**ATTACHMENT I
SCOPE OF SERVICES**

1. Anticipated Services: Tasks and Deliverables

The anticipated Services and Deliverables described in this document are those anticipated by the State; Proposer may provide alternate recommendations in its Proposal. The anticipated Tasks and Deliverables in this section can be used as an approximate expected level of effort for purposes of estimating time and costs.

The successful Proposer shall utilize a documented and proven secure software development lifecycle ("SSDLC"), and Proposer shall maintain current and up-to-date documentation of all Solution components through the term of the Contract resulting from this RFP.

Proposer shall work with Agency to agree on the appropriate level of Solution component documentation detail. Documentation may include, but is not limited to, user interface, process flow, business logic, business rules, input validation, workflow, forms, data model, data architecture, web services, infrastructure, system architecture, process flows, business process training manuals and references, and batch processing.

Proposer shall provide documentation and Services necessary to comply with State oversight requirements. The successful Proposer will also ensure the Solution and Services meet any federal requirements for the Project, such as the U.S. DOL's Pre-Implementation Planning Checklist (ETA 9177). Proposer shall also cooperate with Agency's independent Quality Management Services ("iQMS") and Organizational Change Management ("OCM") third-party consultants as described in this Scope of Services and as otherwise required to deliver the Solution.

Proposer will be required to be on-site at one or more Agency locations, including secure facilities, for some of the Tasks identified in this Scope of Services. Proposer and Agency will agree during contract negotiation, and periodically through the period of performance, on those Tasks requiring worksite presence.

Proposer shall deliver a Solution that meets the requirements described in this RFP Agency anticipates the following professional consulting and implementation services will be provided as part of the Services delivered under the Contract:

1. Project management
2. Solution architecting, design documentation and services;
3. Software components, development, configuration and integration;
4. Document imaging, data conversion and migration;
5. Integration and interfaces;
6. Support for organizational change management;
7. Testing;
8. Usability, training and user support;
9. Implementation;

10. Maintenance and support that meet contractual service levels;

11. Hosting;

12. System Security Plan;

13. Disaster recovery and business continuity; and

Each primary Task is described in more detail below.

1.1. Project Management

Proposer will ensure the Project delivers expected outcomes and benefits with regard to the Solution. Services and Deliverables must adhere to established Oregon Enterprise Information Services (EIS) oversight requirements (https://www.oregon.gov/das/OSCIO/Pages/StrategyStageGate.aspx), follow project management standards and best practices as described within the most recent edition of the Project Management Book of Knowledge (PMBOK) and quality standards (Exhibit F of DAS policy 107-004-030 refers to quality standards, https://www.oregon.gov/das/Policies/107-004-030.pdf).

Proposer shall provide project management, oversight, and coordination services as those Services relate to system build, integration, and installation and implementation and support of the Solution described in this RFP. Proposer shall cooperate with Agency and Agency's project management team, iQMS vendor, OCM third-party consultants and EIS to ensure processes, methods, and artifacts comply with oversight requirements and industry best practices.

The successful Proposer's Project approach is expected to follow its proven implementation methodology to take advantage of successful implementations demonstrated in other states or sites. The successful Proposer shall ensure the successful Implementation of the Solution consistent with project management best practices and applicable quality standards.

The Project will be carried out by a Project team comprised of State, third party, and Contractor resources. Project management Proposer resources, and some Agency project employees, are expected to be dedicated to the Project, with expanded team members being brought to the Project as tasks are undertaken and expertise needed.

Proposer is responsible for the implementation approach, the configuration or customization of its Solution according to its SSDLC, and for cooperatively managing the work of its project team and coordination with State resources.

1.2. Solution Architecture and Design

Proposer shall plan and facilitate the processes necessary for Proposer to complete design of the Solution.

Proposer shall develop and submit design Documentation that identifies how the Solution will deliver at least the Requirements stated in this RFP, as well as Documentation that describes the Solution's function interactions, components, and conceptual and logical

architecture. Design Documentation must include, without limitation, process flow charts, screen and report mock-ups, and mapping of functional design Requirements to software components used to deliver Requirements. Additionally, Proposer shall perform a gap analysis that identifies, documents, and addresses the differences between the Solution and the Requirements required under the Contract.

Design Deliverables must include at least:

- Mapping of Requirements to system components and features;
- Business rules documents;
- User interface/presentation layer;
- Application architecture;
- Interface control documents/Application Programmer Interfaces ("APIs");
- Database design;
- Security design;
- Workflow process documentation; and
- Requirements Traceability Matrix ("RTM")

1.3. Development, Configuration, and Integration

Agency anticipates that most Requirements will be met through the existing software developed or acquired by Proposer; and that the Solution may additionally involve foundational components (e.g., operating systems, database management systems, etc.) that are licensed from third parties.

Additionally, Agency anticipates that the successful Proposer will need to engage in a variety of software development activities, dependent on the nature of the proposed Solution. Activities may include development of new or modified functionality, customization of existing functionality, or configuration of existing functionality to deliver a Solution that meets Requirements. Proposer may also deliver functionality by providing and integrating with one (1) or more third-party solutions.

With regards to the choice of technical components (the "stack") Agency is generally neutral, with the following conditions:

1. Each technical component must meet the Requirements when deployed in a complex, business-critical production system. Such components will typically either have the backing of a reputable and proven vendor or, in the case of an open-source component, a history of business-ready performance and community support.
2. Each technical component must be appropriately licensed to allow the Proposer and Agency to use it as needed for the Solution, and as necessary to maintain it.

With regards to the choice of configuration, third-party integration, or, if necessary, customization, the choice of one or any combination of approaches is acceptable to Agency with the following conditions:

1. Proposer shall provide Agency with a clearly defined interface and documentation for configuration and a clear and explicit understanding of how existing configurations (e.g., site code, configuration files) will be maintained or re-applied during updates to the base system.

2. Agency strongly prefers that where third-party integration is used, Agency has the option of adopting third party products under a licensing and implementation model that will permit Agency to access full functionality of the licensed products across Agency.

3. While understanding that some customization may be necessary, and in keeping with Agency's preference to engage a proven Contractor with an established Solution, Agency prefers base, configuration, or third-party integration options over customization.

1.4. Document Imaging, Data Conversion and Migration

Scanning of paper health records and the extraction of data from Agency's current systems and the loading into the Solution are tasks that will require close collaboration between Agency and Proposer:

1. Proposer shall create digital images of existing paper health records and allow Solution users to access those records through the Solution. A minimum data set of health information must be converted from existing paper health records to create a baseline health record for all current AICs.

2. Proposer shall lead Extract, Transform, and Load ("ETL") processes to extract from source systems, cleanse, and stage data for the Proposer to pick up, transform and load into the new Solution. Data cleanup efforts are expected to be complex and intensive.

3. Proposer shall test and validate the quality of the provided data and for identifying necessary improvements.

4. Proposer shall convert and load data and for end-to-end validation of the conversion and loading process.

5. Proposer shall provide support in developing and implementing the Project's data conversion, validation, and quality plan. Support must allow Agency to have transparent access into all steps in data conversion processes and to inspect intermediate and final results.

6. Proposer shall manage the initial and ongoing data loads, in coordination with Agency and the Project Team.

7. Proposer shall provide access to all tools, code, configuration, documentation, and data products used by Proposer during the data loading process.

8. Proposer shall collaborate on the creation of a tested and fully functional Solution for maintaining all data integrations, synchronizations, and other flows. Proposer shall provide all documentation and tools necessary for the Implementation and maintenance of the Solution.

9. Proposer shall provide database documentation and supporting metadata for the Solution, including without limitation an entity relationship diagram and data dictionary.

1.5. Integration and Interfaces

The Solution must interface with Agency's Corrections Information System (CIS), which maintains information about each AIC including schedule, special needs, etc. This CIS system is hosted at the State's Data Center (which is managed by the State's Enterprise Technology Services). The CIS system is a legacy COBOL application using an Oracle database running on an IBM iSeries platform.

Agency seeks to explore and possibly implement a modern integration strategy such as an enterprise service bus, Platform as a Service ("PaaS"), or a hybrid integration platform. Proposer's integration plans should support a modern enterprise-wide integration strategy for Agency.

1.6. Support Organizational Change Management

Agency intends to use Prosci® methodology and strategies, including ADKAR®.

Proposer shall provide information and services to augment and complement the Project's Organizational Change Management (OCM) strategies and activities. OCM will be an integral part of the Project as Agency prepares its employees and leaders to accept and adapt to the Solution and any related business process changes, and as it guides and equips people who will be affected by the change(s) so that the Solution is successfully adopted.

Agency expects Agency staff and the OCM vendor to focus on the "people side of change", while Proposer focuses on the technical side. Proposer shall support OCM activities by at least: identifying, documenting, and analyzing anticipated changes to functionality and processes; conducting impact assessments; and developing workflow and process documentation for the Solution.

1.7. Testing

Proposer shall successfully complete robust and comprehensive testing of the Solution. Proposer shall validate the functionality in the Solution and perform integration testing with interfacing and impacted systems. This includes interfaces with internal Agency systems, as well as external systems operated by partner agencies.

Proposer shall provide a comprehensive test plan that includes but is not limited to the following types of testing:

1. Unit testing;
2. Regression testing;
3. System integration testing;
4. Functional (end-to-end) testing;

5. Integration testing;
6. User acceptance testing;
7. Pilot testing;
8. Security and penetration testing;
9. Performance and load testing;
10. Interface testing; and
11. Data conversion testing.

The State is requiring independent testing for this Project. Proposer shall provide information and assistance to Agency and vendor(s) contracted by Agency to conduct this independent testing.

Proposer shall ensure an independent third party performs and reports directly to Agency on penetration testing of the Solution within six (6) months prior to Implementation. Penetration testing must also be performed by an independent third party on at least an annual basis, and the State expects such testing when additions or changes to functionality impact the security framework, architecture or when a new vulnerability exists. Penetration test report results must be supplied to Agency and any major or critical vulnerabilities mitigated.

1.8. Usability, Training, and User Support

Proposer's Solution must be consistent with user-centered design principles and be as simple as possible, easy to use, and quick to learn.

Proposer shall provide a robust and high-quality training program, customized to the needs of Agency and informed by best practices in adult education, to prepare employees to work with the Solution and support their ongoing mastery and success.

Proposer shall provide training and user support in these three major areas: end-user training (the largest area); training for Implementation support staff; and systems administration training.

The successful Proposer shall provide training at various phases of the Project. The two (2) most significant phases are the Rollout phase and the operations and maintenance phase. In the Rollout phase, before Go-Live, Proposer shall provide training for all impacted staff on new processes and the Solution. In the operations and maintenance phase, Proposer shall provide refresher training, advanced training, training associated with new features or Solution updates, and introductory training for new users. In addition to end-user training, Proposer shall provide training and support to prepare Agency specialists to support and maintain the Solution as appropriate to the proposed Solution. This may include a combination of system administration training, knowledge transfer services, documentation, technical manuals, and user manuals. Timing for delivery of this training and support will be determined based on the extent and duration of post-implementation support that is agreed upon.

Proposer shall provide content, materials, and tools, created and maintained by Proposer, to support both initial (rollout) and ongoing (operations and maintenance) training. Agency strongly prefers to have unlimited rights to use and modify all training materials without additional cost for purposes of training users of the Solution. Materials must be provided in editable digital formats for re-use and modification by Agency, consistent with the Contract terms and conditions.

Training may include a variety of methods and approaches such as:

1. Online self-paced training modules to provide basic system exposure and instruction.

2. Instructor-led, classroom-based, hands-on training at multiple sites.

3. Instructor-led online training.

4. Self-directed, just-in-time training such as job aids and task-based instructional video clips.

5. Built-in support such as embedded help and mouse overs.

Proposer shall provide a training plan based on tested and validated training practices. Curriculum must be thoroughly supported by appropriate instructional materials. Proposer shall develop training that includes: context (for example, documentation of the old and new business processes and the reasons for the change); specific scenarios; sample data to be used in examples and hands-on training; presentations; interactive learning exercises; and reference materials such as job aids that are available to support Agency staff success during and after training. The training plan must define an approach to prepare Agency trainers to continue delivery of training to new employees after the initial Rollout, and to keep Agency trainers current and well-supported in this role for the duration of the State's use of the Solution.

1.9. Implementation Plan

Proposer shall provide comprehensive support to the Implementation of the Solution. Proposer shall provide an implementation plan that includes an overview of the proposed project timeline, migration approach and separates major Deliverables into Milestones with checkpoints. Implementation support includes activities related to integrating the Solution and Services, including related components, into the workflow and data flow of Agency to achieve the desired outcomes of the Project.

The Proposed Implementation Plan must include at least:

1. Description of each implementation phase, including the functionality that will be implemented during each phase. Proposer will be responsible for recommending an implementation approach based on previous implementations of its Solution and in consideration of Agency's environment and Requirements. The plan may propose a "big bang" approach or an approach that incrementally implements by functionality or implements by institutions. Any approach should consider Agency's need to

maintain continuity of operations and care across all institutions and be completed within the agreed upon schedule.

2. Description of related system integration services to manage the Solution's interfaces described in Attachment H, *Solution Requirements* as needed for successful implementation.

3. Business process procedures with corresponding business process diagrams for each of the business processes to be implemented.

4. Data cleansing, conversion, and migration plan (including retention and archiving).

5. Migration strategy, including any operational cutover plans, staging environments, or temporary processes required.

6. Plans for Rollout, including any pilot or phased releases. This includes, but is not limited to, all activities related to moving components into production, such as transitioning data and interfaces, ensuring readiness of all systems, data, integrations, people, and processes for Go-Live, incident and change management during the Stabilization Period, communications.

7. Guidance and plans for assisting Agency with moving to the Solution and processes, including plans for support, incident response, repair of Defects, reporting, and communications during the Stabilization Period that will follow transition to production (including by phase, as negotiated by the parties in the contract). Agency expects that Proposer's original project and development team will stay with the Project through the end of the Stabilization Period.

8. Approach to provide production support during Rollout, including any phased approach.

9. Support of Project closeout activities, including participation in Project retrospective.

1.10.   Maintenance, Support, and Service Levels

Proposer shall perform maintenance and support activities that encompass a range of actions necessary to keep the Solution, including its underlying technologies, up to date, operating reliably and securely, and effectively delivering necessary business functionality. Services must include functionality upgrades, enhancements, and the application of updates to underlying technology.

Proposer shall provide a maintenance plan that shows how each component will be kept current as part of ongoing maintenance and support of the Solution, including a plan for replacing any components that, over the life of the Solution, become deprecated or outdated or code refactoring to reduce technical debt. The maintenance plan must identify specific target ranges for component currency (e.g., "current or current minus one", or "within 18 months of current").

The maintenance plan must also include mechanisms for promptly and transparently applying critical updates to every component. Critical updates generally include those that

correct security vulnerabilities or flaws or that correct functional errors that have or could have serious consequences.

The maintenance plan must include provisions for regular updates to and validation of all Solution Documentation, regardless of whether that Documentation is intended for use by the State or by Proposer.

Proposer shall provide Agency staff knowledge transfer including supported experience in design, programming, testing, and operations as well as ad hoc training throughout the Project consistent with their roles and responsibilities during operations and maintenance. Proposer's project plan and schedule must include a realistic strategy for incorporating Agency staff in day-to-day activities of the Project.

1.11. Hosting

The Solution must be robust, responsive, scalable, secure, and highly available. Agency is open to alternatives and encourages proposals that provide options for Solution hosting. Hosting options include Agency hosting the Solution at the State's Data Center (which is managed by the State's Enterprise Information Services), dedicated hosting at a Proposer-managed or third-party data center, fully managed cloud services, or Proposer-managed hosting with a cloud service provider. Consistent with the State's "cloud forward" policy, Agency prefers a cloud-hosted Solution.

If the Solution is hosted at the State's Data Center, the successful Proposer must collaborate with the State to design, implement, and manage the hosting environment. If the Solution is hosted outside the State's Data Center, special provisions apply, including the obligation for the successful Proposer to comply with the State's Cloud and Hosted Systems Policy (https://www.oregon.gov/das/policies/107-004-150.pdf) including providing for regular independent information security audits as required by State policy and best practice. The State currently prefers SOC II Type 2 audits across all trust services criteria and is open to considering other audit standards. Proposer shall provide the State with complete access to any audit reports. All Agency data stored off-site (including data in the cloud) must be stored in data centers residing within the continental United States of America. Data centers must meet all requirements for hosting outlined in the Contract and the EIS 2019 Statewide Information and Cyber Security Standards.

1.12. System Security Plan

Proposer shall complete a System Security Plan ("SSP") before Go-Live. This effort will involve collaboration with Agency, and the degree of that collaboration will depend on the architecture of the proposed Solution (on-prem vs. Cloud), as management responsibilities between Agency and Proposer could vary greatly. Proposer may follow the Oregon SSP template, or, if Proposer already has created one for its product, may submit it so long as it follows a comparable structure, preferably based on the FedRAMP moderate SSP template, or NIST SP800-171, and properly outlines each parties' respective responsibilities. Such a

plan must meet State standards and must be reviewed and acceptable to Agency and EIS. The Oregon SSP template can be found at:

https://www.oregon.gov/das/OSCIO/Documents/SystemSecurityPlan.docx

The Solution must protect Agency Data against unauthorized or accidental alteration or destruction. The Solution must meet confidentiality and integrity requirements applicable to the Solution, Services, and Agency Data, including as specified in Attachment H, *Solution Requirements,* Attachment A, *Sample Contract* and the EIS 2019 Statewide Information and Cyber Security Standards at the Moderate Level throughout the term of the Contract.

1.13.   Disaster Recovery (DR) and Business Continuity Plan (BCP)

Adoption of an electronic health record system by Agency necessitates the development of a Disaster Recovery (DR) and Business Continuity Plan (BCP) that ensures the Solution maintains HIPAA compliance. Proposer shall provide the Solution functionality and expertise to develop the DR and BCP plans and successfully demonstrate the successful testing and execution of the plans. Proposer shall develop the plans with input and approval from Agency.

Proposer shall provide mechanisms to ensure high availability, particularly of Agency's critical business functions. Agency is open to various approaches to meeting this need including traditional backup-and-restore disaster recovery, high availability based on redundant and failover systems, or cloud-based systems that rely on abstracted interfaces to cloud-vendor-maintained high-availability storage, compute, and networking functions.