STATE OF MAINE
Department of Labor
Bureau of Employment Services

REQUEST FOR PROPOSAL

RFP # 201103054

"WESIS: Workforce & Employment Services Information System"

1. OVERVIEW

1.1. Purpose

The State of Maine, Department of Labor (MDOL) Bureau of Employment Services (BES) is soliciting proposals from qualified vendors to deliver a robust and intelligent technology software solution that can efficiently capture, track and report data on a variety of workforce client and employer information. Specifically, job seeker and employer programs and services such as: Wagner-Peyser, Workforce Investment Act, Trade Adjustment Assistance, Labor Exchange, Veterans Services, Lifelong Learning Account, Competitive Skills Scholarship Program, Apprenticeship, and Ticket to Work. The Bureau of Employment Services routinely operates several federal demonstration grants, such as the Disability Employment Initiative, Health Care Industry and Green Jobs grants. The Bureau of Employment Services will select a qualified vendor who demonstrates that its product and/or services can act as a "Workforce & Employment Services Information System" (WESIS) that best complies with federal and state reporting, is the most compatible with the State's workforce development business needs, and whose services are reliable, efficient, sustainable, dynamic, fully supported, and creates efficiencies in the State's handling of workforce client data. The BES intends to replace it's existing One Stop Operating System (OSOS).

1.2. Scope

The scope of this project is centered around "client" management and reporting. Additional features will not be considered as part of the core criteria, but may be included. The perspective users of this system include Career-Center staff and managers, administrative staff, federal and state level monitor/auditors and the clients themselves. The aim is for integration with present Department of Labor systems that allows for a single sign on approach to workforce services. Therefore, ease of use, workflow and simplicity are essential.

1.3. Project Team

The project team included members from the business and technology perspectives.
- ✓ Stephen R. Duval - Division Director, Policy & Evaluation
- ✓ Dale F. Hinds - Office of Information Technology Liaison
- ✓ Elissa K. Burke - Functional Analyst, Consultant
- ✓ Roger Quirion - Project Management Office

1.4. Organization and Intent

This document is organized into main sections and appendices. All information provides reference material intended to fulfill the RFP.

Interested and qualified organizations that have experience and expertise in delivering a technology software solution to capture, track and report on the various job seeker and employer programs and services are invited to submit a proposal in accordance with the instructions indicated in this document.

1.5. Definitions and Acronyms

The following terms and abbreviations as used herein are defined as follows:

- AdvantageME: State of Maine's financial/purchasing system.

- BES (Bureau of Employment Services): Provides a variety of employment and training services for Maine workers, businesses, and jobseekers through the Maine CareerCenter network.

- CareerCenter: Twelve full service locations statewide that provide individuals with access to a library of resources designed to help individuals explore career options, learn about the labor market, search for employment, interview for jobs, explore self-employment possibilities, and much more. Individuals can use electronic equipment to write, copy, and fax resumes and cover letters; search the CareerCenter job bank; research Internet job boards; and telephone employers. They can also use available computer stations to receive help with making career decisions, prepare job search materials, research training opportunities, and write business plans. Provide information and access to employment and training programs. For individuals meeting eligibility criteria, assessment services, job counseling, employability enhancement, and occupational skills training are available.

- CSSP (Competitive Skills Scholarship Program): Helps workers learn new skills and succeed in a changing economy. The program is open to all qualified Maine residents and pays for education and training (including apprenticeships) for jobs in demand in Maine.

- LWIB (Local Workforce Investment Boards): The Maine workforce system comprises 4 regions or Local Workforce Investment Boards.

- MJB (Maine Job Bank): The State's online job posting and job search system.

- MDOL (Maine Department of Labor): Committed to Serving Maine Workers and Businesses by: Assisting individuals, families and communities when jobs are lost; helping people prepare for and find jobs; protecting workers on the job; and Researching and analyzing employment data to support job growth.

- NEG (National Emergency Grant): Temporarily expand the service capacity of Workforce Investment Act Dislocated Worker training and employment programs at the state and local levels by providing funding assistance in response to large; unexpected economic events which cause significant job losses. NEGs generally provide resources to states and local workforce investment boards to quickly reemploy laid-off workers by offering training to increase occupational skills.

- OIT (Office of Information Technology): The State's centralized direction, coordination and oversight to information technology policy making, planning,

architecture and standardization, with the focus on delivery of effective information technology services.

- OSOS (One-Stop Operating System): This is Maine's electronic information management system for a wide variety of federal and state employment and training programs.

- TAA (Trade Adjustment Assistance): Provide benefits and services to workers who become unemployed due to the impact of international trade.

- TANF (Temporary Assistance for Needy Families): The Act provides temporary financial assistance while aiming to get people off of that assistance, primarily through employment.

- US DoL (United States Department of Labor): To foster, promote, and develop the welfare of the wage earners, job seekers, and retirees of the United States; improve working conditions; advance opportunities for profitable employment; and assure work-related benefits and rights.

- Wagner-Peyser: To provide for the establishment of a national employment system and for cooperation with the States in the promotion of such system, and for other purposes.

- WESIS ("Workforce & Employment Services Information System"): Potential name of the new workforce system that is implemented by this project.

- WIA (Workforce Investment Act): To consolidate, coordinate, and improve employment, training, literacy, and vocational rehabilitation programs in the United States, and for other purposes.

2. BACKGROUND INFORMATION

2.1. Description of the Bureau of Employment Services

The Workforce Investment Act of 1998 (WIA) reformed federal employment, training, adult education, and vocational rehabilitation programs by creating an integrated "one-stop" system of workforce investment and education services for adults, dislocated workers, and youth.

The Maine workforce system comprises 4 regions or Local Workforce Investment Boards. These regions utilize a network of 12 full-service Career-Centers with additional service points and partner providers located throughout the state that provide services to employers and job seekers.

- Region 1 - Serving Aroostook & Washington Counties
- Region 2 - Serving Piscataquis, Penobscot, & Hancock Counties
- Region 3 - Serving Androscoggin, Franklin, Kennebec, Oxford, & Somerset Counties
- Region 4 -Serving Waldo, Knox, Lincoln, Sagadahoc, Cumberland, & York Counties

Career-Centers provide a variety of employment and training services at no charge for Maine workers and businesses. Whether looking to improve job qualifications, explore a different profession, find a new career or hire an employee. In addition to the physical Career-Center locations, the Maine Department of Labor also offers services through the Maine Job Bank (MJB). The Maine Job Bank provides user access via www.mainecareercenter.com 24 hours a day, 7 days a week. After completing an account, completing registration requirements and a job match profile, users are able to:

- Search for job openings based upon your individual qualifications
- View electronic Job Postings and receive referral information via email for job opportunities whose qualifications you meet Search new Job Postings added to mainecareercenter.com daily
- Post a Personal Resume that can be sent to employers

2.2. Funding

The BES is almost exclusively funded by federal programs. The most notable of these is the Workforce Investment Act, including National Emergency Grants, Wagner Peyser and Trade Adjustment Assistance. Other federal sources are Workforce Opportunity Tax Credit, Disability Employment Initiative, Veterans Grants, and the Foreign Labor Certification. BES receives a very limited amount of state funding to operate the Career-Centers, Maine Apprenticeship Program, Competitive Skills Scholarship Fund and the Governors Training Initiative.

2.3. Current Case Management Processes and Procedures
2.3.1. Overview and Architecture

The Bureau of Employment Services' current case management system, OSOS, was developed in the late-90's and initially deployed in March of 2000. It is written in Progress,

a non-relational database architecture, it has been upgraded to Progress 9 and migrated to the central OIT enterprise in July 2008.

2.3.2. Case/Client Management

The system allows Career-Center and MDOL/BES staff to track and maintain client records from application to closure. This includes:

- ➢ Application
- ➢ Recording of client demographic information
- ➢ Tracking of client case history (multiple cases)
- ➢ Eligibility Determination
- ➢ Management of individual cases and caseloads
  - o Individual Service Strategy
  - o Service logs
  - o Case notes
- ➢ Distribution of regional, office, and caseload budgets
- ➢ Creation and payment of funding authorizations
- ➢ Exit/Outcome information
- ➢ Produce local, state and federal program activity and performance reports

See Appendix A <Customer Flow/OSOS Documentation>

2.4. Purchases

In order to accurately capture all case-related costs for federal reporting purposes, all purchases or payments made on behalf of a client are processed through the system. BES staff complete an electronic authorization form that authorizes a selected vendor to provide specified services or goods or reimburse the client for the approved good or service. Once these goods/services are provided or paid for, staff electronically approves the authorization for payment, at which time it can be invoiced by another BES staff. In select situations, supervisor approval is required prior to invoicing of an authorization, under standard business rules.

2.5. Budgeting

Workforce Investment Act program funding and budgeting is completed through the BES administrative office. Funds are distributed by federal and state formula guidelines to four (4) Local Workforce Investment Boards (LWIB's). The Local Workforce Investment Boards contract 85% of the allocation to local service providers. Program funds enable Career-Center staff to provide training and support to individual participants... Wagner-Peyser and Trade Adjustment Assistance allocations and budgeting is completed by the BES administrative office.

2.6. Reporting

BES uses the OSOS system to meet its federal reporting requirements, as well as providing a variety of local and central office reports. A majority of these reports are run against the centralized database. Other reports are created by importing data extracts from OSOS into Excel or Access, or by making special requests to a programmer for custom, one-off reports.

2.7. Documentation Management

OSOS produces casework reports, letters, and forms that are populated with case data by OSOS at the time they are generated. The majority of casework forms and verification documents are external of the system. Some forms currently reside on the BES Intranet and all pertinent documents are integrated into the case in hard copy.

2.8. Monitoring

Program monitoring has two main purposes: 1) to ensure that the CareerCenter system is in compliance with the intent and substance of the rules governing funding streams, and; 2) to provide an understanding of the systems operating to achieve the overall workforce investment goals.

The monitoring tools are designed to explore the working relationships that make a difference to the customer in terms of the breadth and depth of services. As monitoring experience is gained, the relationships among partners can be compared to the outcomes that customers typically receive. The object of this type of monitoring is to find if allowable and acceptable services and activities are being provided. Monitoring of services and activities will also ensure that expected performance protocols are being followed and the data entered the system is valid and accurate.

2.9. Interfaces

BES systems currently interface with several systems through the use of interface files; these include the following:

- ✓ AdvantageME (the State's financial accounting system, limited to MDOL's Direct Delivery Operations)
- ✓ Maine Job Bank / Common Client database
- ✓ Common Employer database
- ✓ Unemployment Benefits system
- ✓ Unemployment Tax system
- ✓ US DoL
- ✓ Digital Research
- ✓ Various FTP files in and out

2.10. Description of the Office of Information Technology

The Office of the Information Technology (OIT) provides centralized direction, coordination and oversight to information technology policy making, planning, architecture and standardization, with the focus on delivery of effective information technology services. This includes responsibilities over information technology leadership, communications, planning, financial performance management, procurement and contract management, and resource management.

OIT is currently organized into three main sections: Policy, Planning, and Oversight, Applications Development and Shared Services, and Core Technology Services. For the purposes of this RFP, it is important to note that the procured solution will reside within OIT's technical infrastructure, which is supported and maintained by Core Technology

Services. Core Technology services operates a sophisticated information technology infrastructure that includes two large data centers and a sophisticated wide-area network. Refer to the following link for a detailed description of OIT's architecture:

http://www.maine.gov/oit/architecture/index.shtml

The information available through the link above should be used as a guide in preparing a response to the RFP.

3. GENERAL PROCEDURES AND INSTRUCTIONS
This section contains a detailed description of the procurement process and rules.

3.1. General Information
This RFP is designed to select a qualified bidder who will be responsible for providing the desired solution. The successful bidder will be responsible for providing services to meet the requirements identified in this RFP, and will be held accountable for meeting these requirements. Proposals must conform to the requirements of the RFP. No payment will be made under the resulting contract until approved by the Agreement Administrator.

Proposals must conform to all instructions, conditions, and requirements included in the RFP. Bidders are expected to carefully examine all documentation, schedules, and requirements stipulated in this RFP and respond to each requirement in their proposals in the format prescribed.

3.2. Acquiring Office and Project Manager
The State's Project Manager for this RFP is:

>   Elissa K. Burke
>   Department of Labor
>   Bureau of Employment Services
>   45 Commerce Center Dr.
>   Augusta, ME   04333
>
>   Telephone: 207-623-7986
>   E-MAIL: Elissa.Burke@maine.gov

3.3. Type of Contract
This RFP is specifically intended to solicit proposals for contracts on the basis of a firm, fixed price. The successful bidder will be required to enter into an Agreement with Purchase Services – EO Information Technology. The provisions of this RFP and the winning proposal, which will be incorporated by reference in the resulting contract, and additional clauses or provisions required by federal or state law or regulation in effect at the time of execution of the resulting contract will be included in the contract. The contract template link is http://www.maine.gov/purchases/forms/BP54%20EO-IT.doc

The State reserves the right to make a contract award without any further discussion with the Bidders regarding the proposals received. Therefore, proposals should be submitted initially on the most favorable terms available to the State from a price and technical standpoint. The State, however, reserves the exclusive discretion to seek additional information regarding the bidder(s) proposal(s) from one or more responsible bidders who submit proposals.

3.4. Communications with State Staff
From the date of issue of this RFP until a determination is made and announced regarding the selection of a bidder, all contact with regarding the subject matter of this RFP will be

directed in writing to the Project Manager. Violation of this provision may result in disqualification of the bidder's proposal.

Bidders are advised that only the Project Manager can clarify issues or render any opinion regarding the RFP. No other employee of the state or member of the committee(s) addressing this matter is empowered to make binding statements regarding this RFP. Any clarifications regarding the RFP will be issued in writing by the Project Manager.

3.5. Written Questions and Answers

Any question regarding the meaning of any RFP provision must be submitted via email to the Project Manager, Elissa.Burke@maine.gov. Questions must be transmitted with "BES Workforce & Employment Services Information System Procurement Questions" in the email subject line. The State assumes no liability for assuring accurate/complete email transmission/receipt and will not acknowledge receipt except by addressing the questions received. All responses to bidder questions will be posted on the Maine Career-Center website (http://www.mainecareercenter.com/workforce/rfp/).

Under no circumstances will questions be entertained unless they are submitted in writing by the deadline for written questions specified in Section 3.16 of this RFP.

The State will respond in writing to all substantive questions received. Only those answers issued in writing will be considered binding. Any information given to bidders concerning the RFP including written questions and answers will be furnished on the above mentioned website (http://www.mainecareercenter.com/workforce/rfp/) for all bidders to review.

3.6. Bidders' Conference

A bidders' conference will be held at the date and time specified in Section 3.16 of this RFP. The Bidders Conference will be held in the Augusta, Maine area. Directions will be available upon request. Attendance at the conference is strongly recommended, but is not required. Bidders will have the opportunity to ask questions at the conference and the State will make a reasonable attempt to answer those questions before the end of the conference. Oral answers by the State will not be binding; however, answers to questions received at the conference will be included in the written response to questions specified and posted on the website http://www.mainecareercenter.com/workforce/rfp/ for all bidders to review.

3.7. Disclosure of Data

After contract award, the content of all proposals, correspondence, addenda, memoranda, working papers, or any other medium which discloses any aspect of the proposal will be considered public information except as otherwise provided by law.

3.8. Revision of RFP

The State alone reserves the right to amend the RFP prior to the announcement of the successful bidder. All bidders who received a copy of the RFP from the Project Manager will be notified of any amendments to the RFP. In such an event, all bidders will be afforded an opportunity to revise their proposals to accommodate the RFP amendment. If, in the opinion of the State, amendments will require substantive changes in proposals, the due date

may be extended. The State will not be responsible for any additional costs incurred as a result of said changes in the RFP.

3.9. Cost of Proposal Preparation

The entire cost for the preparation and submission of a proposal, and the attendance at any oral presentation, or personnel interviews will be borne by the bidder.

3.10. Proposals

3.10.1 Submission of Proposal

The entire proposal must be submitted in accordance with the submission requirements specified within Section 7 "Proposal Submission Requirements" by the proposal due date and time specified in Section 3.16 of this RFP. To be accepted, all proposals must be postmarked by 11:30 AM on 6/20/2011.

Proposals which arrive late will be rejected.

3.10.2 Rejection of Proposal

The State reserves the right to reject proposals that contain material deviations from the requirements of this RFP. It is understood that all proposals, whether rejected or not, will become part of the official file of the State.

3.11. Rights of State Government

This RFP does not commit the State to award a contract, or pay any cost incurred in the preparation of a proposal for this RFP. The State reserves the right to reject all proposals, and at its discretion may cancel or amend this RFP at any time.

By submitting a proposal in response to this RFP, the bidder grants to the State the right to contact or arrange a visit in person with any or all of the bidder's clients.

All bidders will be notified in writing of the award decision.

3.12. Evaluation of Proposals and Contract Award

The State will select a bidder through a formal evaluation process, established prior to the opening and evaluation of proposals. The State reserves the right to contact individuals, entities or organizations who have had recent dealings with the bidder whether they are identified as references or not.

3.13. Evaluation Factors and Award Points

A selection committee will evaluate the proposal responses. The selection of the successful bidder will be based on considerations from three separate phases as described below. Bidders may be eliminated from consideration at each phase based upon the evaluation criteria. Evaluation and scoring will be based on the collective opinion and experience of the selection committee.

3.13.1 Initial Screening

Initial Screening will consist of the rejection of proposals that do not meet the Proposal Submission Requirements specified within Section 7 of this RFP. Proposals that cannot be successfully evaluated and scored due to incomplete or missing information will be rejected in this step and will not be further evaluated.

3.13.2 Initial Evaluation

Those proposals which pass the Initial Screening will be evaluated and scored in accordance with a formal evaluation and scoring process. The list below reflects the major categories that will be scored as part of the evaluation and scoring process. The chart subsequent to the list details each section with further details.

1. Responsive to Business Needs …………………………………...35 Points
2. Costs …………………………………………………………...25 Points
3. Experience and Qualifications …………………………………....25 Points
4. Product Features …………………………………………………15 Points

	Initial Evaluation	
	Proposal Section	**Potential Points**
1	Bidder's Ability to Perform the Work: ➢ Quality of Proposal ➢ Executive Summary ➢ Bidder Qualifications (#3 above)	25
2	Product That Best Meets the Needs of the State: ➢ Executive Summary ➢ Services Approach (#1 above) ➢ Proposed Solution (#4 above)	50
3	Costs: ➢ Architectural Design ➢ Hardware and Equipment* ➢ Software and Licensing* ➢ Costs (#2 above)	25
	TOTAL POSSIBLE	**100**

*Note: In evaluating the RFP Cost criterion submissions, the evaluation committee will ADD IN the costs associated with State of Maine hosting and supporting the hardware and equipment and software that has been identified as being the State's responsibility, based on the State's latest Services & Rates. Refer to the following link: http://maine.gov/oit/services

3.13.3 Oral Presentations and Hands-on Evaluation

Bidders with the highest rated proposals will be asked to conduct an oral presentation and a hands-on evaluation of their respective solutions. The oral presentation and hands-on evaluation will be conducted on-site in the Augusta, Maine area. To prepare for the presentation and hands-on evaluation, bidders will be provided with an agenda and list of instructions at least one week prior to coming on-site.

3.13.3.1 Oral Presentations

The bidder will conduct an oral presentation to explain and clarify characteristics or significant elements related to their proposal based upon the instructions provided by the State. Bidders will not be allowed to alter or amend their proposals through the oral presentation process. Bidders will not be permitted to attend competitor oral presentations. Bidders will be required to submit written and electronic copies of any material they plan to present during the presentation (*e.g.*, copies of a PowerPoint presentation).

3.13.3.2 Hands-on Evaluation

The bidder will provide the selection team with web access to the base version of the proposed solution for the purposes of conducting the hands-on evaluation. The solution should be able to accommodate 5 concurrent users and enable a wide-variety of actions to be taken with little, if any, setup time. Specific actions will be performed during the hands-on evaluation to validate some of the requirements in Section 5 of the RFP and various elements of the proposal. Actions will be performed at the exclusive discretion of the selection team. The bidder will be required to have a resource available to answer questions and provide assistance in a timely manner as needed throughout the hands-on evaluation period.

The oral presentation and hands-on evaluation will be conducted over a period of seven working days. As a general guideline, the first day will be devoted to the oral presentation and the final six working days devoted to the hands-on evaluation. After the Oral Presentation and the Hands-on Evaluation, the selection committee may revise the scores from the Initial Evaluation to reflect the information gleaned in those forums.

3.14 Contract Award
The State will select the highest rated proposal submitted by the best-value bidder based upon the evaluation and scoring process. The State will notify the successful bidder in writing regarding the selection. The State requires the selected bidder to participate in contract negotiations and to submit such price, technical or other revisions to the proposal as may result from negotiations. Upon resolution of the final negotiations, the State will prepare a final contract and award. If for any reason the State is unable to obtain an acceptable contract with the selected bidder, the selected bidder will be disqualified. In this event, the State may then proceed to negotiate a contract with the bidder with the next highest rated proposal. The State may cancel negotiations entirely at any time at the exclusive discretion of the State.

The negotiated contract will be made in the best interest of the State. The RFP and the proposal of the selected bidder will be incorporated into and form the basis of a legal contract.

3.15 Term
The parties will enter into a contract for the required services for the period beginning with the project start/initiation and ending four years after system implementation/go-live. The original contract will include four years of post implementation support.

3.16 Summary of Key Events

Request for Proposal Issued		5/3/2011
Bidders' Conference	2:00 pm EST	5/17/2011
Deadline for Written Questions	5:00 pm EST	5/24/2011
Response to Written Questions		5/31/2011
Proposal Due Date	2:00 pm EST	6/20/2011

4   SCOPE OF WORK

This section describes the scope of work from which the bid should be based. The work as it is defined below will become part of the contract resulting from this procurement, and it will be the responsibility of the successful bidder to ensure that it is performed to completion in accordance with the terms and conditions of the contract.

4.1   Project Planning

The successful bidder's Project Manager will work with the State Project Manager to plan for the upcoming work effort. The Work Plan that is provided as part of the RFP proposal (Refer to Section 7.1.4.2 of the RFP) will be reviewed and refined as necessary to reflect the work that is to be accomplished. A Project Management Plan will be created at this time as well. No work will begin until a Work Plan has been established for the first 45 days of the project. This initial version of the Work Plan and Project Management Plan will be reviewed and approved by the State Project Manager prior to moving forward with the associated work. The final version of the Work Plan and Project Management Plan will be completed and officially accepted no later than 30 days from the official start date of the project. Any adjustment to this 30 day timeline will need to be approved in writing by the State Project Manager. The Payment Schedule provided as part of the RFP proposal (Refer to Section 7.1.6 of the RFP) will be adjusted to reflect the dates within the Work Plan and will be officially reviewed and accepted along with the Work Plan and Project Management Plan. The approved Work Plan and Payment Schedule will be incorporated into the contract between the State and the successful bidder and will be made a part thereof.

4.1.1   Deliverables:

➢ A detailed Project Work Plan that will include but not be limited to the following:
   ✓ Detailed list of tasks and sub-tasks to perform all work specified within Section 4 "Scope of Work." Tasks and sub-tasks must include estimated work effort.
   ✓ Start and end dates for each task and sub-task. Tasks greater than 10 work days must be broken down into smaller sub-tasks.
   ✓ Relationships and dependencies for each task and sub-task presented in such a way that the critical path is clearly identified.
   ✓ Resource assignments that clearly reflect whether a task or sub-task is to be addressed by the successful bidder, a sub-contractor, or State staff. State tasks must be shown separately from successful bidder and sub-contractor tasks. For tasks involving State staff, the level of expertise required must be provided.
   ✓ Significant milestones/events that will assist in measuring the progress of the project.
   ✓ All deliverables and associated submission dates.
   ✓ Detailed tasks for performing all tests in accordance with the Deployment Certification Policy.
   ✓ Tasks to reflect the deliverable submission and review process for each deliverable.

➢ A Payment Schedule reflecting the payment milestones for the contract and the associated payment. All payment milestones will be associated with the delivery and acceptance of one or more project deliverables.

➢ A Project Management Plan that will include but not be limited to the following:
  ✓ Staffing Plan reflecting the major roles and responsibilities of State staff and staff of the successful bidder
  ✓ Communication Plan reflecting communication processes and procedures for the project (e.g. meetings, reports)
  ✓ Risk Management Plan reflecting all known risks and an associated plan for mitigating the risks defined
  ✓ A list and description of assumptions and constraints

4.2   Architectural Design

The successful bidder will work with designated State staff to review the proposed architectural design that was provided as part of the RFP proposal and refine it as necessary to reflect how the solution will be incorporated within the State's technical infrastructure. The preferred solution will be hosted by the State of Maine; however, if considerable cost savings and robust security is met with alternative hosting solutions that alternative may be entertained. The successful bidder will be responsible for applying the desired additions and adjustments to the architectural design deliverable. The resulting architectural design will be required to meet and support all requirements specified in Section 7.1.5.3 of the RFP. A Procurement/Acquisition Plan aimed at procuring/acquiring the required hardware and software based upon the resulting architectural design will be created as part of this effort. With respect to any architecture component for which the State already has a defined standard, the proposal is expected to comply with that standard. Should the proposal include an architecture component for which the State does not yet have a defined standard, then the successful bidder is expected to work with the State in further exploration of options. In all cases, the decision of the CIO shall be final and binding.

4.2.1   Deliverables:

➢ Adjusted architectural design reflecting the information specified in Section 7.1.5.2 "Architectural Design".
➢ Procurement/Acquisition Plan that will include but no be limited to the following:
  ✓ List and description of required hardware. The list should clearly indicate whether or not the hardware is available or needs to be procured by the State.
  ✓ List and description of required software. The list should clearly indicate whether the software is to be provided by the State or successful bidder. For software provided by the State, the list should clearly indicate whether or not the software is available or needs to be procured by the State.

4.3   Architectural Build

The State will install and configure all components for which the State already maintains a defined standard. With respect to any component that is unique to the proposed solution, for which the State does not yet have a defined standard, the successful bidder will work under the supervision of State personnel to install and configure said components, and deliver detailed, repeatable instructions for the same. The successful bidder will furnish to the State all relevant software licenses and agreements. Further, the successful bidder will work under the supervision of State personnel to perform all required testing in support of the Deployment Certification of the proposed solution.

4.3.1 Deliverables:

➢ Technical Infrastructure to support the procured solution.
➢ A detailed set of instructions for installing and configuring the software that is deemed to be unique to the successful bidder's solution for which the State does not yet have a defined standard.
➢ All software licenses and copy of the license agreements.

4.4 Technical Environments

The successful bidder will assist State staff with the setup of all technical environments specified within Section 5. The successful bidder will be responsible for ensuring that the environments are established in a timely manner to meet their intended purpose as the project moves forward (e.g. conduct acceptance testing in Test Environment, conduct training in Training Environment, etc.).

4.4.1 Deliverables:

➢ Development environment
➢ Test environment
➢ Training environment
➢ Production environment

4.5 Package Validation

The successful bidder will validate that the base solution meets the requirements that were specified as being met by the base solution within their response to the technical and functional requirements (Refer to Section 7.1.5.1). For the purposes of this RFP, the base solution is considered to be the out of the box functionality of all software identified by the successful bidder as being necessary to satisfy the technical and functional requirements of the RFP. The successful bidder will be responsible for creating a Package Validation Plan aimed at validating the appropriate requirements and addressing all issues/errors identified. The successful bidder will schedule and coordinate all associated activities to ensure that the work is performed in accordance with the plan that is created. All validation work will be performed in a State facility in the Augusta, Maine area. Unless specified otherwise within the Package Validation Plan, the successful bidder will be required to provide all tools, materials, and resources necessary to effectively perform the required work.

4.5.1 Deliverables:
➢ Package Validation Plan consisting of but not limited to the following:
   ✓ Actions to be taken and expected results for each requirement to be validated
   ✓ List and description of all work tasks and human resources required to prepare for and conduct the required tasks
   ✓ List and description of required tools and equipment
   ✓ Materials for performing the action steps and documenting results
   ✓ Description of issue/error reporting and resolution procedure
   ✓ Validation schedule
➢ Completed package validation and associated results
➢ Base solution functionality that meets the requirements as proposed

4.6   Business Processes and Procedures

The successful bidder will define and implement business processes and procedures to accommodate and support the new solution. The successful bidder will initially gain an understanding of current business processes and procedures. Information to be obtained will include but not be limited to current work functions, roles and responsibilities, business rules, inputs/outputs, and interfaces. The successful bidder will utilize the information obtained to define the business processes and procedures that will be needed to efficiently and effectively accommodate the new solution. The State desires to limit customization to the base solution as much as possible and will be open to re-engineering its processes and procedures to meet this goal. All components requiring detailed design and development work will be identified as part of this effort.   The majority of this work effort will require on site presence by the successful bidder.

4.6.1 Deliverables:
➢ A document containing the following:
   ✓ A narrative and/or graphical description of current business processes and procedures. Information to be presented will include but not be limited to the following:
      ▪ Work functions
      ▪ Roles and responsibilities
      ▪ Business Rules
      ▪ Inputs/Outputs (e.g. forms, reports, tables/data elements)
      ▪ Interfaces
   ✓ A narrative and/or graphical description of new business processes and procedures. Information to be presented will include but not be limited to the following:
      ▪ Work functions
      ▪ Roles and responsibilities
      ▪ Business Rules
      ▪ Inputs/Outputs (e.g. forms, reports, data stores)
      ▪ Interfaces
   ✓ List and description of the components (e.g. screens, database tables, forms and reports) that will need to be addressed as part of the customization effort described below.

4.7   Customization

Requirements to be satisfied through the customization as indicated within the successful bidder's proposal and/or as defined within the terms and conditions of the contract will be addressed at this time. The successful bidder will gather information and create a detailed design for the various components of the solution requiring customization including those components that were identified as needing customization as part of the business processes and procedures work effort (Refer to Section 4.6 "Business Processes and Procedures"). The majority of this work effort will require on site presence by the successful bidder.

Detailed specifications for the required additions and adjustments to the various components of the solution in addition to a list and description of work tasks aimed at preparing for and

applying the additions and adjustments will be created as part of this effort. The successful bidder will apply the additions and adjustments to the components based upon the resulting design. The successful bidder will be responsible for scheduling and coordinating all work activities to ensure that the work is performed in accordance with the work specifications that were created as part of the design. Additions and adjustments to the various system components will be applied and tested within the Test Environment in accordance with the Deployment Certification Policy as referred to in Sections 4.4.1 and 4.8.

4.7.1   Deliverables:

➢ A graphical and/or narrative description of the additions and adjustments that will need to be applied to the base solution to meet the unique needs of the State of Maine. Specifications will be provided for but not limited to the following functions/components:
  ✓ Screens
  ✓ Forms/Reports
  ✓ Tables/Data Elements
  ✓ System Interfaces
  ✓ Security and access permissions
➢ List and description of required work tasks, resource assignments, and associated time estimates aimed at applying the desired additions and adjustments
➢ Customized screens, reports, tables, interfaces.

4.8 Acceptance Testing

The successful bidder will be responsible for ensuring that the solution is thoroughly tested in accordance with the Deployment Certification Policy. The Deployment Certification Policy tests are available via the following link:

http://www.maine.gov/oit/policies/DeployCertPolicy.htm.

The successful bidder will be responsible for creating test plans for each of the tests required by the policy. The successful bidder will schedule and coordinate all testing activities to ensure that each of the tests are prepared for and performed in accordance with the test plans that are created. All testing will be performed in a State facility in the Augusta, Maine area. Unless specified otherwise within the test plan, the successful bidder will be required to provide all tools, testing materials, and resources necessary to effectively perform the required tests. All testing will be completed and approved in accordance with the Deployment Certification Policy before the solution can be implemented within the Production Environment.

4.8.1   Deliverables:

➢ Test Plan consisting of but not limited to the following for each required test:
  ✓ Detailed description of testing approach
  ✓ List and description of all work tasks and human resources required to prepare for and conduct the required testing
  ✓ List and description of required tools and equipment
  ✓ Benchmarks and testing criteria (as necessary)

- ✓ Test scripts, procedures, and materials for performing the tests and documenting results
- ✓ Description of issue/error reporting and resolution procedure and associated materials
- ✓ Test schedule
- ➢ Completed testing and associated test results

4.9 Training

The successful bidder will provide on-site training to the individuals who will be supporting or utilizing the procured solution. Training will be provided to groups of individuals based upon the roles and responsibilities.

Training will consist of 5 broadly defined areas:

- ➢ **Case/Client Management:** This component will cover the creation and administration of a case and client within the system. This will include the determination of eligibility, creation of plan for employment, movement of client through case statuses, closure, document management, utilizing reports, as well as setting and managing reminder, tracking case activity. Approximately 100 individuals would require this training.
- ➢ **Reporting**: This component consists of the creation of ad hoc reports, saving and sharing ad hoc report parameters, and exporting report data. Approximately 10 individuals would require this training.
- ➢ **Fiscal**: This component will cover the creation and payment of the types of funding authorizations, viewing vendors, viewing payment or budget information for case, caseload, office, region etc. For managers, this may also include the distribution of funds between caseloads, offices, regions. Approximately 100 individuals would require this training.
- ➢ **Administrative**: This component will cover the creation, management and administration of users, system-wide data, and templates. Approximately 10 individuals would require this training.
- ➢ **Technical/Application Support** - Individuals who will be providing technical/application first level support and system enhancements. Problems and questions that cannot be addressed will be forwarded to the successful bidder as part of maintenance and support (Refer to Section 4.12 "Support and Maintenance"). This group consists of approximately 5 individuals.

4.9.1 Training Planning and Delivery

The successful bidder will be required to provide a training plan for each group that will be receiving training. The successful bidder will be responsible for scheduling, coordinating, and delivering all training in accordance with the training plan that is established. All training will be delivered in Maine. The successful bidder will assist State staff with the setup of the training facility and will be required to provide the instructor and training material necessary to effectively deliver the training.

4.9.2   Training Materials

All materials will be provided in accessible Word and / or PowerPoint formats electronically and in hard copy. They will become the property of the State of Maine, and the State reserves the right to update, modify, and post to the internet / intranet as needed.

4.9.2.1 Deliverables:

- ➢ A Training Plan consisting of but not limited to the following for each required training group:
    - ✓ Detailed description of training to be provided
    - ✓ List and description of all work tasks and human resources required to prepare for and conduct the required training
    - ✓ List and description of required tools and equipment
    - ✓ Training materials
    - ✓ Description of training assessment which will include a remediation plan for addressing training that did not meet expectations and associated materials
    - ✓ Training schedule
- ➢ Training materials in electronic format in accessible Word and / or PowerPoint format.
- ➢ Completed training and associated training assessments

4.10 Data Migration

The successful bidder will be responsible for migrating data from the existing OSOS system and establishing all data elements and information necessary to effectively utilize the system after implementation within the Test and Production Environments. The successful bidder will analyze current database tables and data elements within the OSOS System and will create a Migration Plan that is aimed at cleaning-up and migrating required data elements to the Production database. The Migration Plan will also include a plan for populating required data elements that will not be addressed by the migration of data from the OSOS System. The successful bidder will schedule and coordinate all data migration and population activities to ensure that all work is performed in accordance with the Migration Plan. Unless specified otherwise within the Migration Plan, the successful bidder will be required to provide all tools, equipment, materials, and resources necessary to effectively perform the required work tasks. Testing of all data migration and population processes and procedures will be conducted in accordance with the Deployment Certification Policy.

4.10.1 Deliverables:

- ➢ A Migration Plan consisting of but not limited to the following:
    - ✓ A description of the approach that will be taken to clean-up and migrate required data elements from the OSOS System to the Production database
    - ✓ A description of the approach that will be taken to populate required data elements that will not be populated by the migration of data from the OSOS System
    - ✓ A list and description of all work tasks and human resources required to prepare for and perform the migration and to populate required data elements that will not addressed by the migration

- ✓ List and description of required tools, equipment, and materials
- ✓ A map of data elements from the OSOS System to the Production database
- ✓ A description of the process that will be used to verify the success of the migration and population of data elements
- ✓ Migration schedule
- ➢ Production database with required data elements populated

4.11 Implementation

The successful bidder will be responsible for implementing the solution within the Production Environment. In preparation for this effort, the successful bidder will be required to create an Implementation Plan, which will identify the approach that will be taken and the critical tasks that will be involved with implementing the solution. The successful bidder will schedule and coordinate all implementation activities to ensure that the work is performed in accordance with the Implementation Plan. Unless specified otherwise within the Implementation Plan, the successful bidder will be required to provide all tools, equipment, materials, and resources necessary to effectively perform the required work tasks. Testing of the implemented solution will be conducted in accordance with the Deployment Certification Policy. The successful bidder will be responsible for creating and providing the State with system and user manuals, which will be reviewed and accepted prior to the implementation.

4.11.1 Deliverables:

- ➢ An Implementation Plan consisting of but not limited to the following:
    - ✓ A description of the approach that will be taken to implement the solution within the Production Environment
    - ✓ A list and description of all work tasks and human resources required to prepare for and perform the implementation
    - ✓ List and description of required tools, equipment, and materials
    - ✓ A description of the process that will be used to verify the success of the implementation
    - ✓ Implementation schedule
- ➢ The solution implemented within the Production Environment. The implemented solution will include the Production Database that will be produced in accordance with the work requirements defined in Section 4.10 "Data Migration" of the RFP.
- ➢ User Manual containing a narrative and/or graphical description of the functional components of the solution and instructions for performing the various functions.
- ➢ System Manual containing a narrative and/or graphical descriptions of the various technical components of the solution.

4.12 Support and Maintenance

The successful bidder will provide four years of support and maintenance for the solution to begin immediately after receiving the State's official acceptance of the implemented solution. The successful bidder will address all questions and reported problems related to the technical and functional operation of the system. The successful bidder must provide toll-free telephone support during regular business hours: 8:00 a.m. to 5:00 p.m. EST local time (Augusta, Maine). A qualified technician will respond via phone to address all calls in

accordance with the importance and criticality of the question being asked and/or the problem being reported. The successful bidder will agree to provide on-site technical support within one business day for system-wide problems that cannot be resolved via telephone. As part of the maintenance agreement, the successful bidder will make all product releases and upgrades available to the State at no additional charge. It's the State's expectation that federally mandated changes be included in the releases and upgrades as part of support and maintenance. Before the support and maintenance timeline begins, the successful bidder will create a support and maintenance agreement containing a definition of terms, conditions, and procedures that will be in effect through the full term of the agreement.

4.12.1 Deliverables:
➢ Support and maintenance agreement outlining in detail all terms, conditions, and procedures. The support and maintenance agreement will contain at a minimum the work requirements defined above.
➢ Four years of support and maintenance

4.13 Project Management
The successful bidder will be required to utilize a formalized approach to project management which, at a minimum, will be compliant with the Project Management Book of Knowledge (PMBOK) and will include the following:

Project Manager
The successful bidder will be required to assign an experienced project manager to the project. The successful bidder's Project Manager will be required to be on-site in the Augusta, Maine area through the implementation of the desired solution for periods of time to be defined by the State Project Manager. It is desired that the successful bidder's Project Manager be PMP certified. The successful bidder's Project Manager will be responsible for the successful completion of all work tasks as defined within the project work plan and will work under the direction of the State Project Manager to ensure that all work is performed in accordance with the terms and conditions of the contract.

Project Work Plan
The successful bidder's Project Manager will be required to maintain a detailed project work plan through implementation of the solution. The work plan will be created and maintained with an automated project management tool preferably Microsoft Project. The work plan will be updated and submitted to the State Project Manager on a bi-weekly basis or at an alternative period of time that is formally specified and agreed to in writing by the State's Project Manager.

Project Communications
The successful bidder's Project Manager will be required to submit a written status report to the State's Project Manager on a bi-weekly basis or at an alternative period of time that is formally specified and agreed to in writing by the State's Project Manager. Each report will, at a minimum, include accomplishments for the reporting period, high-level tasks for the upcoming reporting period, and issues/concerns related to the project schedule and budget. The successful bidder's Project Manager will be required to plan for and conduct status

meetings on a periodic and as needed basis to discuss current project activities and address questions, issues, and concerns. In addition, the successful bidder's Project Manager will be asked, on an as needed basis, to attend and participate in project related meetings scheduled and organized by the State Project Manager. Depending upon the agenda and objectives for such meetings, the successful bidder's Project Manager may be asked and will be expected to assist the State Project Manager in preparing material for the meeting.

Change Management

The successful bidder's Project Manager will be required to work with the State Project Manager to formally document and track all changes to the scope of work and budget. For each potential change, the successful bidder's Project Manager will work closely with the State's Project Manager to define and document the change, intended benefits, and if necessary, its impact to the project schedule and budget. All changes that impact the terms and conditions of the contract or the project scope and budget as defined within the contract will need to be addressed in accordance with Section X of State of Maine Agreement to Purchase Services Rider B. No work associated with a documented change will begin without first receiving official written authorization to proceed.

Issue Management

The successful bidder's Project Manager will be required to work with the State Project Manager to formally document and track all issues that threaten the project schedule and budget. For each issue identified the successful bidder's Project Manager will work closely with the State Project Manager to clearly document the issue. At a minimum, the resulting document must clearly reflect the details related to the issue, the potential impact to the project schedule and budget, and options and a recommendation for resolving the issue. The successful bidder's Project Manager along with the State Project Manager will take action to ensure that the issue is appropriately resolved and that the resolution and impact to the schedule and budget is documented.

Risk management

The successful bidder's Project Manager will be required to work with the State Project Manager to formally document and track project risks and mitigation strategies throughout the life of the project. The Risk Management Plan will include but not be limited to the following for all project risks:

- Description of the project risk
- Description of the potential impact to the project
- Impact rating (e.g. High, Medium, Low)
- Likelihood of occurrence (e.g. High, Medium, Low)
- Description of risk mitigation plan

The successful bidder's Project Manager will be required to present an updated Risk Management Plan on a periodic basis throughout the life of the project. The timeline for delivering an updated risk management plan will be defined in writing and approved by the State's Project Manager immediately after delivery of the initial risk management plan.

4.14 Quality Management
The successful bidder will be responsible for the quality of the deliverables that are created. Each deliverable will be required to go through the following process to ensure that it is of the highest quality and meets the expectations of the State:

Deliverable Expectation Document
The successful bidder will be required to create a Deliverable Expectation Document for each deliverable prior to performing any of the work aimed at producing the associated deliverable. The Deliverable Expectation Document will clearly reflect the proposed format and content for the deliverable and will need to be officially reviewed and accepted before any work can be performed. The Deliverable Expectation Document will contain but not be limited to the following:

➢ Narrative description of what the deliverable is and why it is being created
➢ List and description of the major sections of the deliverable and the proposed format (e.g. narrative description, tables, diagrams) and content of the information that is to be presented

Deliverable Review Process
The successful bidder will be required to submit all deliverables for review and acceptance and participate in the deliverable review process in accordance with the terms and conditions defined below:

➢ The successful bidder will submit seven (7) paper copies and one (1) electronic copy in MS Word format and one (1) in Adobe pdf format on CD of each deliverable to the State Project Manager on or before the due date specified in the approved Project Work Plan. Deliverables that are not received by the State Project Manager prior to or by 11:30 AM on the due date specified may result in assessment of liquidated or consequential damages.

➢ As soon as possible, but in no event later than five (5) workdays after the date of receipt of the deliverable, the State Project Manager will provide the successful bidder with written notice of the State's approval or disapproval of the deliverable. Notice of disapproval will state the reasons for such disapproval and will indicate the nature and extent of the corrections required to qualify the deliverable for approval. Notice of approval will successfully conclude the review process; lack of the approval notice is not means for an assumed approval.

➢ As soon as possible, but in no event later than five (5) workdays after receipt of a notice of disapproval, the successful bidder will submit an adjusted deliverable for review based upon the comments that were received.

➢ As soon as possible, but in no event later than three (3) workdays after the date of receipt of the adjusted deliverable, the State Project Manager will provide the successful bidder with written notice of the State's approval or disapproval of the deliverable. Notice of disapproval will state the reasons for such disapproval and will

indicate the nature and extent of the corrections required to qualify the deliverable for approval. Notice of approval will successfully conclude the review process.

➢ As soon as possible, but in no event later than two (2) workdays following the receipt of a second notice of disapproval, the State and the successful bidder will begin to conduct facilitated work sessions and take appropriate action to resolve all remaining issues and bring the review process to successful conclusion in the shortest period of time possible.

5. REQUIREMENTS

This section defines the technical and functional requirements for the solution. Requirements identified as critical within each functional area will receive a greater scoring weight during the evaluation process.

5.1 Technical Requirements

5.1.1 General

5.1.1.1 Each user should have a single login which will remain valid through the entire session.

5.1.1.2 Single Sign On will be integrated with Windows Active Directory

5.1.1.3 Automated routines will be automatically restarted after any scheduled reboot or shutdown of the servers.

5.1.2 Architecture

Defines general architectural principles that apply throughout the system, to ensure they are consistent with the States' hardware/software architecture.

5.1.2.1 System shall conform to the IT architecture requirements defined by the State of Maine. Details can be found at: http://maine.gov/oit/architecture

5.1.2.2 A relational database must be used. The structure of the database must achieve the highest possible level of normal form unless waived for reasons of efficiency.

5.1.2.3 System must include a data dictionary.

5.1.2.4 Database and application will be centralized.

5.1.2.5 Users are located throughout the State, and will need ability to access the system from various points. System must be able to support this level of remote distributed access.

5.1.2.6 System must be compatible with State standard web browsers (e.g. IE 6 and above)

5.1.2.7 Environments provided / supported will include:
➢ Production
➢ Test
➢ Development
➢ Training

The Test, Development, and Training environments will be provided in an infrastructure that is separate from the Production Environment.

5.1.3 **System Performance**
Guidelines for system availability and response time

5.1.3.1 System must support the following:

- 200 total active user accounts
- 120,000 participants are served annually
- 30,000 applications, of which 4,500 result in new cases annually
- case notes and service logs make up the most frequent transactions in the system per year; with approximately 93,000 case note entries and 900,000 service log entries annually

5.1.3.2 System will need to accommodate migration of approximately 12 years of data and this cost should be clearly documented.

5.1.3.3 At minimum system must be available during normal working hours (M-F 6am-6pm). An hour of downtime due to LAN, State WAN, server problems, or other infrastructure problems would be an inconvenience, but not a "showstopper".

5.1.3.4 In general, system response time should be only a few seconds for functions such as calling up new screens, displaying data, entering data, and saving/editing data. Certain screen refreshes, queries, and reports are expected to take longer, depending upon the nature of the request.

5.1.3.5 Page refresh times for a dial up connection must not exceed 15 seconds.

5.1.4 **System Management**
5.1.4.1 System should enable the State to perform the following data center functions
5.1.4.1.1 Backups include databases, application code, input files, output files, and user documents.
5.1.4.1.2 System will provide daily, weekly, monthly and annual backups.
5.1.4.1.3 A minimum of 1 month worth of backups will be available and easily restored upon customers requests.
5.1.4.1.4 The ability to restore to both non-production and production locations is required.

5.1.4.2 Archive
5.1.4.2.1 System must be able to archive cases that meet select criteria as defined by administrator (e.g. exited cases older than 7 years).
5.1.4.2.2 Archived data must be accessible and retrievable.

5.1.5 **User Interface**

Guidelines for defining user interface

5.1.5.1 A user must be able to access information throughout the system with minimal steps.

5.1.5.2 System should conform to standard Windows and web browser user interface conventions.

5.1.5.3 A user must be able to access a menu bar that lists the necessary functions for the system. The menu hot key must be listed beside each item similar to Microsoft application menus.

5.1.5.4 User interface should work well at an optimal display resolution of 1024x768, but should also provide a reasonable user experience, with some possible "graceful" degradation, if displayed at 800x600.

5.1.5.5 User interface follows high-quality and widely-accepted usability practices- e.g. W3C (World Wide Web Consortium) standards for web applications and Microsoft conventions for Windows applications. The intent of this requirement is to provide Windows or web users with a user experience they should already be familiar with, thereby reducing training and operations costs.

5.1.5.6 User interface should have a consistent "look, feel, and behavior" throughout the system.

5.1.5.7 System supports user defined preferences such as "user defined colors" and "user defined text sizes" or even "user defined sticky keys".

5.1.5.8 Dates must include a 4-digit year.

5.1.6 Accessibility

Ensure that the needs of State employees and clients with disabilities are met through reasonable accommodation in the IT products and services of the State. IT products and services include data, voice, and video technologies.

5.1.6.1 The application will conform to State Accessibility Polices

http://www.maine.gov/oit/accessibility/software_policy.html
http://www.maine.gov/oit/accessibility/policy/webpolicy.html
http://www.maine.gov/oit/policies/ADAeffectivecommunicationpolicy.htm
http://www.maine.gov/oit/policies/ADACommunicationAppendixA.htm

5.1.6.2 Application will be fully compliant with Section 508.

5.1.6.3 Users must be able to complete all functions with a mouse click or through keyboard commands.

5.1.6.4 Users must be able to adjust screen and printed fonts both in size and color and adjust background colors and screen contrast (functionality should be similar to Microsoft applications).

5.1.6.5 Application will allow text input and navigation with Speech to Text software (e.g. Dragon Naturally Speaking suite of

products).

5.1.6.6	Application will be compatible with JAWS, Zoomtext, Window Eyes, other software and hardware (Interpreteype) for other print and mobility disabilities Details can be found at: http://www.mainecareercenter.com/employment/disabilities/
5.1.6.7	Users of screen reading software (e.g., JAWS), must be able to recognize all data field labels, pop up messages in their entirety. Message response buttons must be accessible using keyboard commands or a mouse click.
5.1.6.8	Application will be accessible without specialized modification or work-around.
5.1.7	**Security**
5.1.7.1	Defines the requirements for system access within/outside the States' firewall and at application login. System will conform to State Security Standards. An example of this is described in Maine's Information Technology Security Policy. Details can be found at http://www.maine.gov/oit/policies/ITSecurityPolicy2008.pdf
5.1.7.2	All external (Internet) and internal (State WAN/Intranet) communications between users and the application outside the data center must be encrypted with SSL/TLS employing AES or other appropriate FIPS 140-2 standard.
5.1.7.3	System will require strong passwords (example: 8 or more characters, including a mix of uppercase/ lowercase letters, numbers, and special characters).
5.1.7.4	Remote access will conform to the State standard Juniper SSA Appliance. The requirements defined by the State of Maine. Details can be found at: http://www.maine.gov/oit/architecture/DomainsAndBricks/Network/Remoteaccess_Brick.doc
5.1.7.5	System must be in compliance with the Rehabilitation Act of 1973, as amended, as it pertains to confidentiality of client information.
5.1.7.6	System must be in compliance with the Health Insurance Portability and Accountability Act of 1996 (HIPAA), specifically the Privacy and Security Rules at 45 C.F.R Part 160 and 164, subparts A, C, and E.
5.1.7.7	System should have session time out feature which can be defined by administrative user.
5.1.7.8	For web based applications, closing all application windows in browser will log off user. System prevents restarting of session from browser history or cache. Any login information and passwords are encrypted and not visible in any history or cache.
5.1.8	**Interfaces <See RFP Section 2.9 >**
5.1.8.1	Export performance data using the interface file specifications provided by US DOL. http://www.doleta.gov/performance/reporting/

http://www.doleta.gov/performance/reporting/tools_datavalidation.cfm
http://www.doleta.gov/performance/guidance/tools_commonmeasures.cfm

5.1.8.2 Integrate data from MJB, O*Net, WOTC, Apprenticeship, CSSP, LiLa, SCSEP programs

5.1.8.3 Import labor exchange and applicant data (MIC) (from the Oracle database of the Maine Job Bank) using the interface file specifications provided by the State.

5.1.8.4 Export job orders (from the Oracle database of the Maine Job Bank) to AJE using the interface file specifications provided by the State.

5.1.8.5 Read and write data from and to the Common Employer DB (Progress).

5.1.8.6 Import wage, TAA and Veterans report data (from the Maine UI Benefits) using the interface file specifications provided by the State.

5.1.8.7 Import vendor data file (from AdvantageME) using the interface file specification provided by the State.

5.1.8.8 Import and export HCTC payment information (to and from Maine UI Tax) using the interface file specifications provided by the State.

5.1.8.9 Import quarterly and export weekly Rapid Response survey files (from digital research) using the interface file specifications provided by the State.

5.1.8.10 Export data to Maine UI Benefits (Reap & ATAA) using the interface file specifications provided by the State.

5.1.8.11 Export data to TAA downlines using the interface files specifications provided by the State.

5.1.8.12 Export data to WIA clients DB (Progress)

5.1.8.13 Interface with SSA for SSN verification and benefit verification.

5.2 Functional Requirements

5.2.1 General

General features and functions that apply throughout the system

5.2.1.1 System must provide a means to easily customize various elements of the base solution. Customization features must address but not be limited to the following:
➢ Addition of data elements to screens and reports.
➢ Application of business rules and logic to screens and data fields.

5.2.1.2 System must capture all Federal and State required data elements; see Appendix <B> for a partial list.

5.2.1.3 All fields must be completed in printable colors (i.e., ensure that entered text contrasts with field background

5.2.1.4 System will provide a change log of case activity including status changes, applications, and case notes

5.2.1.5 Users will be able to search and sort case activity change log by multiple criteria.

5.2.1.6	System will be able to collect staff time spent on activities.
5.2.1.7	System will be able to report on staff activity by staff, case or staff activity on a case.
5.2.1.8	System will validate data entries, and prevent invalid/unreasonable data (example: invalid dates) where possible. <u>Accurate</u> data is the responsibility of the user.
5.2.1.9	When a user updates select demographic information in fields shared between programs, the fields in all programs are updated (e.g. phone number, address, etc.)
5.2.1.10	System will allow saving of partially-completed screens or documents; % complete and/or progress bar is encouraged.
5.2.1.11	A user must be able to electronically sign specific documents using mechanisms appropriate to the document (e.g. attached "wet" signature capture device, user PIN, typing the word "ACCEPT"). The system must recognize the presence or absence of electronic signatures where required.
5.2.1.12	Users must be able to view multiple screens in a tile, toggle, or cascade format.
5.2.1.13	Users must be able to access multiple cases simultaneously without losing data.
5.2.1.14	Users must be able to simultaneously access a variety of information within the same case, including multiple forms.
5.2.1.15	System must be an integrated solution which will support multiple BES programs (e.g. TAA, Wagner-Peyser, Youth, Adult, WOTC, Apprenticeship, CSSP, LiLa, SCSEP, etc.); see Appendix <F>
5.2.1.16	System will allow different parameters or business rules to be applied to programs; e.g. eligibility, fiscal transactions, case flow, monitoring, etc.
5.2.1.17	System will contain a set of built-in reminders/ticklers.
5.2.1.18	Users will be able to manually set user-defined reminders/ticklers.
5.2.1.19	System will allow cases to be organized into caseloads, and case managers to be assigned to caseloads. More then one case manager may be assigned to each case.
5.2.1.20	System will support different business rules for different programs and statuses.
5.2.1.21	Spell check for free-form comment and note fields
5.2.1.22	System will provide easy access to linked sites of interest, such as O*Net, MJB, BES' Policies and Guidelines, etc. (Linked integration from one main screen is most appropriate.)
5.2.1.23	System will generate appropriate documents at specified points in CM process; see Appendix <A> for details
5.2.1.24	The system will have an audit trail that records all changes, updates and modifications in the system.
5.2.1.25	The audit trail will record date and time of change, staff id, data record before and after change, nature of the change.
5.2.1.26	The system will allow selected individuals/roles to determine who made the change, when the change was made, the nature of the change, and specifics about the change.
5.2.1.27	Error and warning messages should be clear and helpful to the user (identifying problem, and provide mechanism to correct).

5.2.1.28	Data errors preventing status changes should have way to be easily corrected.
5.2.1.29	When the system is busy, it must indicate this to the user (example: display an hourglass, etc.).
5.2.1.30	A user must be able to print or extract a complete case record to common formats (e.g., CSV, PDF, TIF, JPG).
5.2.1.31	System will display time in status for active cases
5.2.1.32	All views must have a printer friendly format.
5.2.1.33	When a user is navigating or searching an alphabetized list, the system must "jump" to the appropriate initial letter that the user types. Additional specificity must be obtained when additional text is entered. (e.g. Jumps to M when typed, and narrows list as more letters are typed.)
5.2.1.34	Numerical fields will auto calculate when possible (e.g. at closure when number of hours and rate are entered, weekly & monthly earnings are calculated automatically).
5.2.1.35	System will allow sequential batching of jobs as necessary to run in evening or night batch jobs or job queues that do not interfere with user driven OLTP.
5.2.1.36	A central site must have control over all job queues.
5.2.1.37	System must be able to support flexible assignment of staff to one or more offices or regions (e.g. case manager or supervisor who covers more than one office.)
5.2.1.38	System must be able to support co-enrollment by any client and display all information in a logical and organized format; i.e. program funding may be displayed by client and by program.
5.2.1.39	When working with fields that have a look up table, system will display codes and their descriptions.
5.2.1.40	System will have context sensitive online help resources that may be accessed directly from the system.
5.2.1.41	System will have the ability to select sample random data and capture monitoring workflow information per the instructions provided by the State; see Appendix <E>.
5.2.2	**Role-Based Security and Permissions**
	Defines the requirements for role-based permissions within the application itself.
5.2.2.1	The system will use role-based security that allows/restricts user access to information, screens, and the ability to perform specific tasks within the system.
5.2.2.2	Role-based permissions and business rules will be customizable. They will be defined, named, and implemented by the application's Administrator (or other suitable role). Examples of roles might include Support Staff, Case manager, Manager, Administrator, and Guest.
5.2.2.3	Users will be assigned a role that most closely matches their actual job responsibilities (*note: this may not necessarily be the same as their job title*). These roles will control access to screens, functions, and data fields, and they will enable certain process permissions, depending upon the task being performed.

5.2.2.4	System will allow ability to restrict access to cases from other areas and offices statewide based on role.
5.2.2.5	The system must allow restricted access to be set for sensitive cases by individuals.
5.2.2.6	System will provide easy way to create new roles based on characteristics of an existing role
5.2.2.7	It should be relatively easy to "enhance" a user's role, in the event they require additional permissions that are outside those that are given to other users in their position. For example, there may be a very small number of users who have been designated as budget or password administrators, in addition to their normal duties as a case manager or Manager. Ideally, this assignment could be done without creating a whole new role.

System Administration

5.2.3	Items related to the management/administration of users and the overall system, from an application point-of-view. Include references to user accounts, data, lookup tables, defaults, overrides
5.2.3.1	The system will facilitate/streamline the creation of new user accounts (i.e. creating folders, setting default preferences, etc.).
5.2.3.2	Management of user accounts, system parameters, business rules, lookup tables, etc. will be restricted to those individuals who are assigned the proper permissions within the system
5.2.3.3	System will allow inactivation of data values to remove them from the user interface without actually deleting them from the database. (e.g. specific vendor, service code, case manager, etc)
5.2.3.4	Changes to exited cases will be restricted, depending on business rules and user permissions.
5.2.3.5	In the event a client or case is inadvertently entered into the system twice, there will be a means for selectively merging the relevant data from those two clients and/or cases, and eliminating the incorrect data from the system.

Case/Client Management

5.2.4	Features and functions that apply to clients, regardless of case.
5.2.4.1	Provide the ability for authorized users to establish a new client. Refer to Appendix B for the majority of data elements needed for a client.
5.2.4.2	Prevent creation of a duplicate client record.
5.2.4.3	Provide the ability to update client information for clients who already exist in the system.
5.2.4.4	System will require a unique SSN. System will assign a 'proxy' SSN in situations where a valid, SSA-issued SSN is not available.
5.2.4.5	System will not use the client SSN as a primary key.
5.2.4.6	System will allow changes to the client SSN.

5.2.4.7   System will collect client demographic information.

5.2.4.8   System will collect and store client name history.

5.2.4.9   System will collect and store client address history.

5.2.4.10   System will allow statewide search of clients by current/historical names and/or SSNs.

5.2.4.11   System will have ability copy selected existing client information into new case

5.2.5   **Case/Client Management (CM)**

             Case/Client management are those functions that impact the management of the individual case, versus the client.

5.2.5.1   CM – General

5.2.5.1.1   System will allow a statewide client/case lookup.

5.2.5.1.2   System will store client case history, maintain previous cases as separate entities.

5.2.5.1.3   System will track number of case occurrences for an individual client

5.2.5.1.4   System will enable, in a single transaction, the transfer of one or more cases between caseloads, or regions

5.2.5.1.5   System will allow ability to simultaneously advance multiple cases

5.2.5.1.6   System allows editing of the application date

5.2.5.1.7   System will prevent status changes until case requirements are met.

5.2.5.1.8   System will record two dates for each status change. Date of status change (system generated, uneditable) and effective date (system generated, user editable).

5.2.5.1.9   The system will enforce workflow and business rules.

5.2.5.1.10   System will populate log entry of staff person who is entering the information, but may assign the appropriate case manager. Some offices have administrative staff do the entry.

5.2.5.1.11   System will allow saving of incomplete case data, but not advance status until all required data is complete.

5.2.5.1.12   System will automate status changes (when possible)

5.2.5.1.13   A list of letters, with canned language is created for a case will be available within system

5.2.5.1.14   Any documents created for a particular case will be associated with that case and can be viewed at any point in time within the parameters of role based security requirements.

5.2.5.1.15   The default display for case notes sorted list with most recent case note listed first (reverse chronological order).

5.2.5.1.16   When a case note is created, the author's name and current date will be auto-filled (and uneditable) by the system. User will also have the option of entering the "date of service" in a separate field.

5.2.5.1.17   Case notes may be assigned a category from a pre-determined list, but that is not required.

5.2.5.1.18	Case notes can be filtered or sorted by date of service, user, and category (e.g. phone, meeting, email, etc.)
5.2.5.1.19	Case note titles are free form fields
5.2.5.1.20	Cut and paste is supported to and from case note free form fields.
5.2.5.1.21	An email can be associated with, attached to, or imported into a case note. The header and content information from that email must be easily-accessible by/from the case note.
	➤ E-mail header/content will not be editable.
	➤ Additional comments can be added/modified in this case note, provided the email content remains unchanged.
5.2.5.1.22	Once saved and exited, a case note cannot be edited, except under certain conditions or by a specific role. The intent of this requirement is to prevent significant alterations on older case notes.
5.2.5.1.23	System will notify primary case manager when case notes for their cases have been modified by other system users.
5.2.5.1.24	System will allow tracking and notification to primary case manager, of cases that have had no activity during a defined time period
5.2.5.1.25	System will provide a means to record/track information about medical releases and other requests for information from outside sources.
5.2.5.1.26	Tickler – System will notify case manager of upcoming review or target dates.
5.2.5.1.27	Ensure that application, eligibility, and closure statuses cannot be added manually. Instead, require users to enter data into applicable screens and auto-create the status.
5.2.5.1.28	A single client cannot have more than one open case in any single program
5.2.5.1.29	Users should be allowed to cancel from a screen and not save changes that were made on that screen.
5.2.5.1.30	If a user exited/exits a screen without saving, they should be prompted to save their changes.
5.2.5.1.31	A user must be able to access a quick view 'snapshot' of client's cases (co-enrollment) on a summary screen and/or dashboard.
5.2.5.1.32	A user must be able to select one or more "special indicator's") in a case. (e.g. Secondary Education Student, Career Exploration Workshop participant)
5.2.5.1.33	System will maintain history of a case and all case managers assigned to that case over time; i.e. co-enrollment as well.
5.2.5.1.34	A user must be able to request and generate vendor / provider referrals electronically.
5.2.5.2	CM-Eligibility/Intake
5.2.5.2.1	System will allow information to be entered without requiring the case to be assigned to a caseload and/or program (e.g. supporting documentation, case notes).

5.2.5.2.2	System will noticeably flag, to staff, cases entered where client is of a certain age. The intent of this is to alert staff to the client's age, so that an age-appropriate action or service may be provided for that individual.
5.2.5.2.3	Tickler – System prompts user to send correspondence one month after referral entry date, if no application is received or when the 90 day exit date is approaching.
5.2.5.2.4	System records eligibility information.
5.2.5.2.5	System will interface with SSA to automate verification of SSNs and SSI/ SSDI recipients.
5.2.5.2.6	System supports presumed eligibility when individual receives SSI or SSDI.
5.2.5.3	CM-Planning
5.2.5.3.1	System will support electronic comprehensive assessment.
5.2.5.3.2	System will support electronic Individual Service Strategy and amendments.
5.2.5.3.3	A user must be able to make and store multiple amendments to the Individual Service Strategy and capture electronic client signature at each point of change.
5.2.5.4	CM-Exit
5.2.5.4.1	System will collect exit data (employment information, public support, financial, type and reason for exit, level of education, primary source of support, medical support etc.).
5.2.5.4.2	System will prevent successful exit if client has not been in the appropriate status for longer than 90 days; i.e. accepting a MJB referral extends this timeframe.
5.2.5.4.3	System will allow case to be opened in post-employment only if certain prerequisites are met
5.2.5.4.4	At case exit, system will require identification of no-cost services and provider of those services (e.g. Training, Diagnosis and Treatment, Information and Referral Services, Interpreter Services…)
5.2.5.4.5	System will require exited case review for certain exited cases (i.e. exited for reason or in extended employment).
5.2.5.4.6	System will support multiple reasons for exit review, each with different business rules or parameters.
5.2.5.4.7	System will prompt user to complete review upon meeting criteria (e.g. exited too severely disabled for x number of months)
5.2.5.4.8	System will allow modification of select client information after exit (e.g. address, phone number).
5.2.5.4.9	System will allow addition of case notes on exited case.

37

5.2.6	**Fiscal**
	In order to track all case expenditures for local and Federal reports, payments for purchased services/goods will be processed by the system and tracked against a budget to ensure there are no budget overruns. All such payments are paid from a variety of sources, such as: the State's accounting system (AdvantageME), the service providers system or the LWIB system.
5.2.6.1	Budget
	Financial budgets include only those fund allocations that are available to purchase services/goods for clients (i.e. does not include administrative funds to cover staff salaries, office costs, etc.). The overall statewide budget is managed at the central level, whereas the local regions/districts manage the budgets that are provided to them by the central BES office. During the course of the fiscal quarter/year, financial commitments (example: authorization for services) and actual payments are tracked and the budget balances are adjusted accordingly, in order to ensure that staff do not exceed their allocations.
5.2.6.1.1	System will have ability to store budget data at various levels, including statewide, regionally, local offices, and caseloads.
5.2.6.1.2	Budget data will be tracked by program and fiscal quarter. Multiple programs and fiscal years will be supported.
5.2.6.1.3	The entire annual budget may be recorded in the system (by fiscal quarter), but the quarterly allocations will not be available for spending until the designated quarter. The system will automatically distribute the quarterly budget on the first day of the fiscal quarter. With the exception of the first fiscal quarter, balances from the previous quarter will automatically roll over into the new quarter.
5.2.6.1.4	Budgets can be distributed from State, Region, District (local office) and/or Caseload.
5.2.6.1.5	System will allow designated roles/individuals to distribute funds, transfer undistributed budget money, or redistribute unspent funds that have already been distributed.
5.2.6.1.6	System will allow authorized individuals to transfer funds to region, office, and/or caseload
5.2.6.1.7	Designated staff/roles can view budget totals, commitments, expenditures, and balances only at those levels (state, region, local office, caseload) they are allowed to view.
5.2.6.1.8	The system will not allow a caseload or office to exceed their year-to-date allotment.
5.2.6.2	Vendors and Vendor Management
5.2.6.2.1	System will utilize the latest vendor interface file that is generated daily by AdvantageME and/or other sources. Because this is static data that will be overwritten by a fresh file the next business day, this data may not be modified by anyone within the case/client management system.

5.2.6.2.2 Users cannot create new vendors within the case/client management system; this must be done external to this system.

5.2.6.2.3 System will provide capability to create/maintain custom data fields (as defined by BES) that will be associated with (or linked to) the information from the AdvantageME and/or other sources vendor file. The data in this custom field may only be created/modified by designated individuals/roles.

5.2.6.2.4 The custom and AdvantageME and/or other sources vendor data will be available to BES staff when they are performing their fiscal tasks.

5.2.6.2.5 Historical vendor data must be retained, in the event the vendor no longer appears in the AdvantageME and/or other sources vendor interface file, but is referenced by one or more authorizations/manifests.

5.2.6.2.6 System will allow designated individuals to "inactivate" (or apply a "do not use" flag) vendors that are active vendors in AdvantageME and/or other sources. This enables BES to restrict the usage of vendors who may be providing services to other State agencies, but are prohibited from doing business with BES.

5.2.6.3 Purchases

In order to accurately capture all case-related costs for Federal reporting purposes, all purchases or payments made on behalf of a client must be processed through the system. For one-time purchases, BES staff complete an electronic authorization form that authorizes a selected vendor to provide specified services or goods, approve payment upon delivery of the service/goods, electronically submit the payment data as appropriate. Throughout this process, there must be a series of checks & balances, in order to minimize the opportunity for fraud/mistakes and to ensure that standard accounting principles are followed. These include things such as: a minimum of two different people are involved in the actual payment process, management overrides that become necessary when certain warning conditions are encountered.

An overview of our current authorization and payment processes is provided below:

Authorizations

✓ Create authorization
✓ Select vendor and service categories from predefined lists
✓ Create line items and assign estimated costs to each
✓ Complete the authorization
✓ Print/sign authorization and send to vendor
✓ Update authorization (as necessary)
✓ Update/modify an existing authorization and/or its line items
✓ Void an authorization or line item

✓ Process vendor invoice for payment

✓ Receive invoice from vendor

✓ Confirm that goods/services were delivered

✓ Approve/authorize payment

✓ Issue payment, using actual costs from invoice

Payments (this process happens outside of the "WESIS" system, but is here for informational purposes only).

✓ Send payment to vendor/client

✓ Central office runs a process to gather all paper payment information from the various Career Centers.

✓ Payment files are manually entered into the AdvantageME or other payment system.

✓ AdvantageME and/or other sources processes payments and send check/EFT to recipient.

✓ Payment is processed

✓ No feedback is loaded into case/client management system, case managers only learn of a missed payment or issue if the client contacts them directly.

5.2.6.3.1	General
5.2.6.3.1.1	System must enforce a separation of duties, to ensure a minimum of two different users (in the proper roles) are involved at key steps in the procurement and payment process.
5.2.6.3.1.2	System will allow purchase of services / goods that are not specified on the Individual Service Strategy.
5.2.6.3.1.3	The system will electronically record information (transaction date and staff ID) about transactions at key points in the authorization process.
5.2.6.3.1.4	A transaction cannot proceed to the next step unless electronic approval by an authorized individual is recorded within the system.
5.2.6.3.1.5	System will prevent creation of authorizations for vendors which are not in system. System will check for existence of vendor in the system at the time an authorization is created, as well as at the time of payment. The vendor must be an "active" vendor, as recorded in the AdvantageME system.
5.2.6.3.1.6	System will allow look up of vendor by full name, partial name or "doing business as" (DBA) name or vendor ID.
5.2.6.3.1.7	When a user selects a single vendor, they must be able to view multiple listings (addresses) for that vendor.
5.2.6.3.1.8	System will provide ability for users to limit their list of vendors, based on user-entered selection criteria. Examples of selection criteria include: geographic region, service type, favorites, etc.
5.2.6.3.1.9	System will confirm existence of a valid purchase contract, unless payment is going directly to the client. In the latter case,

no contract is necessary.

5.2.6.3.1.10 System will confirm there are sufficient funds in the caseload budget to cover the estimated (at time of authorization creation) and actual (at time of payment) costs.

5.2.6.3.1.11 System will prevent creation of authorizations or recurring payments, if there are insufficient funds in the caseload budget to cover those payments.

5.2.6.3.1.12 System encumbers total dollar amount of authorizations in the current quarter budget

5.2.6.3.1.13 System will encumber total dollar amount of all payments in current quarter budget

5.2.6.3.1.14 System will allow modification of unpaid authorizations or recurring payments within business rules.

5.2.6.3.1.15 System will prevent voiding/deletion of authorizations or scheduled payments, once they are paid.

5.2.6.3.1.16 System will store authorization revisions.

5.2.6.3.1.17 System will auto-advance the revision number of an authorization, if changes are made after an authorization has been printed

5.2.6.3.1.18 System will require approval by an authorized BES agent (i.e. Career Center manager) prior to payment

5.2.6.3.1.19 System will allow for a caseload to be credited for reimbursement by client or vendor specific to an authorization – for example: a refund received for overpayment on a specific authorization can be credited against that authorization and the caseload budget it is associated with

5.2.6.3.1.20 System will enable search for authorizations by vendor, by full or partial name.

5.2.6.3.1.21 A user must be able to view all authorization or billing details, including refunds, unpaid authorizations, paid authorizations or void authorizations (this includes recurring authorizations).

5.2.6.3.1.22 User can filter and sort authorization lists by variety of criteria (e.g. approved/ unapproved, data parameters, awaiting payment, caseload)

5.2.6.3.1.23 System will allow central office staff to access data about authorizations and payments.

5.2.6.3.1.24 Sufficient data must exist within the system to automatically determine whether or not a payment is 1099-reportable, for tax purposes.

5.2.6.3.1.25 A user must be notified automatically when billings in reject status are in that status for a specified period of time

5.2.6.3.1.26 System will allow for automatically voiding of authorizations which have been open in excess of a pre-determined amount of time (e.g. >180 days).

5.2.6.3.2 Authorizations

5.2.6.3.2.1 System will prevent creation of authorizations at inappropriate stages in the case/client management process

5.2.6.3.2.2	Changes to an authorization and/or its line items will be limited or prohibited, depending on the user's role and at what stage in the process the authorization is at. Examples include:
	➤ Once an authorization has been electronically approved for payment, no changes are allowed, unless this payment approval has been rescinded.
	➤ Once payment has been confirmed by AdvantageME and/or other sources, absolutely no changes are allowed.
	➤ Only unpaid authorization line items can be voided.
5.2.6.3.2.3	System will allow for multiple line items per authorization.
5.2.6.3.2.4	For each line item, system will require user to select service category from predefined list. (e.g. Job Development, etc.)
5.2.6.3.2.5	System will prevent editing or deletion of service category on authorizations.
5.2.6.3.2.6	System will allow additional description to supplement service category (e.g. "Service for May 2010")
5.2.6.3.2.7	Per authorization, system will allow users to enter comments and/or select from list of standard text comments. (e.g. "Authorization is good for 90 days from date of issue")
5.2.6.3.2.8	System will record/store all additional descriptions and comments that are added to authorizations. This ensures that authorizations can be fully and accurately recreated at any time in the future.
5.2.6.3.2.9	System will require two different BES staff to perform the approval and payment submission steps.
5.2.6.3.2.10	A case manager or manager must approve an authorization for payment before the payment information can be entered into the system.
5.2.6.3.2.11	Anyone can issue payment (enter payment information), provided they are not the same person who approved payment of that authorization.
5.2.6.3.2.12	At the time the payment is approved and submitted, system will re-confirm the vendor and contract information, ensure there are sufficient funds in budget, and check for warning conditions that may require management intervention (examples: a exited case, >25% cost overrun, etc.).
5.2.6.3.2.13	Certain conditions will require management review and approval before payment can be made on an authorization. These
	➤ The payment amount is more than 125% of the authorized amount.
	➤ The authorization is more than 120 days old.
	➤ The case is in an exited status.
5.2.6.3.2.14	At time of payment, the system will encumber additional funds from current quarter budget for payments on authorizations that are in excess of the originally authorized amount
5.2.6.3.2.15	System will allow authorizations to be paid only one time. Payment of individual line items, while leaving others active, is prohibited.

5.2.6.3.2.16   When authorization payment is less than authorized amount, the system will unencumbered funds from current quarter budget, if in current fiscal year. If authorization was created in previous fiscal year, system will allow payment, with no changes to the current budget.

5.2.6.3.2.17   System will prevent authorization payment, if there are insufficient funds in the current quarter budget to cover this payment.

5.2.6.3.2.18   System will create a notification for vendors whose authorizations are over 90 days old.

5.2.6.3.2.19   Group authorizations - single authorizations can be created to purchase items/services for multiple clients. It should be possible to associate those costs with multiple caseloads and clients covered by the grouped authorization; this will help ensure that case costs are accurately captured for each client.

5.2.6.3.3   Payments

5.2.6.3.3.1   Once the payment data has been sent to the State or other payment system.

   ➤ All affected authorization records will be provisionally locked down, in order to maintain data integrity.

   ➤ Only designated users may be allowed to modify/delete payment information, in the face of system warning messages, and only in rare instances.

   ➤ In the event of human error, it should be possible to reverse this entire payment process, so that corrections can be made and the batch process can be re-run.

5.2.6.3.3.2   Reconciliation Report – system will provide a report that verifies there is a match in the payment data that is recorded in the case/client management system and as sent to the payment system.

5.2.7   **Create and Manage Reports**

5.2.7.1   Reporting tools will conform to OIT architecture as defined in Section 2.10

5.2.7.2   To minimize performance impact on the transaction system, reports that do not require real-time data will be run against a data warehouse or a similar data repository.

5.2.7.3   Data in the warehouse/repository should be no more than 24 hrs old

5.2.7.4   System will allow designated users/roles to run certain reports against the transaction database. This would include reports that require real-time data.

5.2.7.5   The system will create the Federal reports required by US DOL:

   ✓ American Recovery and Reinvestment Act (ARRA) due 15 days after the end of each month

   ✓ Quarterly reports due on various programs: Indian and Native American (INA), National Farmworkers Jobs Program (NFJP), Wagner-Peyser / Jobs for Veterans Act (W-P), Trade Adjustment Act (TAA) & Workforce Investment Act (WIA); due in August, November, February & May

✔ WIA WIARSD submitted quarterly; August, November, February & May

✔ Annual reports due as follows: TAA each November, WIA each October & WIA WIARSD each September

✔ Data Validation due as follows: NFJP November, W-P data element validation due in August, TAA each February & WIA each February

5.2.7.6 System will create a variety of demographic and other reports; see Appendices.

5.2.7.7 System will allow creation of new reports that can be used by all local/central office users.

5.2.7.8 System will provide/support ability for users to create/save ad hoc queries and reports. These queries/reports can be made available to others on an as-needed basis.

5.2.7.9 System will be able to schedule running of reports. Scheduled reports can occur on single occurrence or recurring basis.

5.2.7.10 Users can export queries/ report results to a file (e.g. Excel, Word, Adobe)

5.2.7.11 System will allow users to parameterize their own reports.

5.2.7.12 User-defined report parameters can be saved.

5.2.8 **Create and Manage Documents (e.g. forms, letters, etc.)**

5.2.8.1 System will generate documents similar to those in Appendix <C, D & E>.

5.2.8.2 System will automatically generate appropriate documents at specified points in CM process; see Appendix <A> for details

5.2.8.3 System will support exporting e-mail to a case note or document

5.2.8.4 System will allow importing of electronic documents

5.2.8.5 Electronic documents are attached to a client case record

5.2.8.6 List of electronic documents attached to a record will be available

5.2.8.7 System generated documents will be compatible with MS-Office 2000 and newer versions

5.2.8.8 System will allow a user to create/store customized documents (example: client-specific letters) that can be populated with data from the database.

5.2.8.9 Letters should auto fill local office address on letterhead when printing

5.2.8.10 Data fields for forms or templates generated within the system must auto-populate when possible.

5.2.8.11 The system will need to have the ability to create and reference new documents.

5.2.8.12 System will have the ability to reference documents within the system

5.2.8.13 Copies of letters and documents created from the system will be stored in the system

5.2.8.14 List of letters created for a case will be available within system

5.2.8.15 Stored copies of letters and documents will be uneditable

5.2.8.16	List of electronic documents attached to a record will be available
5.2.8.17	Any documents created for a particular case will be associated with that case.
5.2.8.18	Documents will be stored in a central repository rather than on individual PCs.
5.2.8.19	Document management will conform or be compatible with the State standards WestBrook Fortis or State of Maine Orbit.
	The requirements defined by the State of Maine can be found at:
	http://www.maine.gov/oit/architecture/DomainsAndBricks/CommodityApplications/Document_Management_Brick.doc.%20dated%20November%2010,%202008.
5.2.8.20	System will provide user option to view, save, print or email documents.
5.2.8.21	System will provide capability to print envelopes and labels.
5.2.8.22	System will have the ability to create letters or documents for multiple clients simultaneously (e.g. form letter, survey etc.)
5.2.8.23	System will support document templates, which will be administered centrally by select personnel.
5.2.8.24	Updates to the templates will not affect already published documents.
5.2.8.25	System will allow user to work with multiple open documents at one time
5.2.8.26	System will provide spellchecking feature for documents
5.2.8.27	System will allow importing of electronic documents
5.2.8.28	System will be compatible with State electronic document management standards; Fortis (COTS) or Orbit (Custom)
5.2.9	**Features**
5.2.9.1	Ability for electronic service tracking, i.e. capture of client interaction at an information center via a swipe card, kiosk or software enhancement.
5.2.9.2	Client self registration; i.e. available to interact with the MJB and simplify duplication of information.

45

6.   TERMS AND CONDITIONS

The contract between the State and the successful bidder shall include the following:

- State of Maine Agreement to Purchase Services; Available at
  http://www.maine.gov/purchases/forms/BP54%20EO-IT.doc
- State of Maine Agreement to Purchase Services, First Page and Signatures
- State of Maine Agreement to Purchase Services, Rider B-IT, Method of Payment and Other Provisions; see above
- State of Maine Agreement to Purchase Services, Rider A, Specifications of Work to be Performed; see above
- Request for Proposal and any amendments, and written questions and answers
- Vendor's proposal submitted in response to this RFP.

It is mutually understood and agreed that in the event of any conflict among the provisions of the documents, attachments, and/or exhibits that constitute the State of Maine Agreement to Purchase Services referenced above, the conflict shall be resolved by giving precedence to the documents in the order listed, with Item 1, State of Maine Agreement to Purchase Services, Page 1, having the highest precedence and Item 5, the vendor's proposal submitted in response to the RFP being subordinate to all other listed documents. In the event that an issue is addressed in one document that is not addressed in the other documents, no conflict in language shall be deemed to occur. However, the State of Maine reserves the right to clarify any contractual relationship in writing with the concurrence of the successful bidder, and such written clarification shall govern in case of conflict with the applicable requirements stated in the RFP or the successful bidder's proposal.

No modification or change of any provision in the contract shall be made, or be construed to have been made, unless such modification is mutually agreed to in writing by the successful bidder and the State of Maine. The contract modification will be incorporated as a written amendment to the contract. Memoranda of understanding and correspondence shall not be construed as amendments to the contract.

In Maine, authority to approve contracts on behalf of the State of Maine is vested in the initiating department, the State Purchases Review Committee (SPRC) and the Attorney General. The successful bidder shall sign a contract, which shall then be forwarded for approval and signature by all appropriate officials in Maine State government. The State's Project Manager shall be the single authority to act for the State of Maine under the contract. Whenever the State of Maine is required by terms of the contract to provide written notice to the successful bidder, such notice must be signed by the State's Project Manager or designee.

7.   PROPOSAL SUBMISSION REQUIREMENTS

This section provides requirements for the content and submission of the proposal. All proposals that are not presented and submitted in accordance with the requirements below will be rejected.

7.1   Proposal Content

Emphasis in preparing the proposal should be concentrated on conformance to the RFP instructions, responsiveness to requirements, and completeness and clarity of content. **Elaborate proposals are neither necessary nor desirable. Points will be sacrificed in the evaluation process if the bidder's proposal is presented in a way that makes evaluation difficult or overly time-consuming.** The proposal must be presented and numbered in strict accordance with the sub-sections below:

7.1.1   Transmittal Letter

If the proposal involves multiple parties, one party must assume the role of primary bidder for the purposes of communication with the State. A Transmittal Letter must be submitted. The Transmittal Letter must be written on the primary bidder's official business stationary and signed by an official authorized to legally bind and represent the organization during this process. The Transmittal Letter must include, at a minimum, the following:

- ➤ Organization information for each entity performing work as part of the proposal.   (primary bidder and all other parties):
  - ✓ Organization's full company or corporate name and the address of the organization's headquarters and other local or regional offices associated with the proposal.
  - ✓ How the entity is organized (proprietorship, partnership, corporation, subsidiary of another entity, etc.).
  - ✓ State incorporated or otherwise organized to do business.
  - ✓ Year in which the organization was first established to do business.
  - ✓ Federal tax identification number.
- ➤ An itemization of all materials and enclosures submitted in response to the RFP.
- ➤ A reference to any RFP amendments received by the bidder; if none have been received, a statement to that effect must be included.
- ➤ An unequivocal statement which acknowledges and agrees to all of the rights of the State including the procurement rules and procedures, terms and conditions, and all other rights and terms specified in this RFP.
- ➤ A statement of the bidder's willingness to enter into an agreement with the State of Maine, which includes a reference to the terms and conditions presented in the State of Maine Agreement to Purchase Services
- ➤ A statement that the bidder agrees to participate in personnel interview(s), oral presentations, and/or proof of concept tests, if requested.
- ➤ A statement that the person signing this proposal is authorized to make decisions as to the prices quoted and that he or she has not participated, and will not participate, in any action contrary to the RFP.
- ➤ A statement that the proposal was developed without collusion.

> ➢ A statement acknowledging that the proposal becomes the property of the State of Maine and that any and all information within the proposal is subject to public disclosure (Refer to RFP Section 3.7).
> ➢ The bidder's assurance that the proposal will remain in full force and effect for at least 180 days from the proposal due date specified in the Transmittal Letter attached to this RFP.
> ➢ A statement certifying that all pricing information presented as part of the proposal is in U.S. dollars and that all required cost information is enclosed.
> ➢ The name, mailing address, e-mail address, and telephone number of the primary bidder's representative who may be contacted for all matters related to the proposal.
> ➢ A statement from all other parties agreeing to their respective role in the proposal signed by an official authorized to legally bind and represent the organization
> ➢ An affirmative statement agreeing to a retainage of ten percent (10%) of the total contract amount. Retainage will be made on each payment as described in Agreement to Purchase Services, Rider B-IT.

7.1.2   Executive Summary

The Executive Summary will condense and highlight the contents of the Proposal to provide the Selection Committee with a broad understanding of the proposal. This will be a concise overview summarizing the commitment to performing this agreement. The Executive Summary will include highlights of the following:

> ➢ Significant features of the services approach
> ➢ Product capabilities

Proposal should summarize how the product and services will meet the requirements specified within the RFP.

7.1.3   Bidder Qualifications

The following information must be submitted by the primary bidder for all parties associated with the proposal. Information for sub-contractors performing less than 20% of the total work (measured as a percentage of the total proposed price) is not required.

7.1.3.1 Financial Statement

Evidence of adequate financial stability must be supplied upon request by the State. Upon request, the bidder shall provide a current Dunn and Bradstreet Comprehensive Insight Plus Report on their organization. Failure to provide this information within five business days after receiving a request from the State will have an adverse effect on the scoring of the proposal. In the event a bidder is either substantially or

wholly owned by another corporate entity, the bidder must also include same for the parent organization and a statement that the parent will unconditionally guarantee performance by the bidder in each and every term, covenant, and condition of such contract as may be executed by the parties.

Additional financial information may be requested during the evaluation process.

7.1.3.2 Organizational Change

Provide a brief history of any organizational changes that have occurred since the organization was first established (e.g. subsequent incorporation, merger, acquisitions, or other organizational change including any name changes). The intent of this requirement is to ascertain the longevity of continuous operation. The response should be formulated to provide information as appropriate to the business circumstances.

Additionally, if any change in ownership or control of the company is anticipated during the 12 months following the proposal due date, describe the circumstances of such change and indicate when the change will likely occur.

7.1.3.3 Relationships with the State

In this section, the bidder shall describe any relationships it, or its subcontractors, may have or have had with the State over the last 24 months. If no such relationship exists, so declare.

7.1.3.3.1   Prior and Existing Contracts
Identify all present and past contracts with the State; identify the contract number and/or any other information available to identify such contract(s). If no such contracts exist, so declare.

7.1.3.3.2   Employee Relations with State
If any party named in the proposal is or was an employee of the State of Maine within the past 12 months, identify the individual(s) by name, State the agency by which employed, job title or position held with the State, and separation date. Describe the responsibilities of such persons as they pertain to the proposal. If, after review of this information by the State, it is determined that a conflict of interest exists or may exist, the proposal may be disqualified from further consideration in this procurement. If no such relationship exists, so declare.

7.1.3.4 Contract Performance

If the bidder, or any proposed subcontractor, has had a contract terminated for default during the past three years, all such instances must be described as required below. Termination for default is defined as notice to stop performance due to the bidder's nonperformance or poor performance.

Bidders must submit full details of all terminations for default experienced by the bidder, or any proposed subcontractor, during the past three years, including the other party's name, address and telephone number. The response to this subsection must present the bidder's position on the matter.

If no such terminations for default have been experienced in the past three years, so declare.

If at any time during the past three years, the bidder has had a contract terminated for convenience, nonperformance, non-allocation of funds, or any other reason, which termination occurred before completion of all obligations under the initial contract provisions, describe fully all such terminations including the name and address of the other contracting party and the circumstances surrounding the termination.

If no such early terminations have occurred in the past three years, so declare.

7.1.3.5 Previous Experience

Bidders shall provide a summary that lists their previous work similar in size, scope and complexity to the products and services requested in this RFP. Bidders will also provide narrative descriptions to highlight the similarities between their experience and the products and services requested in this RFP.

7.1.3.6 Staff Qualifications

Bidders will provide a summary of relevant experience and training given to the proposed staff that will perform services specified in this RFP. In addition, the bidder will provide the resumes of the project managers and other key team members who could potentially be assigned to the project.

7.1.3.7 References

Bidders will provide a list of past and present customers for the purposes of verifying bidder qualifications and performance. **Bidders MUST provide a contact name, email address and phone number for each.**

7.1.4   Services Approach

The submission requirements below relate directly to the services that are being requested as part of this procurement:

7.1.4.1 Response to the Scope of Work

The bidder will restate in sequential order the subsection number and description as it appears within Section 4 "Scope of Work" of this RFP and provide the following for each subsection listed:

- ➢ A detailed description of how the work requirement will be met. Include templates and examples when appropriate.
- ➢ Expectations of State staff (Include: description of work to be performed, experience and/or skills required, allocation percentage)
- ➢ List and description of assumptions
- ➢ List and description of additional work or deliverables that may be required to meet the desired goal and objectives related to the work requirement.
- ➢ Information should be presented in format similar to that provided in Appendix I.

In those subsections requiring the development of a plan, the expectation is that the methodology for the development of the plan will be discussed.

7.1.4.2 Project Work Plan and Supporting Information

The bidder will submit a Project Work Plan that clearly reflects how the work outlined within Section 4 "Scope of Work" will be accomplished. The Project Work Plan must meet all of the requirements specified for the Project Work Plan deliverable in Section 4.1. The work plan should identify full implementation of the proposed solution to be complete on or before June 30th, 2012. It is the expectation that by July 2nd, 2012 all staff will be fully trained, and using the implemented solution. In support of the Project Work Plan, the bidder will include a narrative description explaining in detail the approach that will be taken to perform all work as reflected within the work plan. Deliverables and project milestones must be clearly highlighted within the description that is provided. The various roles and responsibilities of the primary bidder and all other parties including the State must be clearly identified and articulated. The percentage of work to be performed (measured as a percentage of the total proposed price) by the primary bidder and all other parties must be included.

Assumptions:
When preparing the work plan, please take into account the following assumptions.

- Allow 11 weeks for State procurement of any necessary software and hardware.
- Allow 38-52 work days for Maine OIT Deployment Certification testing related to the technical architecture.

7.1.4.3 Payment Schedule

The bidder will submit a proposed payment schedule for all products and services that fall within the scope of the contract. Payments shall be distributed over the full term of the contract and will be associated with significant milestones that relate to the official approval of one or more deliverables. The payment schedule must clearly indicate the deliverable(s) that are associated with each milestone. The payment schedule may not be front-loaded and each payment must relate directly to the work that was performed and the amount of effort that was required to reach the associated milestone. No more then 80% of the system purchase and implementation costs (excluding the four year post go-live support costs and retainage) may be paid prior to application acceptance and go-live. This information should be provided in a format similar to that in Appendix J.

7.1.4.4 Special Services

The bidder will submit a list of job titles and associated billing rates that will be applied for any special services performed outside the scope of the contract. Special services may include but not be limited to such work efforts as analysis, reports creation, system adjustments, etc. Formal authorization will be required prior to performing any of the associated work. The billing rates provided will remain in effect for all work authorized through the fourth year of support and maintenance. This information should be provided in a format similar to that in Appendix P.

7.1.5   Proposed Solution

The submission requirements below relate directly to the solution that is being requested as part of this procurement:

7.1.5.1 Response to Technical and Functional Requirements

The bidder will restate in sequential order the subsection number and description for each requirement as it appears within Section 5 "Requirements" of this RFP and provide the following for each requirement listed:

➢ A detailed description of how the requirement will be met utilizing narrative and/or pictorial descriptions (e.g. screen shots) as necessary. Insufficient detail will result in a lower score.
➢ List and description of assumptions.
➢ If necessary, a description of how existing State business processes and procedures and/or the technical environment may need to be modified to accommodate the requirement.
➢ If necessary, a description of any customization that may be required to satisfy the requirement.
➢ Information should be presented in format similar to that provided in Appendix K.

7.1.5.2 Architectural Design

The bidder will submit an Architectural Design for the proposed solution based upon the requirements specified in Section 5. The design should reflect how the proposed solution will be integrated into the State of Maine's IT architecture. Information to be provided will include but not be limited to the following:

➢ A narrative and pictorial description of the following:
- Web Layer
- Middleware Layer
- Database Layer
- Storage
- Network
- Security

➢ If applicable, a list and description of exceptions highlighting how the proposed solution does not adhere to the State of Maine IT Environment, Policies, Standards, Procedures, and Technology Bricks
➢ If applicable, a list and description of assumptions that were taken into consideration when producing the architectural design.

7.1.5.3 Hardware and Equipment

The bidder will provide a list and description of all hardware and equipment that will be required to satisfy the requirements as specified within Section 5 and be consistent with State architecture as defined at http://maine.gov/oit/architecture. The information must be completed and submitted in a format similar to that presented within Appendix L.

7.1.5.4 Software and Licensing

The bidder will provide a list and description of all software and licensing that will be required to satisfy the requirements as specified within Section 5. The information must be completed and submitted in a format similar to that presented within Appendix M.

7.1.5.5 Upgrades and Enhancements

The bidder will provide a detailed description of the process involved with applying upgrades and enhancements to the implemented solution. Information to be provided will include but not be limited to the following:

➢ A list and description of work tasks that will be required to apply an upgrade/enhancement
➢ Description of the type of resources that will be required to apply the upgrade/enhancement
➢ Timeline to apply an upgrade/enhancement that is considered to be minor/major.
➢ A description of the actions that must be taken to preserve customized components.

7.1.6   Costs

The State requires a firm, fixed price for all products and services that are to be provided as part of this procurement. The bidder must provide cost information as requested below:

7.1.6.1 Cost Forms

The bidder will submit all cost forms listed and described below. The cost forms must be completed and submitted in a similar format to those presented within Appendices L, M, and N.

Software and Licensing Cost Form:
This form will provide fixed cost for all software and licensing for which the bidder is responsible. Licensing information to be provided will include term (e.g. per server, per client, unlimited) and period (e.g. perpetual, annual renewal, three-year renewal).
Travel and expenses must be included in the costs provided. In calculating expenses, assume work space for on site staff will be provided by the State of Maine at no cost. The information must be completed and submitted in a format similar to that presented within Appendix N.

Cost Summary Form:
This form will provide the total fixed cost for all products and services that are to be provided by the bidder. Travel and expenses must be included in the costs provided. The information must be completed and submitted in a format similar to that presented within Appendix O.

Scope of Work Cost Form:
This form will provide costs associated with performing the scope of work as specified within Section 4. Travel and expenses must be included in the costs provided. In calculating expenses, assume work

space for on site staff will be provided by the State of Maine at no cost. The information must be completed and submitted in a format similar to that presented within Appendix Q.

The State may choose to purchase hardware/servers and software packages dedicated to the project as outlined in the RFP, and through the contract, or may choose to provision the software and hardware on presently available state hardware. These decisions shall be made during contract negotiation. For RFP pricing and comparison purposes, the State requires the submitter to complete the applicable cost forms.

7.2   Proposal Submission Instructions

Proposals must be submitted in accordance with the following instructions:

➢ A package containing one (1) original paper copy, eight (8) duplicate paper copies, and one (1) electronic copy in MS-Word and one (1) electronic copy in Adobe pdf format on a CD of the entire proposal must be submitted and received by the proposal due date and time specified within Section 3.16 of this RFP to:

> Division of Purchases
> 9 State House Station
> Burton M. Cross Building
> 4th Floor
> 111 Sewall Street
> Augusta, Maine 04333-0009

Proposals that arrive late will be rejected.

➢ The face of the package, whether mailed or hand delivered, must bear the legend "BES WESIS Case/Client Management Solution RFP # 201103054 – Confidential – Open by Addressee Only".

➢ An official authorized to legally bind the bidder must sign the proposal.

➢ The original copy of the proposal containing the original signatures will be marked "Original".

➢ Each copy of the proposal must be bound on standard 8½" by 11" paper. Charts, diagrams, and the like, may be presented on fold-outs; however, they must be folded and fit into the 8½" by 11" format.

➢ All pages must be consecutively numbered, starting with page 1.

➢ Figures and tables must be numbered and referenced in the text by that number. They should be placed as close as possible to the referencing text.

Appendix A: Customer Flow / OSOS Documentation
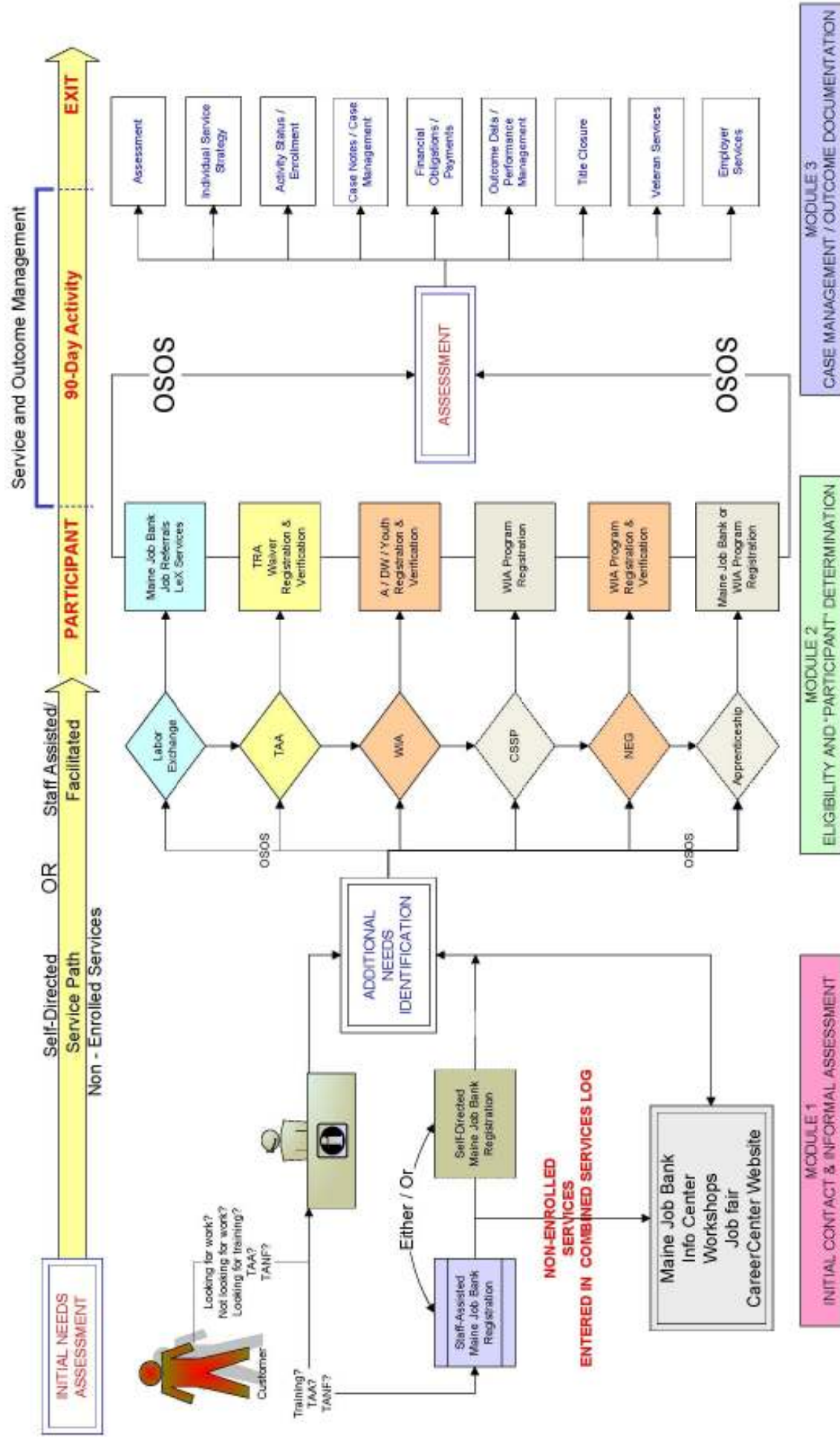
Appendix B: OSOS Modules & Fields

CAREERCENTER APPLICATION/REGISTRATION SCREEN

PURPOSE

This screen is used to document information given by an applicant to determine eligibility for participation in the Employment Service and WIA Training System programs. Therefore the questions are worded to accommodate both programs. The information is also used for program management and generating statistical reports for the U. S. Department of Labor.

GENERAL INSTRUCTIONS

A Career-Center Registration/Application Record is completed for each individual formally applying for enrollment in the various programs. This data can be either entered by the applicant through self-directed module, or by staff through the staff module.

Changes made to the staff screens are also being made to the Career-Center Registration self-directed screens as applicable.

If the data is entered by the applicant, the data will automatically be transferred to the staff side when opened. Please note that

If an applicant does not have a Social Security (SS) number, a temporary number must be devised using the procedure below. However, a valid SS number must be obtained and recorded prior to exit.

> **Pseudo Social Security (SS) Number** - If an applicant does not have or does not want to give an SS number, a temporary number must be devised using the following procedure. In the first three spaces, enter "000," in the next two spaces, enter the two digits of the year in which the applicant was born (e.g., 56 for 1956); in the next spaces, enter the two digits representing the calendar month in which the applicant was born; and in the final two spaces, enter the two digits indicating the day of the month (e.g., 0501 for May 1).

> **EXAMPLE:** An applicant born May 1, 1956 would have an SS# entered as 000-56-0501.

> Intake workers should assist applicants in obtaining SS#s if they don't have one.

> Please note that we are working on a module that will automatically assign a pseudo social security number. This will allow OSOS to keep track of psuedos.

APPLICANT SCREEN

1. COMMON ELEMENTS

A. Upper Portion of Screen
1) **View All/View from Pool** –Choose whether to view all orders from the server or from a selected pool.
2) **Pool** – Button will be grayed unless the view from pool is selected in the previous item above.
3) **Search** – Button finds different individuals either by name, ssn, or customer id number.
4) **Add** – Button allows the entry of a new individual into OSOS and assigns the customer identification number. It identifies the basic information of a customer name, social security number, and date of birth. The option also allows the assigning of the individual to a pool.
5) **Update** -- Button allows the updating of an individual's basic information -- customer name and date of birth. The option also allows the assigning of the individual to a pool. The social security number is changed by using the SSN correction module under the Administrative button on the Main Menu.

B. Lower Portion of Screen –
1) **Prev** – Is a navigational button to move around the screen.
2) **Basic** – Displays the data on the basic tab
3) **Employment** – Displays the data on the employment tab
4) **Veteran** – Displays the data on the Veteran tab
5) **Econ/Educ** – Displays the data on the Economic/educational Tab.
6) **Next** – Is a navigational button to move to the previous screen.
7) **Update** – Allows the updating of the information on the applicant screen displayed.
8) **Reset** – Resets the data on the screen back to the last save.
9) **Cancel** – Cancels all work done since the last save and takes the screen out of update mode.

2. APPLICANT SCREEN – BASIC TAB:

A. Mailing/Physical Address – Enter the address of the individual. If not done automatically, the mailing address can be copied over to the physical address by using the Copy Mailing Address to Physical button.

B. Phone 1 and Phone 2 – The telephone numbers are important, especially for gathering customer satisfaction information. Staff should attempt to keep this information current and accurate as possible.
C. E-Mail – The e-mail addressed where the customer can be reached.

D. Residence Code – The residence code is important as it may affect eligibility or job referrals.

E. **Contact me by** – Indicates how the customer prefers to be contacted.

F. **Homeless Or Transitional Housing** – An adult or youth who lacks a fixed, regular and adequate nighttime residence *see homeless definition.*

G. **Gender** – indicates if applicant is male or female.

H. **Veteran Status** – Displays the person's veteran status, for information only.

I. **Selective Service** – Check whether the applicant has registered for the Selective Service. If birth date is before 01-01-60 or applicant is female, answer NO to this question.

J. **Work Status** – Record the applicant's work status, if legally entitled to work in the United States. Is the person a U.S. citizen, legal alien, or permitted to work in the United States by the Immigration and Naturalization Service?

K. **Are You Looking for Work?** – This is an important question as it determines if the person will be entered into the job matching system or not.

L. **Ethnicity** – Indicate if the applicant is a Hispanic or Latino (of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture in origin, regardless of race). Both may be checked.

M. **Race** – Record the racial group(s) to which the applicant belongs. Multiracial applicants may choose more than one category. If the applicant refuses to select one then the intake worker may choose the one that best fits the applicant. If the intake worker makes the choice or disagrees with the applicant's selection, this fact should be noted in the case file.

1. American Indian or Alaska Native - A person having origins in any of the original peoples of North America and South America (including Central America), and who maintains cultural identification through tribal affiliation or community recognition.
2. Asian - A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian Subcontinent (e. g., India, Pakistan, Bangladesh, Sri Lanka, Nepal, Sikkim, and Bhutan). This area includes, for example, Cambodia, China, Japan, Korea, Malaysia, the Philippine Islands, Thailand, and Vietnam.
3. Black or African American - A person having origins in any of the black racial groups of Africa.
4. Hawaiian Native or other Pacific Islander - A person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.
5. White - A person having origins in any of the original peoples of Europe, the Middle East, or North Africa.
6. Not Disclosed - Although not disclosed is an option, it should be used as little as possible to avoid losing data as the feds will accept missing (undisclosed) data as long as data are missing for only a small proportion of participants.

N. <u>Is English Your Native Language?</u> – A person's whose native language is other than English.

O. <u>Do You Have Limited English Skills?</u> – Refers to proficiency in the English language based on the fact that the person's native language is other than English or he/she lives in a family or community environment where a language other than English is the dominant language.

P. <u>Individual With A Disability</u> – Indicate "yes" if the applicant has a physical (motion, vision, or hearing) or mental (learning or developmental) impairment which substantially limits one or more of the applicant's major life activities; has a record of such impairment, or is regarded as having one.

Indicate whether or not this is a substantial barrier to employment.

Q. <u>DRIVERS'S LICENSE</u> – Indicate if individual has a license and type Class C passenger vehicle); Class B (Heavy truck or Bus); Class A (tractor-trailer); or Out of State.

R. <u>Endorsements</u> – Endorsements (Check all that apply) on a driver's license:
H – Hazardous Materials
I – Motorcycle
J – Motor driven cycle
K – Valid until 30 days after discharge or release from Armed Forces
N – Tank vehicle
P – Passenger (bus) vehicles
T – Double/Triple trailer
X – Combination of tank/hazardous materials
Y – School bus over 15 passengers
Z – School bus 15 passengers or less including driver

S. <u>Last Cnote</u> – Displays the date the last case note was written, for information only.

T. <u>Youth Status</u> – Displays whether the youth is an in-school or out-of school youth. If an adult, N/A for not applicable is displayed.

U. <u>REA Participant</u> – Displays whether customer is participating in the Reemployment Eligibility Assessment Project (REAP). **New**

3. APPLICANT SCREEN – EMPLOYMENT TAB:

A. <u>Are You Working?</u> – Record whether the applicant is employed full-time, part-time, unemployed or not in the labor force. Terms are defined in the Definitions Section.

B. **Date Last Worked** – This date must be consistent with the date last worked for the most recently held job listed on the Work History Record. If the applicant cannot estimate the date last worked or has never worked, enter the code 000000.

C. **Last Hrly Wage** – Enter the last hourly wage from the last job held by the applicant. Record the most recent hourly wage (00.00) paid to the participant during the 26 weeks prior to application. This includes ANY employment and/or subsidized training where a wage was paid. Hourly wage includes any bonuses, tips, gratuities, commissions and overtime pay earned. Record "00.00" if there was no employment during that period.

D. **Number Of Hours Worked Per Week** – Enter the number of hours worked in the week for which the wages were entered.

E. **Are You Looking For Seasonal Work Only?** – Indicate if the person is looking for work just for a season such as waiting tables for the summer?

F. **Are You A Student Looking For A Summer Job?** – Indicate if the person is looking for work just for the summer such as waiting tables?

G. **Displaced Homemaker** – Indicate if the individual has been providing unpaid services to family members in the home; has been dependent on the income of another family member, but is no longer supported by that income; and, is unemployed or underemployed and is experiencing difficulty in obtaining or upgrading employment.

H. **Have you been terminated or laid off from your job?** – This helps determine if the individual is eligible as a dislocated worker. **Revised**

I. **Have you received notice that You Will Be Laid Off From Your Job or separating from the military?** – This helps determine if the individual is eligible as a dislocated worker. **Revised**.

J. **Hourly Wage At Layoff & Layoff Date** – If the answer to question H is "yes", enter the wage and date of layoff from the primary occupation as indicated on the Work History Record. The primary occupation may or may not be the last job listed on the Work History. The date of dislocation may be actual or projected up to six months.

K. **Have You Ever Been Laid Off Due To Foreign Imports Or Competition From Overseas Companies?** – This is an effort to identify anyone who may be TAA eligible.

L. **Can You Find The Company In This List?** – This is an effort to identify anyone who may be TAA eligible.

M. **Did You Work As A Seasonal Farm Worker, A Migrant Farm Worker, Or A Migrant Food Processor?** –

- Seasonal Farm Worker - Persons who, during the preceding 12 months, worked at least an aggregate of 25 or more days or parts of days in which some work was performed in

farm work, earned at least half of their earned income from farm work, and were not employed in farm work year round by the same employer. For purposes of this definition only, a farm labor contractor is not considered an employer. Non-migrant individuals who are full-time students are excluded.

- Migrant Farm Worker - Seasonal farm workers who have to travel to do the farm work so that they were unable to return to their permanent residence within the same day. Full-time student traveling in organized groups, rather than with their families, are excluded.
- Migrant Food Processor - Persons who, during the preceding 12 months, worked at least an aggregate of 25 or more days or parts of days in which some work was performed in food processing, who earned at least half of his earned income from processing work, and were not employed in food processing year round by the same employer. Migrant food processing workers who are full-time students, but who travel in organized groups rather than with their families, are excluded. Handbook No. 406, Appendix B

N. **Were You Unable To Return To Your Permanent Residence Within The Same Day?**

O. **Did You Do This Work All Or Part Of 25 Or More Days In The Last Year?**

P. **Was This Work The Source Of At Least Half Of Your wages In The Last Year?**

Q. **Did You Do This Job For More Than One Employer In The Last Year?**

4. **APPLICANT SCREEN – VETERAN TAB:**

A. **Service Disability/Missing In Action** – Indicate if the applicant or applicant's spouse:

1). Died of a service connected disability, or was killed in action.
2) Have a total disability, permanent in nature, resulting from a service connected disability.
3) Is he/she a member of the armed forces currently listed as missing in action, captured, or forcibly detained in the line of duty and has been so listed for more than 90 days?

B. **Did you serve on active duty, other than training, in the U.S. military? (Air Force, Army, Coast Guard, Marines, or Navy)**
Did you serve for more than 180 days?

C. **Did you serve in the Reserves or National Guard on active duty, other than training, for more than 180 days?**

B. **Are you currently on active duty in the United States military?** Added this question and removed question regarding service in Vietnam.

C. **Are you currently on active duty AND within 24 months of retirement OR within 12 months of separation?**
What is your expected retirement/separation date?

F. **Are you in receipt of a campaign badge or expeditionary medal awarded for your service in the U.S. military?**

G. **Do you have a service connected disability rated with the United States Veterans Administration?**
If yes, is your Rating none, 0%-20%, or 30% or higher?

H. **Have you been released from active duty in the United States Military in the last 48 months?**

I. **What is your date of most recent discharge?**

J. **Was the nature of your most recent discharge from the United States military honorable, other than honorable, or dishonorable?**

5. APPLICANT SCREEN – ECONOMIC/EDUCATIONAL TAB:

A. **How many people, including yourself, reside in your household that are related by blood, marriage, or decree of court, and are a husband, wife, parent, guardian or dependent child?**

B. **Are you a single parent?**

C. **Did your family earn less than $$$$ in the last year OR did your family earn less than $$$$ in the six (6) months?**

D. **Do any of these family members receive welfare?** – Check all that apply: Receiving food stamps or eligible to receive in the last six months, AFDC/TANF, General Assistance, public assistance pursuant to the Refugee Act of 1980, Supplemental Security Income (SSI).

E. **Barriers** – Homeless and/or runaway; offender; pregnant or parenting; foster child – refers to barriers to receiving services and attaining employment. This box was formerly for youth only. It will be enabled for all programs and allowable selections expanded/decreased based on youth/non-youth status.

F. **Are you a full time student?**

G. **If attending school, do you receive a Pell Grant?**

H. Highest Grade Completed – Enter the highest level of school the applicant has finished. (Do not include any grade in which the applicant is currently.)

Less than 8th grade
8th grade
9th grade
10th grade
11th grade
12th grade -- means high school graduate or equivalent
GED
Freshman year college/technical college
Sophomore year college/technical college
Junior year college/technical college
Senior year college/technical college
Beyond senior year college/technical college

I. Highest Degree Earned – Enter the number of your student status –

   a. None
   b. GED
   c. High School diploma – also includes individuals who successfully completed an Individual Education Program (IEP) for youth with disabilities
   d. Certificate
   e. Associate's Degree
   f. Bachelor's Degree or equivalent
   g. Master's Degree or above

SERVICE LOG

PURPOSE

The applicant service log documents self- and staff-assisted services for federal reporting and program management under the Wagner-Peyser or Labor Exchange program.

GENERAL INSTRUCTIONS

The applicant service log displays service and transaction records that are associated with the selected customer under Wagner-Peyser and includes services entered by Career-Center staff and those posted by OSOS.

PROGRAM/SERVICES REGISTRATION SCREEN

PURPOSE

This screen is used to document information given by an applicant to determine eligibility for participation in Workforce Investment Act (WIA) Title I-B and Competitive Skills Scholarship

(CSSP) programs. It also provides information used for program management and generating statistical reports for the U. S. Department of Labor.

GENERAL INSTRUCTIONS

A WIA Registration is completed for each individual formally applying for enrollment in the various programs.

All completed registrations, whether eligible or ineligible, must be data entered.

This intake record is used both as an original application and as a recertification.

The application must be completed and certified within ten days of the original application date; otherwise, a new application date must be used.

Generally, applicants must be re-certified prior to enrollment if their current certification date is more than six months old.

PROGRAM/SERVICES REGISTRATION SCREEN

1. **INTRODUCTION**

    The information on the Program/Services Registration screen is brought over from the Career-Center Registration screen. The first time you will be asked if you want to create a new registration which will transfer the information from the Career-Center Registration screen. Changes to the address, telephone, e-mail data and other information need to be made from the Career-Center Registration Screen and then brought over. These changes have to be made prior to the certification date being added. Otherwise, the certification date must be removed and the record saved and closed; changes made to the Career-Center Registration Screen made and saved, then reopen the WIA Registration Screen. This will update the WIA Registration Screen; otherwise these changes will have to be done manually.

2. **COMMON ELEMENTS**

    A. **Upper Portion of Screen** –
        1) **First Name**, **Last Name**, **SSN**, **Residence & Mailing Addresses**, **Tel 1**, **E-mail**, **Gender**, **Birth date**; and **Res Code**. These are all display only items in upper third of the screen.
        2) **App Date** – Refers to the date that the applicant initiated entry into the WIA system. A new revision is created by adding a new date and saving the record.
        3) **Of** – indicates how many different revisions of the registration are available, and which one in the series is the one you are reviewing. For example, 1 of 2 indicates that there are two and you are looking at the first one.
        4) **Project** -- The project indicates the county or project where the registration is taken.
        5) **Intake** -- The intake code shown indicates the office where the application was taken. See codes in the computer section of this Manual.

6) **DW** – DW code refers to the dislocated worker code or special NEG. Use the look up function or see codes in the computer section of this Manual.

B. Lower Portion of Screen –
1) **Elig Titles** – Displays all titles for which the individual is eligible based on this application.
2) **Eligible for Fisher's Program** – by double clicking on this box you can identify the applicant as eligible for the Fisher's Program.
3) **Cert Date** – This is the date that Career-Center staff certifies that the data entered on the program/services registration screen is accurate and complete. Once a date is entered and saved, the data on this screen is locked. To change data after that point, the cert date must be removed and saved, changes made to the Career-Center Registration Screen data and saved, and then the WIA Registration Screen reopened. This will update the WIA Registration Screen; otherwise these changes will have to be done manually.

4) *Reviewed – This is the date that Career-Center staff reviewed the data entered on the Career-Center Registration screen.*

5) **By** – This is the name of the reviewer, which is displayed based on the staff ID.
6) **ID** – This is the reviewer's ID, which can be typed in or found by the look-up function.
7) **Buttons**
    a) NEW – Allows the creation of a new registration/application.
    b) UPDATE – Updates the current revision unless locked.
    c) DELETE – Deletes the current revision if performed by staff with administrative permissions.
    d) PRINT – Prints document selected from a dropdown list.
    e) ELIG DET – Determines eligibility upon demand.
    f) FORCE ELIG – Forces OSOS to determine the person eligible, if performed by staff with administrative permissions. Used for such occasions as the five percent youth window.
    g) VERIFICATION – Opens the verification module for staff to document verification of eligibility.
    h) EXIT – Exits from the screen. If changes have been made, the user will be prompted to save changes.

3. PROGRAM/SERVICES REGISTRATION SCREEN – WIA CORE TAB:

The purpose for this tab is to show the items of basic eligibility for WIA services so that the item necessary for Core A services can be seen at a glance.

A. **Racial Group(s)** -- Record the racial group(s) to which the applicant belongs. Multiracial applicants may choose more than one category. If the applicant refuses to select one then the intake worker may choose the one that best fits the applicant. If the intake worker makes the choice or disagrees with the applicant's selection, this fact should be noted in the case file.

1. American Indian or Alaska Native - A person having origins in any of the original peoples of North America and South America (including Central America), and who maintains cultural identification through tribal affiliation or community recognition.
2. Asian - A person having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian Subcontinent (e. g., India, Pakistan, Bangladesh, Sri Lanka, Nepal, Sikkim, and Bhutan). This area includes, for example, Cambodia, China, Japan, Korea, Malaysia, the Philippine Islands, Thailand, and Vietnam.
3. Black or African American - A person having origins in any of the black racial groups of Africa.
4. Hawaiian Native or other Pacific Islander - A person having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.
5. White - A person having origins in any of the original peoples of Europe, the Middle East, or North Africa.

B. **Ethnicity** – Indicate if the applicant is a Hispanic or Latino (of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture in origin, regardless of race). Both may be checked. Although undisclosed is an option, it should be used as little as possible to avoid losing data as the feds will accept missing (undisclosed) data as long as data are missing for only a small proportion of participants.

C. **Veteran Status** – Indicate whether the applicant is a veteran— An individual who served in the active U.S. military, naval, or air service, and who was discharged or released from such service under conditions other than dishonorably.
   1. Veteran Status -- If yes, specify whether active duty service was for more or less than 180 days.
   2. Campaign Veteran – Indicate if the veteran served in Vietnam or during one of the campaigns. Check Supplement 1 for a chart of campaigns, expeditionary medal and the dates for which a veteran can be so identified.
   3. Disabled Veteran – A disabled veteran is one who is entitled to compensation regardless of rate (include those rated at 0%) under laws administered by the Department of Veterans' Affairs (DVA) or was discharged or released from active duty because of a service-connected disability. A special disabled veteran is a veteran who is rated at 30% or more by the DVA, or at 10 or 20 percent for a serious employment disability below.
   4. Last Discharge – Enter date of most recent discharge in MM/DD/YYYY format.

D. **Work Status** – Record the applicant's work status, if legally entitled to work in the United States. Is the person a U.S. citizen, legal alien, or permitted to work in the United States by the Immigration and Naturalization Service?

E. **Annualized** – Refers to annualized income for all family members and based on the following factors:
   ❑ Income – An applicant's family status and associated reportable family income are determined according to the "time of application" principle. A person's circumstances when the application is begun will be used to define "parent or guardian," "parent in a two-parent family," "other family member," or "not a family member." The family status, in turn, dictates the family income that must be reported for the previous six months. In other words, the income consistent with the

applicant's family status on the date of application will be reported for eligibility determination purposes. For example, an applicant classified as an "other family member" must report all family members' income for the previous six months, regardless of the amount of time the applicant resided with that family during the income determination period. The family's six-month income would be reported even if the applicant resided with that family for only one day. The issue is the applicant's family status at the time of application, regardless of the actual amount of time the applicant lived with that family during the previous six months.

Conversely, an applicant meeting the conditions of "not a family member" at the time of application will not be required to report other family income, regardless of the time the applicant may have lived with family members during the previous six months. A person could move out of a family situation one day and apply the next and be classified as "not a family member" with no other family income required. The "time of application principle" prescribes how to classify family status which, in turn, determines what family income must or must not be reported.

❑ <u>Includable Income</u> shall be but is not limited to:
Wages and Salaries before Deductions
Net Nonfarm Self-Employment
Net Farm Self-Employment
Railroad Retirement
Strike Benefits from Unions
Workers' Compensation
Training Stipends
Wages Subsidized by OJT Contracts
Alimony
Military Family Allotments/Other Regular Support
Pensions - Private
Government/Military Retirement
Regular Insurance/Annuity Payments
Dividends/Interest
Net Rental Income/Net Royalties
Periodic Receipts from Estates or Trusts
Net Gambling or Lottery Winnings
Vocational Rehabilitation Payments
College or University Grants, Fellowships, and Assistantships

❑   <u>Excludable Income</u> shall be but is not limited to:
Unemployment Compensation
Child Support Payments
AmeriCorps Living Allowances
Regular Payments from Social Security Disability Insurance (SSDI)
Social Security Old Age Survivors Insurance (OASI) & Survivor's Benefit Payments
Welfare Payments:
    TANF
    Refugee Assistance
    General Assistance

Capital Gains
Foster Care Child Payments
Assets Withdrawn from a Bank
Sale of Property/House/Car
Tax Refunds
Field Placements
Gifts
Loans
Lump-Sum Inheritances
One-time Insurance Payments
Student Loans
One-time Compensation Payments for Injuries
Non-Cash Benefits such as:
    Employer Paid Fringe Benefits
    Food/Housing Received in Lieu of Wages
    Medicare
    Medicaid
    Food Stamps
    School Meals
    Housing Assistance
Supplemental Security Income
TAA/TRA Payments
Workfare
HEA Title IV Subsidies including:
    Perkins Loans
    Stafford Loans
    Plus Loans
    Pell Grants
    SEOGs
    Federal Work Study
Income earned while the veteran was on active military duty and certain other veterans' benefits; i.e., compensation for service-connected disability, compensation for service connected death, vocational rehabilitation, and education assistance.

Any payment or income from a federal statute that specifically provides for them to be excluded for purposes of determining eligibility for other federal programs.

❑   <u>Family members</u> -- is the number in the family including the applicant as of the date of application. Family refers to two or more persons related by blood, marriage, or decree of court, who are living in a single residence, and are included in one or more of the following categories:.
  1. A husband, wife, and dependent children.
   1. A parent or guardian and dependent children.
   2. A husband and wife.

❑   <u>Metropolitan/Non Metropolitan Resident</u> - Record whether the applicant is a resident of a metropolitan area. There are four counties which contain metropolitan areas and are listed in the supplement in back of this Manual.

F. **Selective Service** – Check whether the applicant has registered for the Selective Service. If birth date is before 01-01-60 or applicant is female, answer NO to this question.

G. **Family Members** – is the number in the family including the applicant as of the date of application. Family refers to two or more persons related by blood, marriage, or decree of court, who are living in a single residence, and are included in one or more of the following categories:.
   1. A husband, wife, and dependent children.
   2. A parent or guardian and dependent children
   3. A husband and wife.

H. **Individual With A Disability** – Indicate "yes" if the applicant has a physical (motion, vision, or hearing) or mental (learning or developmental) impairment which substantially limits one or more of the applicant's major life activities; has a record of such impairment, or is regarded as having one.

   Indicate whether or not this is a substantial barrier to employment.

   Specify the disability in the description field

I. **Highest Grade Completed** – This is for display only. To modify the entry shown here you must return to on the Career-Center Registration screen. Please note that the certification date at the bottom of the Program/Services Registration Screen must be blank for the changes on the Career-Center Registration screen to update the Program/Services Registration Screen. Enter the highest level of school the applicant has finished. (Do not include any grade in which the applicant is currently enrolled.)

J. **Date Last Worked** – This date must be consistent with the date last worked for the most recently held job listed on the Work History Record. If the applicant cannot estimate the date last worked or has never worked, enter the code 000000.

K. **Last Hrly Wage** – Enter the last hourly wage from the last job held by the applicant. Record the most recent hourly wage (00.00) paid to the participant during the 26 weeks prior to application. This includes ANY employment and/or subsidized training where a wage was paid. Hourly wage includes any bonuses, tips, gratuities, commissions and overtime pay earned. Record "00.00" if there was no employment during that period

L. **Date of Dislocation & Wage At Dislocation** – If the applicant is a dislocated worker, enter the date and wage of layoff from the primary occupation as indicated on the Work History Record. The primary occupation may or may not be the last job listed on the Work History. The date of dislocation may be actual or projected up to six months.

4. **PROGRAM/SERVICES REGISTRATION SCREEN – WIA INTENSIVE TAB:**

A. **Limited English –** Refers to proficiency in the English language based on the fact that the person's native language is other than English or he/she lives in a family or community environment where a language other than English is the dominant language. English not the primary languish spoken at home.

B. Single Parent – A single, separated, divorced, or widowed individual who has primary responsibility for one or more dependent children under age 18.

C. Pell Grant – A federal student financial aid program administered by the U.S. Department of Education for individuals going on to higher education.

D. Homeless – An adult or youth who lacks a fixed, regular and adequate nighttime residence. For more information see the definition section.

E. Offender -- A youth or adult either who either
   1. Is or has been subject to any stage of the criminal justice process for committing a status offense or delinquent act or
   2. Requires assistance in overcoming barriers to employment resulting from a record of arrest or conviction for committing delinquent act, such as crimes against persons, crimes against property, status offenses, or other crimes.

F. Public Assistance
   1. TANF – Temporary Assistance to Needy Families (TANF) is a program for welfare recipients delivered by Department of Human Services.
   2. Food stamps in the last six months – The individual is receiving food stamps or has been eligible for food stamps in the 6-month period prior to registration, pursuant to the Food Stamp Act of 1977.
   3. Refugee Cash Assistance – Payments received under the Refugee Act of 1980.
   4. SSI (Supplemental Security Income) -- Cash payments received from SSI.

G. Family Members – Is another display of information added on the Core A tab. See Core A tab.

H. Annualized Income – Is another display of information added on the Core A tab. See Core A tab.

A. Comments – Allows the entry of comments related to the individual's eligibility.

B. Unemployment Compensation Status – Record the individual's U.C. status in one of the following categories:
   1) NOT in USE
   2) Exhaustee – Applicant has exhausted all benefit rights for which the individual has been determined monetarily eligible, including extended, supplemental benefit rights.
   3) None – The applicant is not eligible for U.C. benefits and has neither received nor exhausted them.
   4) Claimant is not profiled and referred
   5) Claimant is profiled (WPRS) and referred
   6) Clamant – WPRS status is unknown

1.   PROGRAM/SERVICES REGISTRATION SCREEN – WIA YOUTH TAB:

A. Youth Barriers: Check "yes"or "no," as applicable, for each target group that applies to the applicant. The meaning of each target group is provided in the definitions section:

1) **Limited English –** Refers to proficiency in the English language based on the fact that the person's native language is other than English or he/she lives in a family or community environment where a language other than English is the dominant language. English not the primary languish spoken at home.
2) **Single Parent –** A single, separated, divorced, or widowed individual who has primary responsibility for one or more dependent children under age 18.
3) **Pell Grant** -- A federal student financial aid program administered by the U.S. Department of Education for individuals going on to higher education.
4) **Homeless or runaway –** A youth who lacks a fixed, regular and adequate nighttime residence. For more information see the definition section.
5) **Offender –** A youth who I, or has been, subject to any stage of the criminal justice process, for whom services under this Act may be beneficial; or, who requires assistance in overcoming artificial barriers to employment resulting from a record of arrest or conviction.
6) **Pregnant or parenting youth –** An individual who is under 22 years of age and who is pregnant, or a youth (male or female) who is providing custodial care for one or more dependents under age 18.
7) **Foster child –** An individual eighteen (18) years of age or less who has been either:
   a) removed from the custody of his/her natural parents by court order and then placed in a foster home by the authority of the State; or
   b) removed from the custody of his/her natural parents through a contractual agreement between parents and the State and then placed in a foster home by the authority of the State.
8) **Basic skills deficient –** With respect to an individual, this term means that the individual has English reading, writing, or computing skills at or below the 8th grade level on a generally accepted standardized test, or a comparable score on a criterion-referenced test.
9) **Job Corps –**- A national residential youth training program operated in two Maine locations (Bangor, Limestone) by the Training and Development Corporation.
10) **Youth who need additional assistance –** The explanation dialog box below this item is for a description what the additional assistance needed is and why.

B. **Youth Stat if Elig:** Displays the in-school/out-of-school status as calculated by OSOS as an aid to understanding how it is calculated.

C. **Family Members:** Is another display of information added on the Core A tab. See Core A tab.

D. **Annualized Income:** Is another display of information added on the Core A tab. See Core A tab.

E. **Public Assistance:**
   1) TANF -- Temporary Assistance to Needy Families (TANF) is a program for welfare recipients delivered by Department of Human Services.
   2) Food stamps in the last six months – The individual is receiving food stamps or has been eligible for food stamps in the 6-month period prior to registration, pursuant to the Food Stamp Act of 1977.
   3) Refugee Cash Assistance – Payments received under the Refugee Act of 1980.

1.1.1.1 4) SSI (Supplemental Security Income) – Cash payments received from SSI.

F. **Comments:** Allows the entry of comments related to the youth's eligibility.

G. **Education Status:**
   1) Student - High school student or less
   2) Student attending post high school
   3) Out of school - school dropout
   4) Out of school - high school graduate, with employment difficulty
   5) Out of school, high school graduate, with no employment difficulty
   6) Not applicable (N/A) - anyone who does not fit the above five categories.

D. **Unemployment Compensation Status:** Record the individual's U.C. status in one of the following categories:
   1) NOT in USE
   2) Exhaustee -- Applicant has exhausted all benefit rights for which the individual has been determined monetarily eligible, including extended, supplemental benefit rights.
   3) None -- The applicant is not eligible for U.C. benefits and has neither received nor exhausted them.
   4) Claimant is not profiled and referred
   5) Claimant is profiled (WPRS) and referred
   6) Clamant – WPRS status is unknown

6. **PROGRAM/SERVICES REGISTRATION SCREEN – CSSP TAB:**

   The Competitive Skills Scholarship Program (CSSP) tab replaces the Local Workforce Investment Boards (LWIBs) area formerly reserved to specify additional barriers or target groups.

   The screen will show if the person is at or below income guidelines for CSSP. This screen is also used throughout the program enrollment period to determine training stipend eligibility and continued program eligibility based on income.

   Once the Core, Intensive, and CSSP tabs are complete the ELIG DET button must be clicked to determine eligibility.

A. **Date**: Data stamp of assessment for CSSP eligibility. Each time an assessment is added a new line is displayed.

B. **# in Family:** is the number in the family including the applicant as of the date of application. Family refers to two or more persons related by blood, marriage, or decree of court, who are living in a single residence, and are included in one or more of the following categories:.
   1. A husband, wife, and dependent children.
   2. A parent or guardian and dependent children
   3. A husband and wife.

C. **4 Wk Income:** Is the family's income for the most recent four weeks. See TAB for a fuller explanation of what is included and excluded.

Each time the person is assessed or re-assessed for income eligibility, ADD should be used. UPDATE is only used when updating income or family size information within a 45-day window.

D. **Elig for Stipend**: Is determined by OSOS to be eligible to receive a stipend from CSSP to attend an educational program.

E. **<200% of Poverty Lvl**: Family's income during the previous 4 weeks is less than 200 percent of the federal poverty level for the family size involved.

F. **<250% of Poverty Lvl**: Family's income during the previous 4 weeks is less than 250 percent of the federal poverty level for the family size involved.

G. **Enrolled Full Time**: Is the person enrolled in a full-time educational program?

H. **Update/Save:** The UPDATE button enables changing information on the CSSP tab for a previously entered eligibility assessment. It turns to save after the UPDATE or ADD buttons have been selected to allow the storage of the new information.

I. **Reset:** The RESET button blanks out the new information entered on the screen before it is saved so that new information can be recorded.

J. **Add:** The ADD button enables entering information on the CSSP tab. ADD should be used each time the person is assessed or re-assessed for income eligibility.

K. **Copy:** The COPY button enables the highlighted information to be changed and then saved as a new assessment of eligibility.

L. **Delete:** The DELETE button removes or deletes all of the data for a highlighted eligibility entry.

M. **Cancel:** The CANCEL button stops the adding or updating of information and goes back to the display mode.

7. PROGRAM/SERVICES REGISTRATION SCREEN – WIA FISHER TAB:

The application identifies the four groups that are eligible under the Fisher National Emergency Grants: fishers, family members of fishers, self-employed, and employee of seafood business.

8. PROGRAM/SERVICES REGISTRATION SCREEN – TAA TAB:

A. **SSN** – Social security number of the record you are looking at. If you enter a new SSN, another record can be shown on the screen.

B. **Cert** – This is number of the firm from which the individual was laid off from. The name will also be displayed. Using the look-up function (?) allows you to find other certified firms.

C. **Cert Date** – Date the firm was certified as TAA eligible?

D. **Approved** – Yes indicates that the individual was approved for TAA training??

E. **Dt Approved** – Indicates the date that the individual was approved for TAA training.

F **Date Sep** – Last date the individual worked at the TAA certified firm.

G. **Staff ID** – The ID of the staff person who entered the data.

H. **Posted** – Indicates the date the data was entered into OSOS.

The navigational buttons on the upper right of the middle section allow the toggling between certified firms if the individual was dislocated from more than one certified firm.

Appendix C: Assessment Summary

Assessment is an on-going process – at each stage the customer has expressed willingness and need to move to a different level as recorded in the case notes. All steps are cumulative.

	Assessment Topic/Activity	Documentation
	WP Registration / Self-Directed Job Search	LEX service registration in OSOS
	Self Assessment	Completed Initial Assessment Form (*sample to be attached*) *or* LEX service registration in OSOS
	Workshop Attendance	LEX Service Log Entry
	WIA Registration	Signed WIA OSOS Generated Application Form *or* Signed Service Provider WIA Application *&* in OSOS
	Enrollment in Activity	Status Code Entry in OSOS *&* case note
	Unable to, or has barriers to, gaining employment	No demand for participant skills in local LMA, per: • Complete work history in OSOS but NO LEX referrals within defined time frame • OSOS LMI screen shows declining or no demand for primary occupational skill set • Participant lacks work maturity, employment competency, work experience, or shows other assessed, paper documented and verified, or case-note documented barrier(s).
	Eligibility	Meets Above Criteria *&* (eligibility check list to be added)
	Evidence of a Structured Assessment Interview	Paper Version of Assessment Interview in file *or* in OSOS Assessment Profile Screen *&* case notes
	Formal Tests / Assessments	Results in Paper File and Data in OSOS *or* Data in OSOS
	Assessment of Prior Wages	U. I wage screen print out
	WIA Individual Service Strategy or TAA Plan	Signed paper OSOS version in file *&* data in OSOS

	Training Research	Provider on TAA or WIA approved vendor list **&** Included in ISS or 858 **&** Case Note
	Training Enrollment	Paper Authorization, PO Request, Bid Sheet *or* TRA29 Cost Sheet **&** Data In OSOS financial or similar database **&** OSOS Status Change **&** Documentation that training in demand/growth occupation **via** LMI data
	Training Progress	OSOS Case Notes *or* School / Employer Reports
Support		
	Support Service	Copy in file ***&/or*** included in ISS **&** OSOS case notes
Exit Info		
		Data in OSOS Separation Screen **&** UI Wage Data in file
Retention		
	Retention & Follow Up to take place at least one time per quarter unless client is high risk and then to take place once per month.	OSOS Case Notes and/or OSOS Follow Up Screen **&** UI Wage Data in file

OSOS MOD II
9-07

Appendix D: Individual Service Strategy

Facilitating An Individual Service Strategy

Objectives
- Review the "guiding principles" for assessing customer needs in an integrated and seamless service environment   - Understand and apply "triage" to meet customer needs   - Connect assessment practices and ISS development to the seamless/integrated services strategy   - Understand the ISS as a customer-centered team process   - Promote partnership & empowerment in the ISS process   - Understand the ISS as a continuous process, not a document
Guiding Principles
- The integrated service strategy = framework for organizing work and customer flow   - Organizing work and customer flow based on the 3 tier service levels (core, intensive, training) currently in place   - The strategy organizes services into "functional" teams. The team members are assigned according to function and the level of service   - The majority of staff in the Center engage customers in "initial assessment" and basic up-front triage services   - All customers are shared   - Assessment is both formal and informal   "Graduating" customers from Core to Intensive is marked by the development of a formal ISS

TRIAGE:

Group A: Career Exploration
No significant work history; work history with long absences from the labor market
Group B: Career Advancement
Work history, but inconsistent, not showing advancement, not immediately career ready due to skills mismatch or skill level does not indicate ability for career growth
Group C: Employment Express
Working, or not working but job ready as indicated by only needing job search tools and/or information

ISS: A PROCESS FIRST, A DOCUMENTED PROCESS, LATER . . .

Basic ISS Elements	
Goal	Plan of Action to Achieve Goal
Facilitating the Basics	
- What do you want? - Where are you now? - Where do you want to go? - How do you get there?	*Goal*: - Realistic - Achievable - Desirable – worthy of tenacious pursuit - Motivating *Action Plan*: - Requires data – customer information: basic skills, KSA's, interests, work history, financial resources/information, supportive service needs, etc; labor market information - Must be motivating – able to keep customers moving forward even when met with rejection - Must be flexible

	SECRET – Achievable objectives that create constant "wins" . . .
Essentials of ISS Process	
▪ Information gathering ▪ Information evaluation ▪ Goal setting	▪ Action Planning ▪ Documentation of Process ▪ Progress review
Basic Requirements	
▪ Customer-centered ▪ Based on assessment information	▪ Developed in partnership ▪ Provides service continuum & strategy for achieving employment goals
The ISS Document: A multi-tool	
▪ Assurance that pieces fit ▪ Road map for goal achievement ▪ Tool for measuring progress-benchmark ▪ Foundation for customer strategy	▪ Contract between CC & customer ▪ Demonstration of professional credibility ▪ Demonstration of customer ownership ▪ Motivational tool. . .
Contents	
▪ Assessment information ▪ Short & long term goals ▪ Achievement objectives ▪ Mix & sequence of services ▪ Frequency & timeframe of services	▪ Training plan ▪ Supportive service plan ▪ Income Maintenance Plan ▪ Responsible Parties (delivery agents) ▪ Record of progress
Goal Development	
▪ Customer preference ▪ Data analysis re: employment goal ▪ Supporting LMI ▪ Barriers to goal ▪ Supportive service needs	▪ Income maintenance needs ▪ Availability of E&T resources ▪ Availability of community resources ▪ Agency ability to support plan
Action Plan Development	
▪ Long-term employment goal ▪ Short-term objectives ▪ Benchmarks/milestones ▪ Sequencing of steps	▪ Timeframe for activities ▪ Resources ▪ Responsible parties ▪ Program investment
Objectives	
▪ Represent desired outcomes ▪ Are achievable	▪ Are described in ways that are quantifiable, measurable, observable, success-oriented, progress-oriented
Empowering Documentation	
▪ Demonstrates customer ownership: the plan is theirs . . . ▪ Provides for achievement	▪ Conveys belief in ability to succeed
A Living Document	
Continuously reviewed and revised to reflect changing circumstances and new information	
ISS Updates	
▪ Articulate accomplishments to date ▪ Link efforts to outcomes: "you're making progress"	▪ Provide opportunities to switch gears when needed ▪ Create cause for celebration
FOR THE CUSTOMER: THE ISS DOCUMENT = A ROADMAP FOR THE FUTURE	
FOR THE CC PROFESSIONAL: THE ISS PROVIDES THE BASIS FOR THE ENTIRE CUSTOMER STRATEGY	

Appendix E: Verification Policy and Monitoring
VERIFICATION POLICY

The verification process is both a monitoring tool and a quality control mechanism. Its function is to establish the credibility and reliability of the eligibility determination systems of the LWIBs.

General Standards:

I. Eligibility Determination
A. All adults and dislocated workers who receive Core services must have their eligibility determined for intensive/training services. Based on universal access, all may receive Core services regardless of their eligibility status.
B. The information for an eligibility determination must be completed within a ten-day period or a new determination must be completed. This is to ensure eligibility data is consistent and accurate.
C. The adult/dislocated worker must be enrolled in Core services within six months of the eligibility determination or a new one must be done.
D. A youth must be determined eligible prior to receiving WIA youth services. (See definitions – Youth Eligibility)

II. Verification
A. Due to federally mandated data element validation, these items have to be verified at or prior to enrollment for adults, dislocated workers, and TAA:
1. Citizenship status
2. Veteran status
3. Selective Service registration (excludes TAA)
4. Residence only if required by the LWIB (excludes TAA)
5. Layoff status for dislocated workers
6. Birth date/Age
B. Youth need to have the following items verified:
1. Citizenship status
2. Veteran status
3. Selective Service registration
4. Residence only if required by the LWIB
5. Economic status
6. Barrier
7. Birth date/Age

III. Verification Issues

    A. What is the status of customers that have been identified as having to be verified and are non-verifiable? *Customers that are unable to produce documentation for verification purposes are considered ineligible until they become verified. (This applies to all programs under WIA Title I once verification is required.)*

    B. Do we verify barriers for youth services? *One of the barriers for youth must be verified.*

    C. Must citizenship status, age, selective service registration be verified for all enrollees? Yes.

IV. Verification Documentation

    A. All items specifically related to eligibility shall be verified prior to or at enrollment. Only one barrier per youth applicant needs to be verified regardless of the number of groups the applicant may report.

    B. The BES-fd dated 5/08 shall be used to document eligibility. Its instructions follow this section.

    C. Documentation used to support and verify eligibility shall be attached to the BES-fd dated 5/08 and maintained in the customer file.

    D. All verification documentation shall be written as follows:

        1. LWIBs shall develop their own verification forms for mailing to employers and agencies for documentation information.

        2. Income shall be documented by the applicant's or family members' employer(s), using check stubs or other written source documents.

        3. The Telephone Verification/Documentation Inspection record may be used in lieu of written verification forms in the following circumstances:

            a. when the information needed is from a public agency, including public schools, the SSA, the Veteran's Administration, medical and health facilities, Vocational Rehabilitation, Drug and Alcohol Rehabilitation agencies, Housing Authorities, Homeless Shelters, Judicial Agencies and Institutions, and other State or Local government agencies;

            b. when intake is being done where photocopying is not available; or

            c. when an employer refuses to confirm an applicant's income in writing.

        4. The Applicant Statement record must be supported by a corroborative contact or reliable witness attesting to the accuracy of the statement, and shall be used under any one of the following circumstances when all practicable attempts to secure other documentation have failed:

            a. For homeless individuals not residing in a shelter;

            b. To document residency for runaway youth who do not have a permanent place to reside;

            c. To document family size when no other form of documentation may be obtained;

            d. To document "not a family member" status when an applicant is residing with his/her family (this is in addition to documenting the 50 percent rule);

            e. To document an applicant's zero income statement;

            f. To document an applicant's school dropout status for out-of-state applicants, and for applicants 16 or over when documentation from the school district cannot be obtained;

            g. To document an applicant's offender status when court records or other documentation are unobtainable; and

            h. To document an applicant's pregnant status (youth).

FILE DOCUMENTATION CHECKLIST

<u>PURPOSE</u>
The File Documentation Checklist tracks verification sources of applicant eligibility when required and serves to satisfy WIA and TRA/TAA data validation requirements. Its function is to establish the credibility of the eligibility determination systems of the LWIBs.

<u>USAGE</u>
The checklist contains the information/documentation that must be included in each <u>enrolled</u> participant's folder, unless otherwise specified. Enrolled participants refer to those who received Core, Intensive, or Training services. Note that the checklist primarily includes those items that are not validated solely by an OSOS entry.

A copy of this checklist should be attached to each participant's folder, with all applicable items checked. All items pertain to both WIA and TRA/TAA enrollment unless otherwise noted.

The Bureau expects that each folder will contain, at a minimum, a copy of the checklist and the applicable documentation for future data element validation and other monitoring visits. **This applies to all enrolled participants, which include those enrolled in Core, Intensive, or Training services.**

The Bureau of Employment Services issued the policy, effective December 29, 2004, developed in consultation with the CareerCenter Managers, on the minimum requirements for file documentation. Local providers and program operators have discretion to add other requirements that do not conflict with the ones stated here. From a program management perspective, BES expects that hard copies of other items, such as invoices, may well be critical.

<u>FACSIMILE</u>
See next page.

MAINE DEPARTMENT OF LABOR/CAREERCENTER
FILE DOCUMENTATION CHECKLIST

NAME			CUSTOMER ID NUMBER			

CRITERIA	ADULT	DW	YOUTH	TAA	CSSP	VERIFICATION SOURCE
GENERAL ELIGIBILITY						
Program Registration (completed & signed)	X	X	X	X	X	
Citizen/Alien Status	X	X	X	X	X	
Veteran Status	X	X	X	X		
Selective Service Registrant	X	X	X	X		
Birth Date/Age	X	X	X	X	X	
Youth Barrier			X			
Specify A Barrier:						
ECONOMIC/PROGRAM ELIGIBILITY (Note: Adult and Youth must verify only one of the following checked boxes.)						
General Assistance	X		X			
Refugee Cash Assistance	X		X			
Supplemental Security Income (SSI)	X		X			
Temporary Assistance to Needy Families (TANF)	X		X			
Family income at or below the poverty line or 70% of the LLSIL	X		X			
Received Food Stamps or was determined eligible to receive in the last six months	X		X			
Homeless per Section 103 (a) & (c) of the McKinney Act			X			
Foster Child			X			
Individual with a disability whose income is at or below the poverty line or 70% of the LLSIL	X		X			
Evidence of DW Eligibility		X		X		
Family income at or below 200% of the poverty level. (Initial Eligibility)					X	
Letter of eligibility/ineligibility					X	
Family income at or below 250%.					X	

(Completed yearly for program continuance.)						

RATIONALE OF ENROLLMENT

Evidence of Appropriate Assessment (basic skills, work interests, aptitudes, etc.)	X	X	X	X		
Work Skills/Employment History Documented	X	X	X	X		
Evidence of marketability	X	X	X	X		
Evidence of lack of marketable degree					X	
Employment goal identified	X	X	X	X	X	
Evidence that training choice is in a high wage/ in demand occupation	X	X	X	X	X	

CRITERIA	ADULY	DW	YOUTH	TAA	CSSP	VERIFICATION SOURCE

PROGRAM/PERFORMANCE REQUIREMENTS

Individual Service Strategy (ISS)	X	X	X	X	X	
Individual Training Account (ITA)	X	X				
Attained Secondary School Diploma			X			
All Approved Participant Invoices	X	X	X	X	X	
Youth Follow-Up			X			
TRA/TAA Determination				X		
TRA 7				X		
Letter of Acceptance From Training Institution				X		
Training Cost Sheet				X		
Signed Break In Training Form (if applicable)				X		
Signed 858s or Waivers				X		
Training Authorization Signed By Staff	X	X	X	X	X	

CASE MANAGEMENT

Client Progress Documented/Case Notes	X	X	X	X	X	
Documentation of Credentials Earned	X	X	X	X	X	
Current Enrollment/Activity Documented	X	X	X	X	X	
Support Services Need (s) Documented	X	X	X	X	X	

Placement/Termination Documented	X	X	X	X		
Evidence of Retention/Follow-up			X			
Evidence of Stipend Eligibility Check @ 6 mos Intervals					X	

INSTRUCTIONS FOR COMPLETING THE FILE DOCUMENTATION CHECKLIST

The applicant's Name and Customer Identification Number are to be written in the spaces provided at the top of the checklist.

List the specific item used to document eligibility for each Criteria listed to the left of the record in the space provided under Verification Source at the right of the record. Documentation sources are listed in the next few pages.

Source documentation is required for each Criteria item marked "x" within the Adult, DW, Youth, and TAA columns.

Regarding income below poverty line, food stamps, homeless, and foster child items, intake counselors are to place an "x," as applicable, in the column for which the applicant is applying, and indicate the source documentation. All cash welfare items (TANF and cash assistance) must be verified due to data validation requirements.

Write in the "Youth Barrier" being used to make the applicant eligible, if applicable, and indicate the source used to document the criteria cited.

Provide the Verification Source used to document dislocated worker eligibility.

Appropriate sources are listed on the next few pages.

ELIGIBILITY CRITERIA	WIA/TAA ACCEPTABLE DOCUMENTATION (Only one of the following is required). Please Note: Service Providers may use other documents based on best judgment as the responsibility to establish eligibility rests with the service providers.
GENERAL ELIGIBILITY	
CITIZENSHIP/ALIEN (Right to Work) STATUS	Alien registration card indicating right to work (INS forms I-151, 1-551, I-94, I-688A, I-197, I-179) Baptismal certificate (If place of birth is shown) Birth certificate DD-214, Report of transfer or discharge (If place of birth is shown) Food stamp records Foreign passport stamped eligible to work Hospital record of birth

ELIGIBILITY CRITERIA	WIA/TAA ACCEPTABLE DOCUMENTATION (Only one of the following is required). Please Note: Service Providers may use other documents based on best judgment as the responsibility to establish eligibility rests with the service providers.
	Native American Tribal documents in lieu of hospital records Naturalization certification Public assistance records U.S. passport Signed and documented I-9
VETERAN STATUS	DD-214 Military Card
SELECTIVE SERVICE REGISTRANT	Contact the Selective Service online at http://www.sss.gov DD-214, Report of transfer or discharge paper Selective Service advisory opinion letter Selective Service registration card Selective Service verification form
BIRTH DATE/AGE	Baptismal record Birth certificate DD-214, Report of transfer or discharge paper Driver's license Federal, state or local government identification card Hospital record of birth Passport Public assistance/Social service records School records/identification card Work permit
YOUTH BARRIERS	
Each individual enrolled in Youth Services shall be included in one or more of the following categories:	
BASIC SKILLS DEFICIENT	Assessed by a generally accepted standardized test School records Case notes
SCHOOL DROPOUT	Applicant Statement (use form JTS-112 elsewhere in Customer Tracking Manual) Attendance Record Dropout Letter
HOMELESS OR RUN-AWAY YOUTH	Applicant statement (use form JTS-112 elsewhere in Customer Tracking Manual) Written statement from an individual providing temporary residence Written statement from shelter

ELIGIBILITY CRITERIA	WIA/TAA ACCEPTABLE DOCUMENTATION (Only one of the following is required). Please Note: Service Providers may use other documents based on best judgment as the responsibility to establish eligibility rests with the service providers.
	Written statement from social service agency
SUPPORTED FOSTER CHILD	Court contact Court documentation Medical card Verification of payments made on behalf of the child Written statement from social service agency
PREGNANT OR PARENTING	Applicant statement Birth certificate Hospital record of birth Medical card Physician's note Referrals from official agencies School program for pregnant teens School records
OFFENDER	Applicant statement Court documents Halfway house resident Letter of parole Letter from probation officer Police records
Individual who requires additional assistance to complete an educational program or to secure or hold employment	Documented in the Individual Service Strategy (ISS)
ECONOMIC/PROGRAM ELIGIBILITY	

CASH PUBLIC ASSISTANCE
  General Assistance
  Refugee Cash Assistance
  Supplemental Security Income
   (SSI-SSA Title XVI)
NOTE: The listed items of documentation are acceptable for any individual listed on the grant.
	Copy of authorization to receive cash public assistance
	Copy of public assistance check
	Medical card showing cash grant status
	Public assistance identification card showing cash grant status
	Public assistance records/printout
	Refugee assistance records

INDIVIDUAL/FAMILY INCOME NOTE: Documentation should be provided for each applicable income	Alimony agreement Applicant statement Award letter from Veterans Administration Bank statements (direct deposit)

ELIGIBILITY CRITERIA	WIA/TAA ACCEPTABLE DOCUMENTATION (Only one of the following is required). Please Note: Service Providers may use other documents based on best judgment as the responsibility to establish eligibility rests with the service providers.
source.	Compensation award letter Court award letter Employer statement/Contact Farm or business financial records Housing Authority verification Pay stubs Pension statement Public assistance records Quarterly estimated tax for self-employed persons Social Security benefits Unemployment insurance documents and/or printout
INDIVIDUAL STATUS/FAMILY SIZE	Applicant statement Birth Certificate Decree of Court Disabled (See "Individuals with Disabilities" item below) Divorce decree Landlord statement Lease Marriage certificate Medical card Most recent tax return supported by IRS documents (e.g. Form letter 1722-See Appendix A) Public assistance/Social service agency records Public housing authority (If resident on waiting list) Written statement from a publicly supported 24 hour care facility or institution (e.g. mental, prison)
FOOD STAMPS NOTE: The listed items of documentation are acceptable for any individual listed on the grant.	Current authorization to obtain food stamps Current food stamp receipt Food stamp card with current date Letter from food stamp disbursing agency Postmarked food stamp mailer with applicable name and address Public assistance records/printout
HOMELESS	Applicant statement Written statement from an individual providing temporary residence Written statement from shelter Written statement from social service agency
INDIVIDUALS WITH DISABILITIES	Letter from drug or alcohol rehabilitation agency Letter from child study team stating specific disability Medical records

ELIGIBILITY CRITERIA	WIA/TAA ACCEPTABLE DOCUMENTATION (Only one of the following is required). Please Note: Service Providers may use other documents based on best judgment as the responsibility to establish eligibility rests with the service providers.
	Observable condition (case note needed) Physician's statement Psychiatrist's diagnosis Psychologist's diagnosis Rehabilitation evaluation School records Sheltered workshop certification Social service records/Referral Social Security Administration disability records Veterans Administration letter/Records Vocational rehabilitation letter Workers compensation record Self-attestation
DISLOCATED WORKER ELIGIBILITY	
Laid-off worker	UI records Employer records
Eligibility/Exhausted UI Benefits	UI records
Workforce attachment but insufficient earnings for UI	Self-declaration documented by applicant signature on the WIA Registration.
Worked in uncovered employment	Self-declaration documented by applicant signature on the WIA Registration
Self-employment & Economic conditions/Natural disaster	Self-declaration documented by applicant signature on the WIA Registration.
Displaced Homemaker	Self-declaration documented by applicant signature on the WIA Registration.
Employment/Retirement status	Self-declaration documented by applicant signature on the WIA Registration.
RATIONALE OF ENROLLMENT	
Evidence of Appropriate Assessment (basic skills, work interests, aptitudes, etc.)	Assessment scores entered in appropriate OSOS Assessment Screens AND Hard copies of assessment results in paper file where

ELIGIBILITY CRITERIA	WIA/TAA ACCEPTABLE DOCUMENTATION (Only one of the following is required). Please Note: Service Providers may use other documents based on best judgment as the responsibility to establish eligibility rests with the service providers.
	applicable/available
Work Skills/Employment History	OSOS Work History screens completed
Evidence of lack of marketability	OSOS Assessment Screens completed including Background, Work History, Testing, and Training Criteria.
Employment goal identified	Employment Goal entered on ISS.
Evidence that training choice is a demand occupation	Current LMI data including O*NET print-outs, USDOL or MDOL LMI information.
PROGRAM/PERFORMANCE REQUIREMENTS	
INDIVIDUAL SERVICE STRATEGY (ISS)	Signed ISS with employment goal
INDIVIDUAL TRAINING ACCOUNT (ITA) (WIA TITLE I)	ITA agreement
ATTAINED SECONDARY SCHOOL DIPLOMA (WIA YOUNGER YOUTH)	Copy of School Record Copy of Diploma Copy of GED Notice from School Case Note
YOUTH FOLLOW-UP	Entries on follow-up activities for four quarters on the OSOS performance outcome screen and case notes where applicable
ALL APPROVED PARTICIPANT INVOICES (WIA Title I and TRA/TAA)	Copies of approved invoices
TRA/TAA PROGRAM and PERFORMANCE REQUIREMENTS	
TRA/TAA DETERMINATION	Entitlement Determination to TAA form from UI
LETTER OF ACCEPTANCE FROM TRAINING INSTITUTION	Copy of letter
TRAINING COST SHEET	Cost sheet from school catalog Copy of school/class registration with costs notated
SIGNED BREAK-IN-TRAINING FORM (IF APPLICABLE)	Copy of form

ELIGIBILITY CRITERIA	WIA/TAA ACCEPTABLE DOCUMENTATION (Only one of the following is required). Please Note: Service Providers may use other documents based on best judgment as the responsibility to establish eligibility rests with the service providers.
SIGNED 858s	Copies of signed 858's
TAA WAIVERS FROM TRAINING	Training waiver and renewal forms
TRAINING AUTHORIZATION SIGNED BY STAFF	Printed copy of **initial** training waiver printed from OSOS and **30-day renewal of waiver**
CASE MANAGEMENT	
Client Progress	Case Notes in OSOS
Documentation of Credentials Earned	Detailed case note Copy of Diploma Copy of GED Notice from School Copy of Certificate or License Copy of Degree
Current Employment/Activity Documented	Case notes
Support Service (s) Need	Case Notes
Placement/Termination Documented	Case Notes Notice from Employer
Evidence of Follow-up	Case Notes or OSOS Follow-up Screens

TELEPHONE VERIFICATION RECORD JTS-111

PURPOSE

The Telephone Verification/Documentation Inspection form may be used in lieu of written verification forms in the following circumstances:

A. When the information needed is from a public agency, including public schools, the SSA, the Veteran's Administration, medical and health facilities, Vocational Rehabilitation, Drug and Alcohol Rehabilitation agencies, Housing Authorities, Homeless Shelters, Judicial Agencies and Institutions, and other State or Local government agencies;

B. When intake is being done where photocopying is not available; or,

C. When an employer refuses to confirm an applicant's income in writing.

FACSIMILE

See next page.

MAINE DEPARTMENT OF LABOR
CAREERCENTER
TELEPHONE VERIFICATION RECORD

WIA ELIGIBILITY VERIFICATION **BY TELEPHONE OR DOCUMENT INSPECTION**
Applicant's Identification Number   Name or Number of Document   - -
Applicant's Last Name   First Name   M.I.
Primary Eligibility Item to be Verified:
Agency Providing Verification:
Agent Verifying Eligibility Item:
Date & Time of Verification:
Applicant/Participant Record/I.D. Number:
Telephone Number of Agency Providing Verification:
Additional Eligibility Items Verified (List & record date for each): _____ _____ _____
I attest that the information recorded by me on this document was obtained through telephone contact or document inspection on the above date. As indicated by the agent, all information was obtained from data previously determined and recorded in the applicant's records at the agency providing the eligibility verification. OR I attest that the document inspected, verified the primary/secondary items required to determine eligibility for the WIA program. Intake Worker's Signature and Date: _____

JTS-111

INSTRUCTIONS FOR COMPLETING THE JTS-111

Applicant's Identification Number - Enter the applicant's Social Security number as shown on the JTS-100.

Name Or Number Of Document -

Applicant's Last Name - Enter the applicant's last name.

First Name - Enter the first name.

M.I. - Enter the middle initial.

Primary Eligibility Item To Be Verified - Enter the most important item being verified such as homeless status.

Agency Providing Verification - Indicate the name of the organization that is providing the information such as Vocational Rehabilitation.

Agent Verifying Eligibility Item - Enter the name of person who provided the information.

Date And Time Of Verification - Fill in the date and time that the contact occurred.

Applicant/Participant Record/I.D. Number - This needs to be filled in only if the other agency uses an alternative tracking system to name or Social Security Number.

Telephone Number Of Agency Providing Verification - Enter the telephone number of the agency contacted.

Additional Eligibility Items Verified - If more than one element was verified from the same agency, then they should be listed with the associated date and other contact information.

Intake Worker's Signature And Date - The worker who inspected the documents or obtained the information over the telephone must sign and date the form.

APPLICANT STATEMENT RECORD JTS-112

PURPOSE

The Applicant Statement record shall be used under any one of the following circumstances when all practicable attempts to secure other documentation have failed. It must be supported by a corroborative contact or reliable witness attesting to the accuracy of the statement.

    A. For homeless individuals not residing in a shelter;

    B. To document residency for runaway youth who do not have a permanent place to reside;

    C. To document family size when no other form of documentation may be obtained;

    D. To document "not a family member" status when an applicant is residing with his/her family (this is in addition to documenting the 50 percent rule);

    E. To document an applicant's zero income statement;

    F. To document an applicant's school dropout status for out-of-state applicants and for applicants 16 or over when documentation from the school district cannot be obtained;

    G. To document an applicant's offender status when court records or other documentation are unobtainable;

    H. To document an applicant's pregnant status (youth only); and

    I. To document a dislocated worker's self-employment wages when other documentation is unobtainable.

FACSIMILE

See next page.

MAINE DEPARTMENT OF LABOR
CAREERCENTER
APPLICANT STATEMENT RECORD

I hereby certify, under penalty of perjury that I _____

_____

_____

_____

_____

_____

If applicant cannot obtain a satisfactory witness or provide a telephone contact, explain above.

I attest that the information stated above is true and accurate, and understand that the above information, if misrepresented or incomplete, may be grounds for immediate termination and/or penalties as specified by law.

_____ _____
Applicant's signature and Date   Corroborating witness signature

_____

_____

_____ _____
Applicant's address   Witness' relationship to applicant

OFFICE USE ONLY

The above applicant statement is being utilized for documentation of the following eligibility criteria:

_____

_____
Signature and date of certifying official

JTS-112 (9/00)

INSTRUCTIONS FOR COMPLETING JTS-112

In the lines at the top of the form, the applicant must document why the information is not verifiable or which may cause undue hardship to obtain. Applicant statements must be supported by a documented, corroborative contact or reliable witness attesting to the accuracy of the statement.

Applicant's signature and date and address should be filled in.

The corroborating witness should sign the form and state his or her relationship to the applicant.

The JTS worker should certify at the bottom of the form what eligibility items are being verified and sign and date the statement.

Monitoring Spreadsheet Column Headings

Customer

ID #	Compl. Assess.	Fin. Aid Verif.	Cost Sheet	Map Quest

Eligibility

Appl. & Verif.	Trade Det.	Trade Serv Log	ISS, Reviews & Signed

Case Management- Waivers

Rec. & Appr.	Dates Match	Signed Copies	30 day reviews	Case notes	JS Logs & Doc.

Case Management- Training

ISS, Reviews & Signed	Six Criteria	858(s) signed	30 Day Break Form	Updated Status	Semester Grades	60 Day Trng Review	Evidence of Gap reason

ATAA/RTAA

Signed ATAA/RTAA Forms	Doc.of Interview &/or offer

Out of Area Job Search/Relocation

Copies of Receipts & Requests	Mapquest or Suitable Calculation	# of Out dated Activities

Reporting-Data Mgmt List & On Board List Review

# of Reviews Due	# of Reviews Past Due	Office performance

Gap

Map Quest

Job Search

Eligibility Doc.	Case Notes	JS Services

Financial

File bills match OSOS	Office projections/obligations up to date

Appendix F: Current Career-Center Programs

PROGRAM	AUTHORITY	PARTICIPANT ELIGIBILITY
Workforce Investment Act Title I	The Adult and Dislocated Worker Program, under Title I of the Workforce Investment Act of 1998, is designed to provide quality employment and training services to assist eligible individuals in finding and qualifying for meaningful employment, and to help employers find the skilled workers they need to compete and succeed in business.	All adults ages 18 older are eligible for core services. Due to the limitation of funds priority for intensive and training services is given to recipients of public assistance and other low-income individuals. Low-income individuals are considered "economically-disadvantaged" and eligible to recieve intensive and training services if family income falls within 70% of the Lower Living Standard Income Level (LLSIL) guidelines. An eligible dislocated worker is an individual who: ▪ Has been terminated or laid off, or has received a notice of termination or layoff from employment; ▪ Is eligible for or has exhausted unemployment insurance; ▪ Has demonstrated an appropriate attachment to the workforce, but not eligible for unemployment insurance and unlikely to return to a previous industry or occupation; ▪ Has been terminated or laid off or received notification of termination or layoff from employment s a result of a permanent closure or substantial layoff; ▪ Is employed at a facility, where the employer has made the general announcement that the facility will close within a 180 days; ▪ Was self-employed (including employment as a farmer, a rancher, or a fisherman) but is unemployed as a result of general economic conditions in the community or because of a natural disaster; or ▪ Is a displaced homemaker who is no longer supported by another family member.

PROGRAM	AUTHORITY	PARTICIPANT ELIGIBILITY
Wagner-Peyser	In compliance with the Wagner-Peyser Act, as revised, the Bureau operates free public employment offices.	All people with a legal right to work in the United States.
Disabled Veterans Outreach Program (DVOP)	The Bureau serves eligible veterans and other eligible persons in accordance with the provisions of Title 38 USC Chapter 41, Section 4103(a) maximizing the entry of target veterans' populations experiencing the greatest incidence of unemployment in meaningful employment, and to maximize successful completion by these veterans in federally funded training programs.	Must have served more than 180 days in the United States Armed Forces and was discharged or released there from with other than a dishonorable discharge and was discharged or released from active duty because of a service connected disability, or is a veteran entitled to compensation.
Local Veterans Employment Representative (LVER)	The Bureau serves eligible veterans and other eligible persons in accordance with the provisions of Title 38 USC Chapter 41, Section 4103(b) maximizing the entry of target veterans' populations experiencing the greatest incidence of unemployment in meaningful employment, and to maximize successful completion by these veterans in federally funded training programs.	Must have served more than 180 days in the United States Armed Forces and was discharged or released there from with other than a dishonorable discharge and/or was discharged or released from active duty because of a service connected disability, or is a veteran entitled to compensation.
Labor Certification	In compliance with the Immigration and Naturalization Act, which provides that certain foreign workers may obtain a visa for entrance into the United States in order to engage in temporary or permanent employment, the state certifies that such employment will not adversely affect the wages and working conditions of United States workers similarly employed.	Employers wishing to bring in a foreign worker must meet program specific guidelines, dependent on occupation and/or duration of occupation.
Trade Adjustment Assistance (TAA)	The Bureau carries out the activities authorized by Title II, Chapter 2, Subchapter B of the Trade Act of 1974, as amended. Dislocated workers from companies certified to have been adversely affected by foreign import/trade are served by the Bureau in retraining, or upgrading their work skills and transferring to more viable industries. In addition to funds that pay for participant costs, the Bureau receives 15% to pay for the staff and administration of the TAA program.	Dislocated worker must be from a company certified by the US DOL as being adversely affected by foreign import/trade practices.
Work Opportunity Tax Credit (WOTC)	WOTC provides employers with federal tax savings as an incentive to hire job seekers with barriers to employment from targeted groups in compliance with the Small Business Job Protection Act of 1996. The Bureau receives funding to administer and process the necessary forms for business to qualify for the tax credits.	Employers hiring applicants from eight targeted groups may receive Federal Tax credits.
Maine Registered Apprenticeship Program	The Bureau formulates apprenticeship programs and standards in cooperation with employers and employees to prepare future workers in	Must be 16 or older, employed full time in an apprenticeable industry and registered with the

PROGRAM	AUTHORITY	PARTICIPANT ELIGIBILITY
	skilled labor occupations under standards which ensure complete training in all aspects of an occupation, supplemented by the necessary technical instruction in related subjects. The Bureau works in cooperation with the Maine State Apprenticeship and Training Council, and the US DOL Bureau of Apprenticeship and Training, in compliance with 26 M.R.S.A. Chapter 33.	Maine State Apprenticeship and Training Council.
Governor's Training Initiative (GTI)	In compliance with 26 M.R.S.A., Section 2031, the Bureau provides financial assistance to employers intending to expand or locate in Maine, to train new or existing employees - to upgrade worker skills, or to reorganize a workplace to remain competitive.	Employers that are expanding, re-organizing, or locating in Maine, or are training new or existing employees in order to upgrade worker skills.
National Emergency Grants (NEG)	National Emergency Grants (NEG) are discretionary awards by the Secretary of Labor that temporarily expand service capacity at the State and local levels through time-limited funding assistance in response to significant dislocation events. Significant events are those that create a sudden need for assistance that cannot reasonably be expected to be accommodated within the ongoing operations of the formula-funded Dislocated Worker program, including the discretionary resources reserved at the State level.	Eligible Events for NEG funding include: Regular, Trade-WIA Dual Enrollment, Disaster, and Trade-Health Coverage Infrastructure grants.
Lifelong Learning Accounts (LiLAs)	The Lifelong Learning Account (LiLA) Program provides a new pathway for employer and employee to work together to increase access to education, training and skill development. Employees open individual investment accounts and employers match their contributions up to an established cap. Advising services are available for free to assist with education and career planning.	Employee: form of a NextGen® account and contribute a minimum of $25 per month which will be matched by the employer. Income eligible Maine residents may receive an initial $200 matching grant from the Finance Authority of Maine and subsequent annual grants of up to $200. Employer: Determine eligibility requirements for employees: Host LiLA information sessions Match employee contributions (minimum of $25 per month), which are invested in a LiLA account, in the form of a NextGen® account.
Reemployment Eligibility & Assessment (REA)	The REA initiative provides funds for states to implement enhanced services to UI beneficiaries that may result in more rapid reemployment for UI claimants, cost-savings for the state's UI trust fund. REA program services include: In-person interviews (at Career-Centers) to assess their continuing eligibility for benefits and need for reemployment services; Review of UI eligibility; Provision of labor market information; Development of a work-search plan; and Referral to reemployment services and/or training when needed.	REA targets UI beneficiaries if they have no return-to-work date, have been receiving UI benefits for 5 weeks.
Workforce Innovation and	In February 2006, following a Solicitation for Grant Applications, ETA	Workers and businesses that make up the boat

PROGRAM	AUTHORITY	PARTICIPANT ELIGIBILITY
Regional Economy (WIRED)	announced 13 regions that comprise the WIRED 1st Generation. Maine's North Star Alliance received $15 million to address the challenges in economic development and sustainability including: remaining competitive with a globalized workforce; managing existing growth opportunities; and creating a more innovative economy by focusing on developments and job creation with the boat building, composites manufacturing and marine-related trades industry.	building, composites manufacturing and marine-related trades industries. WIRED resources are allocated to MDOL, DECD, MCCS, UMS, private industry and others.
Maine Enterprise Options (MEO) Program	On December 8, 1993, President Clinton signed into Public Law 103-182, the North American Free Trade Agreement Implementation Act (NAFTA). One of the provisions of NAFTA allows states the option to establish a self-employment assistance (SEA) program. As a result, currently ten states have self-employment assistance programs. In 1994, Maine passed legislation under Section 1197 of the Employment Security Law to establish the Maine Enterprise Option program.	To be eligible to participate in the MEO program an individual must be eligible to receive Unemployment Compensation; have been permanently laid off from their previous job and are identified through a profiling system as likely to exhaust their benefits; must participate in self-employment activities including entrepreneurial training, business counseling and technical assistance. Under the program participants receive a "self-employment assistance allowance" in lieu of regular unemployment benefits while working full time on starting their business. The weekly benefit amount received is the same as would be received under regular Unemployment Insurance benefits.
Disability Program Navigator Initiative	ETA and SSA are jointly funding the DPN Initiative in 45 states, the District of Columbia, and Puerto Rico where SSA implemented employment support initiatives. This Initiative promotes comprehensive services and work incentive information for SSA beneficiaries and other people with disabilities, through the One Stop system.	None – Disability status is self-disclosed
Competitive Skills Scholarship Program	Maine launched an innovative new education program in April of 2008 aimed at increasing access to educational attainment for low-income and unemployed Mainers interested in studying high wage in demand occupations. The Maine legislature passed LD 1884 with enthusiastic support from its statewide chamber, businesses, nonprofits, academics and advocacy groups.	1. Within the limits of available program resources (taking into account ongoing commitments to current participants), an individual will be enrolled in CSSP if the individual applying for enrollment: A. Is at least 18 years of age; B. Is legally eligible to work in the United States; C. Does not have a marketable

PROGRAM	AUTHORITY	PARTICIPANT ELIGIBILITY
		postsecondary degree; D. Has income of less than 200% of the poverty level for the household size as calculated in paragraph 2 of this section; E. Is seeking education or training for an occupation approved according to Section 4; F. Has the ability to undertake and complete the education or training program. An applicant's or participant's ability is determined by an assessment conducted pursuant to Section 6.2. or by admission into an education or training institution that is eligible to receive financial aid funds under the federal Higher Education Act. (20 U.S.C. chapter 28) 2. **Determining Financial Eligibility.** An applicant is financially eligible for CSSP when the applicant's household income, other than excluded income, is below 200% of the federal poverty guidelines. (See Appendix A, which will be updated annually following the Department of Health and Human Services publication each year of the poverty guidelines in the Federal Register.) When determining the income of the applicant's household:

Appendix G: TEGL File Requirements

Training and Employment Guidance Letters (TEGLs)

Program Year 2010

- TEGL 6-10– 2010 Poverty Guidelines
- TEGL 24-09– FY 2010 Additional Funding Planning Guidance
- TEGL 28-09– PY 2010 Planning Guidance and Allotments
- Final Rule– SCSEP Final Rule released on Sept. 1, 2010
- http://www.doleta.gov/tradeact/directives.cfm

Appendix H: Interface CM to O*NET

The O*NET program is the nation's primary source of occupational information. Central to the project is the O*NET database, containing information on hundreds of standardized and occupation-specific descriptors. The database, which is available to the public at no cost, is continually updated by surveying a broad range of workers from each occupation. Information from this database forms the heart of O*NET OnLine, an interactive application for exploring and searching occupations. The database also provides the basis for our Career Exploration Tools, a set of valuable assessment instruments for workers and students looking to find or change careers.

The Occupational Information Network (O*NET) is being developed under the sponsorship of the **US Department of Labor/Employment and Training Administration** (USDOL/ETA) through a grant to the North Carolina Employment Security Commission.

The O*NET 15.1 Database is a special release that incorporates the new O*NET-SOC 2010 taxonomy, including new O*NET-SOC codes, titles, and descriptions. This database can help developers, researchers, and programs make a rapid transition to a 2010 SOC-based system.

With the release of O*NET 15.1, for the first time, the O*NET database is available as SQL files for use in Microsoft SQL Server, MySQL, and Oracle; and also as tab-delimited text files. Learn more and download this database from our Developer's Corner.

http://www.onetcenter.org/db_preview.html

Appendix I: Response to Scope of Work

Refer to section 7.1.4.1

Section #		Description	
How work requirement will be met:			
Expectation of State Staff:			
Assumptions:			
Additional work or deliverables that will be required:			

Appendix J: Payment Schedule Form

Payment Schedule Form				
Description of Payment Milestone	Target Date	Payment Amount	Retainage Amount (10%)	Payment Due
Total Payment:				

Note: Total Payment must be equal to the sum of the "Total Fixed Cost" fields within the Cost Summary Form (Appendix M).

Appendix K: Response to Requirements

Refer to 7.1.5.1

Requirement #		Description	
How requirement will be met:			
Assumptions:			
Changes to processes or procedures or technical environment that will be required:			
Description of Customization (if necessary):			

Appendix L: Hardware and Equipment Form

Hardware and Equipment Form		
Item Description	**Item Specifications**	**Quantity**
Hardware – Server(s):		
	CPU: Memory: Internal Disk: Other Components:	
	CPU: Memory: Internal Disk: Other Components:	
Storage:		
	Type: Size (e.g. megabytes):	
Other:		

Note: In evaluating the RFP Cost criterion submissions, the evaluation committee will ADD IN the costs associated with State of Maine hosting and supporting the hardware and equipment in the table above, based on the State's latest Services & Rates. Refer to the following link: http://maine.gov/oit/services .

Appendix M: Software and Licensing

Software and Licensing Form		
Item Description	**License Term / Period**	**Quantity**
Database (e.g. Oracle, SQL Server):		
Operating System for PC's (e.g. Windows XP):		
Operating System for servers (e.g. Windows 2003, UNIX, LINUX):		
Reporting (e.g. Cognos, Crystal Reports):		
Other:		

Note: In evaluating the RFP Cost criterion submissions, the evaluation committee will ADD IN the costs associated with State of Maine hosting the software that it will be providing based on the State's latest Services & Rates. Refer to the following link: http://maine.gov/oit/services .

Appendix N: Software and Licensing Cost Form

Software and Licensing Cost Form				
Item Description	**License Terms/Period**	**Unit Price**	**Quantity**	**Total Cost ***
Total Software and Licensing Cost:				

- Total Software and Licensing Cost must reflect the total cost to provide the software and licensing through implementation and the first year of ownership. The first year of ownership will begin immediately after receiving the State's official acceptance of the implemented solution.

Appendix O: Cost Summary Form

Cost Summary Form				
Description	Fixed Cost (Project)	Fixed Cost (Year 2)	Fixed Cost (Year 3)	Fixed Cost (Year 4)
Scope of Work		N/A	N/A	N/A
Software and Licensing				
Support and Maintenance				
Total Fixed Cost:				

Note: Fixed cost for the "Scope of Work" must reflect all costs associated with performing the work specified within Section 4 "Scope of Work" through implementation. Software and Licensing and Support and Maintenance costs for the first year will be listed separately in "Fixed Cost (Project)" column. The costs provided within this column must reflect the costs for software and licensing and support and maintenance through implementation and the first year of ownership.

Note: Travel and expenses must be included in fixed costs provided above.

Appendix P: Special Services Cost Form

Refer to 7.1.4.4 Special Services

Special Services Cost Form	
Job Title	**Billing Rate (Per Hour)**

Appendix Q: Scope of Work Cost Form

Scope of Work Cost Form	
Description	**Cost**
4.1 Project Planning	
4.2 Architectural Design	
4.3 Architectural Build	
4.4 Technical Environments	
4.5 Package Validation	
4.6 Business Processes and Procedures	
4.7 Customization	
4.8 Acceptance Testing	
4.9 Training	
4.10 Data Migration	
4.11 Implementation	
4.12 Support and Maintenance *	N/A
4.13 Project Management	
4.14 Quality Management	
Total Scope of Work Cost:	

* Costs for Support and Maintenance will not be provided within the Scope of Work Cost Form. It will be provided as part of the Cost Summary Form.