claim Reimbursement Report (Report Attachment 4)
4. Claim Reimbursement Report (Report Attachment 5)
5. Transmittal Log (Report Attachment 6)
6. Bluebook (Report Attachment 7)
7. Budget report (Report Attachment 8)
8. Free & Reduced % Report (Report Attachment 9)
9. Statement of Account (Report Attachments 10, 10a, 10b & 10c)
10. FNS 10 (Report Attachments 11, 11a & 11b)
11. FNS 44 (Report Attachments 11, 11c & 11d)
12. FNS 418 (Report Attachments 11, 11e & 11f)

13. FNS 269 (Report Attachments 11 & 11g)
14. Verification Report (Report Attachment 12)
15. AFR Full Report (Report Attachment 13)

AD HOC Queries

1. Agency list (Report Attachment 14)
2. Severe need report (Report Attachment 15)
3. Late Claim List (Report Attachment 16)
4. Health inspections report (Report Attachment 17)
5. AFR Submission Summary (Report Attachment 18)
6. Deposit Report (Report Attachment 19)
7. Faith Based Report (Report Attachment 20)
8. CACFP USDA ME Report (Report Attachment 21)

Some of these reports require estimating for anticipated claim activity that has not been submitted (i.e. could be a late claim). The systems should support basic trending analysis (i.e. same program for last year + x% or y% less than the previous claim month or assessing the 75% of the eligible claims were submitted and extrapolating the remaining 25% or simply allowing the FM team to enter an estimated dollar amount).

| REQ. NO. | MSDE MARS REQUIREMENT: Reporting |
|----------|--|
| 2.3.22.1 | <p>Reporting: The system will also generate a monthly summary statement (Claim Reimbursement Report (CRR)) for each agency showing:</p> <ul style="list-style-type: none"> • Current Period Reimbursements • Prior Period Adjustments • Any additional charges or credits • The net reimbursement or funds due from the agency. <p>The monthly CRR is the combined version of the CRR's that are generated after each payment distribution process.</p> |
| 2.3.22.2 | <p>Reporting: Electronic Notification to agencies that the Claim Reimbursement Report (CRR) is available. Occurs when Accounting has advised FM via Transmittal Cover Sheet that Treasury is processing payments.</p> |
| 2.3.22.3 | <p>Reporting: The SCNPB office and the agency (Release 2) will have the ability to view current and archived CRRs and other financial statements. Per the general reporting requirements, all reporting must support a "point in time" ability.</p> |
| 2.3.22.4 | <p>Reporting: The system shall be able to produce the standard reports that may be filtered and sorted by selected fields.</p> <p>The sort and selection fields may be (but should not be limited to):</p> <ul style="list-style-type: none"> • Agency • Program • County • District • Dollars Disbursed • Enrollment |
| 2.3.22.5 | <p>Reports: The claim cycle processing finalizes all payment and reporting calculations and results in statements for the Agency and reports for FM staff. The MARS system generated</p> |

| REQ. NO. | MSDE MARS REQUIREMENT: Reporting |
|-----------|---|
| | statements and reports should support “drill-down” capabilities (i.e. click on a line item to then go to the detail and so on). |
| 2.3.22.6 | <p>Reporting: The system shall provide online viewable and printable management reports showing the status of program fund accounts. At a minimum reports shall include:</p> <ul style="list-style-type: none"> • The beginning fund balance for the program year • A detail of funds drawn down by month with running balance • A current fund balance • A projected fund balance or deficit for the end of the program year based on current fund drawdown rates for the remaining program months. <p>Refer to External Worksheet Attachment Report Attachments 1-21 for the details, fields, and logic required for each of the named Release 1 reports.</p> |
| 2.3.22.7 | <p>Reporting: Potential formalized reports could include (to be finalized in design phase):</p> <ul style="list-style-type: none"> • Annual Reconciliation Report for Family Child Care (This is done with the Bluebook) • MMFA Reporting and Selection (includes formulas, trending analysis, and what if scenarios) • USDA ME Report for CACFP |
| 2.3.22.8 | <p>Reporting: Ad hoc querying and reporting should filter (by default) for inactive agencies with regard to the master agreement. The system should still allow for querying and reporting on inactive agencies if selected by the MARS user.</p> |
| 2.3.22.9 | <p>Reporting: The MARS system financial reporting should provide for reporting on “actual” (FMIS/FDW) versus projected (MARS) financial processing activities (dollars, meal counts).</p> |
| 2.3.22.10 | <p>Reporting: The MARS system shall provide for reporting and trending analysis of the revised claim and the associated initial claim.</p> |
| 2.3.22.11 | <p>Reporting: The MARS system should support reporting/querying with the ability to select views of Agencies and programs in association with claim status. The system shall provide functionality for an Agency and FM staff to view/report on their claim data at the claim level, site level, showing warnings,</p> |
| 2.3.22.12 | <p>Reporting: The MARS system should provide for reporting and trending analysis of the claim states and claim details associated to changes to a “submitted” claim.</p> |
| 2.3.22.13 | <p>Reporting: Estimating for meal activity (fns 10, fns 44, fns 418) for the MARS financial reporting must be supported. The specific types of estimating requirements are detailed in the External Worksheet Attachment Report Attachments 11 & 11a-11f. The estimating is required by the federal government to account for un-submitted/late claims. Estimation logic factors in the average daily participation data from previous month’s times number of operating days.</p> |

2.3.23 Data Upload: Site Claim Data (School Meals)

| REQ. NO. | MSDE MARS REQUIREMENT: Data Upload: Site Claim Data (School Meals) |
|-----------|---|
| 2.3.23.1 | Data Upload: Agencies shall have the ability to upload the monthly totals of site level data associated to the agency for the School Meals program |
| 2.3.23.2 | Data Upload: The system should support site claim data file uploads in a pre-approved format (i.e. csv, xml). |
| 2.3.23.3 | Data Upload: The system should provide the data upload template file for emailing/downloading to/by an agency. |
| 2.3.23.4 | Data Upload: The system load the School Meals data files and reflect the data in the system as if it was manually entered by the agency. |
| 2.3.23.5 | Data Upload: The data upload template should essentially be a mirror image of the data entry screens that are used for direct data entry. The final format to be defined during design. As the agencies using this capability will be extracting data from their internal systems, the format will be as simple as possible. |
| 2.3.23.6 | Data Upload: The system load file capabilities should follow the same logic as the direct data entry of school meal claim data (i.e. identify claim month, sites, ...) |
| 2.3.23.7 | Data Upload: The system should allow the agency to select the claim month, year, and program and then select the option for data upload. This option should only be available for the School Meals program in Release 1. |
| 2.3.23.8 | Data Upload: The system support just the loading of site base claim data (meal counts) and should not support the loading of administrative costs. The focus of this data load is to streamline the agency's ability to perform site level claiming. The administrative data is at the agency level and must remain a manual data entry process. |
| 2.3.23.9 | Data Upload: The edit checks, required fields, and rules defined in the direct data entry will apply to data that is uploaded |
| 2.3.23.10 | Data Upload: The system should reject all data that fails the edit checks. All failures should be easily viewable in an audit log/report. |
| 2.3.23.11 | Data Upload: The system should support the reloading of the data that was corrected. |
| 2.3.23.12 | Data Upload: The data upload process should not overwrite existing data that may have been entered manually or via a previous upload. These records which are not loaded should also be viewable/reportable. |
| 2.3.23.13 | Data Upload: The system should support the audit log/report which includes the specific records that are not loaded and the reason why the record was not loaded. |
| 2.3.23.14 | Data Upload: The system should provide the capability to restrict the editing of claim data that is entered via upload by the agency. The system must mark/track claim data that is entered via upload. The restriction is enabled by MARS. The affected agencies must recall the data file and re-load the changed data file. |
| 2.3.23.15 | Data Upload: Errors should be reported on-line and captured for future reporting with detail for error correction. The system should track errors, who ran the file, and successful updates. |
| 2.3.23.16 | Data Upload: Data with warning messages should be loaded. Data with failures should not be loaded. |

2.3.24 Legacy Data Conversion

The current system (SNACS) supports the SCNPB processing based on the following configuration:

- Client server application (visual basic)
- MS Access 2003 Client front-end
- IVR for claim data entry via the phone
- FNSWEB – web front-end for agency, site, and claim data entry
- SQL server backend

The SNACS system is augmented by a series of spreadsheets to support gaps in data entry (claiming for certain programs) and reporting. Following is a list of the support spreadsheets:

- Bluebooks
- Year-to-Date
- Statement of Accounts

The majority of the current/active data residing in SNACS must be converted into the MARS systems. In some instances, the historical data will also be required for conversion (i.e. claim data). Some of the spreadsheets will also be required to be converted. Note SNACS does not support the claim data for:

- MMFA claim data
- Family child care data
- Summer Food Service data

The contractor shall develop conversion processes and controls to ensure accuracy and completeness of the conversion process.

The data to be included in the legacy data conversion process includes:

- Agency Data
- Current and Historical (5 years) Claim data
- Site Data
- Control Tables (program data, other)

As will be defined in the next section, *Bridge to Legacy Data Entry*, the agencies will continue to enter agency, site, and claim data into the SNACS system until the portal is implemented in Release 2. As such a modified version of the conversion processing will need to continue to be run to bring across changes that are updated in the SQL database daily/weekly.

A conversion of the existing system data into the new SCNPB system will be required into both the Test and Production environments that will be used to support the new MARS system. SCNPB understands that they are responsible for data clean-up where it cannot be accomplished through definable logic.

| REQ. NO. | MSDE SCNPB REQUIREMENT: Legacy Data Conversion |
|----------|---|
| 2.3.24.1 | Conversion: The contractor shall convert the existing legacy data into the new system. |
| 2.3.24.2 | Conversion: The conversion processing will be an iterative process in the test environment. The vendor will perform a conversion run which identifies issues. The strategy for resolving the issues will be determined and executed in another conversion cycle. |
| 2.3.24.3 | Conversion: The vendor shall support a “cut-over” plan to the new system. |
| 2.3.24.4 | Conversion: All data loaded by conversion should be identifiable. This could be accomplished by a flag or by a “conversion” label for the user name making the updates. To be finalized during design. |

| REQ. NO. | MSDE SCNPB REQUIREMENT: Legacy Data Conversion |
|----------|--|
| 2.3.24.5 | Conversion: An audit log or report should be available to show all data loaded (and not loaded) through the conversion process. |
| 2.3.24.6 | Conversion: The conversion process must ensure accurate and complete migration of identified data from the legacy system into MARS. |
| 2.3.24.7 | Conversion: The conversion process shall entail logging of errors, edit checks, and reporting (both success and failures). |

2.3.25 Bridge to legacy data entry (IVR, FNSWEB)

As noted in the Conversion requirements above, the MARS system will need a bridge to the legacy database (SNACS) to support agency site and claim data submission.

The contractor should provide a utility to facilitate this bridge based on the established conversion processes. This utility should be scheduled to run nightly to capture updates from the agencies. The strategy for handling the receipt of changes to existing data in MARS will be finalized during design. Logging, edit checks, and reporting capabilities that are required in the conversion process will also be required in the bridge processes.

| REQ. NO. | MSDE SCNPB REQUIREMENT: Bridge to legacy data entry |
|----------|---|
| 2.3.25.1 | Bridge: The contractor should provide a utility to facilitate this bridge based on the established conversion processes. |
| 2.3.25.2 | Bridge: The bridge process should be scheduled to run nightly |

2.3.26 Document Management Repository

| REQ. NO. | MSDE SCNPB REQUIREMENT: Document Management Repository |
|----------|---|
| 2.3.26.1 | Document Management Repository: The MARS system shall provide for document management repository (buy or build). MSDE currently supports both Docushare and Sharepoint technologies. Document management capabilities must include the ability to upload a document, classify a document from a drop down selection (i.e. application, license, ...), track the type of document (.xls, .pdf, ...), track the date the document was uploaded, track who uploaded the document |
| 2.3.26.2 | Document Management Repository: The document management repository should support viewing documents, downloading documents, and document deletion for authorized roles. The overall MARS security model to restrict agency users to managing and viewing only documents associated to their agency. |
| 2.3.26.3 | Document Management Repository: The document management repository should link to the Agency and or site as defined during the design. |
| 2.3.26.4 | Document Management Repository: Should integrate with the scanner technologies to automate the loading and classification of documents into the repository. |
| 2.3.26.5 | Document Management Repository: Retrieval time for the documents must be on average of 15 seconds and should not exceed 45 seconds unless explicitly approved by MSDE. |
| 2.3.26.6 | Document Management: The MARS system should allow for the uploading of documents from the desktop where the upload process offers that same level of document type classification and linkages as if scanned (refer to Scanner requirements in 2.3.27) |

2.3.27 Scanner Integration

In order to reduce the handling of paper, the MARS system must support an interface to scanning technology. The scanning configuration should allow for the classification of documents and linking of documents to the appropriate record in the database.

The contractor shall identify the appropriate scanner technology to support the volume of documents that will be scanned at MSDE. These documents include applications, correspondence, licenses, ... as are required to support the PA processing previously defined. Additional documental associated to other teams in SCNPB will also be scanned, classified and linked (i.e. compliance materials, training registration forms, other).

While the specifications for the scanning configuration and architecture will be developed during the design phase, the TO Contractor will need to store the scanned documents in the established document management repository (see above). Scanning in documents should not exceed 15 seconds per page at MSDE.

| REQ. NO. | MSDE SCNPB REQUIREMENT: Scanner Integration |
|----------|--|
| 2.3.27.1 | <p>Scan: The MARS system shall provide the ability to scan and classify:</p> <ul style="list-style-type: none"> • Licenses (1 page) – 150 annually; 600 initial load • Menus (5 pages) – 50 annually • Master Agreements (11 pages) – 50 annually; 600 initial load • Correspondence SD (5 page) – 25 annually • Correspondence Misc (5 pages) – 50 annually <p>Final numbers to be addressed during design.</p> |
| 2.3.27.2 | <p>Scan: The MARS system shall cross reference scanned materials with the applicable structures in the database (i.e. scanned license documents are associated to the agency or the site under an agency).</p> |
| 2.3.27.3 | <p>Scan: The MARS system shall report on scanning activities by type of document scanned, date scanned, and who performed the scanning</p> |
| 2.3.27.4 | <p>Scan: The scanning configuration should produce clearly readable documents that should not exceed 15 seconds per page unless explicitly approved by SCNPB management.</p> |
| 2.3.27.5 | <p>Scan: The scanning configuration should support some level of “document type” recognition (i.e. excel file, word document) based on the file extension.</p> |
| 2.3.27.6 | <p>Scan: The scanning configuration should support ease of use and batching techniques to streamline the process (i.e. the user should be able to scan a batch of licenses and not have to identify each individual document as a “license”).</p> |

2.4 RELEASE 2

The focus of Release 2 is to expose the MARS system to agencies via the internet by building a web portal. The MARS portal will provide for initial registration and authentication via a secure web site and technologies. The most significant component of the MARS portal is the functionality that enables the general public to use the internet to obtain information about the SCNPB application process, submit the application online, upload documents, enter claims, and view/print agency data in relation to SCNPB activities. SCNPB foresees a “wizard-like” process, accessed from the web portal, which steps the agency through the critical requirement steps and coaches the agency through the completion of the required information. Additionally this process must facilitate agency requests for assistance by providing online instructions and forms for complying with the requirements for their approval.

The portal will enable the agency to perform the data entry for the application/agency/site/program as well as claiming. The bridge to the legacy data system will be retired within 3-6 months from the launch of Release 2.

The MARS system must be updated to process changes and activities submitted via the portal. This includes updating agency profile data and well as triggering workflow activities to process applications that have been submitted online.

In addition to the portal, Release 2 will augment the MARS system to include:

- Include additional data file uploads and associated workflow processing
- Enhanced reporting based on the new functionality

The MARS portal will be accessible to the following classifications of users:

- General public – with limited options
- Authorized agencies with various roles/classifications of users and access

The MARS system shall support the configuration of these authorized users such that they can perform the functionality defined in the following sections when they log into the portal.

By filling out a program application online, the relevant data should be entered into the new system database. Each submitted program application should also be stored in the database and downloadable as a PDF document.

2.4.1 SCNPB Portal

Throughout all core activities, the PA team provides information, expertise, and guidance to agencies and other interested parties.

People who may be Prospective Agencies or people who work at a school or people interested in Food and Nutrition information for the State of Maryland, will access the Portal to view high level information with links to drill down to more detailed information and external websites.

The initial portal page should also allow for basic searching of public domain data that may be stored in the new SCNPB system. If the user of the portal would like to enter into a relationship with MSDE for CNPs, they will begin by creating a portal account and completing a questionnaire to be used by the new system and the PA team to assess the eligibility of the potential agency.

The portal will be the primary mechanism to support data entry, affirmations, document uploads, and such in support of finalizing the Master Agreement between the Agency and MSDE.

The MARS system will support a web portal that will appear within the MSDE domain and provide the “web presence” for SCNPB. This site will contain informational material and aids to SCNPB agencies. The following requirements are specific to the overall portal.

| REQ. NO. | MSDE MARS REQUIREMENT: Portal |
|----------|--|
| 2.4.1.1 | Architecture: The portal should allow the agency to upload documents in the same manner that SCNPB can upload documents. These documents could include contracts, licenses, menus, budgets, ... |
| 2.4.1.2 | Architecture: When the program application is successfully “Submitted”, assignment of the review will be assigned to a PA (via pre-defined round robin assignment logic) as defined in Release 1. |
| 2.4.1.3 | Architecture: Data entered by the agency may require confirmation by the PA based on workflow and triggers defined in Release 1. |
| 2.4.1.4 | Architecture: The PA team should be able to define the data entry options available to the agency based on stage of data entry that the agency has completed (i.e. they may only see the “questionnaire” initially. Then when the PA team has reviewed and assess potential program eligibility, an email will be triggered to notify the agency that they can now begin the application process for specific programs. These specific programs will now be viewable to the agency. The breadth of menu options available once logged in will include: online application, status update, request information, online claiming activity, online verification, data and processing, and schedule a training session (cancel and reschedule). Based on the status of the agency, some menu items may not be visible or will be grayed out (i.e. if the agency has completed an application in recent past and is ineligible to complete another application, then the “apply online” menu option should not be available). |
| 2.4.1.5 | Architecture: The SCNPB portal shall customize the SCNPB application experience to be applicable to the individual agency (as opposed to the MSDE SCNPB staff and their capabilities in the system). |
| 2.4.1.6 | Architecture: Once the agency has a relationship with SCNPB, the PA team will be able to grant the agency “manager” role the ability to manage the roles/permissions of agency users. Thus, the agency will be able to determine which user account is authorized to submit a claim or make a change to site data. The portal should allow the authorized agency staff to manage the roles and access to the portal for their program managers and other key staff. The system should support triggers such that if a new program manager is added, the contact information must be updated and potentially the previous program manager’s access is revoked. Key changes should trigger notifications to PA staff. |
| 2.4.1.7 | Architecture: SCNPB foresees a “wizard-like” process, accessed from the web portal, which steps the agency through the critical requirement steps and coaches the agency through the completion of the required information. Additionally this process must facilitate agency requests for assistance by providing online instructions and forms for complying with the requirements for their approval. |
| 2.4.1.8 | Architecture: Anyone who is interested in one or more nutrition programs will access the Portal to review MSDE SCNPB information and eligibility information on the various available programs. The initial portal page should also allow for basic searching of public domain data that may be stored in the new SCNPB system. If the user of the portal would like to enter into a relationship with MSDE for CNPs, they will begin by creating a portal account and completing a questionnaire to be used by the new system and the PA team to assess the eligibility of the potential agency. |
| 2.4.1.9 | Architecture: The Portal should also support links to program information and Frequently |

| REQ. NO. | MSDE MARS REQUIREMENT: Portal |
|----------|--|
| | <p>Asked Questions pertinent to the application process. This information will be maintained by the PA Section using the portals administrative capabilities.</p> <p>The portal should provide links to Financial Management, Reporting, and other items in addition to the application data entry and processing. The portal should also provide links to regulatory sites and such. The system should allow the PA team to customize the view of these links to each Agency based on the program profile of the Agency (i.e. only show them links that may interest the agency based on their programs).</p> |
| 2.4.1.10 | Architecture: The portal should support all functionality defined in Release 1 and provide the agency direct access to this functionality where applicable. |
| 2.4.1.11 | Architecture: The agencies view of the Release 1 functionality will be presented in a different fashion to support the needs of the agency. Release 1 is geared towards optimizing the workflow of the SCNPB organizations. The Portal presentation of this information and processing is to be geared towards the agency needs. |
| 2.4.1.12 | Architecture: All activity (i.e. data entry, emails, all communications) performed via the portal should be stored in the new system. |
| 2.4.1.13 | Architecture: The portal should also provide search capabilities for the user to check to determine if their organization is already subscribing to Maryland food and nutrition programs. |
| 2.4.1.14 | Architecture: The application as defined in Release 1 will be divided into a “questionnaire” and “application”. Once the completed questionnaire is submitted, the Agency should be set to an “agency” status and the data should be stored for use by the SCNPB team. The assigned PA staff will begin reviewing the completed questionnaire and follow up with phone calls, emails, status notifications via the portal as necessary. |
| 2.4.1.15 | Architecture: The questionnaire should be dynamic and support decision trees, drop down selections, electronic signatures, and affirmation statements. By filling out the questionnaire, the relevant data should be entered into the new system database. The completed questionnaire should be stored in the database and be downloadable as a PDF file. |
| 2.4.1.16 | Architecture: Once the portal account and questionnaire are submitted, the user will begin to gain additional functionality that is provided via the portal. This functionality includes entering data regarding the agency and associated sites, interest in specific programs, and registering for a limited selection of training. |
| 2.4.1.17 | Architecture: Based on the data entered in the questionnaire, a profile for the Agency will be created in the new system and updated with this data. The new system should automatically assess/rate the eligibility (eligibility calculator) of the Agency against each program. The PA will use this rating along with review and follow-ups of the questionnaire to approve the Agency to proceed with the program application process. |
| 2.4.1.18 | Architecture: The MARS system should distinguish between data entered via the portal from data entered directly into MARS by the SCNPB staff. |
| 2.4.1.19 | Architecture: The SCNPB portal shall provide clear and concise error handling (identification and messaging) in a consistent format and manner throughout the portal. |
| 2.4.1.20 | Architecture: The SCNPB portal design shall be such that no manual intervention for “portal account management” is ever required (i.e. password resets, account locking and unlocking, ...) |
| 2.4.1.21 | Architecture: The SCNPB portal shall provide for “wizard” like functionality for data entry wherever possible. |
| 2.4.1.22 | Architecture: The SCNPB system shall record and store statistical information on registered agency’s use of the online system (i.e. number of new accounts, number of applications submitted, number of applications started...) |

| REQ. NO. | MSDE MARS REQUIREMENT: Portal |
|----------|---|
| 2.4.1.23 | Architecture: The system should automatically delete portal accounts if the questionnaire is not submitted within a configurable timeframe. Messaging, dashboard notifications, and emails will be triggered prior to the account deletion. |
| 2.4.1.24 | Navigation: The agency options will change based on their relationship with SCNPB (i.e. how far are they in the Master Agreement process to secure a contractual relationship). The initial program application options may also disappear once the Master Agreement is completed and approved. |
| 2.4.1.25 | Navigation: The responses from the agency during the application/renewal processes will control which program and options that are available to the agency |
| 2.4.1.26 | Statistics: The “prospective agency process” (i.e. an agency is a prospective agency until they have a signed Master Agreement) should capture metrics regarding “how many agencies went to particular steps in the process” (and did not complete the Master Agreement). The goal here is to allow the PA team to assess where agencies “quit” in the application process. These metrics should be viewable via system queries by the SCNPB users. |
| 2.4.1.27 | Workflow: agency submission of agency, site, program data should trigger notifications to the PA team as defined in the PA processing in Release 1. The Agency should be able to add/delete/modify program and site profile data, change Agency contact data, and reflect other changes that must be captured when they occur (and cannot wait until renewal processing). The Agency is responsible for ensuring and maintaining the data associated to their organization. |
| 2.4.1.28 | Finance: The authorized agency user should be able to view the financial history associated to the agency (i.e. similar to an online bank statement) |
| 2.4.1.29 | Application: The workflow associated to the application process defined in Release 1 PA processing will be geared to the agency performing that data entry online with the elimination of steps that were required to be supported due to the paper application materials. This will take the top down approach defined in Release 1 where the agency is asked basic initial questions. Based on the initial answers, the subsequent data entry will only present programs and options for which the agency is eligible. |
| 2.4.1.30 | Application: The application and program, site, agency data management performed by the agency must be supported by online affirmations/signatures. |
| 2.4.1.31 | Application: The system should also allow the Agency to choose to “opt out” of a program. This will trigger notifications to the PA staff. |
| 2.4.1.32 | Application: The portal should show the agency a link to each program application for which they are eligible (pre-approved by the PA). The Agency may choose to complete one or more program applications. The link for each eligible program application will remain on the portal view for the Agency until such time that they complete the application or opt-out or of the program. |
| 2.4.1.33 | Eligibility Calculator: As the agency completes the data entry associated to beginning a relationship with SCNPB, the eligibility calculator and user interface should provide the agency with a “what am I potentially eligible for” option. This would show not only programs, but would show samples of <u>financial</u> gains to be received by the agency based on the data they have entered (i.e. potentially eligible for XX which could generated a reimbursement of YY for every 100 breakfasts served). |
| 2.4.1.34 | Architecture: The SCNPB portal shall encourage agencies to use online application entry by providing an intuitive, wizard-like interface targeted towards the skills level of a typical SCNPB agency. |
| 2.4.1.35 | Architecture: The agency shall be able to make modifications to all aspects of the application prior to submission. |
| 2.4.1.36 | Architecture: The un-submitted application data should not be saved in the SCNPB system’s official data structures associated to the agency until it is submitted. This data |

| REQ. NO. | MSDE MARS REQUIREMENT: Portal |
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| | should be saved, however, and not require re-entry by the agency if the application is not submitted during a single portal session (i.e. the portal shall allow for saving without submitting). |
| 2.4.1.37 | Architecture: Once an online application is submitted, the SCNPB system shall be updated as applicable with a mechanism to identify whether or not the data has been confirmed by the SCNPB staff. |
| 2.4.1.38 | Architecture: Upon submission of the online application, the SCNPB office or agency shall have the ability to save, download, or print the application. |
| 2.4.1.39 | NDL – the data loaded into MARS for the National Disqualified List should be accessible to the FCC agencies. The agencies should be able to search, view, and download this data. |

2.4.2 Portal Technology, Security, Registration

Standards for portal security infrastructure currently exist at MSDE as part of the Educator Information System (EIS) portal. This infrastructure must be utilized for all portal development. The requirements are as follows:

| REQ. NO. | MSDE SCNPB REQUIREMENT: Portal Technology |
|----------|---|
| 2.4.2.1 | Technology: The client workstation requires only a supported web browser, MS Internet Explorer (I.E.) 5.x and higher. |
| 2.4.2.2 | Technology: Any features not supported by the standard browser IE 5.x and higher should fail gracefully without interrupting other web site functionality. Failure details should be captured and logged for subsequent analysis and correction. |
| 2.4.2.3 | Technology: The web site shall support accessibility consistent with State of Maryland public web site standards and requirements. |
| 2.4.2.4 | Technology: The web site shall conform to Section 508 standards of the U.S. Rehabilitation Act for accessibility. (http://www.section508.gov/) |
| 2.4.2.5 | Technology: The browser's built in print feature will be used for printing of web pages. |
| 2.4.2.6 | Technology: The MARS system shall provide for printing of application documents and forms at the agency's location (local printer) using the PDF format. |
| 2.4.2.7 | Technology: The SCNPB web site should support links for downloading a copy of Adobe Acrobat reader and other locations as identified during the design phase. |
| 2.4.2.8 | Technology: The SCNPB portal should use the ASP.NET 2.0 Forms-Based Authentication architecture to manage web-user logins and passwords. Out-of-the-box, ASP.NET 2.0 provides a simple forms-based authentication provider that will authenticate against a simple SQL2005 Express (MSDE) or SQL database. |
| 2.4.2.9 | Technology: SSL (HTTPS) must be used to protect the password. |
| 2.4.2.10 | Technology: The database of accounts must be managed by ASP.NET's forms authentication provider and we access it via "membership" APIs. |
| 2.4.2.11 | Technology: The database stores information in a basic table structure. Sensitive fields (passwords) are stored as encrypted strings. |
| 2.4.2.12 | Technology: The database can reside on any server that the web server has access to. The default scenario is as an MSDE (SQL server) store on the front end server. If the proper ports are configured, this can be any SQL database on the network. |
| 2.4.2.13 | Technology: The SCNPB portal shall accommodate image validations (login validations requiring a human being to be entering data shown on the screen) to prevent hackers from attacking the system. |
| 2.4.2.14 | Technology: The SCNPB portal shall support account lock-out capabilities in the event of repeated log in failures (and shall automatically unlock the account/computer each evening |

| REQ. NO. | MSDE SCNPB REQUIREMENT: Portal Technology |
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| | at a set time). |
| 2.4.2.15 | Technology: The SCNPB portal shall support a time-out feature that will automatically log off a session after a set amount of time of no activity. |
| 2.4.2.16 | Technology: The SCNPB portal shall provide a timeout warning message 5 minutes prior to logging the session out. |
| 2.4.2.17 | Technology: Other portal account management functions that are available to the agency also include the ability to edit their agency profile record in SCNPB as well as change their portal password if they have forgotten this. There is a limited set of fields that can be changed on the agency record through the portal. |
| 2.4.2.18 | Registration: An agency who is new to the SCNPB portal can register for a portal account. The SCNPB system will determine if the portal user already has an agency record or if they are new to the SCNPB system. If they are new to SCNPB, the system will request that they create a new agency record and will conduct a security check against misuse of the registration form. Once this has been completed, the agency will end up with a both an agency record and a portal account and will be logged onto the portal. A 2-phase validation will be required 1) enter in a valid email address and an confirmation request will be sent to that email account, and 2) must send confirmation to the confirmation request from the email account. |
| 2.4.2.19 | Registration: The SCNPB portal shall require online agency's to create a login account with a password. |
| 2.4.2.20 | Registration: The SCNPB portal shall require unique login account validations and messaging including providing recommendations if a username is already used. |
| 2.4.2.21 | Registration: The SCNPB portal shall require the agency to indicate if he/she is a previous agency in the State of Maryland and/or out of state. |
| 2.4.2.22 | Registration: Once logged in, the SCNPB portal shall allow agencies to view and update profile information such as but not limited to e-mail address, address, and phone number. |
| 2.4.2.23 | Registration: The SCNPB portal shall allow agency's to edit their profile information except for key fields such as FEIN. |
| 2.4.2.24 | Registration: If the SCNPB portal determines that a record already exists for a new agency the system shall advise the agency to contact the SCNPB office by phone, email, or in person to resolve the problem and suspend further online processing. Email is the preferred method of contact. |
| 2.4.2.25 | Registration: The SCNPB system shall provide a mechanism for advising the SCNPB office the error situation described above has occurred. |
| 2.4.2.26 | Registration: The SCNPB portal shall provide automatic links pre-populating data such as SCNPB office email address to allow the agency to email the SCNPB office. |
| 2.4.2.27 | Registration: The SCNPB portal shall collect and validate the data, saving it in the database as the agency progresses through the data entry process such that the agency could logout or be disconnected and not have to re-enter all of the data upon returning. |
| 2.4.2.28 | Registration: The SCNPB portal should display an acknowledgement page which displays the data that has been entered and potentially requires the agency to check a box to indicate that the information provided is complete and accurate or allows them to back track to make corrections. |

2.4.3 Data Extract/Upload: Licensing Data (child care) - CCATS

| REQ. NO. | MSDE MARS REQUIREMENT: Data Extract/Upload: Licensing Data (child care) - CCATS |
|----------|---|
| 2.4.3.1 | Licensing Branch Data: The system should support the loading of Licensing Data (CCATS). The architecture and design will be finalized during the design phase. This interaction could be supported potentially through a real-time interface, non-real-time batch processing (i.e.) extract from MARS, CCATS match to CCATS data and provide a response file, followed by a data load of the response file into MARS by the contractor). |
| 2.4.3.2 | Licensing Branch Data: Each site must have an active operating licensing. As part of the program application process, the Agency will enter the license number for each site. The system should find the associated record in data from CCATS system. If a match is found, the associated data from the CCATS system should be populated into MARS. This includes capacity, expiration date, and other data elements. The matching criteria will be finalized during the design phase and may include license number and site Name and location. This interface and matching processing should occur for new sites, annual renewal processing and for certain types of site changes. The system should provide for error reporting when matches do not occur. |
| 2.4.3.3 | Licensing Branch Data: The system should match all license numbers in the system against the CCATS data to identify expired or revoked licenses and create reports and triggers based on matches found. Frequency to be determined during the design phase. License Revocation will be done more frequently and will be finalized during the design phase. |
| 2.4.3.4 | Licensing Branch Data: The licensing branch data loaded into MARS should be accessible to the agencies via the portal. The agencies should be able to search, view, and download this data. |

2.4.4 Direct Certification Data Load

Recipients of meals at a school sites may be qualified for FREE meals if they receive food stamps or TCA/welfare The agencies in the SCHOOLS business domain can use this data in lieu of Meal Benefit Applications for recipients' names in the DHR system. The DHR data extract and/or match is done one time per year.

For schools with enrollments less than 3000 (small LEAs), MSDE gathers the school's enrollment data . Individual school enrollments are appended in Excel, and then sent to DHR who performs the matching logic and sends SCNPB the results (i.e. recipients per agency who are qualified for FREE meals based on eligible status in the DHR system at the point in time of the extract).

For schools with enrollments greater than 3000 (large LEAs), DHR provides a statewide extract which is currently manually parsed by SCNPB. These schools retrieve their data file from a secure site and conduct their own matching logic.

The DHR interactions described in this section are existing processing which will not be changing from the DHR perspective. The automation and requirements defined here are for the SCNPB and agency activities.

The MARS system should load this data directly and make this information accessible to the agencies.

| REQ. NO. | MSDE MARS REQUIREMENT: Direct Certification |
|----------|--|
| 2.4.4.1 | Direct Certification: The MARS system will be used as the pass through for DHR data extracts for Direct Certification |

| | |
|---------|---|
| 2.4.4.2 | Direct Certification: The MARS system should allow the agencies to download this data. |
| 2.4.4.3 | Direct Certification: The MARS system appends enrollment data file uploads from schools with less than 3000 enrollment. |
| 2.4.4.4 | Direct Certification: The MARS system should retrieve the data file from DHR and load the results into MARS, the results will be parsed by agency number, this applies to data extracts where matching is done by the large LEAs or to matching results done by DHR for the small LEAs |
| 2.4.4.5 | Direct Certification: The MARS system should support the DHR processing on an annual basis |

2.4.5 Verification Data Processing

For the SCHOOLS, they are responsible for obtaining “meal benefit applications” (MBA) from their meal recipients. SCNPB does not store or retain this information. The MBA forms are reviewed during site visits by SCNPB staff.

| REQ. NO. | MSDE MARS REQUIREMENT: Verification Data Processing |
|----------|--|
| 2.4.5.1 | Verification Data: The vendor will convert logic and processing of the Access 2003 Verification database applications both SFA and State Agency versions, to be fully functioning in the MARS. Qualifying Schools will directly input Verification required data into MARS. |
| 2.4.5.2 | Verification Data: SCNPB should be able to extract this data for reporting to the Federal government. |
| 2.4.5.3 | Verification Data: SCNPB staff should be able to set tolerances as to when this data is due for entry into MARS. |
| 2.4.5.4 | Verification Data: The MARS system trigger changes in the agency status if this data is not entered on-time. This would include notifications to the agency (prior to missing the deadline) and notifications to the PA staff when the deadline is missed so that CAP status flags can be set. Claiming abilities for the agency may be suspended until this CAP is resolved. |
| 2.4.5.5 | Verification Data: Aggregate Data is reported to USDA (External Worksheet Attachment Report Attachment 12-Verification). MARS should also provide the ability to query and analyze the verification data supplied from agencies. |

2.4.6 Site Data Upload(s)

| REQ. NO. | MSDE MARS REQUIREMENT: Site registration/renewal data (Family Child Care, School Meals) |
|----------|---|
| 2.4.6.1 | Site Data Upload: The system should support the capability to allow the agency to upload an excel spreadsheet to automatically create the sites. The primary users of this capability will be Family Child Care Centers and School Meals. |
| 2.4.6.2 | Site Data Upload: SCNPB should be able to control which agency types and business domains have access to this functionality. |
| 2.4.6.3 | Site Data Upload: The site upload capability should providing tracking/logging of successful site creation as well as failures. For failures, the details as to why the record failed should be provided. This information should be viewable to the agency and SCNPB. |
| 2.4.6.4 | Site Data Upload: The site data upload process should also support the updating of existing site data. |
| 2.4.6.5 | Site Data Upload: The site data upload should also include the loading of lunch meal counts by eligibility to determine severe need eligibility and/or Family Child Care site data, and licensing. |
| 2.4.6.6 | Site Data Upload: This functionality may be supported via multiple upload formats depending on the type of data being loaded. Vendor will responsible for developing file and format to achieve data uploads. |
| 2.4.6.7 | Site Data Upload: Site data that fails to upload should be logged. The agency should then be able to go into MARS, correct the issue in the log file, and select the option to load the record at that time. |

2.4.7 Data Upload: Site Claim Data (Family Child Care)

| REQ. NO. | MSDE MARS REQUIREMENT: Data Upload: Site Claim Data (Family Child Care) |
|----------|---|
| 2.4.7.1 | Data Upload: All of the requirements defined in “ Data Upload: Site Claim Data (School Meals) ” (See Release 1- 2.3.23) should be supported for Family Child Care claim data. |

2.5 HARDWARE and SOFTWARE

Hardware and Software must not be purchased as part of this TORFP. Any hardware/software required to complete this project will be procured by MSDE using existing Contracts based on the Contractors Specifications. MSDE will acquire any hardware used at the MSDE. The Contractor is responsible for purchasing any hardware/software to be used by the Contractor at non-MSDE locations.

Any software required to complete this project must be procured by MSDE, unless otherwise directed by MSDE from existing MSDE funds. In addition to other software, MSDE must own the source document or code.

MSDE must procure the media and licenses for the Microsoft server and client systems software. Such media and licenses must become the property of MSDE or must be for MSDE's use only according to the terms of the media or licensing agreements. The Contractor must notify MSDE and receive subsequent approval from MSDE of any, and each time, new or updated server system software is installed on MSDE servers.

MSDE must provide the computers needed to host application development tools used at the MSDE according to the specifications described by the software's recommended system requirements. The Contractor must provide a list of the application development tools to the TO Manager prior to the MSDE required testing time to allow for installation lead time. The Contractor must note any development tools that are owned by the Contractor that cannot be utilized at MSDE due to any licensing issues, etc.

The Contractor is responsible for purchasing and licensing any software used by the Contractor at non-MSDE sites. Any such purchases must not be charged additionally to the Contract, but, if necessary, must be a part of the price as quoted as part of the response to this TORFP.

2.6 DELIVERABLES: Delivery and Acceptance

For each written deliverable, draft and final, the TO Contractor shall submit to the TO Manager one electronic copy compatible with Microsoft Office 2003, Microsoft Project 2003 and/or Visio 2003.

MSDE will take up to 15 business days to review all final deliverables are due (to allow for MSDE reviews and acceptance). All written deliverables must demonstrate due diligence in meeting the scope and requirements of the associated final written deliverable. All written deliverables must:

- Be presented in a format appropriate for the subject matter and depth of discussion.
- Be organized in a manner that presents a logical flow of the deliverable's content.
- Represent factual information reasonably expected to have been known at the time of submittal.
- Present information that is relevant to the Section of the deliverable being discussed.

All deliverables will be reviewed and approved by the MSDE Project Team which will consist of the following:

- Executive Stakeholders (Business and OIT)
- TO Manager
- Other MSDE team members required based on the scope and content of the deliverable

Review meetings will be required as deemed necessary by the MSDE Project Team. The TO Contractor is encouraged to submit draft deliverables where possible to streamline the acceptance process. The TO Contractor will be a participant in all deliverable review meetings.

Upon completion of the review process for a deliverable, the TO Contractor shall update the deliverable and resubmit to the TO Manager for acceptance. The TO Contractor shall memorialize initial delivery of each deliverable with the Agency Receipt of Deliverable Form (Attachment 8). The TO Manager shall countersign the Agency Receipt of Deliverable Form indicating receipt of the contents described therein.

Upon receipt of a final deliverable, the TO Manager shall commence a review of the deliverable as required to validate the completeness and quality in meeting requirements. Upon completion of validation, the TO Manager shall issue to the TO Contractor notice of acceptance or rejection of the deliverables in an Agency Acceptance of Deliverable Form (Attachment 9). In the event of rejection, the TO Contractor shall correct the identified deficiencies or non-conformities. Subsequent project tasks may not continue until deficiencies with a deliverable are rectified and accepted by the TO Manager or the TO Manager has specifically issued, in writing, a waiver for conditional continuance of project tasks. Once the State's issues have been addressed and resolutions are accepted by the TO Manager, the TO Contractor will incorporate the resolutions into the deliverable and resubmit the deliverable for acceptance by the Business Sponsor and OIT Sponsor. Accepted deliverables shall be invoiced within 30 days in the applicable invoice format (Section 2.13 Invoicing)

The State required deliverables are defined below. Within each task, the TO Contractor may suggest other subtasks or deliverables to improve the quality and success of the project.

2.7 MILESTONES

This project will consist of 2 Releases. The Contractor must provide all of the following deliverables for each Release. Release 1 will be the baseline release. The deliverables for subsequent releases will be updated into a new version of the deliverable where applicable and re-baseline when accepted for the Release. Some deliverables will be created from scratch for a Release.

Each *Release* will have the following four *milestones*:

1. **Milestone I: Project Infrastructure**
2. **Milestone II: System Requirements**
3. **Milestone III: Design, Develop, Test**
4. **Milestone IV: Implementation**

Operations and Maintenance (O&M)

With the implementation and acceptance of the first Release, subsequent support for O&M will commence on a time and materials basis (per CATS "the Contractor will be paid for services performed based on direct labor hours billed at specific hourly rates ... up to a specified cost ceiling").

O&M activities shall encompass the following:

- Production maintenance to resolve unidentified issues that arise due to expanding processing activities and user community feedback
- Technical upgrades to system technology
- Technical changes to the system in conjunction with MSDE OIT technical infrastructure changes
- Sustainment changes to capitalize on the processing power and business intelligence provided by the system
- Advanced data mining support to access system data and provide reports for the Office of the Governor, legislators, etc.

- Support for modifications associated to legislative changes that may arise

All O&M work must be approved by the MSDE TO Manager prior to execution. O&M work will be managed through the same collaboration tools that are used to manage the Project Releases following SDLC phases of initiation through implementation and acceptance.

The Contractor must provide yearly maintenance services to provide updates to server software or make minor changes in program function. This maintenance begins with the first release into production (after the warranty period/release acceptance). Refer to ATTACHMENT 1 - OPERATIONS AND MAINTENANCE PRICE PROPOSAL. This attachment details the yearly planned O&M allocation in hours. Included in this section is the hourly rates per job classification should additional hours be required.

The Maryland Department of Education reserves the unilateral option to renew the Contract for three (3) additional one-year options subject to State appropriations.

Based on the severity of an issue, the Contractor shall provide responses and support based on the following Service Level Agreement (SLA) available Monday through Friday from 8:00 AM to 6:00 PM, Eastern Time:

- Urgent (system outage or inaccessible): Response within 30 min of initial contact
- High (portions of the system inaccessible): Response within 1 hour of initial contact
- Normal: Response within 1 business day of initial contact

2.8 MILESTONES AND DELIVERABLES: Details

For EACH Release, ALL of the deliverables below are required. The numbering of each deliverable is as following:

RELEASE #.MILESTONE#.Deliverable # (i.e. R1.II.7 for Release 1, Milestone II, Deliverable 7 – Requirements Specification)

All deliverables are considered “living” documents being updated throughout the project as changes occur and are mutually accepted by the Project Team.

Milestone I: Project Infrastructure

All of the activities and deliverables associated to Milestone I will be initially baselined and submitted for approval. These materials will be updated on an ongoing basis throughout the project with updated versions required as part of the invoice approval process for each milestone completed for each release.

| # | Deliverable Name | Deliverable Definition (supplemental to definitions provided in the State SDLC. |
|-----|---|---|
| I.1 | Project Plan | Develop the Project Plan and schedule work breakdown structures that comprise 80 hours or less. |
| I.2 | Risk Management Plan | The Risk Management Plan identifies the risks that can be defined, evaluates them, and outlines mitigation actions. This Plan will be periodically updated and expanded throughout the life cycle as the project increases in complexity and risks become more defined. |
| I.3 | Communication Plan | Documentation detailing: <ul style="list-style-type: none"> • Roles and Responsibilities (including contact information) • Reporting plan • Escalation Plan • Management tools (i.e. Sharepoint, Docushare, ...) |
| I.4 | Configuration Management Plan | Documentation how the documentation and code will be managed and tracked (from Development through Production Implementation). Should include the issue management strategy for both test and production O&M |
| I.5 | Progress Report and updated project plan (weekly) | Prepare and submit progress reports/plans to the MSDE Project Manager must contain, at a minimum, following information: <ul style="list-style-type: none"> • Work accomplished during the reporting period • Work progress, as a percentage of completion • Planned activities for the next reporting period • Action item tracking and status • Meeting schedule • Issues and risks • Project risks, including action plan to minimize risks • Deliverable and milestone status • An accounting report for the current reporting period and a cumulative summary of the totals |

| | | |
|-----|---|---|
| | | for both the current and previous reporting periods. The accounting report shall include amounts invoiced-to-date and paid-to-date |
| I.6 | Development Environment configured | Procure, Configure, Install Development Environment at Vendor location. The development vendor is responsible for all hardware and software costs associated with the development environment that is built and supported at the Vendor location by the Vendor. This environment must support the prototyping activities that will be required in subsequent milestones |
| I.7 | System Test Environment – hardware & software specification | Document the server and software requirements for the System Test environment. To be used in support of hardware and software procurement activities. Given that MSDE will require at least 60 days to procure the necessary hardware/software, this specification must be completed as early as possible during this phase of the project. |

Milestone II: System Requirements

First, the Contractor must review existing documents and systems to validate system functional and technical requirements, performing a gap analysis between documented and actual requirements. Second, the Contractor will interview MSDE staff to validate system functional and technical requirements, meeting with MSDE staff to validate data. Finally, the Contractor must prepare and present the revised draft and final functional and technical requirements document. These requirements must be sufficient to meet the project and following objectives.

| # | Deliverable Name | Deliverable Definition (supplemental to definitions provided in the State SDLC. |
|------|--|--|
| II.1 | Production Environment – hardware & software specification | Document the server and software requirements for the Production environment. To be used in support of hardware and software procurement activities. Given that MSDE will require at least 60 days to procure the necessary hardware/software, this specification must be completed as early as possible during this phase of the project. |
| II.2 | Revised Process Model | Produce documentation highlighting the results of the gap analysis activities. All gaps and conflicts must be identified. |
| II.3 | Requirements Specification <ul style="list-style-type: none"> a. Scope Definition b. Work Breakdown Structure c. Revised System Requirements & Traceability Matrix d. Logical Entity Relationship Diagrams e. List and descriptions of required documents and reports f. List of critical system functions and performance standards g. Description of interfaces | Produce a requirements specification accounting for all materials to capture the scope and details of the Release including, but not limited to process flows, user interfaces, reporting requirements, performance requirements, hardware and software requirements. This should include screen and processing samples that will be representative of the final technical solution. Process flows contained within this document are samples and will need to be reviewed, validated and revised as needed by the Contractor based on requirements finalization and solutions technology. |

Milestone III: Design, Develop, Test

Contractor must develop an IT Architecture Diagram that includes all hardware and software components needed to support the proposed test and production configurations. The Contractor must specify the minimum and recommended system requirements for all hardware and software devices. The overall design specification shall include, but not be limited to, the following:

| # | Deliverable Name | Deliverable Definition (supplemental to definitions provided in the State SDLC. |
|-------|---|--|
| III.1 | IT Design Specification (Architecture) <ul style="list-style-type: none"> a. Design and Process Flows b. Report Specifications and Formats, c. User Interface Models, d. Interface Diagrams, Models and Descriptions, e. Data Conversion & Migration & Validation strategy, and f. Logical Data Model | <p>This documentation may be divided into multiple docs (i.e. Architecture, High Level Design, Detail Level Design). The content must be presented in a mutually agreed upon fashion.</p> <p>Design and Processing Flows The Contractor will document the system design, data processing flows, error handling, interfaces, and so on as is consistent with standard SDLC documentation. This must also include strategies to ensure meeting compliance with section 2.10 REQUIRED PROJECT POLICIES, GUIDELINES AND METHODOLOGIES.</p> <p>Report Specifications and Formats The Contractor must capture the reporting strategy including standards such as all reports shall be downloadable to excel as well as printing and execution guidelines. All reports should follow consistent and documented guidelines and formats.</p> <p>User Interface Model The Contractor must develop a user interface model that includes all proposed user interfaces. The user interfaces must be linked in a manner that allows all MSDE and MARS users to navigate through the proposed user interface screens. The user interfaces need not be functional at this stage, but act as a representation of proposed functionality.</p> <p>Interface/Integration Models All interfaces into the proposed architecture must be identified along with the details of integration strategies.</p> <p>Data Conversion & Data Migration Strategies Document the conversion strategy and processing for legacy data which should include porting data from legacy system SNACS and associated spreadsheets.</p> <p>Logical Data Models Based on criteria at the Critical Design Review (CDR), and subsequently accepted by the State, the Contractor must refine the data models to specify logical data storage designs.</p> |

| # | Deliverable Name | Deliverable Definition (supplemental to definitions provided in the State SDLC. |
|-------|--|--|
| III.2 | System Test Environment configured | <p>Configure and Install Test Environment at MSDE.</p> <p>The Contractor must implement a test environment (hardware, system software, application software, utilities and tools) at MSDE (with hardware and software provided by MSDE) for the purpose of unit and acceptance testing of System Releases. The test environment must have the capacities required for testing, and should utilize configurations similar to the target production environment to validate configuration designs. The Contractor must be responsible for maintaining (including refreshing the data with each release) this entire environment during the project.</p> <p>Legacy Data Conversation and Migration into Test Environment The Contractor must configure, populate, and maintain the databases for the tests. The Contractor must refresh this environment as determined by the MSDE Project team in conjunction with the Contractor as needed for User Acceptance Testing, Data Conversion Testing, or other needs. The Contractor must populate the testing database with data from MSDE, and perform, and document the results of System Testing of the system functionality prior to delivery to MSDE</p> <p>Data Refresh into Test Environment After the first production Release, data refreshes of Production Data to the Test Environment should be supported “on demand” for MSDE acceptance testing associated to each release and/or production issue troubleshooting.</p> |
| III.3 | Production Environment Hardware and Software configuration specification | Document the final configuration specifications for the MSDE Production environment in conjunction with MSDE OIT direction. This document should reflect the <u>actual</u> configuration and be maintained throughout the project. This must include the installation procedures of all custom developed software. |
| III.4 | System Testing - System Test Plan (including traceability matrix to requirements) | <p>The development of a system test plan is required. That process will include the development of testing scripts, identification and scheduling of Applicants, documentation of test results, and documentation of error fixes. The System Test Results must be generated in the Test environment configured and maintained by the Contractor at MSDE.</p> <p>The Contractor must consult with MSDE team members to develop and document plans for the validation and acceptance testing processes to verify the accuracy of updated functionalities for the SCNPB team. Acceptance test scripts must be developed with MSDE user input.</p> |
| III.5 | System Testing - System Test Results, a. Performance Benchmark Results, b. Data Migration Results c. System Test Results (end-to-end readiness) | <p>System Testing includes performance benchmarks, supporting User Acceptance Testing, Building\Refreshing the Test environment at MSDE, Reviewing UAT Test Plans, Executing Conversion Testing, and providing documented Test Results from Contract System Testing.</p> <p>The End-to-End Performance Readiness Testing period must allow for adequate testing of all updated</p> |

| # | Deliverable Name | Deliverable Definition (supplemental to definitions provided in the State SDLC. |
|---|------------------|--|
| | | <p>functionalities within SCNPB, including any and all applicable business processes and interfaces.</p> <p>During the performance period(s) MSDE will test the updated SCNPB MARS functionalities and integration system and services to ensure that the requirements of the updated functionalities have been met. During testing, the system and services must perform at a level consistent with the performance specifications contained in the TO and as validated at the beginning of the contract period. The system and services must be available for unrestricted use by MSDE staff on an average effectiveness level of 98 percent or more for the performance period(s). Availability for unrestricted use means that the system and services is accessible to users with full processing functionality.</p> <p>Effectiveness level refers to the system and services meeting the objectives listed below and the performance measures as previously validated. Should MSDE encounter performance problems or discover specifications that have not been met by either the system or services, the Contractor is responsible for rectifying the performance problem or completing the specification to MSDE's satisfaction at no cost to MSDE within 10 business days or as directed by the MSDE TManager due to any sensitivity of the time period.</p> <p><u>The purpose of the End-To-End System Testing period is to meet the following objectives:</u></p> <ul style="list-style-type: none"> • Testing with existing applications and services as appropriate; • Validate system set-up for transactions and user access; • Confirm use of SCNPB activities in performing business processes; • Verify performance of business critical functions; • Confirm integrity of business process, data, services, security, and end-products; • Verify all requirements of the updated functionalities have been met; • Speed of performance • Rate of errors or failures • Subjective satisfaction of MSDE • If it is determined that a scheduled test period does not allow for all business processes to be tested (i.e. rounds, inspections, audits), then the Contractor must warrant the system and services for an additional period guaranteeing that the system is free from performance problems and meets all specifications as defined in this TORFP and as validated. Should MSDE encounter performance problems or discover specifications have not been met, the Contractor is responsible for rectifying the performance problem or complete the specification to MSDE's satisfaction at no cost to MSDE within 10 business days or as |

| # | Deliverable Name | Deliverable Definition (supplemental to definitions provided in the State SDLC. |
|-------|--|---|
| | | directed by the MSDE TO Manager. |
| III.6 | System Testing – Support User Acceptance Test Plan and Testing | The Contractor must provide the technical support needed for MSDE to successfully execute the Acceptance and System Tests. The Contractor must correct and document program bugs. Any errors found must be documented in an Error and Corrective Action Report with statuses as “fatal” or “non-fatal” and an ‘open’ or ‘closed’ Status. The report must be maintained through the life of the contract and must retain all ‘closed’ items for reference. |
| III.7 | System Training Plan, Materials, and “end-user” & “train the trainer” training conducted | The Contractor must work with MSDE team members to develop both a plan and the training materials for training all system users. The Contractor is also responsible for providing end user training of SCNPB Agencies in Release 2. |
| III.8 | System Implementation Plan | The Contractor must develop and present plans for the implementation of updated functionalities within SCNPB including operating procedures; documentation development; and other implementation issues. The System implementation plan should also include hardware and software setup and configuration; data conversion/population; security, privacy, account management; and operating procedures as needed. |

Milestone IV: Implementation

The Contractor must provide the documentation and materials required to implement the Release into Production as well as how to support the basics including backups, server configurations, troubleshooting, and so on.

| # | Deliverable Name | Deliverable Definition (supplemental to definitions provided in the State SDLC. |
|------|---|---|
| IV.1 | Production Environment Hardware and Software Configuration Specification | Document the final configuration specifications for the MSDE Production environment in conjunction with MSDE OIT direction. This document should reflect the <u>actual</u> configuration and be maintained throughout the project. This must include the installation procedures of all custom developed software. |
| IV.2 | Production Environment Readiness Certificate | The Contractor must document that they certify the system is ready for implementation and that all contractual obligations and SLDC activities have been completed. |
| IV.3 | System Documentation <ul style="list-style-type: none"> a. User Manual b. Application/System Administration & Troubleshooting Guide c. Production Environment Specification and Configuration Manual d. Knowledge Transfer\Transition Documentation and review sessions e. Server (all) Backup and Recovery Documentation. | <p>System Documentation The Contractor must provide documentation of system administration activities required for proper ongoing system function; a completed inventory of any hardware or software placed into production; an assessment of MSDE’s skills for maintaining proper ongoing system function; a list of application development tools and server software used in the final solution; and a contact list for contacting Contractor resources in the post-implementation period.</p> <p>Knowledge Transfer Plans The Contractor must create and deliver documentation for the purposes of leading Knowledge Transfer sessions to train MSDE OIT and other technical staff to support and execute SCNPB processes.</p> |
| IV.4 | Production Environment Implementation | <p>Implement Production Environment The Contractor must execute the System Implementation Plan which includes installation and configuration of production hardware, system software, application software, utilities and tools. The Contractor must provide the technical support required to transition from the Test environment to the Production environment. This includes setup, configuration, and population of the production databases. MSDE must be responsible for the configuration management at MSDE; however, the Contractor must support all configuration management requirements and steps to ensure proper and secure transition. The Contractor shall provide onsite technical support services to MSDE technical staff to assist in production environment setup and configuration.</p> <p>Legacy Data Conversation and Migration into Production Environment The Contractor must populate the Production environment with data from MSDE, and perform, and document the results of Conversion Validation.</p> |

| # | Deliverable Name | Deliverable Definition (supplemental to definitions provided in the State SDLC. |
|------|---|---|
| IV.5 | Release Software Components (CD-ROM) | The Contract must provide CD's of the source code and configuration upon acceptance of the release in production. |
| IV.6 | Release Software Installation & Conversion Complete Certificate | The Contractor must provide documentation certifying the implementation of all aspects of the release is completed. |
| IV.7 | Post Implementation Support Service Level Agreement (Warranty) | The Contractor must provide post-implementation technical support services for 90 calendar days after the successful implementation and MSDE Acceptance of each release into the production environment. The warranty period will be extended if the application is not accepted due to a high volume of defects. The Contractor must provide warranty services after each release to resolve any problems with program code that did not meet the design specifications. |
| IV.8 | Lesson's Learned document | The Contractor must meet with the Project Stakeholders and designated team members and document the results on "lesson's learned" throughout the lifecycle of each release. This document should include specific action items for improving the activities that are to occur for subsequent releases. |

2.9 DELIVERABLE/ DELIVERY SCHEDULE

As defined in section 2.2 this TORFP, this project is divided into 2 Releases. The following delivery schedule provides the expected completion timeframe for the TO Contract to complete the deliverable after receiving the Notice to Proceed (NTP). The completion of a milestone is when all of the associated deliverables have been completed by the TO Contractor and accepted by the MSDE project team.

Release 1

| ID | Deliverables: Release 1 | Expected Completion: |
|-----------|--------------------------------------|-----------------------------|
| R1.I | Milestone I: Project Infrastructure | NTP + 14 Business Days |
| R1.II | Milestone II: System Requirements | R1.I + 45 Business Days |
| R1.III | Milestone III: Design, Develop, Test | R1.II + 110 Business Days |
| R1.IV | Milestone IV: Implementation | R1.III + 45 Business Days |

Release 2

| ID | Deliverables: Release 2 | Expected Completion: |
|-----------|--------------------------------------|-----------------------------------|
| R2.I | Milestone I: Project Management Plan | Release 2 start + 5 Business Days |
| R2.II | Milestone II: System Requirements | R2.I + 15 Business Days |
| R2.III | Milestone III: Design, Develop, Test | R2.II + 75 Business Days |
| R2.IV | Milestone IV: Implementation | R2.III + 30 Business Days |

2.10 REQUIRED PROJECT POLICIES, GUIDELINES AND METHODOLOGIES

The TO Contractor shall be required to comply with all applicable Maryland and federal laws, regulations, policies, standards and guidelines affecting information technology projects, which may be created or changed periodically. The TO Contractor shall adhere to and remain abreast of current, new, and revised laws, regulations, policies, standards and guidelines affecting project execution. These may include, but are not limited to:

A) The State's System Development Life Cycle (SDLC) methodology at: www.dbm.maryland.gov - keyword: SDLC.

The State Information Technology Security Policy and Standards at: www.dbm.maryland.gov - keyword: Security Policy.

The State Information Technology Project Oversight at: www.dbm.maryland.gov - keyword: IT Project Oversight.

The State of Maryland Enterprise Architecture at www.dbm.maryland.gov - keyword: MTAF Guiding Principles.

The web site shall conform to Sections 504 and 508 standards of the U.S. Rehabilitation Act for accessibility www.section508.gov/ and refer to <http://www.accessible.org/bobby-approved.html> for additional information.

The Family Educational Rights and Privacy Act

The TO Contractor shall follow the project management methodologies that are consistent with the Project Management Institute's Project Management Body of Knowledge Guide. TO Contractor's staff and subcontractors are to follow a consistent methodology for all TO activities.

Change Control: MSDE will form a Change Control Board (CCB) for this project. The CCB will be required to approve any proposed changes to the baseline project plan that impact schedule or cost. The Contractor must not be compensated for work performed on change orders not approved by the CCB. The CCB membership and change order process will be defined at project commencement.

System Change Requests: MSDE will utilize a change management system to facilitate needed changes outside of project scope. MSDE will provide a 'Notice to Proceed' for each specific CCB request that is to be implemented.

The State security accreditation guidelines:

http://dbm.maryland.gov/dbm_publishing/public_content/dbm_taxonomy/security/prevention/itsec_certoverview.pdf

2.11 CONTRACTOR QUALIFICATIONS

The TO Contractor and their proposed staff shall document a high level of professional expertise in the items below. The Contractor shall provide MSDE direct access to systems representing these skills during the vendor selection process if so requested (i.e. must be able to demonstrate).

The TO Contractor must provide three current references including the name of the organization, point of contact, title and telephone number. The state shall have the right to contact any other references of its choosing as part of the evaluation and selection process.

The TO Contractor must document successful work performed for at least two client references for the following:

- Designing and developing web-based portal solutions
- Designing and developing Customer Relationship Management solutions
- Implementing Project Lifecycle development best practices which incorporate SDLC processing, Issue Management tracking, Quality Assurance testing. Documentation supporting this requirement may include:
 - Internal SDLC documentation (i.e. policies and procedures)
 - Developer programming guide
 - Web development style guide
 - Quality Assurance policies and procedures
 - Issue/Change Management collaboration tools (i.e. Sharepoint, Docushare, others)
 - Production (O&M) Support

The TO Contractor must submit individual resumes for the personnel to be assigned to the project and indicate the role or assignment that each individual is to have in the project. All positions and qualifications should be in conformance with the CATS Master Contract.

2.11.1 MINIMUM QUALIFICATIONS

The following minimum qualifications are mandatory. The TO Contractor shall be capable of furnishing all necessary services required to successfully complete all tasks and work requirements and produce high quality deliverables described herein. The TO Contractor shall demonstrate, in its proposal, that it possesses such expertise in-house or has documented strategic alliances with other firms for providing such services:

- +8 years experience in designing, developing and implementing web portals
- +8 years architecture background including application performance tuning and portal security best practices
- +5 years experience in designing, developing, and implementing COTS solutions.
- The Project Manager assigned to this project must meet the qualifications defined in 2.11.5 for Labor Category 2/Project Manager

2.11.2 ADDITIONAL PREFERRED CONTRACTOR EXPERTISE

In addition to the required expertise, the following expertise is preferred. Where the TO Contractor does have expertise, as with above, it must be documented, viewable, and have a client reference.

- Developing web-based solutions utilizing MS CRM or eForms technologies
- Development of systems software supporting one or more of the following types of functionality:

- **State/Federal Nutrition programs is strongly encouraged**
 - Scanning Technologies
 - Financial Systems
- ASP.NET 2.0 Forms-Based Authentication
 - Experience with automated testing tools (provide details as to which tool & types of testing supported)

The Contractor must demonstrate “Corporate Capability” by clearly documenting the existence of adequate facilities or procedures for obtaining those facilities and competent personnel to successfully complete this TORFP.

All work performed for this project must be performed on the Continental US. No work can be performed or outsourced to resources located outside of the Continental US.

2.11.3 CONTRACTOR STAFF REPLACEMENT

In the event that MSDE is not satisfied with the performance of a staff member from the Contractor, the MSDE TO Manager will notify the Contractor in writing describing the problem and delineating remediation requirements. The Contractor will have 3 business days to respond with a written remediation plan. The plan will be implemented immediately upon acceptance by MSDE TO Manager and MSDE Business sponsor. Should performance issues persist, the MSDE TO Manager may give written notice or request immediate removal of the individual whose performance is at issue. In this situation, assessments to the schedule will be addressed at no additional project costs to MSDE.

The Contractor may not substitute personnel, other than by reason of death or sudden incapacitating illness projected to last more than 5 days, termination of employment, without the prior approval of the MSDE TO Manager. To replace any personnel, the Contractor shall submit resumes to the MSDE Project Manager of the proposed personnel specifying their intended approved labor category. All proposed substitute personnel shall have qualifications at least equal to those of the replaced personnel and must be approved by the MSDE TO Manager. The MSDE TO Manager shall have the option to interview the proposed substitute personnel. After interviewing, the MSDE Project Manager shall notify the Contractor of acceptance or denial of the requested substitution.

2.11.4 CONTRACTOR PROJECT TEAM STAFF

The MSDE/SCNPB will supply a Project Manager, and the TO Contractor must provide a qualified Project Manager who is responsible for ensuring that all project deliverables and milestones are met. These responsibilities include:

- Attending weekly project team meetings at the Maryland State Department of Education Building (MSDE) site (200 W. Baltimore Street, Baltimore).
- Develop the Project Plan and schedule work breakdown structures that comprise 80 hours or less.
- Review project documentation developed by others.
- Meet with State personnel and Contractor personnel to review and approve project documentation.
- Communicate with all levels of management.
- Ensure project tasks are completed correctly, efficiently, on schedule and within cost.
- Review and approve invoices prior to submission to MSDE for payment
- Ensure Vendor invoices are submitted to MSDE which are accurate and on schedule (based on the invoicing requirements defined in section 2.13).
- Up to 20 hours of Independent Verification & Validation (IV&V) support (should the state require an IV&V for a specific release).

The TO Contractor shall provide a staffing model/organization chart representing the TO Contractor Project Team

throughout the project including O&M. This staffing model should represent the anticipated number of resources and roles that will make up the team. For positions and roles that will have direct interaction with MSDE, names and resumes should be provided.

2.11.5 OPERATIONS AND MAINTENANCE (O&M) STAFF

The following job classifications (per CATS) are identified in support of O&M for the Production Support activities once the first Release of this project is implemented into Production.

| Labor Category | Category (per CATS) | Description of Support |
|----------------|--|---|
| 2 | Project Manager | <p>Duties: The Project Manager is assigned the management of a specific project and the work performed under assigned Task Orders. Performs day-to-day management of the project, identifies issues and risks and recommends possible issue and risk mitigation strategies associated with the project. Acts as a facilitator between a State agency and IT contractor. Is responsible for ensuring that work performed under TOs is within scope, consistent with requirements, and delivered on time and on budget. Identifies critical paths, tasks, dates, testing, and acceptance criteria. Provides solutions to improve efficiency (e.g., reduce costs while maintaining or improving performance levels). Monitors issues and provides resolutions for up-to-date status reports. Demonstrates excellent writing and oral communications skills.</p> <p>Education: Bachelor's Degree from an accredited college or university in Engineering, Computer Science, Information Systems, Business or other related discipline. Master's degree or project management certification is preferred.</p> <p>General Experience: At least ten (10) years of experience in project management.</p> <p>Specialized Experience: At least five (5) years of experience in managing IT related projects and must demonstrate a leadership role in at least three successful projects that were delivered on time and on budget.</p> |
| 59 | Internet/Intranet Site Developer Senior | <p>Duties: Must be able to translate applications requirements into the design of complex web sites, including integrating web pages and applications. Must be able to apply new and emerging technologies to the site development process.</p> <p>Education: A Bachelor's Degree from an accredited college or university with a major in Computer Science, Information Systems, Engineering, Business, or other related scientific or technical discipline or three (3) years of equivalent experience in a related field. A Master's Degree in one of the above disciplines equals one year specialized and two years general experience.</p> <p>General Experience: Must have five (5) years of web development experience using current Web development and graphic tools, as well as, Web Server and database administration.</p> <p>Specialized Experience: At least three (3) years of experience designing, developing and deploying Web sites and/or Web applications, including product selection, configuration, installation, maintenance, and site specific Web development languages and relational databases.</p> |

| | | |
|----|--|---|
| 60 | Internet/Intranet Site Developer Junior | <p>Duties: Must be able to translate applications requirements into the design of complex web sites, including integrating web pages and applications. Must be able to apply new and emerging technologies to the development process.</p> <p>Education: A Bachelor's Degree from an accredited college or university with a major in Computer Science, Information Systems, Engineering, Business, or other related scientific or technical discipline or three (3) years of equivalent experience in a related field. A Master's Degree in one of the above disciplines equals one year specialized and two years general experience.</p> <p>General Experience: Must have one (1) year of web development experience using current Web development and graphic tools, as well as, Web server and database administration.</p> <p>Specialized Experience: At least one (1) year of experience designing, developing and deploying Web sites and/or Web applications, including product selection, configuration, installation, maintenance, and site policy development. Experience developing Web pages using HTML, scripting languages, platform specific web development languages and relational databases.</p> |
|----|--|---|

2.11.6 Contractor Staff Management and Allocation

MSDE is committed to partnering with our Contractor for the successful and timely implementation of this project and subsequent O&M sustainment. Throughout this project, schedule delays may occur based on the information being processed at any given time (i.e. a delay may occur as more time is required to research a question that arises during design reviews). As a team, the Contractor and MSDE will work together to address and agree to all changes and shifting of resources and priorities in order to mitigate risks to schedule and budget.

However, the Contractor shall credit MSDE \$3,000 for every 5 business days of slippage if schedule delays exceeding more than one week result due to one or more of the situations defined below:

- a) Lack of timely Contractor staff replacement when required by MSDE as defined in section 2.11.3
- b) Issues with quality of deliverables (both documentation and application)
- c) Lack of Contractor staff to meet both project and O&M activities (i.e. lack of recourses) resulting in project schedule slippage or delays in O&M activity resolution

2.12 RETAINAGE

For each Release, MSDE shall retain an amount equal to at least 10% from the total Release contract price. This retainage amount shall be dispersed only upon full satisfactory performance and acceptance of the deliverables as set forth in, and all work covered by, the contract.

2.13 INVOICING

2.13.1 Invoicing is Milestone Based (Release)

Throughout each release, individual deliverables will be provided to MSDE for review and acceptance. Upon the completion of all of the deliverables and associated work activities for a specific Milestone in a Release, the Contractor shall submit a Milestone Acceptance Form. This form will contain the following information: Release

#, Milestone #, listing of each deliverable and deliverable acceptance date, total dollar amount associated to the specific Release and Milestone.

The project work will be invoiced based on Milestone completion and acceptance. Invoices for Milestone completion must be submitted within 30 calendar days MSDE acceptance of the Milestone. Invoices submitted more than 30 calendar days late, will be reduced by 10% and will continue to be reduced every subsequent 30 calendar days until submitted. A copy of the notice(s) of acceptance shall accompany all invoices submitted for payment.

2.13.2 Invoicing is Time and Materials (O&M)

The activities associated to O&M will be invoiced on a MONTHLY basis on the first business of each month for all work completed in the previous month. The Contractor shall provide an *O&M Activity Report* (frequency – either weekly or monthly will be determined by the MSDE TO Manager) which details out each approved task, task tracking number, duration of time per resource category.

Invoices for O&M work should be submitted within the first 5 business days of each month for the work performed in the previous month. Invoices submitted more than 30 calendar days late, will be reduced by 10% and will continue to be reduced every subsequent 30 calendar days until submitted.

2.13.3 PROCEDURE FOR SUBMITTING INVOICES

This procedure consists of the following requirements and steps:

- A) The invoice shall identify the MSDE SCNBP Office as the TO Requesting Agency, deliverable description, associated TO Agreement number, date of invoice, period of performance covered by the invoice, and a TO Contractor point of contact with telephone number.

The TO Contractor shall send the original of each invoice and supporting documentation (itemized billing reference for employees and any subcontractor and signed Acceptance of Deliverable form – Attachment 9, for each deliverable being invoiced) submitted for payment to the MSDE Office at the following address:

MSDE Accounting Office
Accounts Payable
200 W. Baltimore Street
Baltimore, MD 21201

AND

MSDE School and Community Nutrition Branch
Robert Wancowicz
200 W. Baltimore Street
Baltimore, MD 21201

Invoices for final payment shall be clearly marked as “FINAL” and submitted when all work requirements have been completed and no further charges are to be incurred under the TO Agreement. In no event shall any invoice be submitted later than 60 calendar days from the TO Agreement termination date.

2.13.4 Payments

Payment will only be made upon completion and acceptance of each milestone and all associated deliverables for each Release as defined in section 2.6.

Invoice payments to the TO Contractor shall be governed by the terms and conditions defined in the CATS Master Contract. Invoices for payment shall contain the TO Contractor's Federal Tax Identification Number, as well as the information described below, and must be submitted to the TO Manager for payment approval. Payment of invoices will be withheld if a signed Acceptance of Deliverable form – Attachment 9, is not submitted.

2.14 MBE PARTICIPATION REPORTS

Monthly reporting of MBE participation is required in accordance with the terms and conditions of the CATS Master Contract by the 15th day of each month. The TO Contractor shall provide a completed MBE Participation form (Attachment 2, Form D-5) at the same time the invoice copy is sent. The TO Contractor shall ensure that each MBE Subcontractor provides a completed MBE Participation Form (Attachment 2, Form D-6). Subcontractor reporting shall be sent directly from the subcontractor to MSDE Procurement Officer. The Procurement Officer will monitor both the TO Contractor's efforts to achieve the MBE participation goal and compliance with reporting requirements. The TO Contractor shall email all completed forms, copies of invoices and checks paid to the MBE directly to the TO Procurement Officer and TO Manager.

2.15 REPORTING

The TO Contractor and the MSDE SCNPB Office shall conduct weekly progress meetings. A weekly project progress report and updated project plan shall be submitted as defined in section 2.6.

2.16 CHANGE ORDERS

If the TO Contractor is required to perform additional work, or there is a work reduction due to unforeseen scope changes, the TO Contractor and TO Manager shall negotiate a mutually acceptable price modification based on the TO Contractor's proposed rates in the Master Contract and scope of the work change. No scope of work modifications shall be performed until a change order is executed by the TO Procurement Officer.

SECTION 3 - TASK ORDER PROPOSAL FORMAT & SUBMISSION REQUIREMENTS

3.1 REQUIRED RESPONSE

Each Master Contractor receiving this CATS TORFP must respond within the submission time designated in the Key Information Summary Sheet. Each Master Contractor is required to submit one of two possible responses: 1) a proposal or 2) a completed Attachment 12 - Notice to Master Contractors explaining why the Master Contractor will not be submitting a proposal.

3.2 FORMAT

If a Master Contractor elects to submit a TO Proposal, the Master Contractor shall do so in conformance with the requirements of this CATS TORFP. A TO Proposal shall provide the following:

3.2.1 THE TECHNICAL PORTION OF THE TO PROPOSAL SHALL INCLUDE

B) Proposed Services – Work Plan

Requirements: A detailed discussion of the Master Contractor's understanding of the work and the Master Contractor's capabilities, approach and solution to address the requirements outlined in Section 2.

Assumptions: A description of any assumptions formed by the Master Contractor in developing the Technical Proposal.

Risk Assessment: An assessment of any risks inherent in the work requirements and actions to mitigate these risks.

Proposed Solution: A description of the Master Contractor's proposed solution to accomplish the specified work requirements.

Proposed Tools: A description of all proposed tools that will be used to facilitate the work.

Tasks and Deliverables: A description of and the schedule for each task and deliverable, illustrated by a Gantt chart. Start and completion dates for each task, milestone, and deliverable shall be indicated.

Work Breakdown Structure: A detailed work breakdown structure and staffing schedule, with labor hours by skill category that will be applied to meet each milestone and deliverable, and to accomplish all specified work requirements.

Acceptance Criteria: A statement acknowledging the Master Contractor's understanding of the acceptance criteria.

C) Proposed Personnel

1) Identify and provide resumes for all proposed personnel by labor category. The resume should highlight the proposed personnel's applicable responsibilities and accomplishments as they relate to the requirements of this TORFP

2) Certification that all proposed personnel meet the minimum required qualifications and possess the required certifications in accordance to Section 2.11

Provide the names and titles of all key management personnel who will be involved with supervising the services rendered under this TO Agreement.

Complete and provide, at the interview, Attachment 5 – Labor Classification Personnel Resume Summary.

D) MBE Participation

1) Submit completed MBE documents Attachment 2 - Forms D-1 and D-2.

E) Subcontractors

1) Identify all proposed subcontractors, including MBEs, and their full roles in the performance of this TORFP Scope of Work.

F) Master Contractor and Subcontractor Experience and Capabilities

- 1) Provide three examples of projects that you have completed that were similar in scope to the one defined in this TORFP Scope of Work. Each of the three examples must include a reference, to be provided at the interview, complete with the following:

Name of organization.

Name, title, and telephone number of point-of-contact for the reference.

Type, and duration of contract(s) supporting the reference.

The services provided, scope of the contract and performance objectives satisfied as they relate to the scope of this TORFP.

Whether the Master Contractor is still providing these services and, if not, an explanation of why it is no longer providing the services to the client organization.

- 2) State of Maryland Experience: If applicable, the Master Contractor shall submit a list of all contracts it currently holds or has held within the past five years with any government entity of the State of Maryland. For each identified contract, the Master Contractor shall provide:

A) The State contracting entity,

B) A brief description of the services/goods provided,

C) The dollar value of the contract,

D) The term of the contract,

E) Whether the contract was terminated prior to the specified original contract termination date,

F) Whether any available renewal option was not exercised,

G) The State employee contact person (name, title, telephone number and e-mail address).

This information will be considered as part of the experience and past performance evaluation criteria in the TORFP.

G) Proposed Facility

- 1) Identify Master Contractor's facilities, including address, from which any work will be performed.

H) State Assistance

- 1) Provide an estimate of expectation concerning participation by State personnel.

I) Confidentiality

- 1) A Master Contractor should give specific attention to the identification of those portions of its proposal that it considers confidential, proprietary commercial information or trade secrets, and provide justification why such materials, upon request, should not be disclosed by the State under the Public Information Act, Title 10, Subtitle 6, of the State Government Article of the Annotated Code of Maryland. Contractors are advised that, upon request for this information from a third party, the TO Procurement Officer will be required to make an independent determination regarding whether the information may be disclosed.

3.2.2 THE FINANCIAL RESPONSE OF THE TO PROPOSAL SHALL INCLUDE

- J) A description of any assumptions on which the Master Contractor's Financial Proposal is based;

- K) Attachment 1 - Completed Financial Proposal.

SECTION 4 - PROCEDURE FOR AWARDING A TASK ORDER AGREEMENT

4.1 EVALUATION CRITERIA

The TO Contractor will be selected from among all eligible Master Contractors within the appropriate functional area responding to the CATS TORFP. In making the TO Agreement award determination, the TO Requesting Agency will consider all information submitted in accordance with Section 3.

4.2 TECHNICAL CRITERIA

The following are technical criteria for evaluating a TO Proposal in descending order of importance.

- Technical Work Plan/Understanding of the Scope of Work (Problem)
- Contractor expertise in Food and Nutrition Programs
- Contractor Staffing, Support, and Processing models
- Contractor experience in meeting schedule for similar sized projects

4.3 SELECTION PROCEDURES

- L) TO Proposals deemed technically qualified will have their financial proposal considered. All others will receive e-mail notice from the TO Procurement Officer of not being selected to perform the work.
- M) Qualified TO Proposal financial responses will be reviewed and ranked from lowest to highest price proposed.
- N) The most advantageous TO Proposal offer considering technical and financial submission shall be selected for the work assignment. In making this selection, the Technical criteria will weigh more than the Financial proposal.

4.4 COMMENCEMENT OF WORK UNDER A TO AGREEMENT

Commencement of work in response to a TO Agreement shall be initiated only upon issuance of a fully executed TO Agreement, Purchase Order and by a Notice to Proceed authorized by the TO Procurement Officer. See Attachment 7 - Notice to Proceed (sample).

**ATTACHMENT 1 - OPERATIONS AND MAINTENANCE PRICE PROPOSAL
PRICE PROPOSAL (TIME AND MATERIALS) FOR CATS TORFP # R00P8205000**

LABOR CATEGORIES (REFER TO SECTION 2.11.5)

| Labor Categories | A | B | C |
|---|-------------------|------------------|---------------------------------|
| | Hourly Labor Rate | Total Est. Hours | Total Proposed CATS TORFP Price |
| YEAR 1 | | | |
| (Labor Cat 59) Internet/Intranet Site Developer Senior | \$ | 400 | \$ |
| (Labor Cat 60) Internet/Intranet Site Developer Junior | \$ | 300 | \$ |
| (Labor Cat 2) Project Manager | \$ | 100 | \$ |
| | | | |
| YEAR 2 | | | |
| (Labor Cat 59) Internet/Intranet Site Developer Senior | \$ | 400 | \$ |
| (Labor Cat 60) Internet/Intranet Site Developer Junior | \$ | 300 | \$ |
| (Labor Cat 2) Project Manager | \$ | 100 | \$ |
| | | | |
| YEAR 3 | | | |
| (Labor Cat 59) Internet/Intranet Site Developer Senior | \$ | 400 | \$ |
| (Labor Cat 60) Internet/Intranet Site Developer Junior | \$ | 300 | \$ |
| (Labor Cat 2) Project Manager | \$ | 100 | \$ |
| | | | |
| Total Evaluated Price | | | \$ |

Authorized Individual Name

Company Name

Title

Company Tax ID #

The Hourly Labor Rate is the actual rate the State will pay for services and must be recorded in dollars and cents. The Hourly Labor Rate cannot exceed the Master Contract Rate, but may be lower. The "Total Est. Hours" are for estimation purposes. The actual hours expended per class will be determined on a time and materials basis during the O&M period.

SUBMIT AS A .PDF FILE WITH THE FINANCIAL RESPONSE

ATTACHMENT 1A - PRICE PROPOSAL FORM
PRICE PROPOSAL FOR CATS TORFP ##R00P8205000

| Identification | Deliverable | Proposed Price |
|----------------------------|--------------------------------------|-----------------------|
| R1.I | Milestone I: Project Management Plan | |
| R1.II | Milestone II: System Requirements | |
| R1.III | Milestone III: Design, Develop, Test | |
| R1.IV | Milestone IV: Implementation | |
| Total for Release 1 | | |
| | | |
| R2.I | Milestone I: Project Management Plan | |
| R2.II | Milestone II: System Requirements | |
| R2.III | Milestone III: Design, Develop, Test | |
| R2.IV | Milestone IV: Implementation | |
| Total for Release 2 | | |
| Total Proposed Fixed Price | | |

 Authorized Individual Name

 Company Name

 Title

 Company Tax ID #

 Telephone Number

 Fax Number

 E-mail Address

 Cell Number

SUBMIT AS A .PDF FILE WITH THE FINANCIAL RESPONSE

ATTACHMENT 2 – MINORITY BUSINESS ENTERPRISE FORMS

TO CONTRACTOR MINORITY BUSINESS ENTERPRISE REPORTING REQUIREMENTS

CATS TORFP # R00P8205000

These instructions are meant to accompany the customized reporting forms sent to you by the TO Manager. If, after reading these instructions, you have additional questions or need further clarification, please contact the TO Manager immediately.

As the TO Contractor, you have entered into a TO Agreement with the State of Maryland. As such, your company/firm is responsible for successful completion of all deliverables under the contract, including your commitment to making a good faith effort to meet the MBE participation goal(s) established for TORFP. Part of that effort, as outlined in the TORFP, includes submission of monthly reports to the State regarding the previous month's MBE payment activity. Reporting forms D-5 (TO Contractor Paid/Unpaid MBE Invoice Report) and D-6 (Subcontractor Paid/Unpaid MBE Invoice Report) are attached for your use and convenience.

The TO Contractor must complete a separate Form D-5 for each MBE subcontractor for each month of the contract and submit one copy to each of the locations indicated at the bottom of the form. The report is due no later than the 15th of the month following the month that is being reported. For example, the report for January's activity is due no later than the 15th of February. With the approval of the TO Manager, the report may be submitted electronically. Note: Reports are required to be submitted each month, regardless of whether there was any MBE payment activity for the reporting month.

The TO Contractor is responsible for ensuring that each subcontractor receives a copy (e-copy of and/or hard copy) of Form D-6. The TO Contractor should make sure that the subcontractor receives all the information necessary to complete the form properly, i.e., all of the information located in the upper right corner of the form. It may be wise to customize Form D-6 (upper right corner of the form) for the subcontractor the same as the Form D-5 was customized by the TO Manager for the benefit of the TO Contractor. This will help to minimize any confusion for those who receive and review the reports.

4. It is the responsibility of the TO Contractor to make sure that all subcontractors submit reports no later than the 15th of each month, regardless of whether there was any MBE payment activity for the reporting month. Actual payment data is verified and entered into the State's financial management tracking system from the subcontractor's D-6 report only. Therefore, if the subcontractor(s) do not submit their D-6 payment reports, the TO Contractor cannot and will not be given credit for subcontractor payments, regardless of the TO Contractor's proper submission of Form D-5. The TO Manager will contact the TO Contractor if reports are not received each month from either the prime contractor or any of the identified subcontractors. The TO Contractor must promptly notify the TO Manager if, during the course of the contract, a new MBE subcontractor is utilized. Failure to comply with the MBE contract provisions and reporting requirements may result in sanctions, as provided by COMAR 21.11.03.13.

ATTACHMENT 2 – MINORITY BUSINESS ENTERPRISE FORMS

FORM D – 1

CERTIFIED MBE UTILIZATION AND FAIR SOLICITATION AFFIDAVIT

This document shall be included with the submittal of the Offeror's TO Proposal. If the Offeror fails to submit this form with the TO Proposal, the TO Procurement Officer shall determine that the Offeror's TO Proposal is not reasonably susceptible of being selected for award.

In conjunction with the offer submitted in response to TORFP No. R00P8205000, I affirm the following:

1. I acknowledge the overall certified Minority Business Enterprise (MBE) participation goal of 30 percent and, if specified in the TORFP, sub-goals of [redacted] percent for MBEs classified as African American-owned and [redacted] percent for MBEs classified as women-owned. I have made a good faith effort to achieve this goal.

OR

After having made a good faith effort to achieve the MBE participation goal, I conclude that I am unable to achieve it. Instead, I intend to achieve an MBE goal of [redacted] percent and request a waiver of the remainder of the goal. If I am selected as the apparent TO Agreement awardee, I will submit written waiver documentation that complies with COMAR 21.11.03.11 within 10 business days of receiving notification that our firm is the apparent low bidder or the apparent awardee.

I have identified the specific commitment of certified Minority Business Enterprises by completing and submitting an MBE Participation Schedule (Attachment 2 - Form D-2) with the proposal.

I acknowledge that the MBE subcontractors/suppliers listed in the MBE Participation Schedule will be used to accomplish the percentage of MBE participation that I intend to achieve.

I understand that if I am notified that I am the apparent TO Agreement awardee, I must submit the following documentation within 10 working days of receiving notice of the potential award or from the date of conditional award (per COMAR 21.11.03.10), whichever is earlier.

- (a) Outreach Efforts Compliance Statement (Attachment D-3)
- (b) Subcontractor Project Participation Statement (Attachment D-4)
- (c) MBE Waiver Documentation per COMAR 21.11.03.11 (if applicable)
- (d) Any other documentation required by the TO Procurement Officer to ascertain offeror's responsibility in connection with the certified MBE participation goal.

If I am the apparent TO Agreement awardee, I acknowledge that if I fail to return each completed document within the required time, the TO Procurement Officer may determine that I am not responsible and therefore not eligible for TO Agreement award. If the TO Agreement has already been awarded, the award is voidable.

In the solicitation of subcontract quotations or offers, MBE subcontractors were provided not less than the same information and amount of time to respond as were non-MBE subcontractors.

I solemnly affirm under the penalties of perjury that the contents of this paper are true to the best of my knowledge, information, and belief.

Offeror Name

Signature of Affiant

Address

Printed Name, Title

Date

SUBMIT AS A .PDF FILE WITH TO RESPONSE

ATTACHMENT 2 – MINORITY BUSINESS ENTERPRISE FORMS

FORM D – 2

MINORITY BUSINESS ENTERPRISE PARTICIPATION SCHEDULE

This document shall be included with the submittal of the TO Proposal. If the Offeror fails to submit this form with the TO Proposal, the TO Procurement Officer shall determine that the TO Proposal is not reasonably susceptible of being selected for award.

| | |
|--|--------------------------|
| TO Prime Contractor (Firm Name, Address, Phone) | Task Order Description |
| Task Order Agreement Number R00P8205000 | |
| List Information For Each Certified MBE Subcontractor On This Project | |
| Minority Firm Name | MBE Certification Number |
| Work To Be Performed/SIC | |
| Percentage of Total Contract | |
| Minority Firm Name | MBE Certification Number |
| Work To Be Performed/SIC | |
| Percentage of Total Contract | |
| Minority Firm Name | MBE Certification Number |
| Work To Be Performed/SIC | |
| Percentage of Total Contract | |

USE ATTACHMENT D-2 CONTINUATION PAGE AS NEEDED

SUMMARY

| | |
|--|---|
| TOTAL MBE PARTICIPATION: | % |
| TOTAL WOMAN-OWNED MBE PARTICIPATION: | % |
| TOTAL AFRICAN AMERICAN-OWNED MBE PARTICIPATION: | % |

Document Prepared By: (please print or type)

Name: _____ Title: _____

SUBMIT AS A .PDF FILE WITH TO RESPONSE

ATTACHMENT 2 – MINORITY BUSINESS ENTERPRISE FORMS

FORM D – 2

MINORITY BUSINESS ENTERPRISE PARTICIPATION SCHEDULE (CONTINUED)

| List Information For Each Certified MBE Subcontractor On This Project | |
|---|--------------------------|
| Minority Firm Name | MBE Certification Number |
| Work To Be Performed/SIC | |
| Percentage of Total Contract | |
| Minority Firm Name | MBE Certification Number |
| Work To Be Performed/SIC | |
| Percentage of Total Contract | |
| Minority Firm Name | MBE Certification Number |
| Work To Be Performed/SIC | |
| Percentage of Total Contract | |
| Minority Firm Name | MBE Certification Number |
| Work To Be Performed/SIC | |
| Percentage of Total Contract | |
| Minority Firm Name | MBE Certification Number |
| Work To Be Performed/SIC | |
| Percentage of Total Contract | |
| Minority Firm Name | MBE Certification Number |
| Work To Be Performed/SIC | |
| Percentage of Total Contract | |

SUBMIT AS A .PDF FILE WITH TO RESPONSE

ATTACHMENT 2 – MINORITY BUSINESS ENTERPRISE FORMS

FORM D – 3

OUTREACH EFFORTS COMPLIANCE STATEMENT

In conjunction with the bid or offer submitted in response to TORFP # R00P8205000 I state the following:

- 1. Offeror identified opportunities to subcontract in these specific work categories:

Attached to this form are copies of written solicitations (with bidding instructions) used to solicit certified MBEs for these subcontract opportunities.

Offeror made the following attempts to contact personally the solicited MBEs:

- Offeror assisted MBEs to fulfill or to seek waiver of bonding requirements.

(DESCRIBE EFFORTS)

- This project does not involve bonding requirements.

- Offeror did/did not attend the pre-proposal conference

- No pre-proposal conference was held.

| | | |
|--------------|-----|-------|
| _____ | By: | _____ |
| Offeror Name | | Name |
| _____ | | _____ |
| Address | | Title |
| | | _____ |
| | | Date |

SUBMIT WITHIN 10 WORKING DAYS OF RECEIVING NOTICE OF THE POTENTIAL AWARD

ATTACHMENT 2 – MINORITY BUSINESS ENTERPRISE FORMS

FORM D – 4

SUBCONTRACTOR PROJECT PARTICIPATION STATEMENT

SUBMIT ONE FORM FOR EACH CERTIFIED MBE LISTED IN THE MBE PARTICIPATION SCHEDULE

Provided that _____ is awarded the TO Agreement in
(Prime TO Contractor Name)
conjunction with TORFP No. R00P8205000, it and _____,
(Subcontractor Name)

MDOT Certification No. _____, intend to enter into a contract by which the subcontractor shall:

(Describe work to be performed by MBE):

- No bonds are required of Subcontractor
- The following amount and type of bonds are required of Subcontractor:

By:

By:

Prime Contractor Signature

Subcontractor Signature

Name

Name

Title

Title

Date

Date

SUBMIT WITHIN 10 WORKING DAYS OF RECEIVING NOTICE OF THE POTENTIAL AWARD

ATTACHMENT 2 – MINORITY BUSINESS ENTERPRISE FORMS

FORM D – 5

MINORITY BUSINESS ENTERPRISE PARTICIPATION TO CONTRACTOR PAID/UNPAID INVOICE REPORT

| | |
|---|---|
| Report #: _____ Reporting Period (Month/Year): _____ Report is due by the 15th of the following month. | CATS TORFP #R00P8205000 Contracting Unit _____ Contract Amount _____ MBE Sub Contract Amt _____ Contract Begin Date _____ Contract End Date _____ Services Provided _____ |
|---|---|

| | | | |
|---|------|-----------------|------|
| Prime TO Contractor: | | Contact Person: | |
| Address: | | | |
| City: | | State: | ZIP: |
| Phone: | FAX: | | |
| Subcontractor Name: | | Contact Person: | |
| Phone: | FAX: | | |
| Subcontractor Services Provided: | | | |
| List all unpaid invoices over 30 days old received from the MBE subcontractor named above: | | | |
| 1. | | | |
| 2. | | | |
| 3. | | | |
| Total Dollars Unpaid: \$ _____ | | | |

**If more than one MBE subcontractor is used for this contract, please use separate forms.

Return one copy of this form to the following address:

| | |
|--|--|
| Maryland State Department of Education 200 West Baltimore Street Baltimore, MD 21201 dritchburg@msde.state.md.us | DOROTHY M. RICHBURG, PROCUREMENT OFFICER Maryland State Department of Education 200 West Baltimore Street Baltimore, MD 21201 dritchburg@msde.state.md.us |
|--|--|

Signature: _____ Date: _____

SUBMIT AS REQUIRED IN TO CONTRACTOR MBE REPORTING REQUIREMENTS

ATTACHMENT 2 – MINORITY BUSINESS ENTERPRISE FORMS

FORM D – 6

MINORITY BUSINESS ENTERPRISE PARTICIPATION SUBCONTRACTOR PAID/UNPAID INVOICE REPORT

| | | |
|--|---|------------|
| Report #: _____ Reporting Period (Month/Year): __/_____ Report Due By the 15th of the following Month. | CATS TORFP #R00P8205000 Contracting Unit _____ Contract Amount _____ MBE Sub Contract Amt _____ Contract Begin Date _____ Contract End Date _____ Services Provided _____ | |
| MBE Subcontractor Name: _____ | | |
| MDOT Certification #: _____ | | |
| Contact Person: _____ | | |
| Address: _____ | | |
| City: _____ | State: _____ | ZIP: _____ |
| Phone: _____ | FAX: _____ | |
| Subcontractor Services Provided: _____ | | |
| List all payments received from Prime TO Contractor during reporting period indicated above. 1. _____ 2. _____ 3. _____ Total Dollars Paid: \$ _____ | List dates and amounts of any unpaid invoices over 30 days old. 1. _____ 2. _____ 3. _____ Total Dollars Unpaid: \$ _____ | |
| Prime TO Contractor: _____ Contact Person: _____ | | |

Return one copy of this form to the following address:

| | |
|--|--|
| Maryland State Department of Education 200 West Baltimore Street Baltimore, MD 21201 dRichburg@msde.state.md.us | DOROTHY M. RICHBURG, PROCUREMENT OFFICER Maryland State Department of Education 200 West Baltimore Street Baltimore, MD 21201 dRichburg@msde.state.md.us |
|--|--|

Signature: _____ Date: _____

SUBMIT AS REQUIRED IN TO CONTRACTOR MBE REPORTING REQUIREMENTS

ATTACHMENT 3 – TASK ORDER AGREEMENT

CATS TORFP# R00P8205000 OF MASTER CONTRACT #050R5800338

This Task Order Agreement (“TO Agreement”) is made this day of Month, 200X by and between Task Order Contractor (TO Contractor) and the STATE OF MARYLAND, TO Requesting Agency.

IN CONSIDERATION of the mutual premises and the covenants herein contained and other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, the parties agree as follows:

1. Definitions. In this TO Agreement, the following words have the meanings indicated:
 - a. “Agency” means the TO Requesting Agency, as identified in the CATS TORFP # ADPICS PO.
 - b. “CATS TORFP” means the Task Order Request for Proposals # ADPICS PO, dated MONTH DAY, YEAR, including any addenda.
 - c. “Master Contract” means the CATS Master Contract between the Maryland Department of Budget and Management and TO Contractor dated December 19, 2005.
 - d. “TO Procurement Officer” means TO Procurement Officer. The Agency may change the TO Procurement Officer at any time by written notice to the TO Contractor.
 - e. “TO Agreement” means this signed TO Agreement between TO Requesting Agency and TO Contractor.
 - f. “TO Contractor” means the CATS Master Contractor awarded this TO Agreement, whose principal business address is _____ and whose principal office in Maryland is _____.
 - g. “TO Manager” means TO Manager of the Agency. The Agency may change the TO Manager at any time by written notice to the TO Contractor.
 - h. “TO Proposal - Technical” means the TO Contractor’s technical response to the CATS TORFP dated date of TO Proposal – Technical.
 - i. “TO Proposal – Financial” means the TO Contractor’s financial response to the CATS TORFP dated date of TO Proposal - Financial.
 - j. “TO Proposal” collectively refers to the TO Proposal – Technical and TO Proposal – Financial.

Scope of Work

- 1.1 This TO Agreement incorporates all of the terms and conditions of the Master Contract and shall not in any way amend, conflict with or supercede the Master Contract.
- 1.2 The TO Contractor shall, in full satisfaction of the specific requirements of this TO Agreement, provide the services set forth in Section 2 of the CATS TORFP. These services shall be provided in accordance with the Master Contract, this TO Agreement, and the following Exhibits, which are attached and incorporated herein by reference. If there is any conflict among the Master Contract, this TO Agreement, and these Exhibits, the terms of the Master Contract shall govern. If there is any conflict between this TO Agreement and any of these Exhibits, the following order of precedence shall determine the prevailing provision:
 - a. The TO Agreement,
 - b. Exhibit A – CATS TORFP
 - c. Exhibit B – TO Proposal-Technical
 - d. Exhibit C – TO Proposal-Financial

- 1.3 The TO Procurement Officer may, at any time, by written order, make changes in the work within the general scope of the TO Agreement. No other order, statement or conduct of the TO Procurement Officer or any other person shall be treated as a change or entitle the TO Contractor to an equitable adjustment under this Section. Except as otherwise provided in this TO Agreement, if any change under this Section causes an increase or decrease in the TO Contractor's cost of, or the time required for, the performance of any part of the work, whether or not changed by the order, an equitable adjustment in the TO Agreement price shall be made and the TO Agreement modified in writing accordingly. The TO Contractor must assert in writing its right to an adjustment under this Section within thirty (30) days of receipt of written change order and shall include a written statement setting forth the nature and cost of such claim. No claim by the TO Contractor shall be allowed if asserted after final payment under this TO Agreement. Failure to agree to an adjustment under this Section shall be a dispute under the Disputes clause of the Master Contract. Nothing in this Section shall excuse the TO Contractor from proceeding with the TO Agreement as changed.

Time for Performance

Unless terminated earlier as provided in the Master Contract, the TO Contractor shall provide the services described in the TO Proposal and in accordance with the CATS TORFP on receipt of a Notice to Proceed from the TO Manager. The term of this TO Agreement is for a period of **insert time for performance**, commencing on the date of Notice to Proceed and terminating on **Month Day, Year**.

Consideration and Payment

- 1.4 The consideration to be paid the TO Contractor shall be done so in accordance with the CATS TORFP and shall not exceed \$**total amount of task order**. Any work performed by the TO Contractor in excess of the not-to-exceed ceiling amount of the TO Agreement without the prior written approval of the TO Manager is at the TO Contractor's risk of non-payment.
- 1.5 Payments to the TO Contractor shall be made as outlined Section 2 of the CATS TORFP, but no later than thirty (30) days after the Agency's receipt of an invoice for services provided by the TO Contractor, acceptance by the Agency of services provided by the TO Contractor, and pursuant to the conditions outlined in Section 4 of this Agreement.
- 1.6 Each invoice for services rendered must include the TO Contractor's Federal Tax Identification Number which is **Federal ID number**. Charges for late payment of invoices other than as prescribed by Title 15, Subtitle 1, of the State Finance and Procurement Article, Annotated Code of Maryland, as from time-to-time amended, are prohibited. Invoices must be submitted to the Agency TO Manager unless otherwise specified herein.
- 1.7 In addition to any other available remedies, if, in the opinion of the TO Procurement Officer, the TO Contractor fails to perform in a satisfactory and timely manner, the TO Procurement Officer may refuse or limit approval of any invoice for payment, and may cause payments to the TO Contractor to be reduced or withheld until such time as the TO Contractor meets performance standards as established by the TO Procurement Officer.

IN WITNESS THEREOF, the parties have executed this TO Agreement as of the date hereinabove set forth.

TO Contractor Name

By: Type or Print TO Contractor POC

Date

Witness: _____

STATE OF MARYLAND, TO Requesting Agency

By: insert name, TO Procurement Officer

_____ Date

Witness: _____

ATTACHMENT 4 – CONFLICT OF INTEREST AFFIDAVIT AND DISCLOSURE

"Conflict of interest" means that because of other activities or relationships with other persons, a person is unable or potentially unable to render impartial assistance or advice to the State, or the person's objectivity in performing the contract work is or might be otherwise impaired, or a person has an unfair competitive advantage.

"Person" has the meaning stated in COMAR 21.01.02.01B(64) and includes a bidder, Offeror, Contractor, consultant, or subcontractor or sub-consultant at any tier, and also includes an employee or agent of any of them if the employee or agent has or will have the authority to control or supervise all or a portion of the work for which a bid or offer is made.

The bidder or Offeror warrants that, except as disclosed in §D, below, there are no relevant facts or circumstances now giving rise or which could, in the future, give rise to a conflict of interest.

The following facts or circumstances give rise or could in the future give rise to a conflict of interest (explain in detail—attach additional sheets if necessary):

The bidder or Offeror agrees that if an actual or potential conflict of interest arises after the date of this affidavit, the bidder or Offeror shall immediately make a full disclosure in writing to the procurement officer of all relevant facts and circumstances. This disclosure shall include a description of actions which the bidder or Offeror has taken and proposes to take to avoid, mitigate, or neutralize the actual or potential conflict of interest. If the contract has been awarded and performance of the contract has begun, the Contractor shall continue performance until notified by the procurement officer of any contrary action to be taken.

I DO SOLEMNLY DECLARE AND AFFIRM UNDER THE PENALTIES OF PERJURY THAT THE CONTENTS OF THIS AFFIDAVIT ARE TRUE AND CORRECT TO THE BEST OF MY KNOWLEDGE, INFORMATION, AND BELIEF.

Date: _____ By: _____

(Authorized Representative and Affiant)

SUBMIT AS A .PDF FILE WITH TO RESPONSE

ATTACHMENT 5 – LABOR CLASSIFICATION PERSONNEL RESUME SUMMARY

INSTRUCTIONS:

1. Master Contractors must comply with all personnel requirements under the Master Contract RFP 050R5800338.

Only labor categories proposed in the Master Contractors Financial Proposal may be proposed under the CATS TORFP process.

For each person proposed in any of the labor categories, complete one Labor Category Personnel Resume Summary to document how the proposed person meets each of the minimum requirements. This summary is required at the time of the interview.

For example: If you propose John Smith, who is your subcontractor, and you believe he meets the requirements of the Group Facilitator, you will complete the top section of the form by entering John Smith's name and the subcontractor's company name. You will then complete the right side of the Group Facilitator form documenting how the individual meets each of the requirements. Where there is a time requirement such as three months experience, you must provide the dates from and to showing an amount of time that equals or exceeds mandatory time requirement; in this case, three months.

Each form also includes examples of duties to perform. The proposed person must be able to fulfill those duties.

For each subject matter expert, the State will identify the particular area of expertise and the Master Contractor shall provide proof the individual has qualifications within that area of expertise.

Additional information may be attached to each Labor Category Personnel Resume Summary that may assist a full and complete understanding of the individual being proposed.

ATTACHMENT 6 – DIRECTIONS TO THE PRE-TO PROPOSAL CONFERENCE

The Pre-Proposal Conference will be held:

THURSDAY, JUNE 19, 2008 @ 2:30 PM

Maryland State Department of Education
Nancy S. Grasmick Education Building
8th Floor, Conference Room 6
200 West Baltimore Street
Baltimore, MD 21201

From Interstate 95 (Washington, D. C.)

95 to Exit 53 – “Route 395 North/Downtown”. On 395, take exit “Downtown/Inner Harbor”, which is the left lane. Stay in left lane. “Downtown/Inner Harbor” exit becomes Howard Street. Cross Conway, Camden, and Pratt Streets. After Pratt, get in the right lane. Cross Lombard Street, turn right at next light which is Baltimore Street. You can turn right from both lanes, but the left lane of Howard Street puts you into the left lane of Baltimore Street and gives easy access to the parking lot, and directly across from the First Mariners Arena (Formerly the Baltimore Arena).

From Interstate 95 (North of Baltimore—Philadelphia/New York)

95 South to Baltimore. Pass the exits to 695 – Baltimore Beltway. As soon as you pass the 695 exits, get in the right two lanes. Stay to the right and follow signs to 95 South/Ft. McHenry Tunnel. (The left two lanes go to 895 and the “old” Harbor Tunnel.) When you exit the Ft. McHenry tunnel stay on the right and take the first exit – 395/Baltimore/Downtown. On the exit ramp you should begin to move to the left and continue to follow the signs that say “Downtown/Inner Harbor”. “Downtown/Inner Harbor” exit becomes Howard Street. Cross Conway, Camden, and Pratt Streets. After Pratt, get in the right lane. Cross Lombard Street, turn right at next light which is Baltimore Street. You can turn right from both lanes, but the left lane of Howard Street puts you into the left lane of Baltimore Street and gives easy access to the parking lot next to the building. MSDE is in the middle of the block, on the left, right next to the parking lot, and directly across from the First Mariners Arena (formerly the Baltimore Arena).

From Annapolis – Route 50

Route 50 West to Route 97 North to Baltimore to exit “695 (Baltimore Beltway) West” to Baltimore. Exit 7B from the Beltway to Baltimore-Washington Parkway “295 North to Baltimore”. Follow directions below for 295 North to Baltimore.

From the Baltimore-Washington Parkway (Route 295)

295 North to Baltimore – all the way into Baltimore City. The name of the road/street changes from BW Parkway to Russell Street to Paca Street. As you come into the city you will pass the site of the new Camden Yards (Oriole Ballpark) on the right, you will cross Pratt Street, Lombard Street, and Redwood Street. At Baltimore Street turn right. Cross Eutaw Street and Howard Street. MSDE is in the middle of the block, on the left, right next to the parking lot, and directly across from the 1st Mariners Arena (Formerly the Baltimore Arena).

ATTACHMENT 7 – NOTICE TO PROCEED

Month Day, Year

TO Contractor Name

TO Contractor Mailing Address

Re: CATS Task Order Agreement #R00P8205000

Dear **TO Contractor Contact**:

This letter is your official Notice to Proceed as of **Month Day, Year**, for the above-referenced Task Order Agreement. **TO Manager** of the **TO Requesting Agency** will serve as your contact person on this Task Order. **TO Manager** can be reached at **telephone # and email address**.

Enclosed is an original, fully executed Task Order Agreement and purchase order.

Sincerely,

TO Procurement Officer

Task Order Procurement Officer

Enclosures (2)

cc: **TO Manager**

Procurement Liaison Office, Office of Information Technology, DBM
Project Management Office, Office of Information Technology, DBM

ATTACHMENT 8 - AGENCY RECEIPT OF DELIVERABLE FORM

I acknowledge receipt of the following:

Project Name: Maryland Accountability & Reporting System (MARS)

TO Agreement Number: # R00P8205000

Title of Deliverable:

TORFP Reference Section Number: 2.2.10 [Release #]

Deliverable Reference ID and Name: _____

Name of MSDE TO Manager: _____

| | |
|----------------------------------|--------------------|
| _____ | _____ |
| MSDE TO Manager Signature | Date Signed |

Name of Contractor's Project Manager: _____

| | |
|---|--------------------|
| _____ | _____ |
| Contractor's Project Manager Signature | Date Signed |

SUBMIT AS REQUIRED IN SECTION 2.6 OF THE TORFP

ATTACHMENT 9 – AGENCY ACCEPTANCE OF DELIVERABLE FORM

Agency Name: MSDE

TORFP Title: Maryland Accountability & Reporting System (MARS)

Designated Approvers:

TBD

To: Approvers

The following deliverable, as required by TO Agreement #R00P8205000, has been received and reviewed in accordance with the TORFP.

Title of deliverable: _____

TORFP Contract Reference Number: Section # _____

Deliverable Reference ID # _____

This deliverable:

Is accepted as delivered.

Is rejected for the reason(s) indicated below.

REASON(S) FOR REJECTING DELIVERABLE:

OTHER COMMENTS:

Approver Signature

Date Signed

ISSUED BY THE TO MANAGER AS REQUIRED IN SECTION 2.66 OF THE TORFP.

ATTACHMENT 10 – NON-DISCLOSURE AGREEMENT (OFFEROR)

O) This Non- Disclosure Agreement (the “Agreement”) is made this ___ day of _____ 200_, by and between _____ (hereinafter referred to as "the OFFEROR ") and the State of Maryland (hereinafter referred to as " the State").

P) OFFEROR warrants and represents that it intends to submit a TO Proposal in response to CATS TORFP #R00P8205000 for Maryland Accountability & Reporting System (MARS). In order for the OFFEROR to submit a TO Proposal, it will be necessary for the State to provide the OFFEROR with access to certain confidential information including, but not limited, to _____. All such information provided by the State shall be considered Confidential Information regardless of the form, format, or media upon which or in which such information is contained or provided, regardless of whether it is oral, written, electronic, or any other form, and regardless of whether the information is marked as “Confidential Information”. As a condition for its receipt and access to the Confidential Information described in Section 1.7 of the TORFP, OFFEROR agrees as follows:

1. OFFEROR will not copy, disclose, publish, release, transfer, disseminate or use for any purpose in any form any Confidential Information received under Section 1.7, except in connection with the preparation of its TO Proposal.
2. Each employee or agent of the OFFEROR who receives or has access to the Confidential Information shall execute a copy of this Agreement and the OFFEROR shall provide originals of such executed Agreements to the State. Each employee or agent of the OFFEROR who signs this Agreement shall be subject to the same terms, conditions, requirements and liabilities set forth herein that are applicable to the OFFEROR.
3. OFFEROR shall return the Confidential Information to the State within five business days of the State’s Notice of recommended award. If the OFFEROR does not submit a Proposal, the OFFEROR shall return the Confidential Information to Dorothy Richburg, MSDE on or before the due date for Proposals.
4. OFFEROR acknowledges that the disclosure of the Confidential Information may cause irreparable harm to the State and agrees that the State may obtain an injunction to prevent the disclosure, copying, or other impermissible use of the Confidential Information. The State’s rights and remedies hereunder are cumulative and the State expressly reserves any and all rights, remedies, claims and actions that it may have now or in the future to protect the Confidential Information and/or to seek damages for the OFFEROR’S failure to comply with the requirements of this Agreement. The OFFEROR consents to personal jurisdiction in the Maryland State Courts.
5. In the event the State suffers any losses, damages, liabilities, expenses, or costs (including, by way of example only, attorneys’ fees and disbursements) that are attributable, in whole or in part to any failure by the OFFEROR or any employee or agent of the OFFEROR to comply with the requirements of this Agreement, OFFEROR and such employees and agents of OFFEROR shall hold harmless and indemnify the State from and against any such losses, damages, liabilities, expenses, and/or costs.
6. This Agreement shall be governed by the laws of the State of Maryland.
7. OFFEROR acknowledges that pursuant to Section 11-205.1 of the State Finance and Procurement Article of the Annotated Code of Maryland, a person may not willfully make a false or fraudulent statement or representation of a material fact in connection with a procurement contract. Persons making such statements are guilty of a felony and on conviction subject to a fine of not more than \$20,000 and/or imprisonment not exceeding 5 years or both. OFFEROR further acknowledges that this Agreement is a statement made in connection with a procurement contract.
8. The individual signing below warrants and represents that they are fully authorized to bind the OFFEROR to the terms and conditions specified in this Agreement. If signed below by an individual employee or agent of the OFFEROR under Section 2 of this Agreement, such individual acknowledges that a failure to comply with the requirements specified in this Agreement may result in personal liability.

Q) OFFEROR: _____ BY: _____

R) NAME: _____ TITLE:

S) ADDRESS: _____
-

SUBMIT AS REQUIRED IN SECTION 1.7 OF THE TORFP

ATTACHMENT 11 – NON-DISCLOSURE AGREEMENT (TO CONTRACTOR)

THIS NON-DISCLOSURE AGREEMENT (“Agreement”) is made as of this ____ day of _____, 200__, by and between the State of Maryland (“the State”), acting by and through its **TO Requesting Agency** (the “Department”), and _____ (“TO Contractor”), a corporation with its principal business office located at _____ and its principal office in Maryland located at _____.

RECITALS

WHEREAS, the TO Contractor has been awarded a Task Order Agreement (the “TO Agreement”) for **TORFP Title TORFP No. R00P8205000** dated **release date for TORFP**, (the “TORFP”) issued under the Consulting and Technical Services procurement issued by the Department, Project Number 050R5800338; and

WHEREAS, in order for the TO Contractor to perform the work required under the TO Agreement, it will be necessary for the State to provide the TO Contractor and the TO Contractor’s employees and agents (collectively the “TO Contractor’s Personnel”) with access to certain confidential information regarding _____ (the “Confidential Information”).

NOW, THEREFORE, in consideration of being given access to the Confidential Information in connection with the TORFP and the TO Agreement, and for other good and valuable consideration, the receipt and sufficiency of which the parties acknowledge, the parties do hereby agree as follows:

1. Confidential Information means any and all information provided by or made available by the State to the TO Contractor in connection with the TO Agreement, regardless of the form, format, or media on or in which the Confidential Information is provided and regardless of whether any such Confidential Information is marked as such. Confidential Information includes, by way of example only, information that the TO Contractor views, takes notes from, copies (if the State agrees in writing to permit copying), possesses or is otherwise provided access to and use of by the State in relation to the TO Agreement.
2. TO Contractor shall not, without the State’s prior written consent, copy, disclose, publish, release, transfer, disseminate, use, or allow access for any purpose or in any form, any Confidential Information provided by the State except for the sole and exclusive purpose of performing under the TO Agreement. TO Contractor shall limit access to the Confidential Information to the TO Contractor’s Personnel who have a demonstrable need to know such Confidential Information in order to perform under the TO Agreement and who have agreed in writing to be bound by the disclosure and use limitations pertaining to the Confidential Information. The names of the TO Contractor’s Personnel are attached hereto and made a part hereof as Exhibit A. Each individual whose name appears on Exhibit A shall execute a copy of this Agreement and thereby be subject to the terms and conditions of this Agreement to the same extent as the TO Contractor. TO Contractor shall update Exhibit A by adding additional names as needed, from time to time.
3. If the TO Contractor intends to disseminate any portion of the Confidential Information to non-employee agents who are assisting in the TO Contractor’s performance of the TORFP or who will otherwise have a role in performing any aspect of the TORFP, the TO Contractor shall first obtain the written consent of the State to any such dissemination. The State may grant, deny, or condition any such consent, as it may deem appropriate in its sole and absolute subjective discretion.
4. TO Contractor hereby agrees to hold the Confidential Information in trust and in strictest confidence, to adopt or establish operating procedures and physical security measures, and to take all other measures necessary to protect the Confidential Information from inadvertent release or disclosure to unauthorized third parties and to prevent all or any portion of the Confidential Information from falling into the public domain or into the possession of persons not bound to maintain the confidentiality of the Confidential Information.
5. TO Contractor shall promptly advise the State in writing if it learns of any unauthorized use, misappropriation, or disclosure of the Confidential Information by any of the TO Contractor’s Personnel or

the TO Contractor's former Personnel. TO Contractor shall, at its own expense, cooperate with the State in seeking injunctive or other equitable relief against any such person(s).

6. TO Contractor shall, at its own expense, return to the Department, all copies of the Confidential Information in its care, custody, control or possession upon request of the Department or on termination of the TO Agreement.
7. A breach of this Agreement by the TO Contractor or by the TO Contractor's Personnel shall constitute a breach of the TO Agreement between the TO Contractor and the State.
8. TO Contractor acknowledges that any failure by the TO Contractor or the TO Contractor's Personnel to abide by the terms and conditions of use of the Confidential Information may cause irreparable harm to the State and that monetary damages may be inadequate to compensate the State for such breach. Accordingly, the TO Contractor agrees that the State may obtain an injunction to prevent the disclosure, copying or improper use of the Confidential Information. The TO Contractor consents to personal jurisdiction in the Maryland State Courts. The State's rights and remedies hereunder are cumulative and the State expressly reserves any and all rights, remedies, claims and actions that it may have now or in the future to protect the Confidential Information and/or to seek damages from the TO Contractor and the TO Contractor's Personnel for a failure to comply with the requirements of this Agreement. In the event the State suffers any losses, damages, liabilities, expenses, or costs (including, by way of example only, attorneys' fees and disbursements) that are attributable, in whole or in part to any failure by the TO Contractor or any of the TO Contractor's Personnel to comply with the requirements of this Agreement, the TO Contractor shall hold harmless and indemnify the State from and against any such losses, damages, liabilities, expenses, and/or costs.
9. TO Contractor and each of the TO Contractor's Personnel who receive or have access to any Confidential Information shall execute a copy of an agreement substantially similar to this Agreement and the TO Contractor shall provide originals of such executed Agreements to the State.
10. The parties further agree that:
 - a. This Agreement shall be governed by the laws of the State of Maryland;
 - b. The rights and obligations of the TO Contractor under this Agreement may not be assigned or delegated, by operation of law or otherwise, without the prior written consent of the State;
 - c. The State makes no representations or warranties as to the accuracy or completeness of any Confidential Information;
 - d. The invalidity or unenforceability of any provision of this Agreement shall not affect the validity or enforceability of any other provision of this Agreement;
 - e. Signatures exchanged by facsimile are effective for all purposes hereunder to the same extent as original signatures; and
 - f. The Recitals are not merely prefatory but are an integral part hereof.

TO Contractor/TO Contractor's Personnel:

TO Requesting Agency:

Name: _____

Name: _____

Title: _____

Title: _____

Date: _____

Date: _____

SUBMIT AS REQUIRED IN SECTION 1.7 OF THE TORFP

EXHIBIT A

**TO CONTRACTOR'S EMPLOYEES AND AGENTS WHO WILL BE GIVEN ACCESS TO THE
CONFIDENTIAL INFORMATION**

Printed Name and Address
of Employee or Agent

Signature

Date

| | | |
|-------|-------|-------|
| _____ | _____ | _____ |
| _____ | _____ | _____ |
| _____ | _____ | _____ |
| _____ | _____ | _____ |
| _____ | _____ | _____ |

EXTERNAL ATTACHMENTS

This TORFP describes the requirements to be fulfilled by the selected vendor. The details associated to the business logic are defined in a series of external MS Excel spreadsheets. In general, these external spreadsheets provide the details associated to complex relationships that must be supported between the Agency, Food & Nutrition Programs, SCNPB, and the Federal/State governments for compliance and reporting.

As defined in the beginning of Section 2, the MARS project will support the automation and business practices associated to the Program Administration and Financial Management business units withing SCNPB. The external spreadsheet attachments provide the details associated to these two business units. All of the details within these attachments are in scope for this project. These external attachments were finalized in May of 2008 and provide an accurate representation of anticipated business logic that must be supported by the MARS system.

PA Attachments

The external spreadsheet “PA Attachments.XLS” provides the details of the relationships, edits, processing rules associated to the Program Administration (PA) processing. The PA processing is the foundation for ALL SCNPB processing as this is the entry point (and exit point) for all agency relationships with SCNPB.

The foundation established from the PA logic then carries through to all subsequent processing and activities performed by SCNPB and dictates what an agency can do, not do, must do.

The PA Attachments are primarily cross referenced in the “Program Administration Processing” sections of the TORFP.

FM Attachments

The external spreadsheet “FM Attachments.XLS” provides the details of the relationships, edits, processing rules associated to the Financial Management (FM) processing. The FM attachments provide the data entry requirements and edit checks associated to the Financial Management and Claim processing activities.

The FM Attachments are primarily cross referenced in the “Financial Management Processing” sections of the TORFP.

Claim Attachments

The external spreadsheet “Claim Attachments.XLS” provides the details of the relationships, edits, processing rules associated specifically to the claim processing sections of the Financial Management processing.

The Claim Attachments are primarily cross referenced in the “Financial Management Processing” sections of the TORFP with a focus on the data entry section 2.3.15.

Report Attachments

The external spreadsheet “Report Attachments.XLS” provides the details of the ad hoc and structured reporting requirements. These worksheets provide the details of what needs to be reported when and to whom.

The Report Attachments are primarily cross referenced throughout the TORFP. Several reporting requirements are referenced in the Financial Management processing. The specific section of reporting requirements 2.3.22 Reporting (and ad hoc queries) provides the details associated to all of the Report Attachments.