

# CalSAWS

## ***AMENDED, RESTATED AND REVISED LEADER REPLACEMENT SYSTEM AGREEMENT***

### ***Exhibit B (Statement of Requirements)***

**CalSAWS Consortium,  
A California Joint Powers Authority**

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**1. LEADER REPLACEMENT SYSTEM (LRS) GOALS AND OBJECTIVES:**

The LRS shall be a fully integrated system for the online administration and management of welfare programs for a California Statewide Consortium. CONSORTIUM is committed to leveraging technologies that improve and/or expand services, enhance communications, and promote interdepartmental collaboration and data sharing. CONSORTIUM's primary goal for the LRS is to continue to provide centralized database functions while distributing accessibility to the various types of users for inputting LRS Data and accessing case file information via a Web services, standards-based environment. The LRS shall meet the functional, technical, training, and performance requirements of this Exhibit B.

The LRS shall include all current functionality with no loss in the current automated support provided by the DPSS Systems and DCFS Systems. The LRS shall also automate all manual processes in DPSS Systems and DCFS Systems. This includes the major processing functions of public assistance programs. The LRS shall also support any planned enhancements proposed for inclusion, such as e-Government and enhanced reporting and interface functionality.

CONSORTIUM, in its sole discretion, may terminate the Work related to DCFS Systems and DCFS Programs at any time pursuant to Paragraph 73 (Removal and Redirection of Work) of the Base Agreement. Termination of such Work shall be at no additional cost to CONSORTIUM. CONTRACTOR shall ensure that any such termination shall not adversely impact the project schedule, as determined by CONSORTIUM.

The LRS shall not duplicate nor replicate, or otherwise incorporate, any functionality of the Child Welfare Services/Case Management System (CWS/CMS), the State's Statewide Automated Child Welfare Information System (SACWIS) nor in any way impair the State's compliance with SACWIS requirements.

CONSORTIUM will provide CONSORTIUM Pre-Existing Application Software to CONTRACTOR to use solely as a reference for the design of the LRS

Application Software. CONTRACTOR shall not use any of the Source Code or Object Code of CONSORTIUM Pre-Existing Application Software in the LRS Application Software.

Eligibility determination processes and system requirements are substantially driven by ongoing legislative, regulatory, and policy changes enacted at both the federal and State levels, including all applicable standards for eligibility systems and California SAWS. The LRS shall conform to, and comply with, all applicable federal, State, and local laws, rules, regulations, ordinances, guidelines, directives, policies, and procedures, including those incorporated into the DPSS Systems and DCFS Systems, those documented in any DPSS Systems change request, DCFS Systems change request, and ongoing legislative, regulatory, and policy changes. These DPSS Systems change requests, DCFS Systems change requests, and ongoing legislative, regulatory, and policy changes may have a major impact on the functionality and design of the LRS Application Software, both pre-implementation and post-implementation, as well as on the performance of the overall LRS.

The LRS shall be flexible enough to meet any changes in service levels demanded by functional changes to the LRS Application Software. To meet these objectives, the LRS architecture shall be a standards-based, modular design that shall provide flexibility, scalability, and expandability for the operational life of the LRS. The LRS shall meet the following objectives:

- Allow modification of LRS business logic to be performed by knowledgeable CONSORTIUM-specified Users, utilizing configuration tables, parameters, or the equivalent, without reprogramming of the LRS by CONTRACTOR.
- Function equally well in multiple business models which CONSORTIUM uses or will use, including: traditional face-to-face services in a structured Local Office Site; outreach services from CONSORTIUM-specified Users located at fixed, changing, or remote locations; services requested by external organizations with verification or approval by CONSORTIUM-specified Users; and, e-Government services. Users providing services may

be in different locations from the locations for approval, verification, and other Users.

- Mitigate the risks associated with technology obsolescence, proprietary technology, and reliance on a single source of supply (e.g., reliance on a single source for hardware) over the life of the LRS.
- Facilitate interfacing with other systems.
- Accommodate changing technology, easing integration with a broad base of commercially available products, and enable the use of new technologies as these technologies mature and stable products become available.
- Enable the incorporation of additional functionality, infrastructure upgrades, or other system improvements without major impact to overall LRS design or performance.
- Provide tools to quantify the LRS performance against CONSORTIUM LRS performance requirements.
- Provide a user interface that is user-friendly, including in presentation, navigation, and other ease of use features.
- The LRS shall be in compliance with all applicable federal, State, and local laws, rules, regulations, ordinances, guidelines, directives, policies, and procedures, including the Americans with Disabilities Act (ADA) and regarding the use and protection of any personally identifiable or sensitive information (e.g., Social Security number, date of birth, state identification, and driver's license number).

CONSORTIUM has decided to seek a service-oriented architecture (SOA) design based on Web services, where possible, for the LRS using the federal Technical Reference Model (TRM):

<http://www.whitehouse.gov/omb/egov/a-6-trm.html>

Functional requirements are based on CONSORTIUM-specified User roles, related activities and services, DPSS Systems and DCFS Systems capabilities, and planned



enhancements. These requirements shall be organized into component services, provided by the LRS Application Software and supported by the LRS technical infrastructure.

In developing the LRS requirements, CONSORTIUM has made a distinction between the LRS Application Software and the technical infrastructure that supports the LRS. Together, the LRS Application Software and its supporting technical infrastructure are the LRS Software and LRS Hardware; however, the LRS Application Software shall be independent of the technical infrastructure. The LRS Application Software design and performance shall be isolated from the particulars of the underlying hardware, operating systems, and common system management utilities, allowing the LRS Application Software to be easily re-hosted into a different physical environment. Interfaces shall be established and maintained within the LRS Application Software and technical infrastructure.

All Local Office Site hardware, software, peripherals, and network(s) will be the responsibility of CONSORTIUM. CONSORTIUM will also assume responsibility for LANet/EN connectivity and availability from a CONTRACTOR-provided Gateway to Local Office Sites as well as other CONSORTIUM locations.

#### **1.1 SUMMARY OF LRS FUNCTIONAL REQUIREMENTS:**

The functional requirements contained in Section 2 (Functional Requirements) of this Exhibit B specify the detailed business needs for the LRS. These requirements were developed at a point in time. Final functionality and design shall be based on all applicable federal, State, and local laws, rules, regulations, ordinances, guidelines, directives, policies, and procedures current at the time of LRS Application Software design. However, CONTRACTOR shall endeavor to utilize CONSORTIUM's existing business logic to the maximum extent possible, in order to minimize the impact to CONSORTIUM.

In its design of the LRS Application Software, CONTRACTOR shall utilize existing CONSORTIUM business processes and workflows, terminology and nomenclature, and existing LEADER System data sets, to the greatest extent

possible, in order to mitigate the impact on Users. However, business re-engineering services may be utilized where the benefits to CONSORTIUM can be clearly defined and the risks can be sufficiently mitigated. CONTRACTOR shall not use any of the Source Code or Object Code of CONSORTIUM Pre-Existing Application Software in the LRS Application Software.

The functional requirements describe the overall operation of the LRS. The functional requirements have been grouped into several categories according to the functional areas they address. The major functional categories include:

- Traffic log
- Clearances
- Application registration and application evaluation
- Data collection
- Simulation and e-Learning training
- Case assignment and case transfers
- Eligibility determination and benefit calculation (ED/BC)
- Authorization
- Benefit issuance
- Benefit recovery
- Periodic reporting
- Redetermination, Recertification, and Annual Agreement
- Case inquiry
- Referrals
- Mass update
- Scheduling appointments
- Client correspondence
- Alerts, reminders, and controls
- Interfaces
- Error prone profiling and high risk cases
- Hearings

- Quality assurance and quality control
- Reporting
- Manage personnel
- History maintenance
- E-Government
- Work participation program and Cal-learn control

## **1.2 SUMMARY OF LRS TECHNICAL REQUIREMENTS:**

The LRS shall utilize a service-oriented architecture (SOA) based on Web services, where possible, using the federal Technical Reference Model (TRM) advocated by both the Federal Enterprise Architecture program and the California Enterprise Architecture Program. This model, as illustrated in Figure 1, outlines the standards, specifications, and core technologies that collectively shall support the delivery, exchange, construction, and/or integration of business and application components (e.g., service components) that shall be used within the LRS SOA. The functional, technical, and training requirements identified by CONSORTIUM in support of the capabilities in Figure 1 have been organized to be compatible with the TRM.

For the purposes of the LRS, a SOA design is a set of loosely coupled services that are location independent and accessed via standard interfaces over a secure Web connection. These “services” may exist as discrete business functions internally within the LRS Application Software or as external operations outside of the LRS Application Software. In order to deliver these services transparently to the User, the LRS shall make use of well-defined message exchange mechanisms, such as eXtensible Markup Language (XML) and Simple Object Access Protocol (SOAP). The SOA design for the LRS shall be viewed as a set of dynamic pieces that can be called upon and tied together in real time in order to respond to changing business conditions.

## LEADER Replacement System (LRS) Technical Reference Model (TRM)

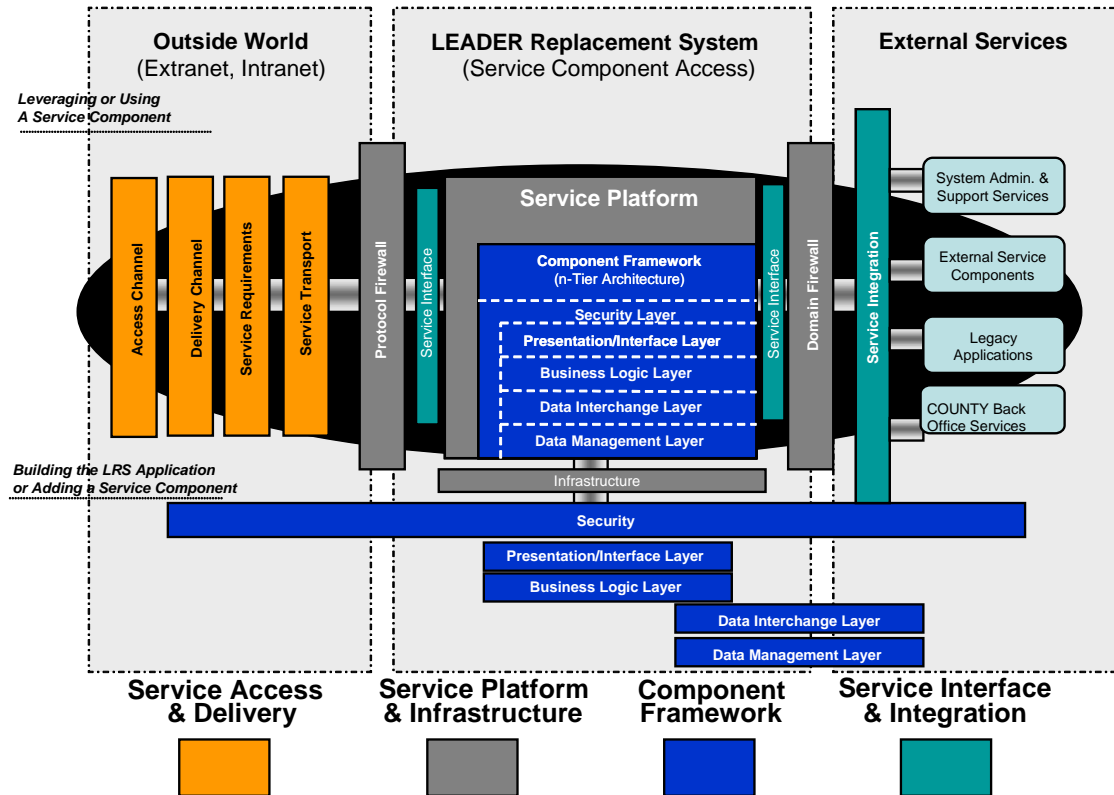


Figure 1. LEADER Replacement System (LRS) Technical Reference Model (TRM)

For the technical design of the LRS Application Software, a service is a function that is well-defined, self-contained, and does not depend on the context or state of other services. A service shall only expose what is needed for the communication of that service to another service, becoming an optimal example of object oriented concepts and techniques.

In order to maximize the benefits of a SOA design in the development of the LRS, the LRS shall include a SOA governance structure to manage services in both design-time and run-time operations. To be used in a collaborative effort, the governance structure shall be utilized for the following functions:

- Validation, through an automated mechanism, that services and their associated artifacts conform to organizational standards. This shall include

reviews of code and documentation, evaluation of how well a service fulfills its stated business requirement, and the review of new services to determine whether they duplicate existing functionality.

- Cataloging of services in order to provide a mechanism for collecting metadata about a service. The catalog shall be automated and searchable in order to determine whether or not services exist that can be reused.
- Relationship management that determines the inter-relationships among artifacts and services and the effect of change in one service or artifact across the infrastructure.
- Process and policy control that provides an automated mechanism for the review and publication processes.

The LRS shall meet CONSORTIUM's business requirements while maintaining specified performance levels. In addition, the LRS shall utilize mainstream technology, be user-friendly, flexible, and highly secure. The LRS shall be scalable in order to accommodate growth during the term of the Agreement.

The LRS shall not include business logic resident on the workstation or laptop. The LRS shall provide a browser-based presentation. LRS Data shall reside at the Central Sites provided, managed, and operated by CONTRACTOR, but is accessed and operates on the LANet/EN.

Section 3 (Technical Requirements) of this Exhibit B is organized in a manner that addresses the four (4) primary service areas of the TRM:

- Service Access and Delivery - the collection of standards, specifications, and requirements that support external access to the LRS Application Software service components and capabilities, including the exchange of information and delivery of these capabilities.
- Service Platform and Infrastructure - the collection of delivery and support platforms, infrastructure capabilities, and hardware requirements to support

the construction, maintenance, and availability of the LRS Application Software.

- **Component Framework** - the underlying software foundation, technologies, standards, and specifications by which the LRS Application Software and its service components are built, exchanged, and deployed across the LRS SOA.
- **Service Interface and Integration** - the collection of technologies, methodologies, standards, and specifications that govern how agencies shall interface (both internally and externally) with the LRS.

### **1.3 CONSTRUCTION OF TERMS:**

In construing the terms of this Exhibit B, the following rules shall apply:

- A. Singular nouns, and phrases incorporating them (e.g., referring to objects, persons, events, or otherwise), shall be construed to also include the plural except where reference to a single item is implied or necessary pursuant to the context of the word or phrase in question and except as otherwise expressly stated for particular defined terms set forth in Subparagraph 1.4 (Definitions) of the Base Agreement. Plural nouns, and phrases incorporating them, shall be construed to also include the singular except where reference to multiple items is implied or necessary pursuant to the context of the word or phrase in question and except as otherwise expressly stated for particular defined terms set forth in Subparagraph 1.4 (Definitions) of the Base Agreement.
- B. Any use of the masculine gender shall be construed to include the feminine, and vice versa.
- C. Examples provided by using words and phrases, such as “including”, “include”, “includes”, or “e.g.”, shall not be construed as limiting the term clarified thereby. For example, “including” shall be construed as “including, but not limited to.”
- D. References in this Exhibit B to federal, State, CONSORTIUM and/or other governmental laws, rules, regulations, ordinances, guidelines, directives,

policies and/or procedures shall mean such laws, rules, regulations, ordinances, guidelines, directives, policies and/or procedures as amended from time-to-time.

- E. Unless expressly stated otherwise, all approvals, consents, or determinations by or on behalf of CONSORTIUM under the Agreement, will be in writing, and may be given or withheld in the sole discretion or judgment of the person or entity authorized to provide or make such approval, consent, or determination.
- F. The terms “Web page(s)”, “page(s)”, “screen(s)”, and “window(s)” are used interchangeably and have the same meaning.

## **2. FUNCTIONAL REQUIREMENTS:**

### **2.1 GENERAL FUNCTIONAL REQUIREMENTS:**

#### **2.1.1 General Processing.**

1. The LRS shall be user-friendly, including in presentation, navigation, and other ease of use features.
2. The LRS shall provide for an electronic case record with access to both current and historical LRS Data.
3. The LRS shall provide for processing application or case information based on raw data collection.
4. The LRS shall provide rules based data entry to prevent duplication and inconsistencies in LRS Data.
5. The LRS shall provide field-level and cross-field validation upon completion of data entry by User and immediately display appropriate corrective instructions for the related field.
6. The LRS shall provide screen-level validation and display a summary list of corrective instructions for each field with erroneous data for the entire screen.
7. The LRS shall provide for backup points and reversals for a minimum of thirty (30) days or to the last LRS Application Software version upgrade, whichever is longer. The LRS shall also have the ability to correct or back out policy rule changes or mass LRS Data changes if errors are detected.
8. The LRS shall perform batch processing updates without affecting the performance of the LRS.
9. The LRS shall include the ability to associate a case to another case, individual, and/or program, as necessary, without reentry of LRS Data.
10. The LRS shall uniquely record and track individuals and have the ability to associate individuals with one or more cases in a manner that facilitates case management yet allow for both duplicated and unduplicated caseload counts.
11. The LRS shall automatically update case or authorization information for one or more programs, as appropriate, based on the single entry of changes to an individual or case.
12. The LRS shall be capable of transferring or sharing client or case status and information across multiple programs without reentry of LRS Data.
13. The LRS shall provide a process to collect only the required data for the type(s) of assistance for which the individual is applying.



14. The LRS shall allow CONSORTIUM-specified Users to establish varying relationships within a case(s) in one or more programs.
15. The LRS shall track the relationship among multiple programs.
16. The LRS shall process any transactions triggered by changes, updates, alerts, or controls to individuals or cases, including the issuance of benefits, notices, forms, and referrals.
17. The LRS shall include the ability to allow individuals in a household to receive separate services and benefits.
18. The LRS shall allow real-time access to all caseload and individual records, based on the authorization level or security profile of the CONSORTIUM-specified User.
19. The LRS shall include the ability to access individual/case eligibility, benefits, payments, and program history.
20. The LRS shall support online real-time processes and host-to-host interfaces.
21. The LRS shall support and fully automate any interdepartmental/interagency special programs (e.g., Tribal TANF and Family Reunification), as specified by CONSORTIUM.
22. The LRS shall allow CONSORTIUM-specified Users to access and track any issuance, benefit, notice, form, or referral from an individual or case and conversely access and track an individual or case from the issuance, benefit, notice, form, or referral.
23. The LRS shall support various program-specific case structures as specified by CONSORTIUM.

**2.1.2 Display.**

1. The LRS shall provide an efficient pathway to view detailed individual and case LRS Data from summary screens.
2. The LRS shall include the ability to present multiple views of individual and case information, depending on the roles and responsibilities of the CONSORTIUM-specified User.
3. The LRS shall provide CONSORTIUM-specified Users with a method for viewing business rules for any part of the LRS Data entry, change processing, or eligibility determination processes and shall provide links to policy requirements.
4. The LRS shall use “reminder” or “tickler” statements that provide a direct hyperlink to the related case, individual(s), and/or screen, as appropriate.
5. The LRS shall prominently display confidentiality statements and privacy protections wherever appropriate.

6. The LRS shall notify CONSORTIUM-specified Users of exceptions that occur to cases online or during batch processing, and shall provide hyperlinks to the case individual(s) or case(s), and to the action(s) that need(s) correcting on the case(s) on which the exception(s) occurred.

**2.1.3 Data Tracking and Storage.**

1. The LRS shall create and organize LRS Data into case files in the case tracking system, as appropriate.
2. The LRS shall include the ability to store a snapshot record of all information obtained at intake and at each decision point, including each authorized eligibility result, as part of the permanent case record that is easily accessible to CONSORTIUM-specified Users.
3. The LRS shall track and store eligibility and financial information, including information regarding payments, checks, claims, issuances, and replacements.
4. The LRS shall store online transaction history by CONSORTIUM-specified User and/or by specified transaction type, as specified by CONSORTIUM.

**2.1.4 Navigation.**

1. The LRS, upon login by a CONSORTIUM-specified User, shall direct the User to a “home page” specific to the User identification (ID), which includes the following features:
  - a. Links to LRS broadcasts and announcements, including counts of read and unread broadcasts and announcements;
  - b. Links to “reminders” or “ticklers” for work that is pending on the User’s caseload, including counts of “reminders” or “ticklers”;
  - c. Links to the User’s message box, including counts of read and unread messages;
  - d. Links to the User’s calendar, appointments, and scheduler, including counts for each, as appropriate;
  - e. Links to LRS online Help manuals;
  - f. Links to program policy and procedure manuals;
  - g. Notifications of content changes to Help manuals and other related content;
  - h. Links to CONSORTIUM intranet websites;
  - i. Links to community resources and other related Internet websites; and
  - j. Summary counts available to supervisors for all links above where counts are indicated. Higher level managers within the chain of

command, as outlined by CONSORTIUM, shall also have summary counts progressing in the CONSORTIUM hierarchy such that managers and supervisors can monitor activities of subordinates.

2. The LRS shall include automated or guided processes that will enable a CONSORTIUM-specified User to easily enter required information and guide the User through the appropriate screens based on the input of LRS Data for processes, including:
  - a. Application evaluation;
  - b. Intake;
  - c. Case maintenance, including:
    - i. New employment and income;
    - ii. Income change;
    - iii. Add an individual;
    - iv. Delete an individual;
    - v. Address change; and
    - vi. Placement change;
  - d. Redetermination, Recertification, or Annual Agreement; and
  - e. Authorization.
3. The LRS shall allow the CONSORTIUM-specified User to navigate through the LRS Data collection screens with minimal disruption to the natural flow of information.
4. The LRS shall visually identify mandatory fields on each screen, as appropriate.
5. The LRS shall be able to queue prior screens and previously non-mandatory LRS Data entry fields and change an LRS Data entry field from non-mandatory to mandatory, if LRS Data entry on any subsequent screen is determined to be mandatory.
6. The LRS shall include interactive questions that branch to appropriate next questions based on previous sets of responses and other existing LRS Data.
7. The LRS shall re-evaluate the screen queue for the case each time LRS Data is changed or new LRS Data is entered.
8. The LRS shall provide CONSORTIUM-specified Users with a way to view a listing of screens that have been designated as required screens.
9. The LRS shall display which screens in the screen queue have been completed, which screens are in progress, and which screens have not been completed.

10. The LRS shall allow CONSORTIUM-specified Users to move between screens and enter LRS Data out of sequence from the designated screen queue.
11. The LRS shall allow CONSORTIUM-specified Users to save collected LRS Data and interrupt the screen queue whenever necessary.
12. The LRS shall provide a simple method for CONSORTIUM-specified Users to restore a previously interrupted screen queue.
13. The LRS shall not allow specified case actions for a program to be completed until all screen queues required for that case action have been completed.
14. The LRS shall automatically save LRS Data when moving between screens, as specified by CONSORTIUM.
15. The LRS shall allow for activity for CONSORTIUM-specified User activity on multiple cases at the same time.

**2.1.5 Local Printing.**

1. The LRS shall allow CONSORTIUM-specified Users to print CONSORTIUM-specified case documents, including:
  - a. A detailed version of the electronic case;
  - b. A summary version of the electronic case;
  - c. A summary of specific components of the case, such as household composition, income, or property; and
  - d. A summary of all actions taken on the case within User-specified date parameters.
2. The LRS shall allow CONSORTIUM-specified Users to print screens in order to provide a copy of entered LRS Data.
3. The LRS shall allow CONSORTIUM-specified Users to print selected documents from a case record.
4. The LRS shall allow CONSORTIUM-specified Users to reprint documents for applicants and/or participants in the same form and format, with appropriate dates, as when the documents were initially issued to the applicant or participant via mail or during an office visit.
5. The LRS shall allow CONSORTIUM-specified Users to suppress the generation or printing of notices, invoices, reports, and other materials, based on CONSORTIUM-specified parameters, without interrupting the business process flow and retaining specific processing information.
6. The LRS shall support reports distributed through a report server that displays reports available to CONSORTIUM-specified Users and allows the User(s) to select, view, and/or locally print a report. The distribution of reports shall include both standard reports, as well as

reports that are in electronic format (using CONSORTIUM-specified version of the Microsoft Office suite format) for User sorting and modification.

7. The LRS shall support the local printing of checks, warrants, vouchers, receipts, and all client correspondence, including notices and forms.
8. The LRS shall allow CONSORTIUM-specified Users to print selected text from online Help manuals and/or online program policies and procedures.
9. The LRS shall support the local printing of documents in color, as specified by CONSORTIUM.

## **2.2 TRAFFIC LOG:**

The traffic log process automates the recording and tracking of all public contacts, whether by person, telephone, mail, or other means of contact. Tracking and management of contacts is a sensitive component of CONSORTIUM's public relations. The LRS shall provide an automated tracking system to enter contacts, including the purpose of each contact, and CONSORTIUM's response to each contact. CONSORTIUM requires innovative solutions to problems associated with monitoring a high volume of waiting room traffic, telephone calls, and other contacts. The LRS shall include alternative state-of-the-art solutions to automate this process in order to ensure that the public is served in a prompt and efficient manner.

In addition to the customer service considerations, the traffic log shall capture all contacts, dates, times, and reasons for the contacts, including:

- Traffic in the traditional office setting
- Outreach User contacts in both fixed and non-fixed locations
- Non-DPSS CONSORTIUM Users
- Non-CONSORTIUM agencies
- General public contacts, including e-Government, and LRS Application Software functions to which the general public may have access

The traffic log shall include a great deal of flexibility and ease of use for CONSORTIUM-specified Users, without consideration of position or job classification.

**2.2.1 Log Contact.**

1. The LRS shall create, track, and store a traffic log entry for individuals who require, or have received, services.
2. The LRS shall provide a method to log and record individual contact and inquiries.
3. The LRS shall provide a method for capturing the purpose of the contact.
4. The LRS shall record the date and time of the traffic log entry, and a record of each contact shall be retained and be viewable from the individual or case record to be retrieved and reviewed at any time.
5. The LRS shall check the appointment schedule Consortiumwide for each individual that is entered into the traffic log and, if an appointment is found for the individual, the appointment information shall automatically be brought over to the traffic log.
6. The LRS shall provide a method for generating and recording a document receipt for all individuals that are providing documents or information to their workers, including the individual's name, case name, Client Index Number, case number, date, time, items for which the receipt is being issued, and a free form text area for entering any comments.
7. The LRS shall display the correct geographic office location if it is determined that an individual is not in that geographic office and shall allow CONSORTIUM-specified Users to optionally print a referral to that office location to give to the individual. CONSORTIUM has a policy whereby services can be provided in any appropriate office for a wide variety of reasons.
8. The LRS shall create, track, and store a traffic log entry for an individual who has been referred to a different Local Office Site for services.

**2.2.2 Processing and Tracking.**

1. The LRS shall provide a method of tracking contacts via the traffic log, including:
  - a. Face-to-face contacts;
  - b. Telephone contacts;
  - c. Mail contacts;
  - d. Inter-Consortium transfer contacts;
  - e. Traffic in the traditional office setting;
  - f. Outreach User contacts in both fixed and non-fixed locations;
  - g. Non-DPSS CONSORTIUM Users;

- h. Non-CONSORTIUM agencies;
  - i. General public contacts, including e-Government; and
  - j. Other contacts.
- 2. The LRS shall provide a method for flagging and tracking special circumstances via the traffic log, including non-English speaking individuals needing an interpreter, special needs individuals, and emergent need situations.
- 3. The LRS shall automatically display the traffic log disposition for the assigned worker to complete when the case for an individual is accessed and shall also track the time for each action/assignment.
- 4. The LRS shall, upon request, display a traffic log summary, including the time in hours and minutes that an individual has been waiting for services.
- 5. The LRS shall allow CONSORTIUM-specified Users to print the traffic log summary at any given time, grouped by worker, unit, section, time/date, contact type, and/or office.
- 6. The LRS shall include a real time customer service monitoring screen, for use by CONSORTIUM-specified Users, that includes the following features:
  - a. The ability to sort and view a list of individuals by the length of time an individual has been waiting but not yet seen, including the ability to sort and view by the longest waiting time.
  - b. The ability to filter, sort, and view the reason for the contact, including new applications, appointments, and other types of services, as specified by CONSORTIUM.
  - c. A visual indicator, such as change in color or flashing indicator, for individuals who have not been served within a CONSORTIUM-specified period of time.
  - d. The capability for managers to configure the monitoring screen in order to monitor time-sensitive customer services in the office(s) up to and including division, bureau and department real-time performance.
- 7. The LRS shall provide a method for storing traffic log information for a CONSORTIUM-specified period of time.

**2.2.3 Notification.**

- 1. The LRS shall provide a method for alerting a worker and unit clerk with a message, when an individual is waiting for services.
- 2. The LRS shall automatically send a second message to the worker, unit clerk, duty worker, and supervisor when an individual has been waiting

for a CONSORTIUM-specified period of time after the initial alert and has not yet been seen by the worker.

3. The LRS shall, at a District Director's option, automatically send a third message to the worker, duty worker, unit clerk, supervisor, and the Deputy District Director if an individual has been waiting for a CONSORTIUM-specified period of time after the second message and has not yet been seen by the worker.
4. The LRS shall, at a District Director's option, automatically send a fourth message to the worker, duty worker, unit clerk, supervisor, the Deputy District Director, and the District Director if an individual has been waiting for a CONSORTIUM-specified period of time after the third message and has not yet been seen by the worker.
5. The LRS shall provide a method for directly alerting a CONSORTIUM-specified employee other than the worker when a community/client representative for a client makes contact with a Local Office Site. For example, the CONSORTIUM may wish to have the Deputy District Director notified directly, if a community representative (such as one from a legal aid office) visits a Local Office Site.

#### **2.2.4 Generate Reports.**

1. The LRS shall include the ability to generate end-of-day reports with information about Local Office Site traffic, including how many individuals were serviced, the type of services provided to each individual, and how long it took to service each individual.
2. The LRS shall generate end-of-day reports, including reports grouped by worker, unit, section, office, division, bureau, and department.
3. The LRS shall include the ability to generate ad hoc reports with traffic log information for any time period (e.g., daily, weekly, monthly), as specified by CONSORTIUM.

### **2.3 CLEARANCES:**

At an early stage of the intake and inquiry processes, LRS Data for individual(s) is compared with known applicants/participants in order to determine if the individual(s) is already known to State, CONSORTIUM, or other agency systems. The real-time online processes shall match individuals in the Statewide and local databases and shall display matching information in an easily readable format on the LRS clearance windows. The clearance processes shall include an inquiry component to identify known clients, as well as an update component in order to update, as appropriate, the client record with new information if a match to a known



client is found. The clearance processes allow CONSORTIUM-specified Users to assign case numbers, validate address and telephone numbers, and assign a Client Index Number (CIN) from the Statewide Client Index (SCI). The CIN shall serve as the unique identifier for the individual. If information is selected from matching search results, the individual and/or case information is populated to the appropriate LRS Application Software screens.

The LRS shall include independent Web services for performing clearance inquiries on and updates to State and CONSORTIUM systems, which shall be available to CONSORTIUM-specified entities (e.g., other California SAWS systems) via LANet/EN and the Internet. Clearance processes, including the use and protection of any personally identifiable or sensitive information (e.g., Social Security number, date of birth, state identification, and driver's license number), shall comply with applicable federal, State, and local laws, rules, regulations, ordinances, guidelines, directives, policies, and procedures.

#### **2.3.1 Index Search Requests.**

1. The LRS shall use one or more of the following search criteria in order to determine prior contact with welfare agencies throughout the State, or other jurisdictions, including:
  - a. Name, including long and hyphenated names;
  - b. Date of birth, including full date, partial dates, and a range of dates;
  - c. Gender;
  - d. Social Security number (SSN);
  - e. Case number;
  - f. California DMV ID or driver's license number;
  - g. Alias names or "AKA" names;
  - h. Alien Number or USCIS Number;
  - i. CIN;
  - j. Address;
  - k. Telephone;
  - l. Age;
  - m. Vendor ID; and

- n. DCFS Programs placement ID.
2. The LRS shall accept any one, or combinations of, search criteria as sufficient, in order to initiate a search for an individual or case, as specified by CONSORTIUM.
  3. The LRS shall search on names using algorithms and software that is compatible with the systems being searched. The search capabilities of the algorithms and software shall not be less than what is currently in use by the State and other California SAWS consortia. It shall include a form of Soundex or algorithm searches, including wild card searches.
  4. The LRS shall calculate and display a probability factor in descending order for all known individuals who meet one or more of the match criteria.
  5. The LRS shall identify and indicate to CONSORTIUM-specified Users the system where a match was found.
  6. The LRS shall display as many matches as possible on one page, but use multiple pages if necessary.
  7. The LRS shall allow CONSORTIUM-specified Users to drill down in order to access the details of the individual's history from the search results window.
  8. The LRS shall display and make accessible to CONSORTIUM-specified Users the corresponding case information for each individual matched with the search criteria, in order to assist in the selection of the correct match. The methodology shall either allow a side-by-side comparison or the ability to switch between the two LRS Data sets with a single keystroke.
  9. The LRS shall display and make accessible to CONSORTIUM-specified Users the corresponding individual information that matched the search criteria, in order to assist in the selection of the correct match.
  10. The LRS shall include an "Advanced Search" feature where additional search criteria can be specified in order to limit the number of returned search results.
  11. The LRS shall include the ability to restrict User access from certain types of cases, including Employee Recipient, Minor Consent cases, and other secure/confidential cases, as specified by CONSORTIUM.
  12. The LRS shall fully support the redaction of critical identity or sensitive identifying LRS Data on a "need to know" basis based on job function and access profile, as specified by CONSORTIUM. For example, some CONSORTIUM-specified Users will see a redacted SSN consisting of the last four (4) SSN digits only, while other CONSORTIUM-specified Users will see all nine (9) digits of the SSN.

13. The LRS shall alert CONSORTIUM-specified Users when a Commercial Mail Receiving Agency (CMRA, or “mail drop”), vacant lot, or alcohol and drug recovery facility is entered as a residential address for the applicant/participant.
14. The LRS shall make available all match information to be used for reporting purposes, as specified by CONSORTIUM.

**2.3.2 Number Assignments.**

1. The LRS shall search the SCI in order to obtain a single CIN for each individual on the database, a CIN which shall remain with the individual throughout the individual’s lifecycle in the LRS, without regard to the type(s) of assistance or services for which he is applying or receiving.
2. The LRS shall include a method for splitting or merging individuals with erroneously assigned CINs, including resetting of time clocks, indicators, and/or overpayment/overissuance recoverable claim responsibility.
3. The LRS shall allow CONSORTIUM-specified Users to assign existing case numbers if a search reveals an existing matching record, or generate a new case number if the correct match is not found.
4. The LRS shall generate a case number that is compatible with the existing LEADER System case numbering system. The case number shall not include the SSN.
5. The LRS shall prevent an individual from being assigned multiple CINs, unless otherwise specified by CONSORTIUM.
6. The LRS shall populate prescribed individual and case LRS Data to the appropriate LRS Data collection screens if information is selected from match results, as specified by CONSORTIUM.
7. The LRS shall allow CONSORTIUM-specified Users to assign an existing Vendor ID if a search reveals an existing matching record, or generate a Vendor ID if the correct match is not found.
8. The LRS shall generate a DCFS Programs placement ID, as specified by CONSORTIUM.

**2.3.3 Maintain Index.**

1. The LRS shall support the continual online real-time or batch update of new and changed case or person information to external system indexes, as specified by CONSORTIUM.
2. The LRS shall automatically perform an online real-time match, whenever selected new or changed index search criteria are entered into the case record and shall display any matched information to CONSORTIUM-specified Users.

3. The LRS shall clear each new individual through the individual clearance process when individual information is added and shall display any matched information to CONSORTIUM-specified Users.
4. The LRS shall allow CONSORTIUM-specified Users to access the person detail for all other individuals associated with the case(s) that match the search criteria, in order to assist in the selection of the correct match.
5. The LRS shall automatically update external system index databases with all primary data elements as they change on the originating systems.
6. The LRS shall alert CONSORTIUM-specified Users when a discrepancy is found in the index data elements between external systems, with no automatic update being made.
7. The LRS shall include the ability to track individuals once they have been cleared through SCI.

#### **2.4 APPLICATION REGISTRATION AND APPLICATION EVALUATION:**

The purpose of the application registration process is to automate the application for public assistance programs. All applicants, regardless of the type of assistance desired, shall be identified and registered in accordance with applicable federal, State, and local laws, rules, regulations, ordinances, guidelines, directives, policies, and procedures. An applicant may be a family member or an authorized representative of the applicant.

Once the application has been registered, the application evaluation and pre-screening process is used to determine potential eligibility for assistance in various programs. This process also aids in the identification of emergent and special needs. This process will assist CONSORTIUM-specified Users in the early identification of individual(s) or groups of individuals that are not eligible for public assistance programs. The application evaluation process shall perform financial and non-financial eligibility determinations based on basic information about the individual(s) or group(s) of individuals applying for assistance and shall determine preliminary eligibility status and benefit amounts. Eligibility rules, including the inclusion and/or exclusion rules for income and resources when determining eligibility, are program-specific. Changes to eligibility rules based

upon federal, State, and local laws, rules, regulations, ordinances, guidelines, directives, policies, and procedures, are frequent and similarly program-specific.

**2.4.1 General Application Requirements.**

1. The LRS shall allow CONSORTIUM-specified Users to indicate the program(s) for which the applicant/participant is applying.
2. The LRS shall allow CONSORTIUM-specified Users to record and track the applicant's/participant's actual needs, including immediate needs, emergency needs, and crisis intervention needs separately.
3. The LRS shall allow CONSORTIUM-specified Users to add new applicant/participant characteristics and identifiers.
4. The LRS shall allow CONSORTIUM-specified Users to add special services and emergency requests at any time during the application process.
5. The LRS shall allow CONSORTIUM-specified Users to add a program of assistance, special service, or emergency request to an active participant, as specified by CONSORTIUM. If the additional request requires new information from the individual, as required for the program, the LRS shall prompt the User to enter in the required information, and then shall re-process the application and determine eligibility.
6. The LRS shall track applications taken at locations other than a Local Office Site.
7. The LRS shall include special security measures when processing sensitive applications, including those for Minor Consent, Employee Recipient, human trafficking and Domestic Violence Services.

**2.4.2 Registering an Application.**

1. The LRS shall maintain the source of the application, the type of assistance requested, the date the application was received, and the date the application was entered in the LRS.
2. The LRS shall default to current date when entering an application, but shall allow CONSORTIUM-specified Users to backdate or future date the application date, as specified by CONSORTIUM.
3. The LRS shall collect demographic information for the head of the household, if different from the person who is physically making the application.
4. The LRS shall default to clearing the head of the household, unless otherwise indicated by CONSORTIUM-specified Users.

5. The LRS shall assign a unique application number for each application registered.
6. The LRS shall support multiple methods of securing an applicant's signature and return of an application, including:
  - a. Locally printing the application;
  - b. Printing and mailing the application with a return envelope;
  - c. E-mailing the application;
  - d. Electronic signature;
  - e. Faxing the application; and
  - f. E-government solutions, including an applicant submitting the application from his home.
7. The LRS shall support the acceptance and storage of electronic signatures and dates for applications.
8. The LRS shall record the application for tracking and reporting purposes, once the applicant has signed the application.
9. The LRS shall generate application withdrawal forms as appropriate.
10. The LRS shall display to CONSORTIUM-specified Users application status change and the reason(s), when an applicant withdraws from the process of registering an application after signing the application form.
11. The LRS shall, if the applicant declines to sign the application, allow CONSORTIUM-specified Users to log the application as unsigned, and make it available for reporting purposes, as specified by CONSORTIUM.
12. The LRS shall retain invalid application index records for a CONSORTIUM-specified period of time.
13. The LRS shall display a summary of case information, including individual demographic LRS Data, aid program requested, emergency processing, and application date, prior to completing the application registration process for review and edit of information as necessary.
14. The LRS shall assign a unique DPSS Customer Service Center (CSC) ID number and Personal Identification Number (PIN) for each applicant, authorized representative, and payee, including regenerated replacement PINs.

#### **2.4.3 Application Evaluation and Pre-screening.**

1. The LRS shall bring forward all LRS Data collected in the application registration process to the application evaluation process, including clearance information, to be reviewed and validated by CONSORTIUM-specified Users.

2. The LRS shall determine an applicant's/participant's eligibility for a program or programs.
3. The LRS shall process applications requiring Retro Medi-Cal, CalWORKs Immediate Need, Food Stamp Expedited Services, Homeless Assistance, and any other emergency eligibility determinations.
4. The LRS shall include the ability to perform an initial assessment of emergent needs, using the minimum LRS Data collection required, including the following:
  - a. Immediate housing needs;
  - b. Pending eviction notice or other notice;
  - c. Three-day food supply;
  - d. Utility shut-off or notice of impending shut-off;
  - e. Transportation required for help with food, clothing, or emergency medical appointments;
  - f. Health or safety concerns, including pregnancy and medical emergencies;
  - g. Emergency clothing needs;
  - h. Potentially available resources;
  - i. Basic income information;
  - j. Citizenship, sponsorship, and residency; and
  - k. Prior Homeless Assistance information.
5. The LRS shall track all emergency applications, including CalWORKs Immediate Need, Food Stamp Expedited Services, emergency Medi-Cal, Retro Medi-Cal, and Homeless Assistance, separately from non-emergency applications in order to apply special processing timeframes for customer service and reporting purposes.
6. The LRS shall record and track the disposition information for all emergency applications, including CalWORKs Immediate Need, Food Stamp Expedited Services, emergency Medi-Cal, Retro Medi-Cal, and all Homeless Assistance programs.
7. The LRS shall allow CONSORTIUM-specified Users to enter demographic information on the application for each individual in the household, including non-applicants and/or ineligible individuals who live with the applicant and whose income and/or resources may affect eligibility.
8. The LRS shall validate the household composition for appropriate public assistance programs.

9. The LRS shall allow CONSORTIUM-specified Users to initiate a determination of potential non-financial eligibility, by person and by case, immediately following the collection of non-financial information.
10. The LRS shall allow CONSORTIUM-specified Users to initiate a determination of potential income eligibility, by person and by case, immediately following the collection of income information.
11. The LRS shall determine what income is to be included or excluded and how to treat the income, based on program-specific rules.
12. The LRS shall allow CONSORTIUM-specified Users to initiate a determination of potential resource eligibility, by person and by case, immediately following the collection of resource information.
13. The LRS shall determine what resources are to be included or excluded and how to treat the resources, based on program-specific rules.
14. The LRS shall display results to CONSORTIUM-specified Users after each eligibility determination, for User review and the editing of information, as necessary.
15. The LRS shall, from the results display screen, directly link to source screen(s) that are related to the displayed result(s), in order to provide CONSORTIUM-specified Users with an efficient method for correcting any erroneous result(s).
16. The LRS shall display all reasons, including calculation details, to CONSORTIUM-specified Users for review and editing of information, as necessary, with direct links back to source screen(s) that are related to the displayed result(s).
17. The LRS shall continue processing the application for any remaining programs if, at any point in time, the information collected results in ineligibility for one or more programs.
18. The LRS shall allow for continued processing of the application for any remaining individual(s) in the household if, at any point in time, the information collected results in apparent ineligibility for one or more individuals.
19. The LRS shall allow an applicant to withdraw his application or continue with the intake process at any point in the process.
20. The LRS shall allow CONSORTIUM-specified Users to bypass the pre-screening process.
21. The LRS shall support application registration and evaluation, as specified by CONSORTIUM, for
  - a. Traffic in the traditional office setting;
  - b. Outreach User contacts in both fixed and non-fixed locations;
  - c. Non-DPSS CONSORTIUM Users;



- d. Non-CONSORTIUM agencies; and
- e. General public e-Government applications.

## **2.5 DATA COLLECTION:**

Data collection has two primary functions. The first is to allow CONSORTIUM-specified Users to collect information and enter the LRS Data necessary to establish a case. The second is to allow CONSORTIUM-specified Users to modify and/or add LRS Data that may impact the ongoing eligibility of individuals on a case or the case as a whole.

The purpose of the intake process is to collect and verify information from applicants in order to determine their eligibility for public assistance programs. This can be accomplished through interactive interviews, mail-in requests, telephone interviews, and outreach efforts. The LRS shall record all information required for the intake process.

The case maintenance process provides for the maintenance of individuals and cases that have been approved and ensures that each individual's LRS Data and case record reflects current information. It is the ongoing activity of updating case-specific information, as required by applicable federal, State, and local laws, rules, regulations, ordinances, guidelines, directives, policies, and procedures. Information used in the case maintenance process is derived from several sources, including person-to-person contacts and telephone calls with participants, home visits, LRS Data received through interfaces, periodic reports, Redeterminations, Recertifications, Annual Agreements, and referrals. The LRS shall additionally support e-Government type changes, advocacy partners, and participant self-reporting via Internet and LAnet/EN sources. The online LRS Data collection methodology for maintaining a case shall be similar to that developed for the intake process.

### **2.5.1 Intake.**

1. The LRS shall bring forward all LRS Data collected in the application evaluation pre-screening process to the intake process, in order to be reviewed and validated by CONSORTIUM-specified Users.

2. The LRS shall allow CONSORTIUM-specified Users to modify and/or add any LRS Data that was previously entered in the application evaluation process.
3. The LRS shall require the collection of raw data during each applicant interactive session, and shall evaluate LRS Data for the following:
  - a. Non-financial;
  - b. Resources;
  - c. Income;
  - d. Emergency processing; and
  - e. End-of-session processing.
4. The LRS shall, at any time requested by CONSORTIUM-specified Users, display a listing of the LRS Data that the LRS has determined is required for the case, including which LRS Data has been completed, is partially completed, and is not completed.
5. The LRS shall provide CONSORTIUM-specified Users with an easy method to access and complete any LRS Data that is partially or not completed.
6. The LRS shall evaluate the intake LRS Data in order to determine if any conflicting information exists and alert CONSORTIUM-specified Users for clarification.
7. The LRS shall locally print a Statement of Facts, reflecting all information collected during the intake process, for the applicant to sign.
8. The LRS shall locally print all other forms, notices, and Notices of Action (NOAs), including those requiring the applicant's signature, during the intake process.
9. The LRS shall allow CONSORTIUM-specified Users to deny an application at any point in the intake process when the applicant decides he would not like to continue his application and shall generate the appropriate NOA.

**2.5.2 Collect Detailed Information.**

1. The LRS shall require the collection of those LRS Data elements needed in order to determine eligibility and calculate benefits for public assistance programs.
2. The LRS shall allow CONSORTIUM-specified Users to collect demographic information at the individual level.
3. The LRS shall allow CONSORTIUM-specified Users to collect immigration status/citizenship information at the individual level.

4. The LRS shall allow CONSORTIUM-specified Users to collect all income information, including earned, unearned, and in-kind income, at the individual level.
5. The LRS shall allow CONSORTIUM-specified Users to collect income deduction information at the individual level.
6. The LRS shall allow CONSORTIUM-specified Users to collect primary wage earner information at the individual level.
7. The LRS shall allow CONSORTIUM-specified Users to collect employment information at the individual level.
8. The LRS shall allow CONSORTIUM-specified Users to collect disability/incapacity information at the individual level.
9. The LRS shall allow CONSORTIUM-specified Users to collect pregnancy information at the individual level.
10. The LRS shall allow CONSORTIUM-specified Users to collect dependent care information at the individual level.
11. The LRS shall allow CONSORTIUM-specified Users to collect absent parent information at the individual level.
12. The LRS shall allow CONSORTIUM-specified Users to collect death information at the individual level.
13. The LRS shall allow CONSORTIUM-specified Users to collect immunization information at the individual level.
14. The LRS shall allow CONSORTIUM-specified Users to collect school attendance information at the individual level.
15. The LRS shall allow CONSORTIUM-specified Users to collect personal property resources and liquid resources information at the individual level.
16. The LRS shall allow CONSORTIUM-specified Users to collect vehicle information at the individual level.
17. The LRS shall allow CONSORTIUM-specified Users to collect real property information at the individual level.
18. The LRS shall allow CONSORTIUM-specified Users to collect transfer of resources information.
19. The LRS shall allow CONSORTIUM-specified Users to collect information necessary to determine resource eligibility for institutional spouses who have a spouse living in the community, following the Medi-Cal-unique Spousal Impoverishment policy and provisions.
20. The LRS shall allow CONSORTIUM-specified Users to collect shelter and utilities expense information, including rent and rent subsidy expense.

21. The LRS shall allow CONSORTIUM-specified Users to collect work participation program and Cal-Learn activity information at the individual level.
22. The LRS shall allow CONSORTIUM-specified Users to collect other expense information, including child support payments, alimony, alien sponsor expenses, medical expenses, and work participation program expenses at the individual level.
23. The LRS shall allow CONSORTIUM-specified Users to collect Food Stamp work requirement information at the individual level.
24. The LRS shall allow CONSORTIUM-specified Users to collect CalWORKs work requirement information at the individual level.
25. The LRS shall allow CONSORTIUM-specified Users to collect GR work requirement information at the individual level.
26. The LRS shall allow CONSORTIUM-specified Users to collect RCA work requirement information at the individual level.
27. The LRS shall allow CONSORTIUM-specified Users to collect student status information at the individual level.
28. The LRS shall allow CONSORTIUM-specified Users to collect voluntary quit or striker information at the individual level.
29. The LRS shall allow CONSORTIUM-specified Users to collect third party liability and health insurance information at the individual level.
30. The LRS shall allow CONSORTIUM-specified Users to collect Veteran information at the individual level.
31. The LRS shall allow CONSORTIUM-specified Users to collect special needs information at the individual level.
32. The LRS shall allow CONSORTIUM-specified Users to collect board and care information at the individual level.
33. The LRS shall allow CONSORTIUM-specified Users to collect room and board information at the individual level.
34. The LRS shall allow CONSORTIUM-specified Users to collect institutional care information at the individual level.
35. The LRS shall allow CONSORTIUM-specified Users to collect information regarding fleeing felons, convicted drug felons, suspected drug abuse, domestic violence, mental health disorders, and parole/probation violators at the individual level.
36. The LRS shall allow CONSORTIUM-specified Users to collect homelessness information at the individual and case level.
37. The LRS shall allow CONSORTIUM-specified Users to collect court information at the individual level.

38. The LRS shall allow CONSORTIUM-specified Users to collect DCFS Programs child placement information at the individual level.
39. The LRS shall allow CONSORTIUM-specified Users to collect Vendor information in order to facilitate the issuance of payments to Vendors on behalf of the applicant/participant when appropriate.
40. The LRS shall allow CONSORTIUM-specified Users to collect information regarding an applicant/participant's authorized representative and/or payee, which may include an alternate payee.
41. The LRS shall allow CONSORTIUM-specified Users to collect information used to determine if the applicant/participant is eligible to be exempt from the reduction of benefits, as specified by CONSORTIUM.
42. The LRS shall identify special Medi-Cal processing situations, including Sneed, Retro Medi-Cal, 1931(b), QMB, SLMB, DDS, Pickle, Medi-Cal bridging, and STP, and shall ensure that the necessary information is collected in order to determine eligibility for these programs.
43. The LRS shall include the ability to establish and change the association and relationships of an applicant/participant with other individuals.
44. The LRS shall automatically determine reverse relationships.
45. The LRS shall allow CONSORTIUM-specified Users to collect information for the issuance of transportation tokens and meals and lodging vouchers.
46. The LRS shall allow CONSORTIUM-specified Users to collect information to process emergency services.
47. The LRS shall allow CONSORTIUM-specified Users to capture applicant/participant/caregiver willingness to comply with program requirements, including fingerprint imaging, work requirements, and compliance with the Child Support Services Department.
48. The LRS shall allow CONSORTIUM-specified Users to collect compliance, good cause, and sanction information.
49. The LRS shall allow CONSORTIUM-specified Users to collect SSI information, including SSI application date and status, reconsideration date and status, and SSI hearing date and status.
50. The LRS shall allow CONSORTIUM-specified Users to collect DCFS Programs child welfare trust information, including income type, income sources, and accrual period.
51. The LRS shall display to CONSORTIUM-specified Users any special situations or emergent processing, and shall allow the User(s) to add to, or modify, this information.

52. The LRS shall allow CONSORTIUM-specified Users to collect all other raw LRS Data elements needed for all programs and special benefits to be used in statistical reporting.
53. The LRS shall allow for LRS Data to be collected by CONSORTIUM-specified non-CONSORTIUM Users on identically appearing LRS Data collection screens as those presented to CONSORTIUM Users.
54. The LRS shall allow CONSORTIUM-specified Users to confirm LRS Data prior to it becoming permanent in a case record.
55. The LRS shall employ a method for moving LRS Data in such a manner so that the LRS Data does not need to be reentered by CONSORTIUM-specified Users into the LRS Application Software. This shall apply to all intake, Redetermination, Recertification, Annual Agreement, and case maintenance activities.

**2.5.3 Collect Case Changes.**

1. The LRS shall allow CONSORTIUM-specified Users to add or change individual and case information that was previously entered, as specified by CONSORTIUM.
2. The LRS shall provide logical groupings of LRS Data elements subject to changes.
3. The LRS shall, to the maximum extent possible, display case maintenance LRS Data elements in a format identical to how they are displayed in the intake LRS Data collection process.
4. The LRS shall track what LRS Data has been changed or added and shall determine which changed or added LRS Data impacts eligibility.
5. The LRS shall maintain a full audit trail of all case changes, including date and case action, and shall make audit information available to CONSORTIUM-specified Users.
6. The LRS shall analyze all new and/or changed information in order to identify possible discrepancies. Examples of LRS Data that shall be analyzed for discrepancies include:
  - a. The number of income payments that should have been received by the client and the number of income payments that were actually reported by the client, based on existing case information;
  - b. The “year-to-date” amounts on pay stubs, if available; and
  - c. Dates that the client reports as having received income, as opposed to the actual “date paid” information.
7. The LRS shall provide a method for alerting CONSORTIUM-specified Users when a discrepancy in LRS Data exists. When the LRS discovers a discrepancy, the LRS shall display information to the User for follow-up action, as necessary.

**2.5.4 Case Maintenance.**

1. The LRS shall include the ability to add, close, transfer, change, and archive cases as appropriate.
2. The LRS shall include the ability to automatically associate and disassociate cases, as specified by CONSORTIUM.
3. The LRS shall include the ability to associate multiple participants to one case.
4. The LRS shall include the ability to recognize groupings such as families, households, income, and program groupings.
5. The LRS shall include the ability to cross-reference separate cases.
6. The LRS shall keep a viewable audit trail (e.g., previous value, date/time of change, User making the change) of the original LRS Data any time LRS Data is changed, including the original verification of the LRS Data.
7. The LRS shall identify special situations, including mental health, probation, drug abuse, board and care, domestic violence, human trafficking, pregnancy, homeless, and non-English speaking individuals needing an interpreter, in order to accurately refer these special situations to the appropriate worker and/or agency.
8. The LRS shall maintain workfare LRS Data, including address, special requirements and acceptance criteria, and capacity information.

**2.5.5 Verification.**

1. The LRS shall require new verification any time LRS Data is changed or added, as appropriate.
2. The LRS shall keep a record of the historical LRS Data any time LRS Data is changed, including the historical verification.
3. The LRS shall allow for the use of interim verification.
4. The LRS shall allow for verifications that include both system-generated verifications and verifications entered by CONSORTIUM-specified Users.
5. The LRS shall maintain information on what LRS Data must be verified by external interfaces.
6. The LRS shall include a program-specific table of acceptable verifications, including interim and permanent verifications.
7. The LRS shall allow CONSORTIUM-specified Users to enter receipt of LRS Data verification and the date the verification is received.
8. The LRS shall control for missing, unverified, and/or interim verification.

9. The LRS shall validate whether the type of verification entered is acceptable for each program individually or a combination thereof.
10. The LRS shall determine the status of the verification received, including whether the verification is valid or invalid.
11. The LRS shall include a screen which displays all missing, unverified, and/or interim verification, with an easy pathway for CONSORTIUM-specified Users to complete, once appropriate verification has been received.
12. The LRS shall include the ability to display, by case, to CONSORTIUM-specified Users, verification information, including verification type, date verification received, source of verification, and status of verification.
13. The LRS shall allow CONSORTIUM-specified Users to override and postpone verifications.
14. The LRS shall share eligibility verification across programs, whenever possible.
15. The LRS shall generate a list of required verification(s) by program that can be sent to the applicant/participant or printed online.
16. The LRS shall produce and record requests for third party verification(s), as needed.

**2.5.6 Case Comments.**

1. The LRS shall allow CONSORTIUM-specified Users to document case comments, including confidential case comments, using a minimum of ten (10) characters per comment.
2. The LRS shall include an alert, such as an information message pop-up box, in order to remind CONSORTIUM-specified Users to enter case comments. The message shall be displayed every time the User takes an action that will impact case eligibility determination, as well as before and after case authorization(s).
3. The LRS shall automatically generate case comments whenever the LRS or CONSORTIUM-specified Users make case changes, as specified by CONSORTIUM. The case comments shall include a description of the change, the date and time of the change, the source of the change (User- or LRS-generated) and, if User-generated, the name and User ID of the User making the change.
4. The LRS shall restrict the ability to change or suppress text from case comments to CONSORTIUM-specified Users.
5. The LRS shall default the date of the case comment to the date the comment was entered and shall not allow the date to be changed.



6. The LRS shall display case comments in chronological order, starting with the most recent.
7. The LRS shall allow CONSORTIUM-specified Users to print any or all case comments, as selected by the User. The case comment(s) shall be printed in full, without any truncation.
8. The LRS shall include spell check and word wrap features for the entry of case comments.
9. The LRS shall include preformatted case comment templates to assist CONSORTIUM-specified Users in case comments, based on the LRS Data changes, as specified by CONSORTIUM.
10. The LRS shall employ a key word match against case comments for CONSORTIUM-specified Users. The key words will initially be specified by CONSORTIUM and shall be easily maintainable by CONSORTIUM-specified Users. The key word match will be employed in order to keep unacceptable and derogatory words from being used in case comments. When an unacceptable word is detected, it shall be immediately erased and an error message will appear. The User's supervisor will be notified of the key word detected by the LRS.
11. The LRS shall allow CONSORTIUM-specified Users to search case comments, including, by date range, individual, unit, section, office, or County as a whole, for any specified word(s) or phrases.
12. The LRS shall prompt CONSORTIUM-specified Users to enter case comments prior to exiting a case, as specified by CONSORTIUM.
13. The LRS shall include the ability to produce standard and ad hoc reports showing case comment activity.

**2.5.7 Special Indicators.**

1. The LRS shall include the ability to set indicators, in order to show special case situations and display the indicators in the client/case index, including:
  - a. Court case tracking;
  - b. Outstanding overpayment or overissuance;
  - c. Intentional Program Violation;
  - d. Sanctions;
  - e. Biometrics identification matches;
  - f. Teen parent;
  - g. Refugee;
  - h. Sponsored alien;
  - i. Diversion;

- j. Fleeing felon;
  - k. Convicted drug felon;
  - l. Minor Consent;
  - m. Domestic violence;
  - n. Homelessness;
  - o. Human trafficking victim;
  - p. Adoption and Safe Families Act (ASFA) for DCFS Programs;
  - q. High profile; and
  - r. Convicted sex offender.
- 2. The LRS shall allow CONSORTIUM-specified Users to set individual indicators at any time.
  - 3. The LRS shall allow CONSORTIUM-specified Users to modify the special indicators.
  - 4. The LRS shall automatically disposition special case indicators when specified criteria no longer applies, is met, or is conditional.

#### **2.5.8 Generate Reports.**

- 1. The LRS shall track the processing timeframes for all applications and types of benefits in order to alert workers regarding upcoming deadlines and for reporting purposes.
- 2. The LRS shall produce all intake and case maintenance reports that are required by applicable federal, State, and local laws, rules, regulations, ordinances, guidelines, directives, policies, and procedures.
- 3. The LRS shall provide reports which must support Local Office Site management of the processes down to the worker level and then progressing to unit, section, office, regions, Service Planning Areas, and geographic areas, as specified by CONSORTIUM. Performance measures are required at each level, as determined by CONSORTIUM.

## **2.6 SIMULATION AND E-LEARNING TRAINING:**

One of the purposes of simulation is to provide CONSORTIUM-specified Users with a “what if” scenario capability that executes in real time. These scenarios shall utilize LRS Data from a specific User-identified case. “What if” changes will be entered by the User and shall be acted upon by the LRS Application Software so that the User will be able to view the “what if” results in real time without changes to the actual stored LRS Data. If the User wants the simulation to be transferred without reentering the LRS Data, such capability shall be included as a feature.

The training component shall utilize e-Learning modules in order to train, refresh, or reinforce proper use of the LRS Application Software. The e-Learning modules shall increase in number and shall be modified as new functionality is added, or modifications are made, to the LRS Application Software. The software selected for the e-Learning training shall be the same software that is to be used for Consortiumwide implementation training, as this software will be incorporated into the Consortiumwide implementation training.

**2.6.1 Simulation Processing.**

1. The LRS shall accurately copy all case LRS Data, including benefit issuance/recovery information and all history and archive records, into simulation mode when requesting a case for simulation.
2. The LRS shall allow CONSORTIUM-specified Users to have access to all related LRS Data that may impact eligibility for a given case, including LRS Data from any related case or companion case, when using the simulation feature.
3. The LRS shall allow CONSORTIUM-specified Users to run all functions in simulation, including authorization, benefit issuance, benefit recovery, and NOAs, except as specified by CONSORTIUM.
4. The LRS shall clearly display a message to CONSORTIUM-specified Users advising that all changes are for evaluation only and that case information will not be changed when the simulation feature has been invoked.
5. The LRS shall allow CONSORTIUM-specified Users to simulate the results of a change to individual or case information without affecting the actual case LRS Data and/or eligibility.
6. The LRS shall track changes made to a case while in simulation mode and allow CONSORTIUM-specified Users to view and print a log of changes made in a format that is understandable to the User.
7. The LRS shall allow CONSORTIUM-specified Users to continue performing case maintenance activities, including collection of LRS Data and issuance of benefits and correspondence, while a case is in simulation mode.
8. The LRS shall include simulation screens that look significantly different from production screens (e.g., a different screen color or different LRS Data entry field colors).
9. The LRS shall allow concurrent simulations of the same case by multiple CONSORTIUM-specified Users. Changes made to a case by

one User in simulation mode shall not affect another User's case in simulation mode.

10. The LRS shall allow an unlimited number of cases in simulation mode concurrently.
11. The LRS shall keep a case in simulation mode for up to five (5) working days.
12. The LRS shall purge a case from simulation mode at the end of five (5) working days.
13. The LRS shall allow CONSORTIUM-specified Users to end case simulation at any time.
14. The LRS shall run case simulation without adversely impacting LRS performance.
15. The LRS shall allow CONSORTIUM-specified Users to invoke a date advance feature within case simulation, without affecting the performance of the LRS or the ability of other Users to use the case simulation feature at the same time.

**2.6.2 e-Learning Training.**

1. The LRS shall include e-Learning software that is commercially available and shall be recognized as one of the top three industry products that have an established track record in the industry for meeting e-Learning needs.
2. In the event that there is no commercially available e-Learning software that can meet all LRS e-Learning requirements, CONTRACTOR shall present a recommendation to CONSORTIUM of the top three industry products and shall show what specific requirements cannot be met for each. CONSORTIUM shall make the final selection of the e-Learning software.
3. The e-Learning software used for Consortiumwide implementation training and for inclusion into the LRS Application Software shall be one and the same.
4. The LRS e-Learning software shall undergo comprehensive testing prior to implementation. If independent CONSORTIUM testing of the e-Learning software demonstrates that there is any Deficiency in any e-Learning software module, CONTRACTOR shall correct such Deficiency in the LRS e-Learning software module, as determined by LRS Project Director.
5. The LRS e-Learning modules shall be accessible to CONSORTIUM-specified Users.
6. The LRS e-Learning software shall include module creation and maintenance capability for CONSORTIUM-specified Users, including:

- a. CONSORTIUM trainers;
  - b. BWS training team;
  - c. Selected technical staff from ITD and ESD;
  - d. Selected BPP Users;
  - e. Local Office Site trainers; and
  - f. Selected DCFS Programs staff.
7. CONTRACTOR shall train CONSORTIUM-specified training staff on the use of the e-Learning software used to create the LRS e-Learning modules.
  8. The LRS shall include a method for CONSORTIUM-specified Users to add or modify e-Learning modules to the LRS Application Software without technical or CONTRACTOR assistance.
  9. The LRS shall be able to accommodate an unlimited number of LRS e-Learning modules.
  10. The LRS shall seamlessly incorporate the LRS e-Learning modules, controls, and automated testing into the LRS Application Software.
  11. The LRS shall include LRS e-Learning screens that are significantly different from production screens, so that CONSORTIUM-specified Users at the workstation or laptop or a supervisor passing by can clearly see that the User is working on an LRS e-Learning training module (e.g., a colored frame around the screen that is different from production screens).
  12. The LRS e-Learning modules shall use the LRS training environment.
  13. The LRS e-Learning modules shall include safeguards against unauthorized modifications.
  14. The LRS e-Learning modules shall not limit CONSORTIUM's ability to use text, graphic, and image sources from outside of the LRS e-Learning modules.
  15. The LRS e-Learning modules shall be sophisticated in structure and features, including:
    - a. Can be built from "recording" actual LRS sessions;
    - b. Completely modifiable after capture for adding messages, call out boxes, and additional graphics and images on the screens;
    - c. Multi-screen display at the same time; and
    - d. Can have questions and resulting answers that branch to different procedures and rewind the training module to break points if an error is made by CONSORTIUM-specified Users.

16. The LRS e-Learning modules shall include automated online testing that is recorded, centrally stored, and controlled by CONSORTIUM-specified Users.
17. The LRS e-Learning module testing results shall be viewable by Local Office Site managers and supervisors.
18. The LRS e-Learning modules shall provide centrally-located CONSORTIUM-specified Users the ability to control and record a CONSORTIUM-specified User or group of CONSORTIUM-specified Users who are assigned to use a new e-Learning module or refresh training using an established LRS e-Learning module.
19. All LRS training materials shall be CONTRACTOR maintained to reflect the latest version of LRS Application Software and the changes resulting from evaluations and use during ConsortiumPhase 1 (Design/Development/Implementation).
20. The LRS shall include the following e-Learning modules with automated testing, controls, and recording by CONSORTIUM-specified Users. If a module is identified as being “program-specific”, then a separate module for each appropriate program with the appropriate business rules, situations, and screens is required. Some items shall include a separate module for each sub-category (e.g. earned income, in-kind income, and non-earned income are three distinct income types and shall be three distinct e-Learning modules):
  - a. Orientation that provides a general overview of the LRS Application Software, including the GUI navigation methodology, and technology;
  - b. Functional changes from DPSS Systems to the LRS;
  - c. Functional changes from DCFS Systems to the LRS;
  - d. Report use and generation;
  - e. Address changes (program-specific);
  - f. Income changes (program-specific), including:
    - i. Earned income;
    - ii. In-kind income; and
    - iii. Non-earned income;
  - g. Changes in household composition (program-specific), including:
    - i. Absent parent returns;
    - ii. Newborn; and
    - iii. Child in and out of the home or placement;

- h. Case opening, Case Opening Clerk, and CIN assignment procedures;
  - i. Traditional intake process (program-specific);
  - j. e-Government screening, application, and case maintenance processes;
  - k. Redetermination, Recertification, and Annual Agreement processes (program-specific);
  - l. Federal/State residency status documentation (program specific);
  - m. Resource changes (program-specific), including:
    - i. Bank accounts; and
    - ii. Adding and deleting motor vehicles;
  - n. Shared housing, rent, and utilities (program-specific);
  - o. Program Compliance Division (program-specific), including:
    - i. Appeals and State Hearings (ASH); and
    - ii. Welfare Fraud and Prevention and Investigation (WFP&I);
  - p. Case reviews (program-specific), including:
    - i. General eligibility case review; and
    - ii. Technical case trouble shooting case review;
  - q. Local security and local manage personnel;
  - r. Clerical support, including:
    - i. Case transfers;
    - ii. Traffic log;
    - iii. Cashier; and
    - iv. Clearances and searches;
  - s. Homeless Assistance programs;
  - t. Benefit issuance (program-specific);
  - u. Work participation program plans (e.g., GAIN Vocational Assessment Employment Plan, GROW Vocational and Career Assessment Plan);
  - v. Cal-Learn case maintenance; and
  - w. Other specialized programs.
21. The LRS e-Learning software shall be compatible with, and shall be able to incorporate, features from CONSORTIUM's Learning Management System (LMS).

## **2.7 CASE ASSIGNMENT AND CASE TRANSFERS:**

The case assignment process assigns applications to workers for processing. Case assignments shall be made in an equitable manner and in compliance with applicable labor agreements and/or CONSORTIUM-specific policies and procedures.

Case transfers change the assignment of a case from one worker or group of workers to another. The purpose of the case transfer process is to ensure that cases are assigned to workers or units in the appropriate location. The LRS shall include the ability to transfer multiple cases from one Local Office Site to another and to record and assign each case in the receiving office.

CONSORTIUM's business paradigm of case assignment and case transfer has expanded since the implementation of the existing LEADER System. The LRS shall accommodate multiple case assignment business models simultaneously. The LRS shall be able to identify multiple workers that may be assigned to a case in order to provide support to the case.

### **2.7.1 Case Assignment.**

1. The LRS shall support individual case assigned to multiple files and to multiple workers, as specified by CONSORTIUM. Some of these workers continue to provide services and support to a client after the traditional cash benefits, Food Stamp, and/or Medi-Cal cases have been closed. These shall include one or many workers assigned in combination for a case, including:
  - a. Case maintenance workers;
    - i. Traditional case-carrying workers (e.g., one case, one worker);
    - ii. Bank file workers, where a group of workers supports a group of cases;
    - iii. Change Center workers, where an individual worker or a group of workers supports specific functions, such as monthly reporting, but there is also an individual worker or a group of workers that supports other specific functions, such as Redeterminations and face-to-face interviews;
    - iv. Redetermination/Recertification/Annual Agreement workers, where an individual worker or a group of workers completes all Redeterminations/Recertifications/Annual Agreements; and



- v. Call center workers, where a group of workers support, via changes reported by clients over the telephone, a large quantity of cases and work in concert with an individual worker or a group worker that provide follow-up activities and case maintenance functions, if required.
- b. Case support workers;
  - i. Homeless Case Manager workers that can be assigned to a case in order to provide special homeless services;
  - ii. Homeless Locator workers that can be assigned to a case in order to provide home location services;
  - iii. GAIN Services Workers that can be assigned to a case in order to provide employment services;
  - iv. IHSS workers that can be assigned to IPW Medi-Cal cases where there is a relationship between the receipt of Medi-Cal benefits and IHSS;
  - v. Social Workers that can be assigned to a case in order to provide special services;
  - vi. CONSORTIUM-contracted medical/mental health workers that can be assigned to a case in order to assist with processing SSI applications;
  - vii. SSI/SSA workers that can be assigned to a case in order to provide special services; and
  - viii. DCFS Programs Child Welfare and Child Support Trust workers that can be assigned to a case to maintain trust funds.
- 2. The LRS shall assign cases to workers based on the location of the case and worker, the worker's caseload, case type, aid program, language, and special criteria, as specified by CONSORTIUM.
- 3. The LRS shall include a method for the automatic assignment of cases, both between workers or groups of workers and between Local Office Sites, as specified by CONSORTIUM.
- 4. The LRS shall allow CONSORTIUM-specified Users to override case assignments and reroute cases to another worker.
- 5. The LRS shall include the ability to assign a case to multiple workers for different roles, coverage, and/or responsibilities, and designated backup workers when appropriate.
- 6. The LRS shall include a method for tracking and maintaining the number of cases assigned to each file number.

7. The LRS shall include a method for tracking and maintaining the number of cases assigned to each individual worker or group of workers.
8. The LRS shall include a method for assigning, tracking, and maintaining a weighting factor for cases based on the aid program and case type (case credit) and shared responsibility if multiple workers are assigned to a case.
9. The LRS shall allow CONSORTIUM-specified Users to freeze case assignments for a file number, worker, unit, section, or office.
10. The LRS shall allow CONSORTIUM-specified Users to reassign cases.
11. The LRS shall include a method for recording, tracking, and assigning applications to intake workers based on criteria that include:
  - a. The worker's working days and hours, including lunch hour, regular days off, and vacation;
  - b. The types of intakes that may be assigned to the worker for each day, including program type and special indicators;
  - c. The worker's language skills in accordance with any labor agreements and/or CONSORTIUM-specified requirements;
  - d. The worker's total percent of cases assigned, in accordance with labor agreements and/or caseload assignment requirements specific to CONSORTIUM; and
  - e. Special criteria.
12. The LRS shall include a method for adding, changing, or deleting intake assignments at any point during the day.
13. The LRS shall automatically remove case credit from a worker after the case has been terminated for a CONSORTIUM-specified number of days.
14. The LRS shall include a method for cases to be assigned to a holding file where cases can be maintained by designated workers when there is no worker assigned to a caseload.
15. The LRS shall be designed to support both specialized and generic case workers for case maintenance for all programs.

**2.7.2 Case Transfers.**

CONSORTIUM has expanded its services to the public and requires a robust case transfer process. Specialized offices that have been created in order to handle specific types of cases for large geographic areas up to and including Los Angeles County as a whole shall be considered in the design of the case transfer system. Some of these offices may or may not have application processing and will need to have their caseloads replenished from application processing at other offices.

1. The LRS shall complete the electronic transfer of cases between workers and/or Local Office Sites.
2. The LRS shall control the transfer of physical cases between workers and/or Local Office Sites.
3. The LRS shall complete the electronic transfer of cases between workers and/or Local Offices Sites using Consortium-specified criteria including:
  - a. Geographic location of the participant;
  - b. Specialized Local Office Site operations that need to replenish caseloads;
  - c. Customer service (e.g. a participant may live in one area and work in another); and
  - d. Caseload types and programs supported in the receiving location.
4. The LRS shall support the CONSORTIUM policy, for which cases may be transferred, when authorized, to a Local Office Site other than the one where the participant geographically resides.
5. The LRS shall allow CONSORTIUM-specified Users to override the automated process when transferring/accepting transferred cases, including cases that do not belong to the sending/receiving Local Office Site.
6. The LRS shall transfer the alerts, reminders, and controls associated with a case, when a case is transferred.
7. The LRS shall notify all workers and/or Service Providers associated with a case, when the case has transferred to another Local Office Site and/or service area.
8. The LRS shall include a geographical mapping system that identifies if a case shall be assigned to a different location, either to a different Local Office Site or out of CONSORTIUM.

9. The LRS shall generate a transfer slip, as specified by CONSORTIUM, for each case being transferred.
10. The LRS shall support the transfer of the closed case to specialized files.
11. The LRS shall prevent the transfer of cases to storage when there are open benefits or services in the case, as specified by CONSORTIUM.
12. The LRS shall generate, and mail to the applicant/recipient, a “Change in Worker” form, as appropriate by program, when cases are transferred or reassigned.
13. The LRS shall include a method for CONSORTIUM to designate specific criteria for a Local Office Site to receive cases from other Local Office Site(s), including:
  - a. Target caseloads to be reached in the specified Local Office Site;
  - b. What Local Office Site(s) will be transferring cases to the target Local Office Site;
  - c. The type(s) of case that can be transferred to the target Local Office Site; and
  - d. LRS Application Software screens that contain the above information in order to support periodic adjustments by CONSORTIUM-specified Users.
14. The LRS shall prevent a transfer of cases when CONSORTIUM-specified criteria have not been met.

**2.7.3 Mass Transfers.**

1. The LRS shall include an efficient method to mass transfer cases from one worker to another, or to disperse a single file to multiple workers.
2. The LRS shall allow a mass transfer of cases from one worker to another, or the dispersal of a file to multiple workers, to be conducted as a single transaction from CONSORTIUM-specified Users, based on criteria entered to a screen as specified by CONSORTIUM.
3. The LRS shall allow a mass transfer of cases from one Local Office Site to one or more Local Office Sites.
4. The LRS shall record and track mass transfers.
5. The LRS shall include the ability to perform a mass transfer of an unlimited number of cases.
6. The LRS shall allow for the selection of mass transfer criteria.
7. The LRS shall generate transfer slips in a mass transfer.
8. The LRS shall prohibit CONSORTIUM-specified Users from mass transferring cases that do not belong to their respective Local Office Site.

9. The LRS shall include a method for CONSORTIUM to designate specific criteria for a Local Office Site to receive a large movement of cases from other Local Office Site(s) through a mass transfer, including:
  - a. Target caseloads to be reached in the specified Local Office Site;
  - b. What Local Office Site(s) will be transferring cases to the target Local Office Site;
  - c. The type(s) of case that can be transferred to the target Local Office Site; and
  - d. LRS Application Software screens that contain the above information in order to support periodic adjustments by CONSORTIUM-specified Users.

**2.7.4 Paper Cases.**

1. The LRS shall allow CONSORTIUM-specified Users to record and track the location of all components of paper cases.
2. The LRS shall display all paper cases that have been assigned to each worker and unit and if there are components in other workers' files or locations, as specified by CONSORTIUM.
3. The LRS shall allow CONSORTIUM-specified Users to enter the date that the paper case was received by the assigned worker.
4. The LRS shall alert the assigned worker if a paper case has not been input as being received within a CONSORTIUM-specified period of time.
5. The LRS shall record and display storage location and/or boxing information, including box number, as to where the paper case is stored.

**2.7.5 Generate Reports.**

1. The LRS shall be capable of producing standard and ad hoc reports for case assignments, case transfers, and case storage.
2. The LRS shall produce reports which must support Local Office Site management of the transfer processes down to the worker level and then progressing to unit, section, and office levels. Performance measures are required at each level as determined by CONSORTIUM.

**2.8 ELIGIBILITY DETERMINATION AND BENEFIT CALCULATION (ED/BC):**

The LRS shall fully automate the accurate determination of eligibility for public assistance programs. All program and sub-program determinations shall be made independently of each other. The LRS shall also automate the calculation of the amount benefits, based on the determination of eligibility and in compliance with

all applicable federal, State, and local laws, rules, regulations, ordinances, guidelines, directives, policies, and procedures.

The LRS shall include independent Web services for eligibility determination and independent Web services for benefit calculation, which shall be available to CONSORTIUM-specified entities (e.g., other California SAWS systems) via LANet/EN and the Internet.

**2.8.1 ED/BC General.**

1. The LRS shall fully automate and perform all aspects of the eligibility determination process and benefit level calculations for all categories of public assistance in a single pass without manual intervention.
2. The LRS shall be able to retroactively perform ED/BC on a case or an individual for any time period for which data is converted to or entered into the LRS.
3. The LRS shall provide for integrated eligibility processing, in that an update of eligibility information to an individual or case shall automatically cause a redetermination of eligibility for all assistance groups in which the applicant/participant is requesting aid.
4. The LRS shall allow CONSORTIUM-specified Users to invoke the ED/BC processes at any time.
5. The LRS shall automatically evaluate the impact of change(s) on a case, on an individual, and on any or all companion cases that could potentially be affected by the change(s).
6. The LRS shall manage all of the critical start, end, and effective dates for all ED/BC processes, including adverse action periods, in accordance with all applicable federal, State, and local laws, rules, regulations, ordinances, guidelines, directives, policies, and procedures.
7. The LRS shall determine when an individual is eligible for special Medi-Cal coverage, including Sneeze, Retro Medi-Cal, 1931(b), QMB, SLMB, DDS, Pickle, Medi-Cal bridging, and STP, and shall ensure that all required information is collected, eligibility is determined, and share of cost is computed, as specified by CONSORTIUM.
8. The LRS shall determine In-Home Supportive Services (IHSS) eligibility based on income, resources, and other factors, and calculate IHSS share of cost, as specified by CONSORTIUM.
9. The LRS shall process all requests for emergency assistance and special needs.

10. The LRS shall determine eligibility in all other programs when a program eligibility status changes, as specified by CONSORTIUM.
11. The LRS shall allow applications to remain pending, based upon program requirements, until eligibility is determined and the case has been approved or denied.
12. The LRS shall allow CONSORTIUM-specified Users to deny an application for public assistance programs at any point in the intake process when the applicant is found to be ineligible.
13. The LRS shall adhere to adverse action rules, as specified by CONSORTIUM.
14. The LRS shall prevent an individual and/or assistance unit from receiving duplicate aid for the same program type.
15. The LRS shall determine the effective start and end date of eligibility and the Redetermination, Recertification, and/or Annual Agreement period for all individuals for all applicable programs.
16. The LRS shall allow for pending eligibility results when incomplete LRS Data and/or missing/interim verification have been entered into the LRS.
17. The LRS shall include a method for retroactively determining eligibility, as specified by CONSORTIUM.
18. The LRS shall use client LRS Data and program policy that was applicable at the time, when redetermining eligibility and benefit calculations for a prior period.
19. The LRS shall calculate the number and type of bus tokens and transfers, based on starting and ending ZIP codes.
20. The LRS shall allow for multiple aid codes within the same accrual month with appropriate begin and end dates.
21. The LRS shall automate eligibility determination and benefit calculation for certain individual and case changes, as specified by CONSORTIUM.

**2.8.2 ED/BC Process.**

1. The LRS shall process all individual and case eligibility factors prior to the calculation of a benefit amount.
2. The LRS shall process non-financial factors prior to processing resource and income factors.
3. The LRS shall process each household composition both independently and interdependently.
4. The LRS shall include an automated process whereby the LRS evaluates individual and household situation LRS Data in order to determine the

appropriate configuration of cash, Food Stamp, and medical assistance program types and the individuals in the applicant group who are potentially eligible participants in those programs.

5. The LRS shall separately and concurrently evaluate information for each type of benefit the applicant/participant has requested, following the order of related assistance group processing (i.e., cash assistance is calculated first in order to be used in the Food Stamp calculation).
6. The LRS shall identify and evaluate eligibility by person and by case.
7. The LRS shall include a customizable hierarchy of programs for which it shall explore eligibility.
8. The LRS shall, in the event that an individual fails eligibility in one program of assistance, explore eligibility in the next possible program and reconfigure eligibility for all other programs accordingly.
9. The LRS shall evaluate the non-financial eligibility and resource and income eligibility of each individual in the case and then for the case as a whole.
10. The LRS shall allow for an individual's involvement either as a participant of assistance or as an individual whose income and resources are deemed to be available to others in the assistance group.
11. The LRS shall treat income and resources based on program-specific rules.
12. The LRS shall process eligibility determination and benefit calculation for all assistances units that are affected by any change(s).
13. The LRS shall determine the effective date of change for all eligibility related changes for all individuals for all applicable programs.
14. The LRS shall determine which individuals must be included in the eligibility determination and take appropriate action(s), as specified by CONSORTIUM.
15. The LRS shall determine which individuals must be excluded or are optional or voluntary and take appropriate action(s), as specified by CONSORTIUM.
16. The LRS shall determine whether a dependent child is deprived of a parent due to death, unemployment, disability, incapacity, or continued absence.
17. The LRS shall determine person and case aid code based on individual and case information by program.
18. The LRS shall determine the budgeting method which shall be used and shall apply the appropriate method for each program.
19. The LRS shall apply all sanctions, penalties, and disregards when performing benefit calculation(s).



20. The LRS shall prorate income and deductions among household, non-household, and excluded household members, as appropriate.
21. The LRS shall determine all periods of ineligibility for situations, including:
  - a. Intentional Program Violations;
  - b. Sanctions;
  - c. Penalties;
  - d. Voluntary quit;
  - e. Certain overpayments and/or overissuances; and
  - f. Transfer of property.
22. The LRS shall include a method for shortening or overriding a period of ineligibility.
23. The LRS shall determine and assign benefit, person, and limited aid status codes for Medi-Cal.
24. The LRS shall include deductions of claim(s) and/or addition of special needs when calculating benefits.
25. The LRS shall calculate and track a participant's TANF and CalWORKs time clock information by month, including:
  - a. Whether or not aid was received and reason;
  - b. Months that did not count, and the reason they did not count;
  - c. Total number of months counted; and
  - d. Months that extended aid was received beyond time clock expiration, and the reason that the aid was extended.
26. The LRS shall calculate and track a participant's GR time clock information, as specified by CONSORTIUM.

**2.8.3 ED/BC Modularity.**

1. The LRS shall include modular ED/BC processes so that eligibility determinations and benefit calculations for each public assistance program are performed for federal, State, and local regulations independently. Each of such processes shall be available to CONSORTIUM-specified entities as an independent Web service via LANet/EN and the Internet.
2. The LRS ED/BC shall be modularized into non-financial, resources, and income eligibility rules by program.
3. The LRS ED/BC modularity shall also extend from the main modules to the pass or fail eligibility factors within each module, as specified by CONSORTIUM, and in such a manner that CONSORTIUM-specified

Users in simulation or production mode may view and track the ED/BC process for any case.

4. The LRS ED/BC modularity shall allow multiple programmers to code on different areas of ED/BC at the same time.
5. The LRS shall support the storage of the specific program rule(s) that cause a failure of an eligibility factor(s) in such a manner that CONSORTIUM-specified Users in simulation or production mode can view and track the reason for failing an eligibility factor within the ED/BC process for any case.
6. The LRS shall support the storage of which screen(s) and which data element(s) for each program rule that cause a failure of an eligibility factor(s) in such a manner that CONSORTIUM-specified Users in simulation or production mode can view and track the screen and LRS Data reference for failing an eligibility factor within the ED/BC process for any case.
7. The LRS shall support the storage and viewing by CONSORTIUM-specified Users of the last six (6) ED/BC result sets or ED/BC result sets within the last thirty (30) days, whichever is greater.

#### **2.8.4 ED/BC Override.**

1. The LRS shall include in the design of ED/BC an efficient method of excluding a case from automated ED/BC processing (e.g., ED/BC override).
2. The LRS ED/BC override shall be available to CONSORTIUM-specified Users.
3. The LRS shall include in the design of the ED/BC override that it accounts for adding, modifying, and deleting ED/BC override situations.
4. The LRS shall include in the design of the ED/BC override a method for CONSORTIUM-specified Users to add, modify or delete any ED/BC override situation without technical assistance.
5. The LRS shall allow all LRS screens, LRS Data collection, and functions to work in the same manner for ED/BC override cases, with the exception of the ED/BC override screen(s).
6. The LRS shall carry forward all appropriate person and program information, with suggested eligibility status and benefit amounts for all persons and programs, to the ED/BC override screens.
7. The LRS shall allow CONSORTIUM-specified Users to directly enter eligibility status and benefit amounts for any person and for any program only when authorized and for authorized reasons.

8. The LRS shall include ED/BC override screen(s) that centrally record CONSORTIUM-specified and authorized reasons for the override (e.g., a specific new program not yet programmed in the LRS or an LRS error that produces an erroneous ED/BC result).
9. The LRS shall include the identification of each ED/BC override situation when running centrally triggered ED/BC, with the ability to skip or process those cases, as appropriate, for each authorized reason for ED/BC override.
10. The LRS shall include the functionality for the production or suppression of notices, referrals, and/or correspondence that would automatically be triggered or generated, based on the regular ED/BC process for each authorized reason for ED/BC override.
11. The LRS shall allow CONSORTIUM-specified Users to closely monitor ED/BC override cases.
12. The LRS shall include CONSORTIUM-specified extensive and detailed reporting of ED/BC override cases. Listings at multiple levels for tracking, controlling, and correcting by worker, office, and case type are required.
13. The LRS shall provide for the automatic conversion of those cases with ED/BC overrides when new or corrected LRS Application Software programming is implemented that adds or corrects the situation that required the ED/BC override.

**2.8.5 ED/BC Alerts/Referrals/Notifications.**

1. The LRS shall evaluate all new and/or changed information in order to identify possible referrals that must be initiated.
2. The LRS shall evaluate all new and/or changed information in order to determine if any new correspondence needs to be generated and distributed to the applicant/participant, and then shall generate and distribute the correspondence, as appropriate.
3. The LRS shall evaluate all new and/or changed information in order to determine if any new interface triggers need to be set by the LRS, and then shall set the interface triggers, as appropriate.
4. The LRS shall alert CONSORTIUM-specified Users of eligibility results of voluntary/optional individuals.
5. The LRS shall alert CONSORTIUM-specified Users when expenses exceed income and shall identify the participant as living above his means at any point of any case maintenance activity.
6. The LRS shall set an alert for an applicant when expenses exceed income at intake, and shall set a control for the situation to be resolved later at a CONSORTIUM-specified period of time after intake.

**2.8.6 Display ED/BC Results.**

1. The LRS shall display to CONSORTIUM-specified Users the results of the eligibility determination for confirmation, prior to such User authorization of eligibility determination and benefits.
2. The LRS shall display the results of the eligibility determination to CONSORTIUM-specified Users by individual(s) and by case.
3. The LRS shall display to CONSORTIUM-specified Users basic computations for each benefit on one screen and shall include an easy method for such CONSORTIUM-specified Users to access more detailed LRS Data and screen references about each item in the computation.
4. The LRS shall display to CONSORTIUM-specified Users all reasons for ineligibility, by individual(s) and by case, and shall include an easy method for such CONSORTIUM-specified Users to access the LRS Data and screen references that caused the ineligibility.
5. The LRS shall display to CONSORTIUM-specified Users the reasons for ineligibility by eligibility factor and program rules, and shall include an easy method for CONSORTIUM-specified Users to access the LRS Data and screen references that caused the ED/BC ineligibility.
6. The LRS shall record and store the benefits and services for which the applicant/participant was determined to be eligible to receive.
7. The LRS shall keep historical records of all eligibility determination results and shall display them to CONSORTIUM-specified Users upon request.
8. The LRS shall display both ED/BC results and ED/BC manual override eligibility and benefit information for ED/BC manual override situations. Only CONSORTIUM-specified Users may change ED/BC override eligibility and benefit information.
9. The LRS shall display to CONSORTIUM-specified Users all reasons for pending eligibility results, by individual(s) and by case(s), and shall provide an easy method to access or update the LRS Data.

**2.9 AUTHORIZATION:**

The case authorization process allows CONSORTIUM-specified Users to disposition eligibility determination results, initiate the issuance of benefits, and issue the appropriate NOA. The case authorization process also creates interface triggers. The LRS shall allow for the flexible authorization of cases, including authorizations by program, accrual month, and payment type, as specified by CONSORTIUM. The LRS shall also support CONSORTIUM-required reviews of

User-initiated authorizations by supervisory and managerial staff. A historical record of all authorizations, including pertinent authorization information, shall be available for review by CONSORTIUM-specified Users at any point in time.

**2.9.1 General.**

1. The LRS shall allow CONSORTIUM-specified Users to authorize eligibility determination results and/or benefits and NOAs.
2. The LRS shall allow CONSORTIUM-specified Users to authorize one, all, or selected case eligibility benefit amounts by accrual month and by program as a single User transaction, as specified by CONSORTIUM.
3. The LRS shall allow CONSORTIUM-specified Users to authorize, either separately or combined, one, all, or selected months and one, all, or selected programs for a case as a single User transaction, as specified by CONSORTIUM.
4. The LRS shall record the authorization and disposition of a case.
5. The LRS shall include in the authorization screen all benefits applied for, accrual date, benefit amount, eligibility status, and issuance method.
6. The LRS shall record and display to CONSORTIUM-specified Users a current and historical reason for individual and/or case termination or denial, as appropriate, by program.
7. The LRS shall allow a termination or denial to be rescinded within a CONSORTIUM-specified period of time.
8. The LRS shall allow CONSORTIUM-specified Users to view and authorize claims and supplemental benefits.
9. The LRS shall allow CONSORTIUM-specified Users to authorize special case situations.
10. The LRS shall allow multiple authorizations for a service with different Vendors at the same time as long as maximum service levels are not exceeded.
11. The LRS shall include payment authorization screens for payment authorizations and invoices.
12. The LRS shall automate authorization of certain eligibility determinations, as specified by CONSORTIUM.

**2.9.2 Authorization Routing and Review.**

1. The LRS shall maintain organization and staffing structures, including back-ups, for hierarchical approval of authorizations.
2. The LRS shall automatically route authorization requests to the correct authorization level(s), as specified by CONSORTIUM.

3. The LRS shall include a method for the correct authorization level(s) to review authorizations from the subordinate staff and approve or return the authorizations to the subordinate staff for further action.
4. The LRS shall allow CONSORTIUM-specified Users to override the automatic routing to approvers to select an alternate approver.
5. The LRS shall notify CONSORTIUM-specified Users (e.g., Program Integrity Compliance Officer or the designated automatic approver) when an override has been initiated in order to select an alternate approver. The notification shall include dates and times, who initiated the original transaction, the type and amount of the transaction, who authorized the override, and who was the alternate approver.
6. The LRS shall restrict the authorization of benefits without supervisory approval, based on the amount of the issuance, program of assistance, payment type, case status, and User security profile, as specified by CONSORTIUM.

**2.9.3 Transaction Sampling.**

1. The LRS shall include the capability for selecting a transaction sample for CONSORTIUM-specified Users to review based on CONSORTIUM-specified criteria.
2. The LRS shall allow CONSORTIUM-specified Users to set and modify the transaction sample percentage for each worker under his supervision, as necessary.
3. The LRS shall include a method for selecting the transaction sampling percentage by authorization type.
4. The LRS shall allow CONSORTIUM-specified Users to establish a separate Redetermination, Recertification, and/or Annual Agreement transaction sampling percentage for each worker under his supervision.
5. The LRS shall allow transaction sampling by worker, transaction type, and applicant/participant.
6. The LRS shall allow CONSORTIUM-specified Users to designate transaction types and percentages for transaction sampling of cases.

**2.9.4 Reports, Triggers, and Correspondence.**

1. The LRS shall include the ability to produce standard and ad hoc reports, including withdrawals, cancellations, terminations, approvals, and denials, by reason, as well as by length of time applications are pending.
2. The LRS shall set all necessary triggers as a result of an authorization, including triggers for interfaces and generation of NOAs and other correspondence.

3. The LRS shall provide reports which must support Local Office Site management of the processes down to the worker level and then progressing to unit, section, and office levels. Performance measures are required at each level, as determined by CONSORTIUM.

**2.10 BENEFIT ISSUANCE:**

The benefit issuance process supports the distribution of benefits for public assistance programs and other payments for and on behalf of the welfare population for California statewide and the generation of the appropriate reconciliation, expenditure, and assistance claiming reports.

The LRS shall include independent Web services for all types of benefit/payment issuances, which shall be available to CONSORTIUM-specified entities (e.g., other California SAWS systems) via LANet/EN and the Internet.

**2.10.1 Issuance and Distribution of Benefits.**

1. The LRS shall include the ability to issue benefits, including:
  - a. Monthly benefits issued on a recurring basis, on either a calendar month or fiscal (cyclical) period;
  - b. Emergency issuances (e.g., Immediate Need and Expedited Services);
  - c. Diversion payments;
  - d. Supplemental benefits;
  - e. Recovery refunds;
  - f. Special needs payments;
  - g. Retroactive payments;
  - h. Vendor and/or Service Provider payments;
  - i. Tokens and bus passes;
  - j. Non-traditional/alternative transportation (e.g., car pool, taxi vouchers, and parking fees);
  - k. Vouchers for special payments, ancillary payments and other services; and
  - l. Interim assistance payments.
2. The LRS shall include the ability to issue benefits via EBT, direct deposit, or warrants and/or checks distributed to the payee and shall issue appropriate notices.

3. The LRS shall issue recurring payments for public assistance programs.
4. The LRS shall accommodate the payment of recurring benefits on a monthly basis on a CONSORTIUM-specified date which may vary by program.
5. The LRS shall include the ability to issue daily benefits as necessary for public assistance programs.
6. The LRS shall set issuance amount limits by program and issuance method, as specified by CONSORTIUM.
7. The LRS shall accept, issue, track, and report authorization transactions from systems with which the LRS interfaces.
8. The LRS shall prevent the assignment of duplicate warrant, check, and benefit authorization numbers, as specified by CONSORTIUM.
9. The LRS shall allow for designation of issuance method at the case level by program and for a specific issuance type.
10. The LRS shall include a method for issuing benefits on an inactive case.
11. The LRS shall include a method for issuing benefits outside of the regular issuance process for accrual months prior to LRS implementation for participants and Vendors.
12. The LRS shall include a method for issuing retroactive benefits back to the commencement date of Consortiumwide implementation of the LRS.
13. The LRS shall prevent issuance of benefits for an ineligible period when issuing retroactive benefits.
14. The LRS shall determine the federal and State claiming amounts, unduplicated person counts, effective begin and end dates, and information for all payments at the time of the issuance and shall store and maintain the information in an issuance record.
15. The LRS shall have the ability to identify, separate, store and maintain information on non-assistance payments (e.g., child care payments, transportation payments) from the information on benefits payments, for CONSORTIUM-specified administrative claiming purposes.
16. The LRS shall include the ability to produce whole or split benefits in multiple warrants and/or checks for the same assistance unit on the same date for the same benefit period to the same or different payees.
17. The LRS shall include the option of consolidated or individual payments to a participant or Vendor.
18. The LRS shall support manual and automatic re-issuance and replacement of benefits, as specified by CONSORTIUM.
19. The LRS shall link all replacement payments to the original payment.



20. The LRS shall support local and remote printing of checks.
21. The LRS shall include a method for issuing a mass distribution of retroactive benefits to specified cases, due to changes in policy and /or resolution of lawsuits, as specified by CONSORTIUM.
22. The LRS shall support staggered issuance dates, based on easily set CONSORTIUM parameters, including terminal digit of a case number and program type.
23. The LRS shall allow for the override of the staggered issuance date by CONSORTIUM-specified Users.
24. The LRS shall produce authorized issuances in a format and content acceptable to CONSORTIUM's Auditor-Controller.
25. The LRS shall allow CONSORTIUM-specified Users to authorize and issue emergency payments (e.g., food stamps, checks, cash, transportation tokens, tickets, and gift cards) to participants via an online and real time transaction to other systems, including EBT and eCAPS.
26. The LRS shall support multiple arrangements for payment of bus tokens, including adding the purchase amount to cash or generating issuance of bus passes/ bus tokens.
27. The LRS shall process and maintain alternative transportation payments (e.g., car pool, taxi vouchers, parking fees).
28. The LRS shall generate correspondence for direct deposit and EBT, as appropriate.
29. The LRS shall include a method for CONSORTIUM-specified Users to issue cards, including EBT, BIC, and restaurant meals.

**2.10.2 Benefit Maintenance.**

1. The LRS shall display the cash benefit history of each authorized benefit and all associated dispositions, including:
  - a. Issued;
  - b. Stopped payment;
  - c. Negotiated;
  - d. Voided/refunded;
  - e. Stale-dated;
  - f. Replaced;
  - g. Canceled;
  - h. Expunged;
  - i. Picked up;

- j. Transferred; and
  - k. Pending.
2. The LRS shall display issuance disposition/status history online, detailing all changes in disposition/status, associated dates, and source by program and/or CONSORTIUM-specified User.
  3. The LRS shall display benefit issuance history online, including issuances that have been authorized and not issued, CalWORKs benefits that are less than ten dollars (\$10), and zero benefits.
  4. The LRS shall include online inquiry and update capabilities to CONSORTIUM-specified Users, in order to enter certain issuance status changes, including:
    - a. Cancel and reissue a lost, stolen, destroyed, or returned benefits and cards;
    - b. Restore benefits to an EBT account or direct deposit account;
    - c. Cancel an issuance without reissuing;
    - d. Cancel an issuance and reissue a different amount or same amount;
    - e. Place a stop payment request;
    - f. Cancel voucher/invoice in part or in full and send a letter to Vendor; and
    - g. Update issuance status to paid, outlawed, or expunged.
  5. The LRS shall allow CONSORTIUM-specified Users to cancel an issuance prior to the transaction of the issuance.
  6. The LRS shall maintain the reason for all stop/canceled payment requests (e.g., lost or stolen).
  7. The LRS shall include stop payment tracking of the original and replacement issuances as separate items.
  8. The LRS shall produce and track affidavits for lost/stolen cash and Food Stamp benefits.
  9. The LRS shall include the ability to print warrants/checks, including Magnetic Ink Character Recognition (MICR) lines and stubs which shall contain single or multiple participant-specific information related to the payment being made.
  10. The LRS shall provide for an itemized stub if the payment is a consolidation of multiple payments for the same participant or a payment for multiple participants.
  11. The LRS shall track issuances separately at the issuance level and at the warrant level.

12. The LRS shall track issuances made as a result of authorization transactions received from systems with which the LRS interfaces, and shall make the issuance information available for reporting purposes.
13. The LRS shall provide for the real time updating of issuance status in order to track benefits and vouchers.
14. The LRS shall limit the entry of CONSORTIUM-specified issuance status changes to CONSORTIUM-specified Users.
15. The LRS shall limit replacement issuances to CONSORTIUM-specified Users and shall prevent changes from being made to the original issuance.
16. The LRS shall support warrant, check, voucher, invoice, receipt, and ID card number ranges by location, type, and bank account.
17. The LRS shall allow CONSORTIUM-specified Users to manually post authorized and issued benefits and invoices to the LRS.
18. The LRS shall include the ability to recognize warrants canceled by CONSORTIUM's Auditor-Controller and shall issue replacement warrants, as specified by CONSORTIUM.
19. The LRS shall track, reconcile, and report benefits issued by all issuance methods and for public assistance programs, including year-end processing.
20. The LRS shall maintain EBT cardholder information.
21. The LRS shall run a monthly outlaw process of stale-dated participant and Vendor warrants and shall report them to the bank(s).
22. The LRS shall maintain a chain of replacement payments to original payments, in order to allow CONSORTIUM-specified Users to follow the current payment through all re-issued payments back to the original payment.
23. The LRS shall support the online review of warrant information.
24. The LRS shall include a process to automatically notify by mail and telephone each participant who has unclaimed benefits, as specified by CONSORTIUM (e.g., expunged benefits).
25. The LRS shall process adjustments, including use of multiple funding sources within any given accrual period, to previously issued benefits for claiming/reporting purposes.
26. The LRS shall track and maintain multiple income sources of DCFS Programs trust funds in cases where children are receiving multiple incomes (e.g. SSI, SSA, child support).
27. The LRS shall calculate abatement to offset the DCFS Programs foster care placement costs based on the income received for children.

28. The LRS shall distribute DCFS Programs lump sum income to the appropriate accounting accrual periods as specified by CONSORTIUM.
29. The LRS shall generate alerts and reports of DCFS Programs trust fund balances over a specific dollar amount for spend-down purposes as specified by CONSORTIUM.
30. The LRS shall post DCFS Programs trust fund spend-down actions.
31. The LRS shall calculate, record, and track refunds.
32. The LRS shall calculate and maintain a detail ledger for each child receiving income.
33. The LRS shall enable CONSORTIUM-specified Users to manually record distributions received from State/local child support agency to child support accounts when automated posting is unsuccessful.
34. The LRS shall record and track DCFS Programs trust fund disbursements.

**2.10.3 Issuance of Vendor Payments.**

1. The LRS shall include the ability to issue warrants to Vendors on behalf of participants, as required by CONSORTIUM benefit policies.
2. The LRS shall provide for the consolidation of issuances into one Vendor payment for multiple payments on behalf of a single participant or multiple participants across cases.
3. The LRS shall provide for single issuances for each accrual period per participant.
4. The LRS shall provide for single issuance for each accrual period per DCFS Programs placement for each caregiver.
5. The LRS shall include the ability to issue Vendor vouchers/authorizations and to split voucher issuances for one or multiple months.
6. The LRS shall provide for issuance of Vendor payments/authorizations to authorized Vendors on a daily basis or on an established payment schedule.
7. The LRS shall provide for the option of printing a stub with a warrant/check payable to a Vendor which shall contain single or multiple participant and invoice specific information related to the payment being made.
8. The LRS shall issue CONSORTIUM-specified payments, including landlord payments, from participant benefits on a recurring monthly basis, as appropriate.

9. The LRS shall include the ability to recognize Vendor payments canceled by CONSORTIUM's Auditor-Controller and shall issue replacement Vendor payments, as specified by CONSORTIUM.
10. The LRS shall automatically cancel vouchers/invoices when a corresponding warrant is canceled as specified by CONSORTIUM.
11. The LRS shall issue checks to Vendors at service locations or to locations specified by Vendors.
12. The LRS shall be able to issue invoices for units of service over a span of time. For example, the worker could authorize a specified number of meals a day for a period of time.
13. The LRS shall support Vendor payments through Direct Deposit or warrant issuance.
14. The LRS shall include a method for issuing payments to Vendors outside of the regular issuance process.

**2.10.4 Vendor Payment Processing and Notification.**

1. The LRS shall determine, in real time, what Vendor vacancies (e.g., hotel rooms and beds) are available for assignment, including the location, name, and telephone number of the contact person.
2. The LRS shall display Vendor selection criteria and generate a list of potential Vendors based on selection criteria (e.g., ZIP code, service, supported languages).
3. The LRS shall generate voucher/invoice rejection and cancellation notices to Vendors, as required.
4. The LRS shall support payment authorization of services (e.g., board and care, meals and lodging, and specialized programs for DCFS Programs) in accordance with benefits available.
5. The LRS shall calculate and make payments to a Vendor, based on the Vendor's license status for a given service.
6. The LRS shall identify which services require licensure, assessment, or certification and shall verify the license status of a Vendor prior to referral and payment.
7. The LRS shall be able to identify and pay for a substitute service if a Vendor's license is not valid for the billed service.
8. The LRS shall be able to adjust payments to a Vendor if a Vendor's license information is retroactively entered in the LRS, including paying the alternative rate or reverting to a licensed service as billed from a substitute service.
9. The LRS shall be able to process cancellations, adjustments, and re-issuances for Vendor payments.

10. The LRS shall be able to create either electronic or hardcopy invoices for services.
11. The LRS shall support the generation and printing of invoices/vouchers, real time or batch, with or without a specified Vendor, depending on the service to be provided.
12. The LRS shall be able to process invoices received for payments.
13. The LRS shall provide either hardcopy or electronic remittance advice as requested by the Vendors.
14. The LRS shall support assignment of expenditure and bank account codes.
15. The LRS shall track Vendor capacity on a daily basis. For example, the maximum number of beds available for room and board from each room and board Vendor shall be maintained by the LRS.
16. The LRS shall limit payments for specific service dates according to maximum Vendor capacity.
17. The LRS shall not limit Vendor selection to Vendor capacity.
18. The LRS shall support cancellation of invoices and issuance of notices to Vendors.
19. The LRS shall support pre-payment processing to identify capacity limits for payments, including generating notices to Vendors.
20. The LRS shall support payment of invoices at the day level with specified units per day.
21. The LRS shall be able to stop payment and cancel warrants/checks issued to Vendors.
22. The LRS shall support manual and automatic cancellation, re-issuance, and replacement of Vendor payments.
23. The LRS shall support the replacement of warrants without being limited to the original payment method (e.g., warrant may be replaced with direct deposit or direct deposit may be replaced by warrant).
24. The LRS shall support Vendor-specific and DCFS Programs Foster Care rates that are maintained by the LRS.
25. The LRS shall support and maintain State regional market rate for child care providers.
26. The LRS shall make payments based on Vendor-specific and DCFS Programs Foster Care rates if those rates are indicated and available for a specified service. If the Vendor-specific rate is not available in the LRS, payment shall be defaulted to the general rate for the service provided.

27. The LRS shall not allow overlapping invoices for the same type of service for a given date.
28. The LRS shall, if service maximums are exceeded for a given date, make payment on the basis of the first invoice(s) received.
29. The LRS shall check invoices to prevent duplicate payments.
30. The LRS shall check invoices to ensure that payments are consistent with CONSORTIUM policies.
31. The LRS shall enforce service limits for a client within a single invoice and across multiple invoices.
32. The LRS shall calculate service limits based on active invoices.
33. The LRS shall support cancellation of services on an invoice by date and by units within a given date range. That is, if an invoice authorizes services for a week time span, CONSORTIUM-specified Users must be able to cancel service for any day within the week or reduce services for any day within the week.
34. The LRS shall support changes to service levels on an invoice and shall generate the appropriate correspondence to Vendors.
35. The LRS shall ensure invoices will include start and end dates.
36. The LRS shall provide the ability to withhold funds from Vendor payments for payment on overpayment/overissuance claims initiated by CONSORTIUM-specified Users.
37. The LRS shall include workflow management for Vendor payments and invoice processing.
38. The LRS shall support searching for Vendors by multiple criteria, including name, address, services offered, and areas and individuals served by the Vendor.
39. The LRS shall support the entry of new Vendor information into the LRS by multiple criteria, including name, address, services offered, and areas served.
40. The LRS shall record and track exempt and non-exempt tax status of Vendors.
41. The LRS shall be able to end date Vendors' participation.
42. The LRS shall generate invoices/authorizations for CONSORTIUM-authorized services to each Vendor at the end of a CONSORTIUM-specified authorization period.
43. The LRS shall allow CONSORTIUM-specified Users to validate an invoice/authorization against the authorized amount and generate a full or partial payment transaction, as specified by CONSORTIUM.

44. The LRS shall print and reprint vouchers/invoices on demand, and shall generate and mail invoices daily through batch processing.
45. The LRS shall generate correspondence, including special authorizations to the Vendors, as specified by CONSORTIUM.
46. The LRS shall begin full or partial invoicing for Service Providers upon entry of work participation program information, as specified by CONSORTIUM.

**2.10.5 Vendor Payment Maintenance.**

1. The LRS shall maintain a Vendor file for the issuance of vouchers/invoices and authorization of payments.
2. The LRS shall record and track reportable payments and Vendors for which an IRS Form 1099 is required in order to support the 1099 Reporting File interface with CONSORTIUM's Auditor-Controller .
3. The LRS shall track and reconcile vouchers/invoices/authorizations in the same manner as warrants/checks.
4. The LRS shall allow CONSORTIUM-specified Users to update the LRS daily with Vendor vacancies (e.g., hotel rooms and beds) and shall maintain a count of the number of slots available as vacancies are filled.
5. The LRS shall allow CONSORTIUM-specified Users to create and maintain Vendor profiles, including:
  - a. Vendor ID;
  - b. Vendor name;
  - c. Vendor license information;
  - d. Vendor address and telephone number(s);
  - e. Vendor contact name(s) and other contact information;
  - f. Service Planning Area (SPA);
  - g. Supervisorial district;
  - h. Geographic Information System (GIS);
  - i. Type of provider;
  - j. Range of services;
  - k. Vendor-specific rates and capacity;
  - l. Languages provided;
  - m. Vendor tax information, including taxpayer ID;
  - n. eCAPS Vendor ID; and
  - o. Contract number, reporting code, and sub-reporting code.



6. The LRS shall allow CONSORTIUM-specified Users to select, verify, and validate Vendors based on predefined criteria (e.g., name, ZIP code, Occupational Employment Statistics (OES) code).
7. The LRS shall allow CONSORTIUM-specified Users to maintain the Vendor inventory.
8. The LRS shall allow CONSORTIUM-specified Users to manually record vouchers/invoices/authorizations, Vendor payments, and issuance status changes in the LRS.
9. The LRS shall track, reconcile, and report all Vendor payment information, including payment type, payee, and other pertinent payment information.
10. The LRS shall track and identify Vendors on direct deposit payment.
11. The LRS shall allow CONSORTIUM-specified Users to track invoices/authorizations (e.g., paid, canceled, unpaid).
12. The LRS shall maintain information on benefits for which Vendors may be paid and the terms of provision and payment for each benefit.
13. The LRS shall maintain policy parameters on the frequency of benefit receipt and payment, including units per time period, (e.g., daily, weekly, monthly).
14. The LRS shall support the real time review of Vendor payments and vouchers/invoices/authorizations based on several parameters, including Vendor date range, issue status, and individuals served by Vendor.
15. The LRS shall support the real time review of Vendor payments and submitted invoices.
16. The LRS shall maintain a history of vouchers/invoices/authorizations issued and their disposition.
17. The LRS shall maintain a history of Vendor payments and associated invoices/authorizations.
18. The LRS shall link all replacement Vendor payments to the original Vendor payments.
19. The LRS shall maintain a chain of replacement Vendor payments to the original Vendor payments.
20. The LRS shall maintain what approval levels are required for each type of invoice/authorizations and the maximum invoice amount that may be issued for each approval level.
21. The LRS shall maintain relationships between Vendors, including ownership, management, and payment relationships.
22. The LRS shall maintain and verify “pay to” relationships by Vendors.

23. The LRS shall track licenses of Vendors, including license requirements, license begin and end dates, and services or special populations supported.
24. The LRS shall track multiple ownership levels among Vendors.
25. The LRS shall maintain multiple start and end dates for segments of Vendor participation.
26. The LRS shall maintain a history of Vendor participation.
27. The LRS shall include a Vendor comments area for use by CONSORTIUM-specified Users.

## **2.11 BENEFIT RECOVERY:**

The purpose of the benefit recovery process is to identify discrepancies in previously issued benefits and track and resolve overpayments, underpayments, overissuances, underissuances, and collections. This includes cash assistance, food stamps, and work participation program expense payments. The process also determines any potential overpayments/underpayments resulting from overstated/understated Medi-Cal Share of Cost (SOC). The calculation of an overpayment/underpayment or overissuance/underissuance is determined by applicable federal, State, and local laws, rules, regulations, ordinances, guidelines, directives, policies, and procedures specific to each program. These include the amount of benefits that may be recovered, the priority of collection, the person(s) from whom recovery may be made, method of recovery, and the recovery period. The LRS shall include an automated benefit recovery process for all programs that complies with applicable federal, State, and local laws, rules, regulations, ordinances, guidelines, directives, policies, and procedures.

### **2.11.1 Discrepancy Calculation.**

1. The LRS shall determine if a change to eligibility information causes an overpayment or underpayment and/or an overissuance or underissuance and automatically begin the process to prioritize and collect or issue benefits.
2. The LRS shall display an alert to a worker if a change to eligibility information causes an overpayment or underpayment and/or an overissuance or underissuance.
3. The LRS shall include an automated calculation and shall display details of overpayments/underpayments and

overissuances/underissuances, using at least the following information:

- a. Case and payment information;
  - b. Eligibility and benefit calculation rules in effect at the time of the overpayment/underpayment or overissuance/underissuance;
  - c. Entry of changed information;
  - d. LRS calculation of the difference between what was issued and what should have been issued; and
  - e. LRS determination as to whether an overpayment/underpayment or overissuance/underissuance situation exists as a result of an agency error or a client error.
4. The LRS shall calculate the impact of the overpayment/underpayment or overissuance/underissuance to other issuances and shall apply collection offsets, as appropriate.
  5. The LRS shall determine funding source at the time an overpayment/overissuance claim is created and for subsequent recoveries (e.g., collections and offsets from assistance payments).
  6. The LRS shall allow for the manual recording and authorizing of overpayments, underpayments, overissuances, or underissuances at any point in time, with sufficient details to produce automated client correspondence, as appropriate.
  7. The LRS shall determine responsible individuals for overpayment/overissuance and collection claim purposes.
  8. The LRS shall prevent overpayment/overissuance claim periods from being modified once established, as specified by CONSORTIUM.
  9. The LRS shall include a method for overpayment/overissuance claims to be reviewed and authorized prior to beginning collection.
  10. The LRS shall prevent overpayment/overissuance claims from being deleted or voided once established, as specified by CONSORTIUM.
  11. The LRS shall establish and maintain the total assistance paid and shall generate a collection notice to the participant whenever a participant incorrectly receives an initial SSI payment, as specified by CONSORTIUM.
  12. The LRS shall support Interim Assistance Payment (IAP) tracking which includes the following:
    - a. Calculation of the amount of IAP obligation for a period specified by CONSORTIUM-specified Users;
    - b. Determination of the gross IAP;
    - c. Determination of any allowable deductions;

- d. Calculation of the amount payable to the participant after all allowable deductions; and
- e. Issuance of IAP payable to the participant or other suitable payee for the appropriate amount, as specified by federal time requirements.

**2.11.2 Discrepancy Maintenance.**

1. The LRS shall record, track, and display all overpayments, underpayments, overissuances, or underissuances by case and by responsible individuals, whether active or inactive, including the calculation of corrected benefits and the comparison with the original payment on a month-by-month basis for the claim period and the resultant total overpayment, underpayment, overissuance, or underissuance.
2. The LRS shall identify, link, and track overpayment/overissuance claims including those related to period of ineligibility, welfare fraud, hearing decisions, and Treasurer Tax Collector (TTC) referrals.
3. The LRS shall maintain the original claim authorization date, overpayment/overissuance claim amount, claim error types (e.g., agency error, client error, fraud), claim cause reason, discovery date, and discovery source.
4. The LRS shall balance prior month underpayments or underissuances against any outstanding overpayments or overissuances.
5. The LRS shall track the link of offsetting benefit underpayments against outstanding overpayment/overissuance claims and automatically reverse entries when benefits are canceled.
6. The LRS shall include the ability to post, adjust, change, refund, reverse, and transfer an overpayment/overissuance claim balance, payment, and/or amounts.
7. The LRS shall prevent duplication of overpayment/overissuance claim and receipt numbers.
8. The LRS shall prevent an overpayment/overissuance claim and receipt number from being skipped or voided, as specified by CONSORTIUM.
9. The LRS shall include a process to disposition overpayment/overissuance claims that have been overcollected.
10. The LRS shall create and maintain clocks for claims where the collection period has expired.
11. The LRS shall determine, upon the full collection of an overpayment/overissuance if another overpayment/overissuance exists and, if so, shall calculate and begin collection of that overpayment/overissuance, as specified by CONSORTIUM.

12. The LRS shall discontinue collection of overpayments/overissuances once all outstanding overpayments/overissuances have been collected, there is an overpayment /overissuance claim status change, or the collection of the overpayment/overissuance has been deemed satisfied.
13. The LRS shall reopen overpayment/overissuance claim(s) and resume collection of any outstanding overpayment(s)/overissuance(s) when an individual reapplies for benefits or when there is a change in an overpayment/overissuance claim status.
14. The LRS shall include a method for identifying and tracking overpayment/overissuance claims that are going through the adjudication process.
15. The LRS shall produce cash/EBT receipts, overpayment/overissuance claim NOAs, adjustment/credit memos, collection agreements, and repayment coupons.
16. The LRS shall use a transaction-based accounting function which provides and displays an ongoing record of underpayments/underissuances, overpayments/overissuances, adjustments, and collections assigned to a person and/or case for all benefits.
17. The LRS shall include a method for the reconciliation of overpayment/overissuance claim counts, collections, refunds, receipt/adjustment activity, and claim status changes.
18. The LRS shall maintain and apply rules regarding the sequence of overpayment/overissuance claim recovery and when CONSORTIUM can offset or recover the overpayment/overissuance claim.
19. The LRS shall track and maintain claim recalculations for overpayments, underpayments, overissuances, and underissuances.
20. The LRS shall allow for retroactive processing of overpayment/overissuance claims from prior periods and shall compute and generate appropriate NOAs.
21. The LRS shall allow CONSORTIUM-specified Users to search for overpayment/overissuance claims by various data elements, including CIN, case number, claim number, DCFS Programs placement ID, Vendor ID, and invoice number.

### **2.11.3 Collections.**

1. The LRS shall record and track multiple collection methods, including:
  - a. Lump sum payments;
  - b. Offsets;
  - c. Installment payments;

- d. Cash benefit adjustments and food stamp collections;
  - e. Claims against other benefits/settlements; and
  - f. Liens.
2. The LRS shall identify and track recording and posting details, including:
- a. Posting date;
  - b. Accrual month;
  - c. Receipt number;
  - d. TTC account number;
  - e. Journal voucher number;
  - f. Recording and posting locations;
  - g. Invoice number; and
  - h. Vendor ID.
3. The LRS shall recalculate the cash benefit adjustment or food stamp allocation adjustment any time there is an applicable change to factors that affect collections.
4. The LRS shall calculate the maximum allowable program-specific cash benefit adjustment or food stamp allocation adjustment based on error type and shall display and print the correct calculation on the NOA/invoices including other forms, as specified by CONSORTIUM.
5. The LRS shall allow for the collection of LRS Data regarding changes to the LRS-calculated cash benefit adjustment or food stamp allocation adjustment and shall record the amount and reason for changing the cash benefit adjustment or food stamp allocation adjustment.
6. The LRS shall identify the method of collection and shall allow CONSORTIUM-specified Users to change the collection method, as specified by CONSORTIUM.
7. The LRS shall allow reversal of payments as refunds.
8. The LRS shall allow reversal of collection, or offsets as supplemental benefits or a restoration of benefits.
9. The LRS shall redetermine adjustment periods and overpayment/overissuance amounts when eligibility factors change and shall generate the appropriate overpayment/overissuance claim NOA/invoice including other forms, as specified by CONSORTIUM.
10. The LRS shall maintain the ongoing balance to be collected until the overpayment/overissuance has been fully collected or deemed satisfied, as specified by CONSORTIUM.

11. The LRS shall include the ability to post collections across one or more overpayment/overissuance claims on multiple cases.
12. The LRS shall allow payments to be reversed or refunded to the case of record when posting occurs on multiple cases.
13. The LRS shall include a method for entry of payments by case, including overpayment/overissuance claim, invoice number, DCFS Programs placement ID, Vendor ID, and responsible individuals or by posting payments for multiple overpayment/overissuance claims on a single transaction.
14. The LRS shall include the ability to accept payments from the following sources, including:
  - a. Cash, check, or money order;
  - b. EBT;
  - c. Credit card/debit card;
  - d. Cash benefit adjustment;
  - e. Food stamp allocation adjustment;
  - f. Offset of underpayments or underissuances;
  - g. Intercepts (e.g., federal tax, State tax, lottery winnings);
  - h. Offset of lump sum diversion payments; and
  - i. Vendor ID.
15. The LRS shall support tracking a payment or adjustment and its source and allocating it to the correct overpayment/overissuance claim.
16. The LRS shall record and maintain an audit trail and history of adjustment and collection transactions that debit or credit an overpayment/overissuance claim.
17. The LRS shall allow for the voiding, reversing, and backing out of a payment, and shall perform automated claim balance adjustment for an invalid or debit payment, including the reason for adjustment, and shall generate the appropriate credit or debit memos.
18. The LRS shall include a method to refund an excess repayment of any claim balance after checking for any other outstanding overpayment/overissuance claims, to which the claim overpayment/overissuance shall be applied.
19. The LRS shall include the ability to track the repayment of past assistance received and shall apply the repayment to assistance paid to a specific individual, assistance unit, or case.

20. The LRS shall include a method for recording, tracking, reporting, and disposing of any miscellaneous repayments which may not be indexed to a particular case or individual.
21. The LRS shall display any collection, in whole or in part, of any issuance in benefit issuance history and link to the claim to which it was posted.
22. The LRS shall include a method for the manual recording and posting cash repayment transactions.
23. The LRS shall determine program-specific periods of ineligibility and shall apply/post months off of aid as period of ineligibility (POI) for collections.
24. The LRS shall process partial reversals and benefit recoveries and post the partial recoveries.
25. The LRS shall prevent certain payments or adjustment transactions from being reversed, issued as refunds, or voided.
26. The LRS shall prevent collections from posting across different programs (e.g., a GR collection claim cannot be posted to a food stamp overissuance claim, a CalWORKs collection claim cannot be posted to a DCFS Programs foster care overpayment claim).
27. The LRS shall generate a claim agreement and maintain the method of payment when:
  - a. A claim is recalculated;
  - b. A case is re-opened;
  - c. A case is terminated; and
  - d. A claim error type is changed.
28. The LRS shall generate a collection letter to the client when a case with a cash adjustment or food stamp allotment adjustment has been terminated.
29. The LRS shall include a method to track the failure of a client to respond to a collection letter and shall initiate actions allowed by all applicable federal, State, and local laws, rules, regulations, ordinances, guidelines, directives, policies, and procedures in order to collect any outstanding overpayments and/or overissuances.
30. The LRS shall generate offset, zero claim, and refund notices.

#### **2.11.4 Generate Reports and Correspondence.**

1. The LRS shall produce overpayment/overissuance financial reports for claiming and collections for reconciliation with finance, interfaces, and/or other entities in accordance with federal, State, and CONSORTIUM policy.



2. The LRS shall produce overpayment/overissuance claim and recovery reports in conjunction with the claim/collection process, as specified by CONSORTIUM.
3. The LRS shall trigger overpayment/overissuance reminder notices to participants/caregivers, as specified by CONSORTIUM.
4. The LRS shall provide financial quarterly and monthly claiming reports in accordance with federal, State, and CONSORTIUM policies to maintain audit trails in support of the federal/State claims.

## **2.12 PERIODIC REPORTING:**

The periodic reporting process initiates and tracks compliance with participant/caregiver reporting requirements. Periodic reports shall include:

- Quarterly Report for Cash Aid and Food Stamps (QR7);
- Sponsor's Quarterly Income and Resources Report (QR72);
- Senior Parent Monthly Income Report (QR73);
- Mid-year Status Report (MC176S);
- Transitional Medi-Cal Quarterly Status Report (MC176TMC);
- DCFS Programs Monthly Foster Caregiver Placement Verification form (Foster Care Voucher); and
- Work participation program and Cal-Learn program reports (e.g., progress, attendance, status).

The LRS shall support distributing, receiving, and processing these reports in compliance with all applicable federal, State, and local laws, rules, regulations, ordinances, guidelines, directives, policies, and procedures.

### **2.12.1 Issuing the Periodic Report Form.**

1. The LRS shall identify and display cases subject to periodic reporting requirements, by program or combination of programs.
2. The LRS shall include the ability to modify the period of the periodic report without reprogramming (e.g., a quarterly report may become semi-annual and CONSORTIUM-specified Users should be able to change this time frame from within an LRS Application Software screen).

3. The LRS shall generate the appropriate periodic report by program or combination of programs, including the due date for each report, when required.
4. The LRS shall include the ability to print case and/or individual variable LRS Data on periodic reports, including income, time limit information, and income reporting threshold limits.
5. The LRS shall include the ability to distribute periodic reports on specified mailing dates by program, including monthly, quarterly or cyclical distributions.
6. The LRS shall include the ability to maintain different mailing dates and return due dates for the periodic reports by program.
7. The LRS shall issue a single periodic report when the participant receives both cash and food stamps, as specified by CONSORTIUM.
8. The LRS shall generate periodic reports in the applicant/participant's written language if the written language is one of the languages that CONSORTIUM has identified as a threshold language or if a State translation is available.
9. The LRS shall provide a separate report for heads of households, senior parents, and alien sponsors.
10. The LRS shall include a method for indicating on the periodic report the names of the persons whose signatures are required.
11. The LRS shall include the ability to generate periodic reports that have been formatted to include electronically-readable case and/or individual LRS Data and/or responses, including bar codes, in order to expedite the processing of returned periodic reports.
12. The LRS shall determine which cases are exempt from periodic reporting requirements.
13. The LRS shall issue periodic reports for active, pending, and terminated cases, as specified by CONSORTIUM.
14. The LRS shall include the ability to generate electronic versions of periodic reports upon request, including an acceptable form of electronic signature (e.g. PIN or other identifying indicator).
15. The LRS shall include the ability to support the generation of electronic versions of periodic reports with the same functionality as is provided for the printed periodic report.
16. The LRS shall include the ability to locally print any periodic report form on-demand by CONSORTIUM-specified Users.
17. The LRS shall generate Service Provider progress and attendance reports, including:
  - a. Self-initiated program (mailed to participant);

- b. Vocational training;
- c. Basic education;
- d. Work experience (some mailed to participant);
- e. Post-employment services;
- f. Community services;
- g. Self-initiated program;
- h. Education/training;
- i. Working component(s); and
- j. Specialized Supportive Services.

**2.12.2 Track, Control, and Receive the Periodic Report Form.**

1. The LRS shall control for the return of all periodic reports issued to the applicant/participant/caregiver that are required for eligibility determination and shall take action to continue or discontinue a case based on the return of a properly completed periodic report, as specified by CONSORTIUM.
2. The LRS shall include a method for both scanning and manually recording a single periodic report or multiple periodic reports by status, including whether the periodic report received is complete, incomplete, has a change, has no changes, has income, has no income, or is incomplete but acceptable, as specified by CONSORTIUM.
3. The LRS shall include a method for recording the reason a periodic report is incomplete or the reason for a reported change.
4. The LRS shall support the scanning of a single periodic report for multiple programs and shall accept unique completeness criteria for each program.
5. The LRS shall store periodic report information in history and shall include a method for CONSORTIUM-specified Users to view historical periodic report information when necessary.
6. The LRS shall allow CONSORTIUM-specified Users to print periodic reports on demand and record the manual issuance of a periodic report.
7. The LRS shall allow CONSORTIUM-specified Users to regenerate a periodic report via batch processing.
8. The LRS shall include a method for tracking participant contact regarding incomplete periodic reports or periodic reports that are not received.
9. The LRS shall include the ability to receive electronic versions of periodic reports upon request, including validating the electronic signature.

10. The LRS shall include the ability to support receiving electronic versions of periodic reports with the same functionality as is provided for the printed periodic report.

**2.12.3 Determine Impacts of the Periodic Report Form.**

1. The LRS shall identify any reported information that is inconsistent with existing case information and provide an alert to the worker.
2. The LRS shall provide CONSORTIUM-specified Users with the appropriate good cause criteria, the ability to document decisions and, if good cause is found, the ability to resume benefit issuance, as specified by CONSORTIUM.
3. The LRS shall generate the appropriate NOAs when a periodic report is incomplete or has not been received.
4. The LRS shall include the ability to provide the same support for electronic versions of periodic reports as is required for paper versions of periodic reports.

**2.12.4 Generate Reports.**

1. The LRS shall be capable of producing standard and ad hoc reports regarding participant periodic reporting activities.
2. The LRS shall allow CONSORTIUM-specified Users to request a list of periodic reports that are incomplete or have not been received as of a specified date, to be displayed online and/or printed locally.
3. The LRS shall provide reports which must support Local Office Site management of the processes down to the worker level and then progressing to unit, section and office levels. Performance measures are required at each level, as specified by CONSORTIUM.

**2.13 REDETERMINATION, RECERTIFICATION, AND ANNUAL AGREEMENT:**

The Redetermination, Recertification, and Annual Agreement processes periodically validate eligibility information. These processes receive updated participant information and evaluate the LRS Data for ongoing participant eligibility. The requirements are program-specific. The LRS must support these requirements and processes in accordance with all applicable federal, State, and local laws, rules, regulations, ordinances, guidelines, directives, policies, and procedures.

**2.13.1 Determining the Period.**

1. The LRS shall establish Redetermination, Recertification, and/or Annual Agreement periods.
2. The LRS shall establish the same Redetermination, Recertification, and/or Annual Agreement due month where possible when multiple aid types are received, as specified by CONSORTIUM.
3. The LRS shall calculate and set the next Redetermination, Recertification, and/or Annual Agreement due dates at intake and once the current Redetermination, Recertification, and/or Annual Agreement has been processed.
4. The LRS shall allow CONSORTIUM-specified Users to override or reset Redetermination, Recertification, and/or Annual Agreement due dates, by case or groups of cases.

**2.13.2 Tracking.**

1. The LRS shall start the Redetermination, Recertification, and/or Annual Agreement processes on a program-specific, CONSORTIUM-specified date in the month that is two months before the Redetermination, Recertification, and/or Annual Agreement due month.
2. The LRS shall set appointments for cases requiring face-to-face appointments for the Redetermination, Recertification, and/or Annual Agreement.
3. The LRS shall generate the appropriate forms to participants at Redetermination, Recertification and/or Annual Agreement intervals, including a notice informing the participant of his appointment date and time or the due date for returning the forms.
4. The LRS shall generate a list of all verification required for completion of the Redetermination, Recertification, and/or Annual Agreement forms that are to be mailed to the participant in advance of the appointment or due date.
5. The LRS shall generate third party verification requests, as required.
6. The LRS shall locally print all forms that require the participant's signature during the face-to-face Redetermination, Recertification, and/or Annual Agreement process.
7. The LRS shall control for the return of all forms issued to the applicant/participant to complete the Redetermination, Recertification and/or Annual Agreement process, when a face-to-face interview is not required.
8. The LRS shall track the timeliness of all Redetermination, Recertification and/or Annual Agreement processes, including the return of forms, participant attendance at scheduled appointments, the

receipt of required verifications, issuance of the appropriate alerts to CONSORTIUM-specified Users, and assurance that all required participant and CONSORTIUM actions are completed, as specified by CONSORTIUM.

9. The LRS shall initiate the termination of a case or payment reduction if the participant/caregiver has not met the Redetermination, Recertification, and/or Annual Agreement requirements within a CONSORTIUM-specified period of time.
10. The LRS shall allow CONSORTIUM-specified Users to document the appropriate good cause criteria and resume benefits, if good cause is found for the participant not meeting certain CONSORTIUM-specified requirements for the Redetermination, Recertification, and/or Annual Agreement process.
11. The LRS shall automate the tracking and review processing for cases that are not subject to mandatory Redetermination, Recertification, and/or Annual Agreement processes, including certain types of Medi-Cal cases.
12. The LRS shall generate the appropriate NOAs for participants who do not comply with the Redetermination, Recertification, and/or Annual Agreement process.

**2.13.3** Completing the Redetermination, Recertification, and/or Annual Agreement.

1. The LRS shall support flexible methodologies for conducting Redetermination, Recertification, and/or Annual Agreement processes.
2. The LRS shall include a method for confirming that the Redetermination, Recertification and/or Annual Agreement processes have been completed.
3. The LRS shall locally print a Statement of Facts reflecting all information collected during the face-to-face Redetermination, Recertification, and/or Annual Agreement process, for the participant to sign.

**2.13.4** Management and Reports.

1. The LRS shall provide CONSORTIUM-specified Users with an online listing by office, unit, and worker, of the Redeterminations, Recertifications, and/or Annual Agreements that are due.
2. The LRS shall provide CONSORTIUM-specified Users with workload schedules and a list of Redeterminations, Recertifications, and/or Annual Agreements that are coming due, based on parameters entered by CONSORTIUM-specified Users, such as date range, program type, and office structure.

3. The LRS shall allow CONSORTIUM-specified Users to request a list of Redeterminations, Recertifications, and/or Annual Agreements that have not been completed as of a CONSORTIUM-specified date, to be displayed online and/or printed locally.
4. The LRS shall review the distribution of Redeterminations, Recertifications, and/or Annual Agreements for CONSORTIUM-specified Users over a period of time, detecting inequities in the distribution of Redeterminations, Recertifications, and/or Annual Agreements coming due in any particular period, and allow CONSORTIUM-specified Users to adjust the period.
5. The LRS shall include a method for supervisors to select cases for review of the Redeterminations, Recertifications, and/or Annual Agreements process.
6. The LRS shall provide reports which must support Local Office Site management of the processes down to the worker level and then progressing to unit, section, and office. Performance measures are required at each level, as determined by CONSORTIUM.
7. The LRS shall provide reports on Redeterminations, Recertifications, and/or Annual Agreements for specified months, with information for CONSORTIUM-specified Users that includes:
  - a. Redeterminations, Recertifications, and/or Annual Agreements that are due;
  - b. Redeterminations, Recertifications, and/or Annual Agreements that have been completed;
  - c. Redeterminations, Recertifications, and/or Annual Agreements that are incomplete, with a detail listing available;
  - d. Summaries available to supervisors of one or all workers in a unit, for Redeterminations, Recertifications, and/or Annual Agreements; and
  - e. Summaries available to managers, in a view similar to that for supervisors, of one or all units in a section or office, for Redeterminations, Recertifications, and/or Annual Agreements.

#### **2.14 CASE INQUIRY:**

The case inquiry process provides CONSORTIUM-specified Users with online access to current and historical case and person LRS Data. The LRS shall support inquiry based on multiple search criteria and shall display skeletal LRS Data on search results, with the ability to drill down to greater detail for each record that is displayed.

**2.14.1 Select Inquiry Information.**

1. The LRS shall include an inquiry process that displays summary case and individual LRS Data and detailed case and individual LRS Data.
2. The LRS shall allow CONSORTIUM-specified Users to select from a number of alternative summary displays and access detailed case and individual LRS Data from the summary displays.
3. The LRS shall, upon request by CONSORTIUM-specified Users, generate a Caseload Activity Report (CAR), which CONSORTIUM-specified Users can view, filter, and/or print locally with specific case LRS Data, including:
  - a. Case name;
  - b. Payee name;
  - c. Case address;
  - d. Case number;
  - e. Legacy case number;
  - f. Program type(s);
  - g. Case status by program;
  - h. Last reported income type and amount;
  - i. Last reported shelter and utilities type and amount;
  - j. Redetermination, Recertification, or Annual Agreement month;
  - k. Periodic reporting cycle;
  - l. Office number;
  - m. Unit; and
  - n. File number.
4. The LRS shall include multiple methods for searching and retrieving existing individual and case LRS Data, including:
  - a. Case status;
  - b. Case number;
  - c. Legacy case number;
  - d. CINs, names, addresses;
  - e. Date of birth;
  - f. SSN;
  - g. Whether current or historical;
  - h. Date range;



- i. Office structure (e.g., office, section, unit, file); and
  - j. Program type.
5. The LRS shall keep a log of all inquiries made, including information about, who made the inquiry (worker or User ID) and when the inquiry was made (date and time).
6. The LRS shall include a method for producing a printed record of specified case information for external requests.
7. The LRS shall allow inquiry based on combinations of search criteria.
8. The LRS shall include the ability to display historical and current eligibility information for individuals and cases, with the option of selecting date ranges specified by CONSORTIUM-specified Users.
9. The LRS shall provide CONSORTIUM-specified Users with a case summary screen displaying the following case LRS Data including:
- a. Case name;
  - b. Case number;
  - c. Program status;
  - d. Local Office Site;
  - e. Case carrying worker information, including name, unit number, file number, telephone number, and email address;
  - f. Case carrying supervisor information, including name, unit number, file number, telephone number, and email address;
  - g. Information for all individuals on the case, including name, sex, date of birth, SSN, state ID number, state driver's license number, CIN, and citizenship/alien status;
  - h. Income information, resource information, expense information, disability information and pregnancy information, if applicable;
  - i. Benefit information, including benefit calculations for all eligible programs for current month, prior month, and future month; and
  - j. Links to easily access more detailed case information on any of the above areas.
10. The LRS shall calculate and track a participant's TANF and CalWORKs time clock information by month, including:
- a. Whether or not aid was received and reason;
  - b. Months that did not count, and the reason they did not count;
  - c. Total number of months counted; and
  - d. Months that extended aid was received beyond time clock expiration, and the reason that the aid was extended.

11. The LRS shall allow CONSORTIUM-specified Users to inquire against archived LRS Data.
12. The LRS shall display search results ordered by highest match probability.
13. The LRS shall fully support the redaction of critical identity or sensitive identifying LRS Data on a “need to know” basis based on job function and access profile, as specified by CONSORTIUM. For example, some CONSORTIUM-specified Users will see a redacted SSN consisting of the last four (4) SSN digits only, while other CONSORTIUM-specified Users will see all nine (9) digits of the SSN.

**2.14.2 Inquire on Individual Participation History.**

1. The LRS shall display a summary of the applicant/participant’s history of participation in all assistance programs and shall display family groupings in which the applicant/participant was or is active.
2. The LRS shall include an inquiry process that supports the display of summary case and individual LRS Data for case members and allows drill down to detailed case and individual LRS Data.
3. The LRS shall display a participant's TANF and CalWORKs time clock information, as specified by CONSORTIUM.
4. The LRS shall display a participant’s GR time clock information, as specified by CONSORTIUM.

**2.14.3 Inquire on Benefit History.**

1. The LRS shall support inquiry by fields or combinations of fields specified as search criteria and shall display all benefits.
2. The LRS shall display benefit issuance LRS Data, including:
  - a. Case information;
  - b. Payee information;
  - c. Issuance information;
  - d. Payment information;
  - e. EBT information;
  - f. Bank information;
  - g. Warrant information ;
  - h. Authorization information;
  - i. Claim and benefit recovery information; and
  - j. Document ID number.

3. The LRS shall link the benefit issuance to the detailed calculation of the benefit amount issued and shall include an easy path for displaying the information to CONSORTIUM-specified Users.
4. The LRS shall track and keep a historical record of all benefit issuances, to be displayed to CONSORTIUM-specified Users upon inquiry, including original issuance LRS data, current issuance LRS Data, and all changes made to the issuance.
5. The LRS shall display EBT LRS Data online from EBT Vendor to CONSORTIUM-specified Users, upon inquiry.
6. The LRS shall allow inquiry of benefit recovery LRS Data, including:
  - a. Individual demographic information;
  - b. Overpayment/overissuance claim number;
  - c. TTC account number;
  - d. Overpayment/overissuance claim receipt number;
  - e. Journal voucher number;
  - f. Probation account number; and
  - g. Recording location.

## **2.15 REFERRALS:**

The purpose of the referrals process is to initiate contacts in compliance with applicable federal, State, and local laws, rules, regulations, ordinances, guidelines, directives, policies, and procedures. This process can be used to obtain verification or to advise an individual where services, information, or verification may be obtained. It can also be used to initiate the investigation of possible welfare fraud by applicants/participants.

The referrals process also includes SSI application management through the Supplemental Security Income Assistance Program (SSIAP), a referral process that initiates, manages, and tracks the SSI application of a participant who meets SSI criteria in accordance with applicable federal, State, and local laws, rules, regulations, ordinances, guidelines, directives, policies, and procedures.

### **2.15.1 Generate Referrals.**

1. The LRS shall generate the appropriate referrals at the time of case approval, based on information entered and programs requested.
2. The LRS shall generate a variety of referrals, including:

- a. GR employability screening;
  - b. Mandatory Substance Abuse Recovery Program (MSARP);
  - c. SSIAP;
  - d. GAIN;
  - e. Domestic Violence Services;
  - f. Cal-Learn;
  - g. CHDP;
  - h. Managed Care Organizations;
  - i. Fingerprint imaging;
  - j. Child Support Services Department (CSSD);
  - k. Mental Health Services;
  - l. Community agencies;
  - m. DDS;
  - n. GROW;
  - o. Citizenship advocacy;
  - p. Healthy Families;
  - q. Fraud;
  - r. DCFS Programs CalWORKs referrals (following denial of federal foster care payments made to a foster child's relative caregiver); and
  - s. SSA/SSI referrals for DCFS Programs Child Welfare Trust.
3. The LRS shall support referral methods including:
- a. Paper referrals printed in the Local Office Site, or in batch, to be mailed to the applicant/participant/caregiver;
  - b. Referrals that are drawn off LRS Data and forwarded to another agency;
  - c. Referrals that include LRS Data being transmitted to another system through an online interface process; and
  - d. Referrals among and between programs and departments.
4. The LRS shall include a method for referrals to be initiated by CONSORTIUM-specified Users.
5. The LRS shall include a table of community agency addresses and telephone numbers for each Local Office Site to be used for initiating referrals, whenever necessary.
6. The LRS shall issue referrals based on participant's needs and participant's demographic information (e.g., location, language).

7. The LRS shall include the ability to generate multiple referrals for participants.
8. The LRS shall generate printed referrals that include barcodes, as specified by CONSORTIUM, to include the form ID and case number ID on all LRS-produced documents.
9. The LRS shall generate a referral for DCFS Programs children terminated from foster care for continued Medi-Cal eligibility.

**2.15.2 Referral Display, Tracking and Reporting.**

1. The LRS shall display referral information initiated as a result of any additions and/or changes input into the LRS.
2. The LRS shall record all referrals made, whether made by a worker request or generated by the LRS.
3. The LRS shall retain all referrals in the case history for display to CONSORTIUM-specified Users, upon request.
4. The LRS shall include the ability to generate reports regarding referrals.
5. The LRS shall provide reports which must support Local Office Site management of the processes down to the worker level and then progressing to unit, section and office levels. Performance measures and counts are required at each level, as determined by CONSORTIUM.

**2.15.3 Fraud Referrals and Tracking.**

1. The LRS shall include the ability to capture early fraud and historical fraud information, for the purpose of referring a case to a Welfare Fraud Investigator.
2. The LRS shall electronically transmit a complete fraud referral to the Welfare Fraud Prevention and Investigations section (WFP&I), as specified by CONSORTIUM.
3. The LRS shall allow the Supervising Welfare Fraud Investigator to assign an incoming referral to an investigator in his unit.
4. The LRS shall provide an alert to the Welfare Fraud Investigator when a new fraud referral has been assigned.
5. The LRS shall display to CONSORTIUM-specified Users a listing of fraud referral information, including whether or not the referral has been assigned, who the referral was assigned to, and the status of the referral.
6. The LRS shall allow the Welfare Fraud Investigator to send an alert to workers requesting information, documentation, or case action.
7. The LRS shall prevent the changing or deleting of information in a fraud referral once the referral has been submitted to the Welfare Fraud Investigator.

8. The LRS shall allow CONSORTIUM-specified Users to document general comments regarding fraud investigations and findings.
9. The LRS shall include and maintain a separate and secure case comments area for the Welfare Fraud Investigator to document investigation notes that shall be accessible only to CONSORTIUM-specified Users.
10. The LRS shall allow the Supervising Welfare Fraud Investigator to reassign investigations in mass or on an individual basis, as necessary.
11. The LRS shall allow CONSORTIUM-specified Users to close all unaccepted referrals, individually or as a group.
12. The LRS shall maintain fraud code identifiers.
13. The LRS shall allow the Welfare Fraud Investigator to disposition the fraud referral and electronically send results to the worker for immediate case action.
14. The LRS shall include a summary of fraud cases for the Welfare Fraud Investigator, including the status of investigations that may be accessed by the Welfare Fraud Investigator and his supervisor.
15. The LRS shall allow CONSORTIUM-specified Users to retrieve current and historical fraud LRS Data by investigation status, file, Welfare Fraud Investigator, unit, program, month or year at any given time.
16. The LRS shall allow CONSORTIUM-specified WFP&I Users to create and assign new investigations based on tips received through sources other than the worker.
17. The LRS shall include a rules-based computation worksheet for Welfare Fraud Investigators to use, in order to compute historical fraud overpayments and overissuances. This computation module shall also be available to other CONSORTIUM-specified Users (e.g., the IEVS workers, who also use the WFP&I computation module, in order to determine thresholds for referrals and the recording of an overpayment and/or overissuance if thresholds are not met).
18. The LRS shall include a method for closing fraud investigations and keeping case information in a historical or archived record for future use.
19. The LRS shall require mandatory sign-off of a fraud referral by authorized staff prior to closing a fraud investigation.
20. The LRS shall allow the Welfare Fraud Investigator to search for previous fraud referrals, using the suspect's name, SSN, CA ID number, case number, referral number, CA driver's license number, and referral date or range of dates.

21. The LRS shall include the ability to create a fraud referral based on predefined criteria, as specified by CONSORTIUM.
22. The LRS shall allow a worker to check the status of his fraud referral(s).
23. The LRS shall include a method for initiating an electronic referral to WFP&I headquarters when positive early fraud findings determine that a continuing historical investigation should be pursued.
24. The LRS shall include a unique identifier in the fraud referral number to distinguish between early fraud and historical fraud.
25. The LRS shall include the ability to link historical fraud referrals and early fraud referrals.

**2.15.4 SSI Application Management.**

1. The LRS shall, upon approval of a program-specific case, determine a participant's potential eligibility for SSI based on SSA disability criteria for SSI.
2. The LRS shall include the ability to notify a CONSORTIUM-contracted medical/mental health professional of a new referral for assessment of the GR participant's medical/mental status.
3. The LRS shall record and track the CONSORTIUM-contracted medical/mental health professional to which the referral has been assigned.
4. The LRS shall allow the CONSORTIUM-contracted medical/mental health professional to update the LRS with the participant's employability status information.
5. The LRS shall allow the CONSORTIUM-contracted medical/mental health professional to update the referral with hearing date and resolution information.
6. The LRS shall allow the SSI Advocate to access referral information, as necessary.
7. The LRS shall allow CONSORTIUM-specified Users to track an SSI application from the date it was filed through the reconsideration and/or hearing processes.
8. The LRS shall schedule and control SSIAP appointments, as required.
9. The LRS shall include a method for rescheduling SSIAP appointments, as needed.
10. The LRS shall take appropriate action when a participant fails to show up to his SSIAP appointment(s).
11. The LRS shall maintain a list of SSA offices and addresses, linked to areas where participants apply (e.g. within participant's geographical area).

12. The LRS shall maintain a history of SSI determination results and, for each set of results, the LRS shall specify additional information required and due dates for the information.
13. The LRS shall support assignment of responsibility for obtaining additional information specified and tracking of the information submission.
14. The LRS shall maintain a history of application submissions and responses.
15. The LRS shall calculate amounts claimable by CONSORTIUM from SSI lump sum payments.
16. The LRS shall support the preparation of claims in order to recover the portion of lump sum payments due to CONSORTIUM and shall issue payment of the residual amount to the participant.
17. The LRS shall update or terminate program-specific cases based on SSI determinations entered. This shall include retroactive periods as indicated.
18. The LRS shall identify participants with SSI applications and shall post the results of the application.
19. The LRS shall, upon receipt of SSI eligibility, generate notices to initiate requests for reimbursement.
20. The LRS shall support special operations, including providing an automated process for Interim Assistance Reimbursement (IAR) recovery processes.
21. The LRS shall generate, record, and store the receipt and signature of the IAR agreement.
22. The LRS shall support the automated recovery of assistance when a participant receives retroactive SSI payments.
23. The LRS shall support active and historical reports on the SSIAP process, including:
  - a. The number of participants in the SSIAP process; and
  - b. The number of participants at each stage of the SSIAP process.

**2.16 MASS UPDATE:**

The mass update process implements regulatory and policy changes to specified individual persons and cases in a uniform manner. These changes may affect eligibility status or benefit levels of individuals and cases, or a portion of the cases, and may apply to a specific public assistance program or to multiple public



assistance programs. A mass update may need to access historical information in order to implement the mass update retroactively.

**2.16.1 Change Standards and Tables.**

1. The LRS shall be capable of handling several types of mass updates, including table changes and regulatory changes.
2. The LRS shall include an automated method for implementing mass updates triggered by policy changes or mass participant financial changes, including Social Security or Veterans benefits cost of living adjustments (COLAs).
3. The LRS shall have all of the eligibility-type standards and tables available for update, in order to process mass updates, including:
  - a. COLAs;
  - b. Special needs allowances, including DCFS Programs clothing allowance;
  - c. Dependent care allowances;
  - d. Issuance table changes;
  - e. Standard deductions;
  - f. Utility allowance amounts;
  - g. Maximum Aid Payment (MAP);
  - h. Minimum Basic Standard of Adequate Care (MBSAC);
  - i. Income disregards;
  - j. Homeless allowance amounts;
  - k. Medical deduction amounts;
  - l. Federal poverty level amounts;
  - m. Sneed standard amounts;
  - n. Resource and property limits;
  - o. Pickle COLA amounts;
  - p. Railroad retirement;
  - q. Retirement, Survivors, and Disability Insurance (RSDI);
  - r. Homeless standard shelter allowance;
  - s. Income reporting threshold; and
  - t. Sponsored deeming.

**2.16.2 Identify Impacted Cases.**

1. The LRS shall include a method for identifying cases that are subject to a mass update by using specified selection criteria, including:
  - a. Program types;
  - b. Effective start and/or end dates;
  - c. Medi-Cal category;
  - d. Income types;
  - e. Resource types;
  - f. Deduction types;
  - g. Case status;
  - h. Living situation;
  - i. History of assistance received; and
  - j. Immigration status.
2. The LRS shall include the ability to process mass updates where additional information is required before the mass update can be completed and the LRS can reliably identify the cases, by following these steps:
  - a. Identification of impacted cases;
  - b. Generation of requests for needed information;
  - c. Establishing appropriate controls for the response and completion of the update;
  - d. Sending required NOAs and third party notifications; and
  - e. Generation of reports on all cases identified, as specified by CONSORTIUM.
3. The LRS shall include the ability to search and locate inactive cases which meet the specified criteria and implement the mass update, as required.
4. The LRS shall include the ability to identify and track cases that are pending court decisions for case action.

**2.16.3 Perform Trial Mass Update.**

1. The LRS shall include a method of processing a trial or preview mass change without updating the permanent case records and produce reports on the effect of the trial mass change for validation purposes.
2. The LRS shall include the ability to generate statistics that CONSORTIUM may request regarding the number of cases and associated dollars that would be affected by the mass update.

**2.16.4 Perform Mass Update.**

1. The LRS shall include the ability to process a mass update that includes eligibility and benefits with an effective date of any prior month, the current month, or future month(s).
2. The LRS shall recalculate benefits that have already been authorized, but not yet issued, by the LRS when a mass update occurs, as specified by CONSORTIUM.
3. The LRS shall include the ability to process a historical mass update for a month already paid and shall include calculation of overpayment/underpayment and overissuance/underissuance amounts, generation of benefit recovery claims, supplemental benefits, alerts, and NOAs.
4. The LRS shall include the ability to process a mass update that involves the development of new policy in response to changes in federal, State, and local laws, rules, regulations, ordinances, guidelines, directives, policies, and procedures.
5. The LRS shall routinely perform the following related functions associated with a mass update:
  - a. Produce the appropriate participant notification for each affected assistance unit;
  - b. Compute the effect of benefit change on all applicable programs;
  - c. Track the adverse action time period for benefit reductions and case terminations; and
  - d. Generate any appropriate interface transaction resulting from the mass update.
6. The LRS shall include the ability to complete a mass update without intervention by CONSORTIUM-specified Users if all impacted cases can be identified and all required information is available.
7. The LRS shall post an easily understandable case comment on every case updated with each mass update.

**2.16.5 Generate Reports.**

1. The LRS shall be capable of producing standard and ad hoc reports of cases that were affected by mass updates and rules changes.
2. The LRS shall generate a mass update exception listing of all cases that could not be updated by a mass update.
3. The LRS shall produce exception listings in electronic format (using CONSORTIUM-specified version of the Microsoft Office suite format) for further sorting and processing by CONSORTIUM-specified Users.

Other reports shall also be available in CONSORTIUM-specified electronic format.

4. The LRS shall contain a method whereby CONSORTIUM-specified Users can electronically transmit reports and lists, including exception lists, to other CONSORTIUM-specified Users, including workers, units, sections, or offices.

## **2.17 SCHEDULING APPOINTMENTS:**

The scheduling appointments process maintains office hours as well as CONSORTIUM-specified Users' work hours in order to support the management of CONSORTIUM-specified Users' calendars and appointments. The LRS shall maintain the calendar of CONSORTIUM-specified Users online and support scheduling appointments and meetings, as well as maintain other calendars and schedules. The LRS scheduling appointment process shall also integrate with and update (online real-time) CONSORTIUM's calendaring application.

### **2.17.1 Build Appointment Schedules.**

1. The LRS shall include an efficient method for creating and maintaining scheduling profiles that shall be used to generate appointments, including:
  - a. Intake;
  - b. Redetermination, Recertification, and Annual Agreement;
  - c. Verification;
  - d. SSIAP appointments;
  - e. GAIN appointments, including non-compliance appointments;
  - f. Cal-Learn appointments;
  - g. GROW appointments;
  - h. GR Pre-Termination Hearing appointments; and
  - i. IFDS appointments.
2. The LRS shall maintain a Local Office Site schedule profile for each office, containing working days, holidays, office hours, and the number and capacity of conference rooms available, as specified by CONSORTIUM.
3. The LRS shall include an individual schedule profile used to maintain the calendar of CONSORTIUM-specified Users.

4. The LRS shall allow CONSORTIUM-specified Users (e.g., supervisors) to update schedules and calendars for other CONSORTIUM-specified Users.
5. The LRS shall allow CONSORTIUM-specified Users to define the interval of appointments in minutes or hours (e.g. every 15 minutes) and exclude blocks of time (e.g., lunch hour, breaks, vacations, regular day off, meetings, and protected time).

**2.17.2 Generate Appointments.**

1. The LRS shall include the ability to schedule appointment dates and times or suggest possible appointment dates and times, based on the scheduling profiles and work schedule.
2. The LRS shall include the ability to schedule appointments for specific case actions, as designated by CONSORTIUM-specified Users.
3. The LRS shall allow CONSORTIUM-specified Users to manually set appointments as needed and to maintain and track appointments set by CONSORTIUM-specified Users.
4. The LRS shall accommodate a variety of scheduling approaches that will allow each office to use an approach, or combination of approaches, that best matches its program, facility, and staffing levels, including face-to-face appointments, telephone appointments, individual appointments, and group appointments.
5. The LRS shall allow CONSORTIUM-specified Users to override appointments assigned by the LRS.
6. The LRS shall set additional appointments as appropriate if the participant fails to show to his first scheduled appointment.
7. The LRS shall allow CONSORTIUM-specified Users to cancel or reschedule appointments set by the LRS and by CONSORTIUM-specified Users, as necessary.
8. The LRS shall set appointments for case situations, including the following:
  - a. Face-to-face Redetermination, Recertification, or Annual Agreement;
  - b. Face-to-face verification of information for intake;
  - c. GR Pre-Termination Hearing; and
  - d. GR employability screening.

**2.17.3 Appointment Maintenance.**

1. The LRS shall generate the appropriate appointment notice for the applicant/participant.

2. The LRS shall link appointments to the case and track changes to the appointment schedule.
3. The LRS shall alert CONSORTIUM-specified Users when an applicant/participant does not appear for a scheduled appointment and whether a second appointment was generated by the LRS, as appropriate.
4. The LRS shall include a method for viewing an individual worker's schedule, a whole unit's schedule, and an office view of all workers' schedules.
5. The LRS shall allow CONSORTIUM-specified Users to make daily updates to appointment information.
6. The LRS shall set controls for required appointments and take appropriate action based on program-specific and regulatory rules if appointments are missed.
7. The LRS shall allow CONSORTIUM-specified Users to indicate or mark attendance or failed attendance for a scheduled appointment.
8. The LRS shall alert CONSORTIUM-specified Users when an appointment date is changed or rescheduled and the change affects eligibility.
9. The LRS shall allow CONSORTIUM-specified Users to inquire about appointments using CONSORTIUM-specified criteria, including:
  - a. Case number;
  - b. CIN;
  - c. User ID;
  - d. Date or range of dates;
  - e. Time or range of times; and
  - f. Appointment type.
10. The LRS shall generate appointment reminders to clients, as specified by CONSORTIUM, through methods that include:
  - a. Automated telephone calls; and
  - b. Automated e-mails.
11. The LRS shall set triggers, as specified by CONSORTIUM, for automated actions to take place if appointments are missed by a client.
12. The LRS shall cross reference all scheduled appointments for a participant and display all appointments to CONSORTIUM-specified User(s), as specified by the CONSORTIUM.

**2.17.4 Generate Reports.**

1. The LRS shall include the ability to produce standard and ad hoc reports regarding scheduling (e.g., number of missed appointments, staff availability, utilization of time).
2. The LRS shall provide reports which must support Local Office Site management of the processes down to the worker level and then progressing to unit, section, and office levels. Performance measures and counts are required at each level, as determined by CONSORTIUM.

**2.18 CLIENT CORRESPONDENCE:**

The client correspondence process automates the production and mailing of notices, Notices of Action (NOA), letters, and forms required by applicable federal, State, and local laws, rules, regulations, ordinances, guidelines, directives, policies, and procedures. There are several different types of client correspondence, including notices to applicants, participants, and authorized representatives, information updates, and eligibility determination results. The client correspondence process is subject to frequent changes in format and language for specific NOAs due to changes in federal, State, and local laws, rules, regulations, ordinances, guidelines, directives, policies, and procedures. The LRS shall produce online and in batch correspondence in all required languages, and in formats that are updatable by CONSORTIUM-specified Users, as required, and shall also display all correspondence in English to CONSORTIUM-specified Users.

The LRS shall include independent Web services for the generation of client correspondence, which shall be available to CONSORTIUM-specified entities (e.g., other California SAWS systems) via LANet/EN and the Internet.

**2.18.1 Correspondence Format.**

1. The LRS shall produce the NOA in a timely manner, in accordance with Turner waiver requirements, including the following:
  - a. Case and applicant/participant identifying information and address;
  - b. The proposed action(s) being taken by the CONSORTIUM department;
  - c. The effective date of the proposed action(s);
  - d. The reason(s) for the proposed action(s);
  - e. Time periods covered, including retroactive periods;

- f. Turner format requirements as appropriate;
  - g. The complete federal, State, or CONSORTIUM manual section(s), including subsection(s) supporting the proposed action(s);
  - h. The budget calculations/computations by program, including gross income test and net income test;
  - i. The overpayment/underpayment and/or overissuance/under-issuance amount and/or calculations/computations;
  - j. The worker's name, file number, addressee, mailing address, sending Local Office Site's address, telephone number, email address, and hours of availability;
  - k. Instructions regarding the filing of an appeal and appeals-specific contact information;
  - l. Date and time of notification;
  - m. Variable individual/case LRS Data including the name(s) of individual(s) affected by the authorized action, income reporting threshold amounts, and time on aid information;
  - n. Freeform text that was added to clarify the NOA, unless prohibited; and
  - o. Collection calculation and amount, if applicable.
- 2. The LRS shall generate written material, including notices, NOAs, forms, flyers, letters, and stuffers, to applicants, participants, caregivers, sponsors, authorized representatives, and/or any other entities, in English, all threshold languages, and any other language for which the State has provided a translation.
  - 3. The LRS shall include the ability to add threshold languages for written material, including notices, NOAs, forms, flyers, letters, and stuffers, as required by CONSORTIUM, as well as for any other language for which the State provides a translation.
  - 4. The LRS shall accommodate and generate State-mandated forms, notices, and NOAs that cannot be changed.
  - 5. The LRS shall collect and store the code, text, and the federal, State, and/or CONSORTIUM manual section reference number for each reason and/or any possible combination of reasons for a proposed action and shall print the reason and the manual section reference number on each appropriate NOA.
  - 6. The LRS shall combine multiple actions within a single NOA, including all appropriate reasons for each proposed action taken, and shall include a single consolidated calculations/computations showing the net result(s) of all changes made by program or combination of programs, as specified by CONSORTIUM.



7. The LRS shall include reference to the local legal aid office and administrative hearing/appeals office on the reverse side of all NOAs.
8. The LRS shall support case situations in which different eligibility factors are determined or changed which would cause conflicting NOAs and shall generate a single correspondence that reflects the net results of all individual or case changes/actions based on the final authorized actions of the day by program or combination of programs.
9. The LRS shall use standard text for all notices, NOAs, forms, letters, stuffers, and flyers.
10. The LRS shall allow CONSORTIUM-specified Users to add comments to the standard NOA text for individual NOAs only when permitted by federal and State regulations and CONSORTIUM policies.
11. The LRS shall include standard word processing features for correspondence creation (e.g., insertion, text wrap, cut and paste, deletion, bold, underline, italics, font size).
12. The LRS shall include a spell check routine for supported languages.
13. The LRS shall record the User ID of CONSORTIUM-specified Users who create or modify text and/or templates used for client correspondence.
14. The LRS shall highlight any freeform text when displaying reproductions of notices, NOAs, forms, letters, stuffers, and flyers.
15. The LRS shall pre-populate fields of notices, NOAs, forms, letters, stuffers, and flyers with designated applicant, participant, caregiver, sponsor, authorized representative, and/or any other entity's information.
16. The LRS shall include standard electronic templates for all notices, NOAs, forms, letters, stuffers, and flyers that can be easily maintained by non-technical CONSORTIUM-specified Users.
17. The LRS shall include version control for all templates that are created and modified.
18. The LRS shall use the appropriate NOA version based on the month/year eligibility has been determined or redetermined and the regulations in place at the time.

**2.18.2 Production of Correspondence.**

1. The LRS shall generate notices, NOAs, forms, letters, stuffers, and flyers that include:
  - a. The ability to use window envelopes;
  - b. CONSORTIUM-specific return addresses;
  - c. Alternate return and send address capability; and

- d. CONSORTIUM-specified barcodes.
2. The LRS shall provide for duplex printing of all correspondence and multiple page printing, as specified by CONSORTIUM.
3. The LRS shall include a method for sending correspondence to a variety of addresses, including:
  - a. Mailing address;
  - b. Residential address;
  - c. Authorized representative address;
  - d. Protective payee address;
  - e. Long Term Care facility address;
  - f. Contractor or Vendor address; and
  - g. Others as identified.
4. The LRS shall include the ability to locally print any requested notice, NOA, form, letter, stuffer, and flyer in English, all threshold languages, and in any other language for which the State has provided a translation.
5. The LRS shall include the ability to maintain and display all notices, NOAs, forms, letters, stuffers, and flyers that have been generated in the language in which the form was generated, as well as in English.
6. The LRS shall include the ability to reprint a notice, NOA, form, letter, stuffer, and flyer in the format and language in which it was originally generated and mailed to the applicant, participant, caregiver, sponsor, authorized representative, or any other entity, and shall include the date and time of the originally generated notice, NOA, form, letter, stuffer, or flyer, as well as that of the reprint.
7. The LRS shall clearly identify any reproduced notice, NOA, form, letter, stuffer, or flyer as a reprint and shall include the date and time the notice, NOA, form, letter, stuffer, or flyer was generated, as well as the reprint date and time.
8. The LRS shall allow CONSORTIUM-specified Users to record that an applicant, participant, caregiver, sponsor, authorized representative, or any other entity is visually impaired and needs correspondence printed in a larger font and shall include the ability to select a CONSORTIUM-specified font size to be used for printing the correspondence.
9. The LRS shall provide a correctly formatted standard English notice, NOA, form, letter, stuffer, or flyer to be mailed in the same envelope for special situations, including:
  - a. Visually impaired written communications; and
  - b. Threshold language written communications.

10. The LRS shall include a user-friendly method for suppression of a NOA at the point that a LRS Data change is entered and shall queue the appropriate screens for completion of a manual NOA by CONSORTIUM-specified Users.
11. The LRS shall replace any pending notice, NOA, or form triggered by a case action which is subsequently changed and authorized prior to the generation of the notice, NOA, or form.
12. The LRS shall support the central production and mailing of notices, NOAs, forms, letters, stuffers, and flyers by program.
13. The LRS shall include the ability to view or validate the results of an individual or mass mailing request prior to printing.
14. The LRS shall organize and include all correspondence to be mailed to one addressee on the same day in one standardized envelope or package.

**2.18.3 Issuance of Correspondence.**

1. The LRS shall automatically generate the following correspondence online or in the batch process, as a result of individual and/or case action initiated by the LRS or by CONSORTIUM-specified Users, except when exempt due to program requirements:
  - a. Adverse notices (includes: decrease, collection, denial, or termination of benefits);
  - b. Non-adverse notices (includes: approval, increase in benefits, no change, and rescission); and
  - c. Non-approval notices (includes: cancellation, withdrawal, informational, and benefit issuance).
2. The LRS shall produce notices, NOAs, and forms in partial approval and partial termination situations.
3. The LRS shall produce various notices, NOAs, forms, letters, stuffers, and flyers, including:
  - a. Appointment notices;
  - b. Redetermination, Recertification, and/or Annual Agreement notices and forms;
  - c. Other scheduling notices (e.g., quality control, GR hearings, and appeals);
  - d. Periodic reporting notices;
  - e. Contact letters;
  - f. Notices informing the applicant, participant, caregiver, sponsor or authorized representative of a change in worker, telephone hours or Local Office Site;

- g. Information notices and stuffers;
  - h. Case-specific verification/referral forms;
  - i. GR Vendor notices;
  - j. Child care provider notices;
  - k. Court-mandated notices, including Balderas notices;
  - l. SSIAP appointment notices;
  - m. Withdrawal forms;
  - n. COLA notices;
  - o. Time limit notices;
  - p. Transitioning of aid notices;
  - q. Interface triggered forms and notices (e.g., IFDS, IEVS);
  - r. Non-compliance and sanction notices;
  - s. Benefit issuance and benefit recovery forms and notices, including reminder notices;
  - t. Corrective NOAs on State Fair Hearing decisions;
  - u. CSC paper ID cards with LRS-generated access information; and
  - v. CSC PIN notices.
- 4. The LRS shall generate the appropriate application and Statement of Facts form(s) for mailing, for phone-in applications.
  - 5. The LRS shall generate the appropriate status changes, reasons, and denial NOAs, including a full description, when an applicant withdraws during the process of registering an application after signing the application form.
  - 6. The LRS shall produce notices, NOAs, forms, letters, stuffers, and flyers, either generated by the LRS or initiated by CONSORTIUM-specified Users, that may be sent to an applicant, participant, caregiver, sponsor, authorized representative, Vendor, landlord, and/or any other public or private individual or agency.
  - 7. The LRS shall identify case actions that require a notice, NOA, form, letter, stuffer, or flyer, and shall generate that appropriate notice, NOA, form, letter, stuffer, or flyer, using variable case-specific information.
  - 8. The LRS shall record the date, time, and means of delivery of correspondence to an applicant, participant, caregiver, sponsor, authorized representative, or any other external entity.
  - 9. The LRS shall control for the timely notice of adverse action.
  - 10. The LRS shall include the ability to locally print a waiver and record that a waiver has been signed, waiving an applicant's, participant's,

caregiver's, sponsor's, or authorized representative's right to a timely NOA by program.

11. The LRS shall generate notices and NOAs in accordance with CONSORTIUM-specified case and individual trigger conditions.
12. The LRS shall include the ability for CONSORTIUM-specified Users to override any notice, NOA, form, letter, stuffer, or flyer, when necessary.
13. The LRS shall include the ability to override the central notification process for Minor Consent cases.
14. The LRS shall maintain a permanent record of any override and the User ID of any CONSORTIUM-specified User who authorized the override.
15. The LRS shall keep a copy of all historical notices, NOAs, forms, letters, stuffers, and flyers generated, for CONSORTIUM-specified Users to view whenever necessary in both English and the threshold language, if utilized.
16. The LRS shall provide summary reports of notices, NOAs, forms, letters, stuffers, and flyers generated, which can be sorted by case, program, notice type, file number, and worker.
17. The LRS shall prevent the modification or deletion of correspondence that has already been mailed to the applicant, participant, caregiver, sponsor, or authorized representative.
18. The LRS shall generate the appropriate NOAs to support the GR Pre-Termination Hearing process.
19. The LRS shall generate special mailings and mass notifications to specific programs, populations, or individuals, as specified by CONSORTIUM.
20. The LRS shall support multiple means of communicating appointments, appointment reminders, and critical dates and/or information that may affect a participant's eligibility, including:
  - a. e-Mail;
  - b. Text messaging;
  - c. Fax;
  - d. Automated phone reminder; and
  - e. USPS mail.

## **2.19 ALERTS, REMINDERS, AND CONTROLS:**

LRS notifications to CONSORTIUM-specified Users are a critical component in fully utilizing the LRS. The LRS design shall include three major components:

- Alerts: These are the notifications to CONSORTIUM-specified Users that an action has taken place.
- Reminders: These are the notices to CONSORTIUM-specified Users that there is a pending action that requires input by CONSORTIUM-specified Users.
- Controls: This is the internal functionality within the LRS for scheduling, managing, and tracking a future action that will be taken by the LRS or CONSORTIUM-specified Users. The control can be an LRS-originated change based on eligibility business rules or it can be set by CONSORTIUM-specified Users.

The LRS alerts, reminders, and controls functionality shall be robust and shall provide effective and efficient notifications to Users. The LRS shall include sophisticated filtering of alerts, reminders, and controls that can be controlled by CONSORTIUM managers but utilized at CONSORTIUM-specified User levels.

Case actions that affect the eligibility of a case at some point in the future shall be tracked in the LRS. For cases where the LRS has the information to take an action, the LRS shall notify CONSORTIUM-specified Users prior to taking the action and take the necessary action if no override is indicated by the User. When the LRS cannot initiate an action automatically, the LRS shall notify CONSORTIUM-specified Users that additional review or action is required. In addition, required action may include notifications for CONSORTIUM-specified Users to initiate actions or possible changes that do not directly affect eligibility or change benefit levels. The LRS shall support initiating actions in accordance with all applicable federal, State, and local laws, rules, regulations, ordinances, guidelines, directives, policies, and procedures.

#### **2.19.1 General Processing.**

1. The LRS shall generate and track alerts, reminders, or controls for case actions, including:
  - a. Actions taken by the LRS;

- b. Missing LRS Data elements and/or verifications;
  - c. Time-limited eligibility factors;
  - d. Responses to requests for documentation and case-related actions;
  - e. Responses from other agencies;
  - f. Sanction period ineligibility;
  - g. Mandatory referrals; and
  - h. Information received as a result of an interface.
2. The LRS shall generate alert, reminder, and control descriptions that are easily understandable.
  3. The LRS shall include the ability to take automatic action on specified case maintenance activity, as specified by CONSORTIUM.
  4. The LRS shall generate alerts, reminders, and controls that may not directly affect eligibility, as specified by CONSORTIUM.
  5. The LRS shall allow CONSORTIUM-specified Users to access alerts, reminders, and controls by using the following criteria in order to initiate a search, including:
    - a. All alerts, reminders, and controls on a case or a file;
    - b. A specified due date or a range of due dates;
    - c. Type of alert, reminder, or control; and
    - d. Status of alert, reminder, or control.
  6. The LRS shall include a link from the alert, reminder, or control display screen to the appropriate LRS Data input screen to revise/update case LRS Data.
  7. The LRS shall assign priorities to the alerts, reminders, and controls so that the priority of the activity increases as the due date for completing the task(s) approaches.
  8. The LRS shall allow the worker's supervisor access to alerts, reminders, and controls for the cases belonging to the workers under his supervision and shall include the ability to sort the alerts, reminders, and controls by categories, including:
    - a. Pending;
    - b. Due within a supervisor-specified number of days; and
    - c. Overdue.
  9. The LRS shall provide the supervisor and other CONSORTIUM-specified Users with a management tool for measuring the processing of alerts, reminders, and controls.

10. The LRS shall allow CONSORTIUM-specified Users to set alerts, reminders, and controls that are not required by CONSORTIUM policies and procedures.
11. The LRS shall highlight any activity that the LRS determines is overdue on both CONSORTIUM-specified Users' and supervisors' alert, reminder, or control list.
12. The LRS shall allow CONSORTIUM-specified Users (e.g., supervisors) to review and measure CONSORTIUM-specified User workloads and summarize CONSORTIUM-specified User alerts, reminders, and controls by individual worker, unit, section, or office.
13. The LRS shall include the ability to automate tracking and inter- and intra-departmental communications for cases that are referred to other CONSORTIUM-specified Users in specialized administrative units, including:
  - a. Hearings;
  - b. Quality control;
  - c. GAIN;
  - d. Welfare fraud;
  - e. GROW; and
  - f. SSI advocacy.

**2.19.2 Alerts and Reminders.**

1. The LRS shall include alerts and reminders for pending and ongoing work.
2. The LRS shall calculate the due date for each application for assistance and generate alerts and reminders in order to assist CONSORTIUM-specified Users and supervisors in tracking the application process, as specified by CONSORTIUM.
3. The LRS shall track assistance unit and participant circumstances and generate a reminder when a required case maintenance activity is coming due.
4. The LRS shall generate e-notifications (e.g., e-mail, fax, telephone messaging) providing information to CONSORTIUM-specified Users as well as individuals/entities outside of the LRS based on CONSORTIUM-specified lists.
5. The LRS shall generate a reminder informing a CONSORTIUM-specified User that the LRS will be taking automatic action, in order to provide the CONSORTIUM-specified User with the opportunity to override the action, if necessary, as specified by CONSORTIUM.



6. The LRS shall generate an alert informing CONSORTIUM-specified Users when an automatic case action has been completed.
7. The LRS shall track action taken by CONSORTIUM-specified Users and/or the LRS and shall disposition alerts and reminders as the case actions are completed.
8. The LRS shall remove and store all alerts and reminders after a CONSORTIUM-specified time period.
9. The LRS shall, for reporting purposes, track and record the type, volume, and timeliness of completed alerts and reminders that have been dispositioned.
10. The LRS shall allow CONSORTIUM-specified Users to delete or manually disposition alerts and reminders.
11. The LRS shall automatically disposition alerts and reminders whenever possible, as specified by CONSORTIUM.
12. The LRS shall allow CONSORTIUM-specified Users to access the alert and reminder list and move between the alert and reminder list and the case record through a simple navigation process.
13. The LRS shall remind CONSORTIUM-specified Users of a pending alert when CONSORTIUM-specified Users accesses a case with a pending alert.
14. The LRS shall allow CONSORTIUM-specified Users to input that an alert or reminder has been reviewed and should be dispositioned by the LRS.
15. The LRS shall produce reminders for CONSORTIUM-specified Users when necessary action has not been taken on a case and shall warn CONSORTIUM-specified Users of escalation if the appropriate action is not taken immediately.
16. The LRS shall escalate reminders to supervisors when CONSORTIUM-specified Users fail to take necessary action on a case after a CONSORTIUM-specified time period.
17. The LRS shall identify which alerts, reminders, and controls require response and cannot be deleted by CONSORTIUM-specified Users without completing the response.
18. The LRS shall route alerts, reminders, and controls to an alternate staff person when CONSORTIUM-specified Users are not available because of vacation, leave, regular day off, or some other reason.
19. The LRS shall maintain records of expected interface files to be received for reporting and shall alert CONSORTIUM-specified Users when interface files are overdue or missing.

20. The LRS shall include extensive filtering of alerts, reminders, and controls that allows Users to focus on a specific alert, reminder, or control.
21. The LRS shall provide for the prioritization of all reminders in a unique and sequential manner, so that the exact priority of reminders and the order in which they must be worked is clearly understandable.
22. The LRS shall allow Users based on security profile to establish and save filtering criteria and rules for alerts, reminders, and controls for future User sessions and/or as a default.

**2.19.3 Controls.**

1. The LRS shall include the ability to control for future case action(s).
2. The LRS shall control for the return of missing, unverified, and/or interim verification.
3. The LRS shall control for the return of all forms issued to the applicant/participant that are required for eligibility determination.
4. The LRS shall set controls for required appointments and take appropriate action based on program-specific and regulatory rules if appointments are missed.
5. The LRS shall establish control due dates in accordance with the program-specific legal minimum time limits for applicants/participants/caregivers to respond.
6. The LRS shall provide a method for Users based on security profile to modify a control due date.
7. The LRS shall provide a method for blocking modifications to due dates of certain controls, as specified by CONSORTIUM.
8. The LRS shall allow for online viewing and/or printing of all, one, or selected controls using date and type parameters.

**2.19.4 Generate Reports.**

1. The LRS shall include the ability to produce standard reports regarding alerts, reminders, and controls.
2. The LRS shall include a method for CONSORTIUM-specified Users to request ad hoc reports regarding alerts, reminders, and controls, with information including the following:
  - a. Alerts, reminders, and controls pending from the previous month;
  - b. Alerts, reminders, and controls initiated during the current month either by the LRS or by CONSORTIUM-specified Users; and
  - c. Alerts, reminders, and controls resolved during the month either by the LRS or by CONSORTIUM-specified Users.

3. The LRS shall allow for the filtering of alerts, reminders, and controls in the design and printing of reports.
4. The LRS shall support Local Office Site as well as department management of the report processes down to the worker level and then progressing to unit, section, and office levels. Performance measures and counts are required at each level, as specified by CONSORTIUM.

## **2.20 INTERFACES:**

The interface processes allow the LRS to exchange information with other systems both internal and external to CONSORTIUM. The LRS shall receive information automatically through interfaces that shall update the LRS database(s). The LRS shall use the information, as appropriate, to establish and determine a case, assistance group, or individual's eligibility or ineligibility as well as whether or not the individual is currently receiving any income or benefits from other agencies or sources. Interfaces may also provide a verification mechanism for information including an SSN, date of birth, address, income, and resources. A list and summary description of interfaces is in Section 4 (Summary of Required LRS Interfaces) of this Exhibit B.

### **2.20.1 General.**

1. The LRS shall provide for the support of system interfaces and integration necessary for the coordination of services with other federal, State, and CONSORTIUM agencies and other external agencies, for the purposes of reducing paperwork, verification of LRS Data, and preventing the duplication of LRS Data entry.
2. The LRS shall trigger automated requests for LRS Data exchange of information with other systems, based on information captured during the application registration, application evaluation, intake, case maintenance, and referral processes.
3. The LRS shall include the ability to exchange LRS Data residing on external systems and communicate the results of any automated LRS Data matches.
4. The LRS shall match LRS Data from external interfaces to an applicant's or participant's case record and update the LRS database when appropriate.
5. The LRS shall identify, determine the significance of, and report discrepancies between LRS Data received via external interfaces and existing applicant, participant, and/or case records.

6. The LRS shall parse and display interface alerts by system-related and User-related errors and generate reports for analysis and corrective actions by CONTRACTOR and for review by CONSORTIUM.
7. The CONTRACTOR shall analyze all interface alerts, perform corrective actions for interface alerts resulting from system-related errors, and provide recommendations for interface alerts resulting from User-related errors.
8. The LRS shall alert and provide CONSORTIUM-specified details to the worker of discrepancies between LRS Data received via external interfaces and existing applicant, participant, and/or case records, so that the worker can take the necessary action(s) to resolve the discrepancies.
9. The LRS shall display summary and detailed interface LRS Data that has been received from external systems, as specified by CONSORTIUM.
10. The LRS shall update the appropriate case and/or individual LRS Data, recalculate eligibility, and redetermine benefit amounts when interface LRS Data affects eligibility, to the maximum extent possible.
11. The LRS shall take action on external LRS Data received without intervention by CONSORTIUM-specified Users, to the maximum extent possible.
12. The LRS shall alert CONSORTIUM-specified Users of all automated actions taken by the LRS as a result of LRS Data received through an interface.
13. The LRS shall alert CONSORTIUM-specified Users whenever the LRS cannot take automated action on LRS Data received through an interface and shall include a method for CONSORTIUM-specified Users to easily update the case and/or individual LRS Data.
14. The LRS shall include direct access and online inquiry to other systems, as required by CONSORTIUM.
15. The LRS shall track and keep a history of all interface activity and interface information.
16. The LRS shall include the ability to compile statistics and generate reports for all interface activities performed, including standard and ad hoc reports.
17. The LRS shall set up alerts and send messages to other program interfaces, as specified by CONSORTIUM.
18. The LRS shall include in the design methods where interfaces to the LRS are simple to make additions, deletions and modifications for the import and export of data.

19. The LRS shall have the ability to receive data from external sources (e.g., State's SACWIS system and CONSORTIUM-approved advocates) for the purposes of establishing and maintaining a case.

**2.20.2 Two-Way Interfaces.**

1. The LRS shall support two-way interfaces, as described in Section 4 (Summary of Required LRS Interfaces) of this Exhibit B.

**2.20.3 One-Way Interfaces.**

1. The LRS shall support one-way interfaces, as described in Section 4 (Summary of Required LRS Interfaces) of this Exhibit B.

**2.21 ERROR PRONE PROFILING AND HIGH RISK CASES:**

The purpose of error prone profiling is to identify, analyze, and track cases that are most likely to have mistakes in the issuing of benefits, based on CONSORTIUM-specified criteria. This profiling is used to assist CONSORTIUM-specified Users in preventing those benefit issuance errors. The LRS shall record the identification of cases found to be error prone or high risk.

**2.21.1 Error Prone Profiles.**

1. The LRS shall enable CONSORTIUM to establish and easily modify the parameters of an error prone profile.
2. The LRS shall flag error prone cases and display the flags for the error prone cases to CONSORTIUM-specified Users
3. The LRS shall include the ability to identify and track cases identified by the error prone profile.
4. The LRS shall update case error prone profile indicators at the point of case approval and as case changes occur.
5. The LRS shall include a method for CONSORTIUM-specified Users to query case error prone profiles.
6. The LRS shall produce standard and ad hoc reports reflecting error prone cases. These standard and ad hoc reports shall be available both on paper and in electronic format (using CONSORTIUM-specified version of the Microsoft Office suite format) for further sorting. Criteria for sorting and selecting shall include error prone profile type, worker, unit, section, office, division, bureau, or department.
7. The LRS shall remove the flags for error prone cases if LRS Data changes result in the case and/or a case individual no longer meeting the error prone profile criteria.

**2.21.2 High Risk Cases.**

1. The LRS shall allow CONSORTIUM to establish the criteria for high risk tests.
2. The LRS shall flag high risk cases and display high risk flags, apart from aid type and aid code fields, to CONSORTIUM-specified Users.
3. The LRS shall include the ability to change the criteria for high risk tests based on criteria input by CONSORTIUM-specified Users.
4. The LRS shall identify any case that meets any of the criteria for the high risk tests that have been established by CONSORTIUM.
5. The LRS shall perform high risk tests on individual case members based on established criteria set by CONSORTIUM.
6. The LRS shall display to CONSORTIUM-specified Users a list of identified high risk factors for a case.
7. The LRS shall include a method for recording and updating applicant/participant/case member explanations for discrepancies that have been flagged as high risk.
8. The LRS shall include the ability to produce standard and ad hoc reports relating to high risk cases. These standard and ad hoc reports shall be available both on paper and in electronic format (using CONSORTIUM-specified version of the Microsoft Office Suite format) for further sorting. Criteria for sorting and selecting criteria shall include error prone profile type, worker, unit, section, office, division, bureau, or department.
9. The LRS shall remove high risk flags if LRS Data changes result in case and/or a case individual no longer meeting the high risk criteria.
10. The LRS shall store the high risk indicators and flags separate from the case type indicator or types (e.g., if a case can be both high risk and be classified earned income as a type, both must be stored and stored separately).

**2.22 HEARINGS:**

The LRS shall support the activities associated with the hearings process by identifying instances where hearing notifications are required, recording the receipt of hearing requests, and implementing hearing determinations and decisions. Hearings are required, both at CONSORTIUM and State levels, when an applicant, participant, or caregiver takes issue with a CONSORTIUM action, or inaction, regarding the applicant's/participant's eligibility and benefit amount(s) for public assistance programs. Additionally, CONSORTIUM conducts hearings that do not

involve the State (CONSORTIUM Hearings), including GAIN formal grievances, GR noncompliance occurrence hearings, GR homeless hearings, GR Pre-Termination Hearings, and other CONSORTIUM hearings.

**2.22.1 CONSORTIUM Hearings.**

1. The LRS shall track and schedule all CONSORTIUM Hearings by type of hearing.
2. The LRS shall maintain a database of all CONSORTIUM Hearings by type of hearing which includes case name, case number, CIN, hearing date, status of the hearing, resolution, hearing summary and worker information.
3. The LRS shall include inquiry into the CONSORTIUM Hearing database by any CONSORTIUM specified index key.
4. The LRS shall include interactive sorting and filtering of the CONSORTIUM Hearing database, by index keys and status.
5. The LRS shall include display, printing or extraction to electronic format (CONSORTIUM –specified version of the Microsoft Office Suite format) for CONSORTIUM Hearing data for various reports. Criteria for sorting and selecting shall include hearing type or subject, status, hearing dates or periods, worker, unit, section, office, division, bureau, or department.
6. The LRS shall control for the disposition of all scheduled CONSORTIUM Hearings.
7. The LRS shall include recording of the disposition of all CONSORTIUM Hearings.
8. The LRS shall include the functionality to record as appropriate the disposition of the hearing in both the CONSORTIUM Hearing database and the case record and to electronically notify the CONSORTIUM-specified Users and such Users’ supervisors or other CONSORTIUM-specified Users of the actions required on the hearing case.
9. The LRS shall override as required and allow changes as required by a CONSORTIUM Hearing to be completed to comply with the CONSORTIUM Hearing results by CONSORTIUM-specified Users.
10. The LRS shall generate CONSORTIUM Hearing decision notices that can be locally or centrally printed and mailed or given to the participant.

11. The LRS shall control that corrective action(s) required by CONSORTIUM Hearing are completed within the participant's case within a CONSORTIUM specified time.
12. The LRS shall notify CONSORTIUM-specified Users when corrective action(s) based on CONSORTIUM Hearings are not complied with in a timely manner.

**2.22.2 State Fair Hearings.**

1. The LRS shall include the ability to record and track requests for State Fair Hearings.
2. The LRS shall include the ability for receiving electronic filings for State Fair Hearings from the State.
3. The LRS shall allow CONSORTIUM-specified Users to disposition the hearing and electronically send results to the case carrying worker for immediate case action.
4. The LRS shall include a summary of State Fair Hearing cases for each CONSORTIUM-specified User.
5. The LRS shall include links to detailed case information needed to resolve an appeal.
6. The LRS shall include the ability to record and track the various due dates required for the resolution of an appeal.
7. The LRS shall allow the CONSORTIUM-specified User to search for previous appeals using criteria, including individual's name, SSN, CA ID number, CA driver's license number, or case number.
8. The LRS shall allow CONSORTIUM-specified Users to easily update State Fair Hearing information.
9. The LRS shall include the ability to issue benefits to applicants/participants pending an appeal decision, even if the case has been discontinued.
10. The LRS shall calculate overpayments and overissuances upon an appeal decision when, applicable, in order to collect benefits that were paid to participants while an appeals decision was pending.
11. The LRS shall include a method for changing/reversing a prior case action (including reinstatement of any discontinued/denied cases), upon an appeal decision and generate appropriate NOAs.

**2.22.3 Generate Reports.**

1. The LRS shall include the ability to produce standard and ad hoc reports regarding GR Pre-Termination Hearings and State Fair Hearings.



2. The LRS shall provide for standard and ad hoc reports that will be available both on paper and in electronic format (using CONSORTIUM-specified version of the Microsoft Office suite format) for further sorting. Criteria for sorting and selecting shall include hearing type, appeals worker, appeals unit, or appeals section, case worker, unit, section, office, or division.
3. The LRS shall provide reports which must support Local Office Site management of the processes down to the worker level and then progressing to unit, section, and office levels. Performance measures are required at each level, as determined by CONSORTIUM.

## **2.23 QUALITY ASSURANCE AND QUALITY CONTROL:**

The Quality Assurance (QA) and Quality Control (QC) processes provide CONSORTIUM with continuing, factual, objective information on the quality of eligibility determination performance in those public assistance programs for which CONSORTIUM has responsibility. QA and QC processing includes developing a statistically valid sample of cases to be included in the QA and QC review and independent determination of all case circumstances affecting processing, eligibility, and benefit levels. Errors and deficiencies are identified and analyzed to prevent similar errors and deficiencies from occurring in the future. The sample selection may be based on random selection, specific sample size, targeted elements, or other criteria. The LRS shall support automated QA and QC processes. The LRS shall also support the QC non-cooperation process.

### **2.23.1 Select Sample.**

1. The LRS shall include the ability to select sample cases by office, division, and Consortiumwide, as required.
2. The LRS shall include a method for defining the universe of cases from which a sample must be selected.
3. The LRS shall include the ability to provide information regarding the universe of cases to the appropriate agency in the format required by that agency.

### **2.23.2 Identify Cases to Review.**

1. The LRS shall include the ability to vary case selection requirements by program, including:
  - a. Random selection of cases;
  - b. Sample size;

- c. Sample schedule;
  - d. Selection from an office sample, division sample, or a Consortiumwide sample;
  - e. Over-sample size;
  - f. Desk and field samples;
  - g. Case status;
  - h. Special reviews; and
  - i. Definition of a sample universe.
- 2. The LRS shall allow CONSORTIUM to indicate the review month, a systematic starting point and interval, or a random sample size.
  - 3. The LRS shall use the sample selection criteria to review and select cases which fall into the universe.
  - 4. The LRS shall identify selected cases by key LRS Data, including:
    - a. Case number;
    - b. QA or QC identification number;
    - c. Benefit type(s);
    - d. Program type(s);
    - e. Case name;
    - f. Payee name;
    - g. SSN;
    - h. Local Office Site location;
    - i. User ID; and
    - j. Unit identification.

**2.23.3 Assign Cases for Review.**

- 1. The LRS shall assign the cases from the sampling file to the appropriate reviewers, using CONSORTIUM-specified criteria.
- 2. The LRS shall allow CONSORTIUM-specified Users to override the LRS-suggested case review assignment.
- 3. The LRS shall include a method for the reassignment of a case review to an alternate reviewer, when necessary.

**2.23.4 Conduct Review.**

- 1. The LRS shall include special navigation tools to facilitate case reviews.

2. The LRS shall allow the reviewer to record case record analysis, verification checklists, field investigation activities, review of completed documents, and narrative text.
3. The LRS shall, at CONSORTIUM option, initiate certain verification interfaces once a case is selected for review.
4. The LRS shall maintain the appropriate source for each type of LRS Data to be verified.
5. The LRS shall include the ability to schedule a case review appointment and send the appropriate notices and forms to the participant who is required to cooperate in the case review.
6. The LRS shall alert reviewers if a change is made on the case that may affect the case review.
7. The LRS shall automatically record case review activity.

**2.23.5 Determine the Findings and Notify User of Results.**

1. The LRS shall allow the reviewer to record the case review findings, including any error(s) detected and corrective action(s) required.
2. The LRS shall include the ability to store all audit findings in a separate location from the case record.
3. The LRS shall include a rules-based computation worksheet for reviewers to use in order to compute benefits.
4. The LRS shall identify actions that require supervisor approval and alert the supervisor that his approval is needed.
5. The LRS shall allow the supervisor to review the action and indicate approval/rejection, reason for rejection, and comments.
6. The LRS shall notify the reviewer if action was rejected by the supervisor and the reason for the rejection.
7. The LRS shall calculate summary review results and send the summary review results to CONSORTIUM-specified Users.

**2.23.6 Tracking and Management of Review Cases.**

1. The LRS shall track errors found during a case review and control for corrective action.
2. The LRS shall track cases from the point they are selected for review through the final disposition.
3. The LRS shall include the ability to display, maintain, and report on key indicators, including:
  - a. The status of the case review;
  - b. The physical location of the case files being reviewed;

- c. Error findings;
- d. Follow-up required;
- e. Corrective action; and
- f. Final disposition of case review.

**2.23.7 Cooperation with QC Review.**

1. The LRS shall notify CONSORTIUM-specified Users if there has been QC non-cooperation on the part of a participant and shall automatically take appropriate action to discontinue the participant's case and generate appropriate NOAs.
2. The LRS shall allow CONSORTIUM-specified Users to resume the case within a CONSORTIUM-specified period of time if the participant subsequently decides to cooperate with the QC review.

**2.23.8 Generate Reports.**

1. The LRS shall include the ability to generate standard and ad hoc reports regarding QA and QC reviews.
2. The LRS shall provide the standard and ad hoc reports to be available both on paper and in electronic format (using CONSORTIUM-specified version of the Microsoft Office suite format) for further sorting.
3. The LRS shall provide reports which must support Local Office Site management of the processes down to the worker level and then progressing to unit, section, and office levels. Performance measures are required at each level, as determined by CONSORTIUM.

**2.24 REPORTING:**

Reporting processes produce and distribute information in structured presentations that are necessary to comply with applicable federal, State, and local laws, rules, regulations, ordinances, guidelines, directives, policies, and procedures, and with CONSORTIUM needs. These reports provide information to be used by CONSORTIUM and State personnel for monitoring workflow, caseload and program counts, LRS and fiscal performance, and other activities. The LRS shall include the ability to store, maintain, manage, and access the LRS Data necessary to produce required standard reports and specified ad hoc reports. The LRS shall automate all reports currently produced by CONSORTIUM. In addition, the LRS shall produce extract files of data subsets that are used by other systems to produce reports for CONSORTIUM. The LRS shall support the data extraction, production,

and distribution of all reports and report data in accordance with the needs of CONSORTIUM.

The LRS shall fully support CONSORTIUM data warehouse project(s) and methods and provide seamless movement of reports and report data from the LRS to the data warehouse(s), as specified by CONSORTIUM.

**2.24.1 Maintain Reports.**

1. The LRS shall maintain the LRS Data necessary to produce all CONSORTIUM-required reports, including all CONSORTIUM-specified standard reports and LRS Data elements specified for ad hoc reports.
2. The LRS shall support the accumulation of LRS Data over time for daily, weekly, monthly, quarterly, annual, fiscal, and time period reports.
3. The LRS shall maintain online descriptions and definitions of each report that are easily accessible by CONSORTIUM-specified Users.
4. The LRS shall include a method for CONSORTIUM-specified Users to easily add and stop production of reports, as required by federal, State, and local laws, rules, regulations, ordinances, guidelines, directives, policies, and procedures.
5. The LRS shall allow CONSORTIUM-specified Users the online ability to easily change report addresses and/or update report formats and LRS Data elements.
6. The LRS shall retain all produced reports for a CONSORTIUM-specified period of time online and after the specified period of time period elapses, the reports shall be archived.
7. The LRS shall maintain all previous report formats and descriptions for current and future report comparisons.
8. The LRS shall include flexibility in report formats so that as programs or sub-programs are added, changed, or deleted, the dynamic format of the report does not require modification.
9. The LRS shall produce reports that include duplicated and/or unduplicated counts, as specified by CONSORTIUM, and include a clear identification of the report run date, “as of” date, period of LRS Data date, and print date.
10. The LRS shall include flexible report sorting capability.
11. The LRS shall support all reports required by federal, State, and local laws, rules, regulations, ordinances, guidelines, directives, policies, and

procedures, including statistical, operational, workload, and fiscal reports.

12. The LRS shall support the backup of reports on industry standard media that can be used to reprint each report or a portion of a report.

**2.24.2 Produce Reports.**

1. The LRS shall produce reports daily, weekly, monthly, quarterly, semi-annually, annually, and as needed, as specified by CONSORTIUM.
2. The LRS shall produce reports that provide the detail LRS Data that will be used to complete the reports required by federal, State, and local laws, rules, regulations, ordinances, guidelines, directives, policies, and procedures.
3. The LRS shall maintain all report types and distribution lists which can easily be updated or modified by CONSORTIUM-specified Users.
4. The LRS shall produce several types of reports which support all levels of staff in managing their particular workloads, including management reports, State level reports, and ad hoc reports.
5. The LRS shall include the ability to generate a cover sheet for each report that provides report definitions and descriptions.
6. The LRS shall provide a case status report, utilizing a standardized format, including all relevant case status information for a case, as specified by CONSORTIUM, preferably on one page.
7. The LRS shall include the ability to generate automatic case status reports for the participant.
8. The LRS shall include the ability to generate parameter-driven reports, including:
  - a. Fraud reports;
  - b. Hearing reports;
  - c. Financial reports;
  - d. Federal and State claiming reports;
  - e. Caseload Activity Report (CAR);
  - f. Personnel management reports;
  - g. Security reports;
  - h. Benefit authorization reports;
  - i. Issuance reports;
  - j. Collection reports;
  - k. QC reports;

- l. Mass update reports;
  - m. Interface reports;
  - n. Error reports;
  - o. Caseload management reports;
  - p. Performance-based criteria reports;
  - q. Case LRS Data reports; and
  - r. Control and processing reports.
9. The LRS shall print reports in final letter quality on blank paper or preprinted forms (e.g., notices, forms, form letters).
  10. The LRS shall, at the option of CONSORTIUM-specified Users, provide reports in electronic format (using CONSORTIUM-specified version of the Microsoft Office Suite format) for further sorting and printing.
  11. The LRS shall store standard reports, as specified by CONSORTIUM, so that they may be re-produced and re-sent, as requested.
  12. The LRS shall include the ability to produce standard and ad hoc reports for any time period back to the commencement date of Consortiumwide implementation of the LRS.

**2.24.3 Upload/Download Reports.**

1. The LRS shall allow CONSORTIUM-specified Users to electronically transfer report files in the format required by the State and other agencies.
2. The LRS shall provide report data in a format that allows CONSORTIUM-specified Users to easily sort report data on all possible criteria.
3. The LRS shall include the ability to read electronic reports received from the State and other agencies.
4. The LRS shall allow LRS Data uploads/downloads to occur in a time frame specified by CONSORTIUM.
5. The LRS shall allow CONSORTIUM-specified Users to make online requests for reports and for the production of downloaded LRS Data files.
6. The LRS shall maintain report security for all Users, including which reports can be viewed or printed by each User or User group.

**2.24.4 Ad Hoc Reports.**

1. The LRS shall include an ad hoc capability that will allow CONSORTIUM-specified Users to generate both preformatted and free form reports with relative ease.
2. The LRS shall include ad hoc capabilities that are user-friendly but include the functionality necessary to produce the types of reports needed by CONSORTIUM.
3. The LRS shall include ad hoc capabilities that allow the production of ad hoc labels and store them for future use and modifications if necessary.
4. The LRS shall include ad hoc capabilities that allow CONSORTIUM-specified Users to create multiple ad hoc reports simultaneously, as specified by CONSORTIUM.
5. The LRS shall include the ability to request and format selected LRS Data using parameter-driven ad hoc reporting capabilities.
6. The LRS shall include the ability to archive ad hoc documents and reports.

**2.24.5 Distribute Reports.**

1. The LRS shall allow for the preparation of online and/or hard copy listings for all reports.
2. The LRS shall include the ability to print reports locally.
3. The LRS shall include the ability to generate reports at multiple sites.
4. The LRS shall provide online report features that allows CONSORTIUM-specified Users to sort and select the needed information, including efficient navigation, the ability to specify start and end dates, and the ability to request any breakout of LRS Data on a report.
5. The LRS shall provide for the timely delivery of reports to officials and managers, with minimal manual intervention whenever possible.
6. The LRS shall support automatic report routing.
7. The LRS shall support an organizational and staffing structure that allows for the re-routing of reports.
8. The LRS shall maintain scheduled distribution lists.
9. The LRS shall distribute reports to CONSORTIUM-specified Users, as scheduled.



**2.25 MANAGE PERSONNEL:**

The manage personnel processes of the LRS shall provide control over access to LRS Data by CONSORTIUM-specified Users while maintaining the required levels of security, client confidentiality, and LRS Data integrity. The process creates and manages the organizational structure of the various Local Office Sites, as well as the relationships between the organizational entities (office, section, unit, file, and User) within each Local Office Site.

**2.25.1 Personnel Management.**

1. The LRS shall include a method for creating and maintaining the following profiles:
  - a. Location profiles (office);
  - b. Section profiles;
  - c. Unit profiles;
  - d. File profiles;
  - e. User profiles; and
  - f. Functional job titles.
2. The LRS shall include a method for assigning CONSORTIUM-specified Users to an office, section, unit, and file.
3. The LRS shall maintain information on all CONSORTIUM staff and any appropriate staff from other agencies that access LRS cases and/or LRS Data.
4. The LRS shall manage the association between CONSORTIUM-specified Users and cases, files, units, sections, or offices, as well as with other CONSORTIUM-specified Users, as specified by CONSORTIUM, including assignment of multiple files/workers to a case simultaneously.
5. The LRS shall allow CONSORTIUM-specified Users to update the location, section, unit, file, and CONSORTIUM-specified User profiles.
6. The LRS shall include a method for inactivating or temporarily suspending a CONSORTIUM-specified User's status.
7. The LRS shall restrict CONSORTIUM-specified Users to certain cases, as specified by CONSORTIUM.
8. The LRS shall include a method for specifying a CONSORTIUM-specified User's ability to access, view, or modify LRS Data, based on the User's functional job title.

9. The LRS shall allow search capabilities by the following criteria:
  - a. Employee name;
  - b. Employee number;
  - c. Functional job title;
  - d. Office;
  - e. Section;
  - f. Unit; and
  - g. File.
10. The LRS shall include the ability to retain and locate the record of an employee who has left a CONSORTIUM department in case the employee should return.
11. The LRS shall include the ability to assign a “generic” worker to cases in the event that a file becomes uncovered.
12. The LRS shall prohibit the ending of a file, unit, section, or office, if cases are still assigned to that file, unit, section, or office. The LRS shall be able to print lists by file, unit, section, or office in paper or electronic format of all cases still assigned that prohibit the ending of the file, unit, section, or office.
13. The LRS shall calculate and record worker productivity and profile information.
14. The LRS shall collect and provide LRS Data for the purposes of staff assignments and staff utilization.
15. The LRS shall maintain the organizational structure of the CONSORTIUM department, including all locations, offices, sections, units, and files.
16. The LRS shall maintain the reporting relationships between individuals and organizational units.
17. The LRS shall maintain the appropriate workflow hierarchy in the approval of work transactions based on public assistance program requirements.
18. The LRS shall provide a method for CONSORTIUM-specified Users based on security profile to select multiple User accounts and perform batch personnel management actions (e.g., inactivation, suspension, archiving, or voiding of Users’ accounts).

## **2.26 HISTORY MAINTENANCE:**

The LRS shall provide for maintenance of historical LRS Data on both active and closed cases in accordance with applicable federal, State, and local laws, rules,

regulations, ordinances, guidelines, directives, policies, and procedures. History maintenance shall enable CONSORTIUM to take full advantage of efficient LRS Data storage techniques, including the storage of LRS Data to archive media, based on CONSORTIUM-specified criteria. It shall also include a mechanism to ensure that LRS Data can be stored, tracked, or recovered for certain purposes, including:

- Audits
- Fraud or child support investigations
- Mass updates
- Inquiries
- Tracking of impending court decisions
- Regulatory changes
- Hearings

**2.26.1 Perform History Maintenance.**

1. The LRS shall include the ability, as specified by CONSORTIUM, to archive all LRS Data within the database, including:
  - a. Case data;
  - b. Issuance data;
  - c. Online policy manuals;
  - d. Interface data;
  - e. Client index data; and
  - f. Security transaction data.
2. The LRS shall include LRS Data archiving criteria that is time-driven and can be easily maintained and updated by CONSORTIUM-specified Users.
3. The LRS shall, once a case meets CONSORTIUM-specified criteria for archiving, and have the ability to remove the case from the active database for efficiency purposes but still store the case in an archive database that is accessible online.
4. The LRS shall maintain a history of eligibility regulations, benefit computation rules, and related tables, so that retroactive determinations of eligibility and benefit levels can be made by the LRS for a period of time specified by CONSORTIUM.
5. The LRS shall maintain two types of cases relative to archive criteria:

- a. Non-exception cases – cases that meet all criteria that relate to LRS Data that shall be archived after a CONSORTIUM-specified period of time; and
  - b. Exception cases – cases that have been involved in a specified action and shall not be archived because of that involvement.
6. The LRS shall not archive CONSORTIUM-specified exception cases, including:
    - a. Audit or survey activities;
    - b. Involved in fraud investigations;
    - c. Court actions;
    - d. Child support activities; and
    - e. Collection activities.
  7. The LRS shall identify, retrieve, and move to production archived LRS Data that meet CONSORTIUM-specified exception case criteria.
  8. The LRS shall identify those cases which have criteria that make them exceptions to archive.
  9. The LRS shall allow CONSORTIUM-specified Users to override archive criteria.
  10. The LRS shall include the ability to retain the information necessary to determine lifetime assistance for an individual.

**2.26.2 Archive LRS Data.**

1. The LRS shall include the ability to access cases from archive storage within twenty-four (24) hours from the time of request.
2. The LRS shall retrieve archive and historical LRS Data in a format that can be used with the current LRS Data in the production environment.
3. The LRS shall store all benefit, case notes, documentation of actions, budget, and issuance history, online for a period of time specified by CONSORTIUM, after which such LRS Data should be transferred to an alternative storage solution which can be accessed for retrieval if it becomes necessary.
4. The LRS shall include an alternative storage solution that is designed for indefinite storage.
5. The LRS shall include retention periods that can be easily maintained and modified by CONSORTIUM-specified Users.
6. The LRS shall include the ability to reconstruct a case and issue the appropriate benefits based on the rules and regulations in effect at any specified point-in-time.

7. The LRS shall not archive any case and/or individual LRS Data that is currently active or whose status meets any of the exceptions.
8. The LRS shall clearly identify archived cases and/or individual LRS Data to CONSORTIUM-specified Users.
9. The LRS shall provide CONSORTIUM-specified Users with a method to request the retrieval of archived LRS Data.

**2.27 E-GOVERNMENT:**

Consistent with CONSORTIUM's mission and philosophy, as well as CONSORTIUM information technology initiatives and business automation plans, the LRS shall maximize its utilization and improve service delivery by using Web technologies to extend services to the general public, authorized Vendors, and select external stakeholders. For example, the LRS shall include Web-based tools for a member of the general public to complete self-screening questionnaires, apply for benefits, inquire about the status of benefits, self-report changes, and complete annual Redeterminations, Recertifications, and Annual Agreements, all in a setting that is convenient and private for the individual. The LRS shall also include appropriate resource information and materials to members of the general public, including the ability to view and/or print materials and forms germane to individual needs. All features in support of e-Government shall be available via secure browser access with LRS Data views defined by the role(s) assigned to the User that establish appropriate controls on LRS Data access.

**2.27.1 Online Features.**

1. The LRS shall provide information in English and all threshold languages, to members of the general public who access the LRS via the Internet.
2. The LRS shall allow individuals and families, via a secure and confidential Internet connection, and with complete anonymity if so desired, to quickly and easily identify federal, State, CONSORTIUM, and other locally administered programs and services for which they may be eligible through the use of eligibility self-screening programs.
3. The LRS shall generate a list of required verification at the end of the self-screening process that the potential applicant can use as a guideline.
4. The LRS shall allow individuals and families to apply for benefits via a secure and confidential Internet connection.

5. The LRS shall allow for automatic transfer of information entered during self-screening to the application screens, eliminating the necessity for the applicant to re-enter information.
6. The LRS shall seamlessly integrate with other e-Government portals (e.g., LACountyHelps.org, C4Yourself.com, One-e-App), including the ability for individuals and families to inquire, self-screen, and apply for public assistance programs, by exchanging and processing data in real-time via a secure and confidential Internet connection without requiring duplicate data entry.
7. The LRS shall include a method for moving LRS Data that applicants, participants, or other authorized persons enter into the LRS e-Government module to the appropriate screens within the LRS Application Software, so that CONSORTIUM-specified Users do not need to reenter such LRS Data.
8. The LRS shall make available online, for manual download or online completion via a secure and confidential Internet connection, all applications, forms, and other materials required or requested by an individual or family that are necessary to apply for, or maintain eligibility to, CONSORTIUM's public assistance programs.
9. The LRS shall allow applicants, participants, and caregivers to search for and get directions to the nearest Local Office Site that provides their needed services, by entering his home address into the LRS via a secure and confidential Internet connection.
10. The LRS shall allow applicants, participants, caregivers and Service Providers to submit changes via a secure and confidential Internet connection.
11. The LRS shall include a method for Service Providers to post issued payments and cancellations via a secure and confidential Internet connection.
12. The LRS shall allow applicants, participants, and caregivers to submit changes via CONSORTIUM-specified and provided Interactive Voice Response (IVR).
13. The LRS shall allow applicants, participants, and caregivers to submit changes via Telecommunications Device for the Deaf (TDD).
14. The LRS shall generate e-notifications (e.g., e-mail, fax, telephone messaging, text messaging) providing information to CONSORTIUM-specified Users as well as individuals/entities outside of the LRS based on CONSORTIUM-specified lists.
15. The LRS shall, to the extent permitted by applicable federal, State, and local laws, rules, regulations, ordinances, guidelines, directives, policies, and procedures, accept electronic signatures and signature

dates for information submitted by applicants and participants over the Internet.

16. The LRS shall allow individuals to make appointments via a secure and confidential Internet connection.
17. The LRS shall allow applicants and participants to view their application status, case status, reported change status, benefit amount, and worker information online via a secure and confidential Internet connection.
18. The LRS shall include online edits and LRS Data entry validation for online applications and forms submitted by individuals, caregivers or families.
19. The LRS shall include real time responses to any LRS Data entry errors with easily understood error messages.
20. The LRS shall validate all LRS Data entered online with any previously existing persons or case LRS Data, and alert CONSORTIUM-specified Users if there is a suspected duplication.
21. The LRS shall allow individuals and families to make parameter-driven searches for information on community resources, education, training, public assistance program information, brochures, and Internet links.
22. The LRS shall allow CONSORTIUM-specified Users to quickly update community resources, education, training, public assistance program information, work participation program information, brochures, Service Provider schedules, and Internet links.
23. The LRS shall allow individuals and families the ability to complete yearly Redetermination, Recertification, and Annual Agreement forms, via a secure and confidential Internet connection.
24. The LRS shall integrate with Web resources for individuals and families and include hyperlinks for such Web resources, as specified by CONSORTIUM, including:
  - a. United States Department of Labor (example, for the Demand Occupation List);
  - b. State Employment Development Department (EDD) (example, for looking up CalJOBS);
  - c. State (example, California Bureau of Automotive Repair for business licensing for Vendor services);
  - d. Web-based mapping services (e.g., Yahoo! Maps, Google Maps, and Mapquest); and
  - e. CONSORTIUM sites.
25. The LRS shall, upon completion of an application for benefits, route the information to the appropriate Local Office Site for processing.

26. The LRS shall allow individuals to report suspected applicant/participant or employee fraud, and route the suspected fraud report to the appropriate CONSORTIUM entity for review.

27. The LRS shall allow child care providers to enter time sheet information, as specified by CONSORTIUM.

**2.28 WORK PARTICIPATION PROGRAM AND CAL-LEARN CONTROL:**

The LRS shall automate the case management and control of work participation programs, including GAIN and GROW. The LRS shall also automate the case management and control of Cal-Learn. Automation of case management for GAIN, GROW, and Cal-Learn shall be in accordance with all applicable federal, State, and local laws, rules, regulations, ordinances, guidelines, directives, policies, and procedures. The LRS shall provide fully integrated work participation program and Cal-Learn control functionality, which shall support program-specific business processes, including:

- Work participation program and Cal-Learn assignment — the process of assigning a participant to the appropriate office location (e.g., GAIN Regional Office, GROW site, and/or Service Provider's office), using LRS Data, which includes assigning the participant based on primary language, location, and service needs to a worker (e.g., GAIN Services Worker (GSW) or GROW Case Manager (GCM)), scheduling an appointment time and date, and generating and mailing an appointment letter;
- Appraisal and/or job skills assessment — the process of interviewing a participant to gather facts in order to assess the participant's needs, develop a work participant plan, and make referrals for Supportive Services and Specialized Supportive Services, as appropriate;
- Orientation – the process of providing a participant with an overview of the work participation program or Cal-Learn, the participant's rights and responsibilities, motivational training, and referrals;
- Work participation program case management — the process of managing work participation program activities to assist participants in finding employment and achieving economic self sufficiency prior to program-specific time limits (e.g., CalWORKs time limits and GR time limits); and
- Cal-Learn case management.



The LRS shall include independent Web services for work participation program and Cal-Learn control, which shall be available to CONSORTIUM-specified entities (e.g., other California SAWS systems) via LAnet/EN and the Internet.

**2.28.1 Work Participation Program and Cal-Learn Assignment and Scheduling**

1. The LRS shall support separate and flexible work flows for each work participation program and Cal-Learn, as specified by CONSORTIUM.
2. The LRS shall schedule participants into Appraisal or Orientation, as specified by CONSORTIUM.
3. The LRS shall determine the appropriate priority for appointment scheduling and schedule appointments based on a CONSORTIUM-specified hierarchy.
4. The LRS shall allow CONSORTIUM-specified Users to change the appointment hierarchy.
5. The LRS shall allow CONSORTIUM-specified Users to override the scheduling of participants into Appraisal or Orientation, as specified by CONSORTIUM.
6. The LRS shall include an override of the automatic scheduling to allow exempt or sanctioned participants to voluntarily participate in work participation program component(s) and Cal-Learn program component(s), including Appraisal or Orientation, as specified by CONSORTIUM.
7. The LRS shall allow CONSORTIUM-specified Users to schedule participants into Appraisal or Orientation regardless of CalWORKs eligibility.
8. The LRS shall schedule a participant to meet with the appropriate worker (e.g., GSW, GCM) regarding the subsequent work participation program component(s), upon completion of the current work participation program component(s), as indicated in the participant's work participation program plan (e.g., GAIN Vocational and Career Assessment Plan, GROW Vocational Assessment Employment Plan).
9. The LRS shall schedule an appointment with the appropriate worker if the LRS determines that any of the following criteria falls below minimum participation levels, unless otherwise exempt as specified by CONSORTIUM, including:
  - a. Employment hours;
  - b. Wage;
  - c. Work participation program component(s) participation hours; and
  - d. Work participation program component(s) or Cal-Learn program component(s) progress and status.

10. The LRS shall allow CONSORTIUM-specified Users to provide services to participants regardless of work participation program or Cal-Learn eligibility and/or public assistance case status (e.g., pending, terminated, or inter-county transfer).
11. The LRS shall allow concurrent assignment to more than one work participation program component(s).
12. The LRS shall maintain a real-time online list of potential participants (e.g., unassigned pool or participant pool) that can be viewed, sorted, and/or printed by CONSORTIUM-specified Users, including:
  - a. Participant demographic data;
  - b. Plan counter for program-specific work participation program plan (e.g., GAIN 90-day WtW Plan or GROW Vocation Assessment Employment Plan);
  - c. Time clock information for program-specific time limits;
  - d. Prior work participation program activities;
  - e. Prior work participation program activity dates; and
  - f. Participant assignment priority.
13. The LRS shall consider the service needs of the participant, as specified by CONSORTIUM, when making an assignment or scheduling an appointment, including:
  - a. Resident location and status;
  - b. Service needs;
  - c. Employment location; and
  - d. Spoken and written languages of participant.
14. The LRS shall assign a Cal-Learn participant to the GAIN program in specific situations, including:
  - a. Graduation from high school or GED;
  - b. Cal-Learn participant turns nineteen (19) and does not volunteer to continue; and
  - c. Volunteer Cal-Learn participant turns twenty (20).

**2.28.2 Work Participation Program and Cal-Learn Case Management.**

1. The LRS shall track participants on an individual level with cross references to all associated cases.
2. The LRS shall maintain a plan counter that measures the number of days lapsed from the effective date of aid until a work participation program plan is signed by the participant.

3. The LRS shall allow for the plan counter to be reset as specified by CONSORTIUM.
4. The LRS shall allow for the stopping of and/or modification to work participation program time clocks and time limit counters for participants.
5. The LRS shall include table-driven values for work participation program and Cal-Learn case management, as specified by CONSORTIUM, that are maintainable by CONSORTIUM-specified Users without technical skills, including:
  - a. Work participation program component(s);
  - b. Cal-Learn program component(s);
  - c. Activity statuses;
  - d. Activity reasons;
  - e. Exemptions;
  - f. Non-compliance reasons;
  - g. Good cause reasons;
  - h. Employment situations;
  - i. Employment history;
  - j. Education information, including educational level, status, and grade point average; and
  - k. Deferrals.
6. The LRS shall include a Service Provider(s) inventory that is maintainable by CONSORTIUM-specified Users without technical skills, including:
  - a. Name;
  - b. Address;
  - c. Contact information, including contact name(s), phone number(s), email address(es), and fax number(s);
  - d. Service category(s) of provider;
  - e. Services;
  - f. Languages supported;
  - g. Geographical location;
  - h. Schedule of services for LRS automated appointment scheduling; and
  - i. Web address.

7. The LRS shall include customized screens for viewing, entering, and updating information needed for supporting work participation program and Cal-Learn activities, including:
  - a. Participant and child demographics, including household composition information;
  - b. Participant's spoken and written languages;
  - c. Compliance information;
  - d. Education information;
  - e. Employment information;
  - f. Payee and benefit information;
  - g. Program-specific work participation program information, history, and activity dates;
  - h. Housing information;
  - i. Program-specific time clocks;
  - j. Supportive Services and Specialized Supportive Services history;
  - k. Work participation program and Cal-Learn benefits including: expense, bonus requests, sanction status and issuances;
  - l. Work participation program plan contract agreement terms and dates; and
  - m. Service Provider(s) invoice information.
8. The LRS shall support GAIN work participation program component(s), including:
  - a. Appraisal;
  - b. Earned income;
  - c. Self-initiated program;
  - d. Orientation job club;
  - e. Job search;
  - f. Vocational and career assessment;
  - g. Vocational training;
  - h. Basic education;
  - i. Work experience;
  - j. Post-employment services;
  - k. Community service;
  - l. Paid work experience;

- m. Post time limit;
  - n. Domestic violence services;
  - o. Family preservation program;
  - p. Family reunification program;
  - q. Clinical assessment;
  - r. Mental health services;
  - s. Substance abuse services;
  - t. Learning disability;
  - u. Expungement; and
  - v. Refugee employment program.
9. The LRS shall support GROW work participation program component(s), including:
- a. Orientation;
  - b. Working component(s);
  - c. Self-initiated program;
  - d. Short term training;
  - e. Rapid employment and promotion;
  - f. Early job search;
  - g. Job skills preparation class;
  - h. Fastrak;
  - i. Office occupations;
  - j. Non-custodial parent;
  - k. Youth;
  - l. One-stop;
  - m. Vocational assessment;
  - n. Education/training;
  - o. Intensive case management;
  - p. Post employment services;
  - q. Domestic violence services;
  - r. Clinical assessment;
  - s. Mental health services;
  - t. Substance abuse services;
  - u. Expungement;

- v. Public defender; and
  - w. Homeless court clearance.
10. The LRS shall allow CONSORTIUM-specified Users to modify and/or add program-specific work participation program components and hierarchy.
11. The LRS shall include a program-specific component assignment process and screens that the worker uses to assign and/or update work participation program component(s) for a participant based on the work participation program plan, including:
- a. Work participation program component(s) dependency;
  - b. Priority sequence;
  - c. Concurrent component(s) assignment; and
  - d. Work participation program component(s) status.
12. The LRS shall generate a list that is both for online viewing and/or printing of potential Service Provider(s) for assigning a participant to work participation program component(s) or Cal-Learn program component(s), including:
- a. Resident location;
  - b. Child care services arrangements;
  - c. Work location;
  - d. Language spoken and written;
  - e. Service criteria; and
  - f. Non-custodial parent child care arrangement.
13. The LRS shall collect and track work participation program component and Cal-Learn program component information by participant or work participation program component(s), including:
- a. Participant name;
  - b. Work participation program component;
  - c. Cal-Learn program component;
  - d. Priority sequence and dependency;
  - e. Proposed and actual start and stop dates;
  - f. Basis of referral;
  - g. Hours of participation;
  - h. Service Provider(s);
  - i. Activity status;

- j. Activity status update dates;
  - k. Good cause information; and
  - l. Sanction information.
14. The LRS shall allow CONSORTIUM-specified Users to view and/or print work participation program component(s) and Cal-Learn program component(s) information by participant, component(s), unit, section, and/or office.
15. The LRS shall provide customized screens for the worker to view, add, and update a participant's work participation program plan, work participation program component, and Cal-Learn program component information.
16. The LRS shall include the automated selection of participants that meet pre-determined criteria into control and test groups (e.g., past studies, such as, MDRC Study, Home Call Visitation Pilot Study, State Cal-Learn Study) with a provision for manual selection or override of an automated selection.
17. The LRS shall include automatic deregistration of participants based on program-specific criteria.
18. The LRS shall include functionality to support child care services, as specified by CONSORTIUM, including:
- a. Child care provider information;
  - b. Child care performance reports;
  - c. Alert notices and NOA's;
  - d. Tracking of activity and authorizations by child and case;
  - e. Tracking of payments issued; and
  - f. Alternative Payment Program (APP) information.
19. The LRS shall support confidentiality of Specialized Supportive Services, as specified by CONSORTIUM.
20. The LRS shall include Web links to sites as specified by CONSORTIUM including:
- a. United States Department of Labor (example, for the Demand Occupation List);
  - b. State Employment Development Department (EDD) (example, for looking up CalJOBS);
  - c. State (example, California Bureau of Automotive Repair for business licensing for Vendor services);
  - d. Web-based mapping services (e.g., Yahoo! Maps, Google Maps, and Mapquest); and

e. CONSORTIUM sites.

21. The LRS shall track Cal-Learn participants on an individual level with reference to their parents/guardian case that they were previously associated with as a minor.
22. The LRS shall automatically create an initial Cal-Learn participant ninety (90) day control period during which report cards are not due and bonus or Sanctions do not apply.
23. The LRS shall allow for the Cal-Learn participant ninety (90) day control period, to be changed or reset as specified by CONSORTIUM.
24. The LRS shall control and track child care services and time sheets, as specified by CONSORTIUM.

**2.28.3 Work Participation Program and Cal-Learn Reporting.**

1. The LRS shall generate a list of appointments for a date range defined by CONSORTIUM-specified User(s) that is both for online viewing and/or printing that can be selected and/or sorted by office, section, unit, worker and/or time, including:
  - a. Participant demographic data;
  - b. Appointment type;
  - c. Priority;
  - d. Public assistance eligibility status and effective date;
  - e. Reason for appointment;
  - f. Who the appointment is with; and
  - g. By whom and how the appointment was scheduled.
2. The LRS shall provide a list of participants with unscheduled appointments or appointments scheduled beyond a User-specified time period that can be selected and/or sorted by appointment type, Service Provider(s), office, section, unit, worker, and/or days waiting. The list shall be both available for on-line viewing and/or printing including:
  - a. Participant demographic data;
  - b. Appointment type to be scheduled;
  - c. Priority;
  - d. Public assistance eligibility status and effective date; and
  - e. Days participant has been waiting for assignment.
3. The LRS shall provide reports that can be viewed online and/or printed on demand for caseload trends by worker, unit, section, office, division, and department, as specified by CONSORTIUM.



4. The LRS shall provide reports that can be viewed on-line and/or be printed for notifying management of caseload backlogs by worker, unit, section, office, division, and department, as specified by CONSORTIUM.
5. The LRS shall provide reports that can be viewed online and/or be printed for notifying management of caseload backlogs by Service Provider(s) and Service Provider(s) location, as specified by CONSORTIUM
6. The LRS shall replicate the management reports that are produced by GEARS and GROW System, as specified by CONSORTIUM.
7. The LRS shall provide a work participation program and Cal-Learn summary report for a selected participant, to be printed on-demand that summarizes all of the participant's work participation program and Cal-Learn activities and status (current and historical), as specified by the CONSORTIUM.
8. The LRS shall provide a self sufficiency summary report for a participant on-demand, as specified by CONSORTIUM, including:
  - a. Purpose of work participation program component and participation status;
  - b. Work participation program components schedule;
  - c. Supportive Services; and
  - d. Specialized Supportive Services.
9. The LRS shall provide summary report on component(s) participation, selected and/or sorted by work participation program component or Cal-Learn program component status, User, unit, section, and/or office.
10. The LRS shall provide summary performance reports by Services Providers including:
  - a. Current number of participants;
  - b. Summary by status participants;
  - c. Historical completion rate; and
  - d. Historical placement rate.
11. The LRS shall provide detail and summary reports on participant compliance and sanction trends, by participant, worker, unit, section, and/or office.
12. The LRS shall provide a monthly listing of participants by Service Provider(s), as specified by CONSORTIUM including:
  - a. All participants section;
    - i. New participant indicator; and

- ii. Transfers in indicator;
  - b. Transfer out section (one time only); and
  - c. No longer in program section with reason (one time only).
13. The LRS shall provide detail and summary reports on child care provider time sheet information, by child care provider, participant, worker, unit, section, and/or office.

### 3. TECHNICAL REQUIREMENTS:

#### 3.1 GENERAL TECHNICAL REQUIREMENTS:

1. The LRS shall be based on a service-oriented architecture (SOA) using Web-services standards and technologies, as described in Exhibit 3 (COUNTY's Chief Information Office (CIO) Guiding Principles) and Exhibit 4 (California Enterprise Architecture Program: Service-Oriented Architecture (SOA) Master Guide) of Attachment H (Technical Exhibits) of Exhibit R (County's Request for Proposals for a LEADER Replacement System, dated November 30, 2007, including Addendums) of the Agreement.
2. The LRS shall include independent Web services, including clearance, eligibility determination, benefit calculation, benefit issuance, and client correspondence, which shall be accessible by CONSORTIUM-specified entities (e.g., other California SAWS systems) via LANet/EN and the Internet.
3. The LRS shall support access to and use of external Web services provided by CONSORTIUM-specified entities.
4. The LRS shall support flexible workflow using Business Process Execution Language (BPEL), including the ability to bypass internal LRS services and access to and use of external Web services, as specified by CONSORTIUM.
5. The LRS shall employ Web services, which are platform-independent, standards based Web applications that interact with other applications for the purposes of exchanging data via standardized messaging, e.g., Extensible Markup Language (XML). LRS shall also be capable of Web services based integration with external applications and services. Such Web services must comply with the most current version of the following standards:
  - a. Extensible Markup Language (XML) schema;
  - b. Web services Definition Language (WSDL);
  - c. Universal Description, Discovery and Integration (UDDI);
  - d. Simple Object Access Protocol (SOAP);
  - e. Web services-reliability standard i.e. a SOAP protocol for guaranteed delivery of SOAP messages without duplicates;
  - f. Security standards:
    - i. WS-Security from Organization for the Advancement of Structured Information Standards (OASIS), which defines the mechanism for including integrity, confidentiality, and single message authentication features within a SOAP message;
    - ii. Security Assertion Markup Language (SAML) from OASIS, which provides a means for partner applications to share user authentication and authorization information; and
    - iii. Standards defined by the Worldwide Web Consortium (W3C), and the Open Web Application Security Project (OWASP);

- g. National Institute of Standards and Technology (NIST) Federal Information Processing Standards (FIPS) Publication 140-2 “Security Requirements for Cryptographic Modules”, encryption requirements released February 2004, and any addendums and other revisions thereof; and
  - h. Support Hyper Text Transfer Protocol (HTTP), Hyper Text Transfer Protocol Secure (HTTPS), File Transfer Protocol (FTP) and Secure File Transfer Protocol (SFTP).
- 6. The LRS architecture shall include components that are reusable and modifiable without reengineering.
- 7. The LRS shall include the integration of standards-based, commercial products, when possible (e.g., middleware, relational database, document management).
- 8. The LRS shall isolate software from hardware layers by allowing upgrades or changes to operating system software or hardware without requiring extensive change to the LRS Application Software.
- 9. The LRS shall utilize components that are leap year compliant.
- 10. The LRS shall utilize components that are current decade compliant.
- 11. The LRS shall utilize components that are twenty-first (21st) century compliant, with the consistent use of four-digit years.
- 12. The LRS shall utilize components that provide all dates and times in accordance with ISO 8601 for dates from January 1, 1900 to December 31, 2099.
- 13. The LRS shall utilize components that are in compliance with Daylight Savings Time clock changes mandated by applicable federal, State, and local laws, rules, regulations, ordinances, guidelines, directives, policies, and procedures, including the Energy Policy Act of 2005.
- 14. The LRS shall enable real-time LRS Data entry, comprehensive real-time editing, real-time file updating, and inquiry.
- 15. The LRS shall provide for the update of LRS Data elements through the following methods, subject to normal edit checks, including:
  - a. Online entry into the LRS by a User;
  - b. Data received from e-Government solutions;
  - c. Real time online (i.e., system-to-system) interface with other systems (according to CONSORTIUM-specified criteria); and
  - d. Batch interface with other systems (according to CONSORTIUM-specified criteria).
- 16. CONTRACTOR shall provide written notification, including implementation recommendations, to LRS Project Director of:
  - a. Updates to the LRS Hardware as soon as each such update is available;

- b. End dates of Original Equipment Manufacturer (OEM) full service life of LRS Hardware at least six (6) months prior to each such date if a full service life is for a period of six (6) months or more, and at least one (1) month prior to each such date if a full service life is for a period of less than six (6) months;
  - c. End dates of OEM service warranty of LRS Hardware at least six (6) months prior to each such date if a service warranty is for a period of six (6) months or more, and at least one (1) month prior to each such date if a service warranty is for a period of less than six (6) months;
  - d. Updates to the Commercially Available Software as soon as each such Update is available; and
  - e. End dates of OEM full support of Commercially Available Software at least six (6) months prior to each such date if full support is for a period of six (6) months or more, and at least one (1) month prior to each such date if full support is for a period of less than six (6) months.
17. The LRS shall include upgrades or replacements to the LRS Hardware prior to date of OEM end of full service life or full service warranty, as approved by LRS Project Director.
18. The LRS shall include Updates to the Commercially Available Software prior to date of OEM end of full support, as approved by LRS Project Director.
19. The LRS shall utilize the latest or penultimate version of Commercially Available Software, as approved by LRS Project Director.
20. The LRS Hardware shall support the latest or penultimate version of Commercially Available Software, as approved by LRS Project Director.

### **3.2 SERVICE ACCESS AND DELIVERY:**

Service Access and Delivery refers to the collection of standards, specifications, and requirements that support external access to the LRS Application Software service components and capabilities, including the exchange of information and delivery of these components and capabilities.

#### **3.2.1 Access Channel.**

An Access Channel specifies the interface between the LRS Application Software and a User, an information system, or a service that must communicate with the LRS. The LRS Application Software shall be browser-based so that components of the LRS are accessible to LANet/EN Users and Internet Users. The LRS shall also support collaboration

communication services, such as e-mail, to disseminate information to Users.

1. The LRS design shall also support other electronic Access Channels that permit the exchange of information between an external system or service. These include system-to-system interfaces, including other federal or State systems that must communicate with the LRS, browser-based applications that may be available from the LANet/EN, or other Web-connected programs, such as ZIP code or address lookup for driving directions.
2. The LRS shall allow the User to completely interact with the LRS using a Web browser.
3. The LRS shall be compatible with older versions of Microsoft Internet Explorer and the current CONSORTIUM standard Web browser, as specified by CONSORTIUM.
4. The LRS shall be optimized for the most recently released version of Microsoft Internet Explorer as the default Web browser in making services available to the User.
5. The LRS shall check that the User's computing device is using an LRS compatible Web browser and Web browser version and shall inform the User if this is not the case.
6. The LRS shall include a strategy for making services available to the User with alternate Web browsers (e.g., Netscape Navigator, Mozilla FireFox, Opera).
7. The LRS shall include the ability to be accessed using wireless technologies that are in accordance with CONSORTIUM policy, procedures, and standards.
8. The LRS Application Software shall be designed to be compatible with mobile computing devices with integrated Web browsers such as personal digital assistants (PDAs), cell phones, tablet PCs, and emerging technologies, for accessing and using the LRS.
9. The LRS shall support the use of Web-based general kiosks with a secure and confidential connection for the delivery of self-service capabilities to members of the general public.
10. The LRS shall support other electronic access channels that permit the secure exchange of information between the User and the LRS, including:
  - a. System-to-system that involves the exchange of LRS Data or interaction with each other independent of human intervention or participation; and

- b. Web services where a service is made available to the LRS from Web servers, including CONSORTIUM Web servers, for use with the LRS Application Software without extensive programming or participation on the part of the User (e.g., map lookup based on address entered).

### **3.2.2 Delivery Channel.**

A Delivery Channel specifies the level of access to the LRS services based on the type of network used to deliver such services. The LRS shall include a secure Gateway connecting the LRS and the LANet/EN. This Gateway shall support the appropriate CONSORTIUM standards for information security (e.g., authentication, encryption). Users will access LRS services in multiple ways, including:

- LANet/EN via Local Office Sites: This is the private network of the CONSORTIUM. It includes many inter-linked local area networks (LANs) and is used to share information and resources.
- LANet/EN via VPN: This is the extension of the LANet/EN to Users outside of LANet/EN perimeter security. It is based on CONSORTIUM VPN standards, technology, and policies and is used to share business information or operations securely with CONSORTIUM suppliers, Vendors, partners, customers, and others.
- Internet: The Internet shall be used by various Users, including applicants, participants, caregivers, and the general public, to access the LRS.

### **3.2.3 Service Transport.**

Service Transport encompasses the standards and protocols used to deliver LRS services. The LRS shall deliver its services via the LANet/EN. Therefore, LRS communications shall be compatible with CONSORTIUM standards for end-to-end network management including access and delivery protocols.

The LRS shall interoperate with the LANet/EN architecture, including the supporting network services such as electronic messaging/e-mail and

directory services/directory access protocols. The LRS security design shall also address, and be fully compatible with, the security model used by CONSORTIUM for the LANet/EN.

1. The LRS shall use TCP/IP as its single networking protocol.
2. The LRS design shall incorporate TCP/IP based protocols, including FTP, SFTP, and Telnet for communicating with external CONSORTIUM, State and federal systems.
3. The LRS shall support IPv4 addressing.
4. The LRS shall be capable of supporting IPv6 addressing.
5. The LRS shall be fully Lightweight Directory Access Protocol (LDAP) compliant and able to interoperate with CONSORTIUM directory services.
6. The LRS shall be able to establish a transparent, seamless integration with CONSORTIUM's preferred e-mail system for the purposes of LRS-oriented communications, such as alerts and notifications.

#### **3.2.4 Service Requirements.**

Service Requirements refer to how LRS services and capabilities shall be delivered to and from the LANet/EN and the Internet. Therefore, the LRS shall be governed by a set of service requirements that specify additional necessary aspects of the LRS Application Software, the technical infrastructure, and delivery of services, including the following:

- Legislative and compliance standards specified by mandates of CONSORTIUM or other governing bodies, including Web content and accessibility standards, along with legislated security and privacy policies
- Hosting concerns involving the ability to fully administer and manage the LRS, both the LRS Application Software and the technical infrastructure, from a secure, Web-enabled interface
- Integration and support of CONSORTIUM-provided endpoint services, such as workstation and laptop applications, local printing, scanning, and file services with the necessary LRS Application Software services.



**3.2.4.2 Legislative and Compliance Standards.**

1. The LRS shall be categorized in compliance with all categorization requirements specified by the National Institute of Standards and Technology (NIST) Federal Information Processing Standards (FIPS) Publication 199, “Standards for Security Categorization of Federal Information and Information Systems”, released February 2004, and any addendums and other revisions thereof.
2. The LRS shall comply with all security requirements specified by FIPS Publication 200, “Minimum Security Requirements for Federal Information and Information Systems”, released March 2006, and any addendums and other revisions thereof. Currently, such security requirements include:
  - a. Access control;
  - b. Awareness and training;
  - c. Audit and accountability;
  - d. Certification, accreditation, and security assessments;
  - e. Configuration management;
  - f. Contingency planning;
  - g. Identification and authentication;
  - h. Incident response;
  - i. Maintenance;
  - j. Media protection;
  - k. Physical and environmental protection;
  - l. Planning;
  - m. Personnel security;
  - n. Risk assessment;
  - o. System and services acquisition;
  - p. System and communications protection; and
  - q. System and information integrity.
3. The LRS shall meet the requirements of FIPS Publications 199 and 200 by complying with all security controls specified in NIST Special Publication 800-53, “Recommended Security Controls for Federal Information Systems”, Revision 1, December 2006, and any addendums and other revisions thereof.

4. The LRS shall comply with the State of California's Statewide Automated Welfare System (SAWS) Information Security Guidelines, including the guidelines as revised July 1999, and any addendums and other revisions thereof.
5. The LRS shall comply with all County information technology and security policies and plans, including:
  - a. Los Angeles County Board of Supervisors Policy Manual, Policy #6.100 et seq., effective July 13, 2004, and any addendums and other revisions thereof; and
  - b. COUNTY CIO's Information Security Strategic Plan:  
[http://lacounty.info/omd/q1\\_2007/cms1\\_055410.pdf](http://lacounty.info/omd/q1_2007/cms1_055410.pdf)  
effective January 23, 2007, and any addendums and other revisions thereof.
6. The LRS shall comply with all County Internal Services Department (ISD) security policies, including:
  - a. Desktop Computer Security, effective November 3, 1997, and any addendums and other revisions thereof;
  - b. Dial-up Computer Access, effective February 17, 1999, and any addendums and other revisions thereof;
  - c. Information Assets Protection - Data Security, effective May 20, 1999, and any addendums and other revisions thereof; and
  - d. Extranet IT Security Policy, and any addendums and other revisions thereof.
7. The LRS shall comply with accessibility and readability standards and guidelines, and any addendums and other revisions thereof, including:
  - a. Section 508 of the Rehabilitation Act of 1973, as newly enacted in 1998; and
  - b. Priority 1 and 2 level checkpoints of the Web Content Accessibility Guidelines 1.0 (WCAG 1.0 "AA" Conformance Level) developed by the W3C.
8. The LRS shall comply with all applicable federal, State, and local laws, rules, regulations, ordinances, guidelines, directives, policies, and procedures, and any addendums and other revisions thereof, including:

- a. Electronic Signatures in Global and National Commerce Act (E-SIGN), at 15 U.S.C. Section 7001 et seq.;
  - b. Uniform Electronic Transactions Act (UETA), including California Civil Code Section 1633.1 et seq.; and
  - c. California digital signature regulations, including California Code of Regulations, Title 2, Section 22000 et seq.
9. The LRS shall comply with the standards set forth by the Auditing Standards Board of the American Institute of Certified Public Accountants (AICPA) as it relates to the Statement of Auditing Standards No. 70 (SAS 70).

**3.2.4.3 Hosting.**

1. The LRS shall be hosted at the Primary Central Site and Backup Central Site.
2. The LRS shall include a Primary Central Site and Backup Central Site with sufficient equipment and software for necessary LRS Application Software activities, including development, testing, staging, production, reporting, and training, while meeting or exceeding all availability and other LRS performance requirements.
3. The Primary Central Site and Backup Central Site shall be located at environmentally stable and geographically distinct locations at least sixty-five (65) miles from each other.
4. The Central Print Facility and Backup Print Facility shall be located at environmentally stable and geographically distinct locations at least sixty-five (65) miles from each other.

**3.2.4.4 Endpoint Service Requirements.**

1. The LRS shall not require any software to be permanently installed and/or maintained on a CONSORTIUM workstation or laptop.
2. The LRS shall include audit trails for any software changes and upgrades distributed to LRS components. The LRS downloads shall be limited to browser add-ons, as approved by LRS Project Director, which shall be tracked by the LRS for each computing device. Such browser add-ons shall not, in any way, hinder CONSORTIUM's use of other applications on such computing device.
3. The LRS shall be compatible with CONSORTIUM information technology standards as described in Exhibit 5 (CONSORTIUM's Chief Information Office (CIO) Guiding

Principles) of Attachment H (Technical Exhibits) of Exhibit R (County's Request for Proposals for a LEADER Replacement System, dated November 30, 2007, including Addendums) of the Agreement.

4. The LRS shall provide CONSORTIUM-specified Users with the ability to extract LRS Data to a local file or server, subject to appropriate User security profile, LRS security, and LRS Data privacy restrictions.
5. The LRS shall support screen print capabilities throughout the LRS Application Software.
6. The LRS shall allow CONSORTIUM-specified Users to locally print any requested report, warrant, or notice, including NOA, form, flyer, letter, or stuffer generated online by the LRS.
7. The LRS shall allow CONSORTIUM-specified Users to redirect LRS printed output to any printer on the network for which CONSORTIUM-specified Users are authorized to submit or schedule a print job.
8. The LRS shall allow CONSORTIUM-specified Users to locally archive LRS Data to local media using standard drivers as specified by CONSORTIUM workstation, laptop, or network configurations.
9. The LRS shall download required fonts to local printers automatically without the need for manual intervention, as needed.
10. The LRS shall support fonts in CONSORTIUM threshold languages, as well as languages for which the State has provided translation.
11. The LRS shall support printing at unique printer sites, including CONSORTIUM's Auditor-Controller's office.

### **3.3 SERVICE PLATFORM AND INFRASTRUCTURE:**

Service Platform and Infrastructure refers to the collection of delivery and support platforms, infrastructure capabilities, and hardware requirements to support the construction, maintenance, and availability of the LRS Application Software.

The service platform involves the runtime environment that is defined mainly by software and operating systems (both platform and network) but can involve specific hardware as well. The choice of service platform will control many aspects of the LRS design, development, and implementation, including the choice of

commercial products used to support the LRS technical infrastructure, the approach to interfacing to external systems, and CONTRACTOR integration and development methodologies and tools. An objective of CONSORTIUM is to leverage the LRS technical infrastructure so that CONSORTIUM can migrate other enterprise applications to the current technologies represented by the LRS SOA. CONTRACTOR shall provide full access to CONSORTIUM-specified technical Users to all service platforms, infrastructures, and tools during the term of the Agreement.

### **3.3.1 System Framework/Integrated Development Environment.**

The LRS Integrated Development Environment (IDE) shall be linked closely with the service platform. The IDE includes the hardware, software, and supporting services that facilitate the development of the LRS Application Software and the integration of any supporting systems and services. The IDE shall include and fully address the following areas:

- Requirements management allowing full traceability from requirements analysis to LRS design to implementation
- Modeling tools to establish, analyze, and document system structure and the implementation of business functions
- User interface design tools, including both screens and workflow development
- Business rules/logic management
- Language development environment
- Software configuration management (SCM)
- Automated LRS Repository and LRS Repository management tools

The IDE shall be compatible with the component framework and shall be extensible to additional tools or capabilities as needed to solidify the LRS design, development, and implementation, including:

1. The IDE, serving as the basis for constructing and delivering applications, shall be extensible, tailorable, and customizable.
2. The LRS framework shall be platform independent and portable and support all of the platforms currently in use by CONSORTIUM.

3. The LRS framework shall include mature documentation describing the purpose of the framework, how to use the framework, and the detailed design of the framework, as well as concise documentation of the framework architecture, configuration and development tools, and all object and Application Programming Interface (API) references.
4. The IDE shall be intuitive and easy to understand, with a minimal learning curve for CONSORTIUM-specified Users of the framework, including software support personnel, applications programmers, and database administrators.
5. The IDE shall include tools to support:
  - a. Impact analysis of change;
  - b. Quality LRS Application Software implementation over the life of the project;
  - c. Manage document succession;
  - d. Requirements traceability and verification;
  - e. Language development environments;
  - f. User interfaces that promote reuse of UI components;
  - g. SCM;
  - h. Business logic management;
  - i. Automated regression testing, functional testing, load testing, and performance testing;
  - j. Version control on all work products including both software and documentation;
  - k. Defect tracking;
  - l. Change management; and
  - m. Version release.
6. The IDE shall support ongoing quality assurance activities for the LRS Application Software.
7. The IDE shall support large scale, distributed development teams and activities.
8. The IDE shall support an LRS Repository that can be shared among developers and other development staff.
9. The IDE shall allow the incorporation of third party development tools, such as other language development tools, HTML editors, and debugging and testing tools, into the IDE.
10. The IDE shall be an industry standard, stable development environment.

**3.3.1.2 Requirements Management.**

1. The LRS code and documentation shall be traceable from business requirements to implementation.
2. The IDE shall utilize Computer Aided Software Engineering (CASE) tools and requirements management software that:
  - a. Capture system requirements in a database;
  - b. Link related requirements;
  - c. Indicate requirement status; and
  - d. Identify resources assigned to meeting the requirements.

**3.3.1.3 Modeling.**

1. The IDE shall include modeling tools that establish, analyze, and document the LRS structure and interrelationship of all LRS elements. Tools shall include those which develop: process models, data models, use cases/scenarios, workflow diagrams, User interface prototypes, and simulation.
2. The IDE modeling tools shall support CONTRACTOR-specified runtime environment and the integration of all functionality as outlined in those requirements.

**3.3.1.4 User Interface Design Tools.**

1. The LRS shall include tools for the User interface development that allow the reuse of User interface components and enforce a consistent look and feel across the LRS Application Software.
2. The LRS shall include Cascading Style Sheets (CSS) and Extensible Style Language (XSL) support and generation to provide developers with standard mechanisms to present, validate, and process LRS Data.
3. The LRS shall use a systems model that includes multiple screen layouts and multiple navigational choices (e.g., menus, buttons, pop-ups, scroll bars) that offer and deliver an industry standard Internet look and feel.
4. The LRS shall include tools that provide the ability to:
  - a. Modify screen definitions;
  - b. Add or modify User-defined fields;
  - c. Edit field calculations;
  - d. Edit fields across modules;
  - e. Define “short cut” names; and

f. Edit field names.

**3.3.1.5 Business Rules.**

1. The LRS shall manage business process workflows using the Business Process Execution Language (BPEL) standard, as specified by CONSORTIUM.
2. The IDE modeling tools shall support a notation that allows an easily understood presentation of the business rules.
3. The LRS framework shall catalog all business objects and enduring business themes from ready-to-use objects to objects that are available as templates for constructing new business objects based on specific and changing operational scenarios of CONSORTIUM.

**3.3.1.6 Language Development Environment.**

1. The IDE shall include a language development environment that represents CONTRACTOR-proposed development language(s). The IDE shall be extensible to other development languages as required.
2. The LRS programming language development environment shall include support for the following:
  - a. Syntax checking;
  - b. Code analysis;
  - c. Debug mode; and
  - d. Reference checking.

**3.3.1.7 Software Configuration Management (SCM).**

1. The LRS shall use an industry-standard configuration management suite to provide tracking and management of the LRS Application Software Source Code.
2. The LRS shall ensure that any changes to the LRS component framework, underlying code or table-driven reference information, shall be automatically propagated throughout the LRS without manual intervention.
3. The LRS change process shall include alerts as to any possible conflicts or impacts due to the change on the current environment's configuration.
4. The LRS shall include the ability for manual override of the automated process in order to assess any possible effects of the proposed change.



5. The LRS shall include version control and tracking within all LRS environments.
6. The LRS shall track all configuration updates by system date/time stamping.
7. The LRS shall include a “back out” strategy to return to an earlier version of the LRS Application Software in the event major LRS Application Software errors affect the availability and performance of the LRS Application Software in the production environment.
8. The LRS shall include an impact analysis tool in order to improve developer productivity by identifying the impact of code changes across the entire development project.

**3.3.1.8 LRS Repository and LRS Repository Management.**

1. The LRS shall include an LRS Repository for the management of the LRS Application Software, Documentation, and System Data.
2. The LRS Repository shall be available to CONSORTIUM-specified Users via a secure connection.
3. The LRS Repository shall include an automated mechanism to ensure that LRS services and their associated artifacts (e.g., WSDL, XSD, XSLT) conform to CONSORTIUM standards and business requirements.
4. The LRS shall ensure that all APIs, including standard library/component functions, are fully documented.
5. The LRS shall share data and definitions within the LRS Repository, promoting standards for global data capture and management and promoting data reuse.
6. The LRS shall include an automated cataloging mechanism for collecting metadata information from LRS services and LRS Application Software components.
7. The LRS Repository shall include a relationship management mechanism for determining and documenting the effect of changing an LRS service or artifact upon other LRS services and artifacts.
8. The LRS shall maintain an online LRS Data dictionary describing all LRS Data fields, tables, supporting file structures, and dependencies.
9. The LRS Data dictionary shall be updated whenever changes are made to the LRS.

**3.3.2 Infrastructure.**

The infrastructure, which supports the LRS, shall be supplied, maintained and operated by CONTRACTOR at multiple locations. These locations shall include the Primary Central Site, the main data center that will be hosting the LRS, the Central Print Facility, the main site supporting the LRS project high-volume batch printing and mail processing requirements, and the Backup Central Site and Print Facility Backup disaster recovery and backup locations that must meet specific LRS performance requirements for operating the LRS seamlessly and without interruption should problems occur at the Primary Central Site and/or Central Print Facility. CONTRACTOR shall be responsible not only for the hardware and software needed to support the infrastructure locations, but also for their operations as well.

1. The LRS Application Software shall be loosely coupled from the underlying infrastructure so that upgrades to hardware, operating system software, and support utilities will not necessitate changes to the LRS Application Software itself.
2. The LRS shall include all infrastructure support external to the LANet/EN, including:
  - a. Primary Central Site;
  - b. Backup Central Site;
  - c. Central Print Facility;
  - d. Backup Print Facility;
  - e. Project Office; and
  - f. Gateway.
3. The LRS shall have main processing environments, including:
  - a. Development – environment for the programming of the LRS Application Software;
  - b. Test – environments to support testing, including unit testing, system testing, integration testing, performance testing, User Acceptance Test, and automated regression testing;

- c. Staging – environment to support pre-migration activities prior to installation of the LRS Application Software in the production environment;
  - d. Production – environment that is comprised of the LRS that has been fully tested and integrated and is accessible by CONSORTIUM-specified Users;
  - e. Reporting – environment that contains copies of portions of the production environment database to be used for standard and ad-hoc reporting; and
  - f. Training – environment used to train CONSORTIUM-specified Users by using samples of production environment LRS Data.
- 4. The LRS processing environments shall be accessible to CONSORTIUM-specified Users, as determined by CONSORTIUM.
  - 5. The LRS shall partition and configure each of the main processing environments into additional sub-environments for specific needs.
  - 6. The LRS shall isolate sub-environments from each other, as appropriate.
  - 7. The LRS shall include independent security controls in each processing environment in order to authorize individual User access for each separate processing environment.
  - 8. The LRS processing environments and sub-environments, when fully configured and operating, shall not negatively impact the performance of any other processing environment or sub-environment.
  - 9. The LRS development, test, staging, and training environments shall be kept either physically or logically separate from production environment functions.
  - 10. The LRS development and test environments shall support unit testing.
  - 11. The LRS test environments shall be capable of simulating a portion of the production environment, including portion(s) of the LRS database(s) based on CONSORTIUM-specified criteria (e.g., a Local Office Site).
  - 12. The LRS test and staging environments shall support all testing activities as specified in Exhibit A (Statement of Work) of the Agreement for all system and LRS Application Software changes and modifications (both minor and major) prior to implementation in the live production environment. These testing activities shall include:
    - a. Unit testing;
    - b. System testing;
    - c. Integration testing;
    - d. Performance testing;
    - e. User acceptance testing; and

- f. Regression testing.
13. The LRS test and staging environments shall include:
    - a. Identification and confirmation of design deficiencies and performance issues;
    - b. Validation of any design modifications for updates and fixes;
    - c. Confirmation of the contents of the release package; and
    - d. Analysis and resolution of any performance issues.
  14. The LRS test and staging environments shall include robust and automated regression testing tools for use by CONSORTIUM-specified Users.
  15. The LRS shall include the ability to copy portions of the production environment database to the test and staging environments based on parameters specified by CONSORTIUM, including extending this ability to CONSORTIUM-specified Users.
  16. The LRS test environments database shall include a three percent (3%) representative sample of cases from the production environment covering all programs, aid codes, and scenarios to be used in all phases of testing. The test environments database shall be refreshed from time-to-time as requested by CONSORTIUM.
  17. The LRS test and staging environments shall include tools for the redaction of personal identification data, according to governing privacy and confidentiality regulations, when production environment data is copied to the test and staging environments.
  18. The LRS test and staging environments shall contain all LRS Application Software functionality and all Commercially Available Software found within the LRS production environment.
  19. The LRS test and staging environments shall be configurable so that they can be used to test the LRS Application Software in a simulated environment representing normal production environment system loads.
  20. The LRS test and staging environments shall be configurable so that they can be used to test the interfaces that will communicate internally and externally with the LRS Application Software.
  21. The LRS test and staging environments shall contain a distinct date advance and date rollback sub-environment that can be executed separately without interfering with the normal operation and performance of the rest of the test and staging environments.
  22. The LRS development and training environments shall contain a distinct date advance and date rollback sub-environment that can be executed separately without interfering with the normal operation and performance of the rest of the development and training environments.

23. The LRS training environment shall contain all system and LRS Application Software functions found within the LRS production environment.
24. The LRS training environment shall contain a sub-environments for the CONSORTIUM training academies and other training groups, as specified by CONSORTIUM.
25. The LRS reporting environment database shall contain the most current production environment LRS Data available for the purpose of standard and ad-hoc reporting.

**3.3.2.2 Delivery Servers.**

1. The LRS shall include all necessary support software (e.g., DBMS, compilers, text editors, library products, GUI generators) and shall not require special licensing agreements (e.g., site or CPU licenses).
2. The LRS shall include date, time and User ID/source program stamps on all transactions.
3. The LRS shall include date and time stamps for the start and stop times for all batch transactions.
4. The LRS shall include the ability to create and schedule jobs for regular and unattended processing.
5. The LRS shall include a means to validate the accuracy and completeness of LRS Data that is processed during batch transactions.
6. The LRS shall include a means of broadcasting CONSORTIUM-specified messages (e.g., reminders, announcements) to CONSORTIUM-specified Users.
7. The LRS shall electronically notify CONSORTIUM-specified Users of any LRS problems or downtime.
8. The LRS shall include a means by which CONSORTIUM-specified Users shall receive all CONTRACTOR internal process or system notifications and alerts of anything that affects, or potentially could affect, LRS performance.
9. The LRS shall include fault tolerance and failover of Web and application servers in order to meet availability requirements, as specified by CONSORTIUM.
10. The LRS Component shall include the ability to predict LRS failures, including through integrated system monitoring software.
11. The LRS shall include load balancing of Web and application servers in order to meet availability and other LRS

performance requirements at all times, including peak usage times, as specified by CONSORTIUM.

12. The LRS Hardware shall periodically release or reallocate resources and recover usable storage space (e.g., compress and optimize database) no less than quarterly or as specified by CONSORTIUM, without adversely impacting performance requirements.
13. The LRS Component shall include an advanced architecture that supports the requirements for high volume transaction processing.
14. The LRS Component shall be scaleable and include the ability to process the current and expected growth volumes of transactions of the LRS, including growth for caseload, archive records, imaging, and Users.

**3.3.2.3 Storage.**

1. The LRS shall include storage capable of handling all LRS Data and LRS Repository for the term of the Agreement.

**3.3.3 Central Print Facility.**

The LRS shall include a Central Print Facility and Backup Print Facility that support the high-volume printing, processing, and mailing of notices, forms, letters, warrants, and other special mailings. The Central Print Facility and Backup Print Facility shall be capable of handling all LRS printing and mailing requirements for the term of the Agreement.

1. The LRS shall include a Central Print Facility for the purpose of high-volume batch print and mail processing.
2. The LRS shall support special printers for the printing of warrants.
3. The LRS shall standardize on an industry standard printer command language for all production print jobs. The standard printer command language shall be compatible with CONSORTIUM printers (e.g., PCL) that will be used with the LRS.
4. The LRS shall support fonts in the threshold languages, as well as languages for which the State has provided translation.
5. The LRS shall update printer fonts automatically without the need for manual intervention.
6. The LRS shall allow two-side (duplex) printing, including head-to-head, head-to-toe, landscape orientation, portrait orientation, mixed

orientation same page, and page-to-page functions within the same print job.

7. The LRS shall include the ability to print barcode information (including case number, form number, month, etc.) to notices, NOAs, referrals, forms, letters, and warrants generated by the LRS.
8. The LRS shall include current industry-standard anti-fraud measures when printing specialized paper with watermark, such as warrants and/or checks, including MICR printing and anti-fraud language on the printed document.
9. The LRS shall ensure that each file directed to the Central Print Facility for printing shall be identified in terms of the originating service, location, and User ID.
10. The Central Print Facility shall be located in the greater Los Angeles area within the United States Postal Service (USPS) boundary for overnight delivery of first class mail to Los Angeles area ZIP codes.
11. The Backup Print Facility shall be located at an environmentally stable and geographically distinct location at least sixty-five (65) miles from the Central Print Facility.
12. The Backup Print Facility shall be located within the USPS boundary for overnight delivery of first class mail to Los Angeles County ZIP codes.
13. The Central Print Facility and Backup Print Facility shall meet CONSORTIUM requirements for physical security, including 24-hour security officers, video surveillance with taping capabilities, a secure loading area, and on-site shredding capabilities.
14. The Central Print Facility and Backup Print Facility shall be capable of generating all documents. In meeting this requirement, CONTRACTOR considerations shall include:
  - a. The existing LEADER System design, the LRS design, and architectural differences;
  - b. Growth of caseload, usage, and storage of LRS Data; and
  - c. Central print output volumes of the DPSS Systems and DCFS Systems.
15. The LRS shall include formatting or reformatting of all documents and envelopes for mailing so that they are in full compliance with all United States Postal Service (USPS) procedures and regulations that maximize postal savings and allow for automated reading of ZIP codes.

**3.3.3.2 Central Print Service Requirements.**

1. The LRS shall complete full backups of all Central Print Facility systems, databases, and generated reports weekly on

Sunday after the completion of all processing for the previous week and prior to the start of business at 6:00 a.m. on Monday. The full backups shall be sent to the off-site file storage facility provided by CONTRACTOR and approved by CONSORTIUM.

2. The LRS shall complete incremental backups of the Central Print Facility server daily Monday through Saturday. The incremental backups shall be sent to the off-site file storage facility provided by CONTRACTOR and approved by CONSORTIUM.
3. The LRS shall maintain off-site file storage from the print servers daily for thirty (30) cycles. The off-site file storage facility provided by CONTRACTOR must be approved by CONSORTIUM.
4. The LRS shall include a strategy for storing print configuration files.

#### **3.3.3.3 Mail Requirements.**

1. The Central Print Facility and Backup Print Facility shall be capable of mailing all pieces of mail generated. In meeting this requirement, CONTRACTOR considerations shall include:
  - a. The existing LEADER System design, the LRS design, and architectural differences;
  - b. Growth of caseload, usage, and storage of LRS Data; and
2. Central print output volumes of the DPSS Systems and DCFS Systems.
3. The Central Print Facility and Backup Print Facility shall include, in instances where more than one NOA or letter are to be mailed to a single applicant/participant/caregiver, the capacity for stuffing and mailing them in one envelope in order to reduce mailing costs.
4. The Central Print Facility and Backup Print Facility shall automate the assembly of all required pages for a given document set for insertion into a single envelope in order to reduce mailing costs.
5. The Central Print Facility and Backup Print Facility shall include a means for the manual assembly of special mailings that cannot be assembled automatically (including redetermination packets, special inserts, etc.).



6. The Central Print Facility and Backup Print Facility shall include storage for packets that may be assembled or pre-assembled externally or internally in the Central Print Facility and Backup Print Facility, including application or redetermination packets and special inserts.
7. The Central Print Facility and Backup Print Facility shall use the USPS for sending correspondence to CONSORTIUM applicants, participants, caregivers, and Vendors.
8. The LRS shall comply with USPS standards for the formatting of address information on all forms and correspondence that is mailed.
9. The LRS shall accommodate various envelope sizes for mailing while conforming to USPS standards for mail piece size.
10. The LRS shall be programmed to print correspondence in ZIP+4 sorting order to maximize efficiency and maximize postal savings.
11. The Central Print Facility and Backup Print Facility shall include pre-sorting services for batch processing documents in order to maximize postal savings.
12. The Central Print Facility and Backup Print Facility shall automate the metering of all prepared mail according to USPS standards.
13. The LRS shall imprint notices and forms with the appropriate delivery-point bar code information using USPS-certified software.
14. The Central Print Facility and Backup Print Facility shall provide for the same day mailing of warrants directly from the Central Print Facility and Backup Print Facility.

**3.3.4 Network and Network Security.**

The LRS shall deliver the LRS Application Software and other services through browser-based computing devices to CONSORTIUM-specified Users via secure connections with the LANet/EN and to Internet Users via CONTRACTOR-provided secure connections which shall not utilize any CONSORTIUM network resources (e.g., LANet/EN). The LRS shall be connected to the LANet/EN and its security architecture via a secure and redundant Gateway provided and managed by CONTRACTOR in compliance with CONSORTIUM extranet data security policies. This

Gateway can be viewed as a physical entity that translates between these two WAN segments – CONTRACTOR’s WAN and CONSORTIUM’s WAN (LAnet/EN). CONTRACTOR shall be responsible for all network and network security operations from this Gateway, the point of entrance to the LAnet/EN, back to the CONTRACTOR network and LRS processing environments. Modifications to CONTRACTOR’s LRS technical infrastructure shall not adversely impact LAnet/EN performance.

The LRS security design shall be fully compatible with the security model used by CONSORTIUM for the LAnet/EN.

1. The LRS shall include security measures at all points of entry into the LRS.
2. The LRS shall include redundant connections to the LAnet/EN via private or dedicated circuits provided and managed by CONTRACTOR and not dependent on a single provider.
3. The LRS shall include network address translation (NAT) services on CONTRACTOR LRS computing devices that connect to the LAnet/EN.
4. The LRS Gateway to the LAnet/EN shall include redundancy and fault tolerance.
5. The LRS shall incorporate a Network Load Balancing (NLB) model in order to route network traffic in the most efficient manner so as to maximize processing performance and maintain LRS availability, as specified by CONSORTIUM.
6. The LRS shall include a mechanism for scanning LRS hardware ports in order to identify vulnerable points in LRS hardware.
7. The LRS shall include a mechanism to close/remedy vulnerable points in the LRS.
8. The LRS shall utilize the most current software and hardware firewall technologies in order to allow only legitimate traffic and safeguard against external attacks.
9. The LRS shall utilize a packet protection technology (e.g., Cisco’s Adaptive Threat Defense) in order to protect every packet and every packet flow on the network and to identify and eradicate network attacks at their source.
10. The LRS shall utilize a real-time network-wide security management technology (e.g., Cisco Security Monitoring Analysis and Response System (CS-MARS)) to aggregate, correlate, and analyze security data

from computing devices network-wide, in order to identify and eliminate network attacks at their source.

11. The LRS shall include a patch management solution for the LRS Software and LRS Hardware.
12. The CONTRACTOR shall install antivirus software and virus signature software updates and patches on all LRS Hardware, immediately, and in no event later than one (1) Day after the update or patch is available, unless otherwise directed by LRS Project Director.
13. The CONTRACTOR shall test updates and patches, other than antivirus software and virus signature software updates and patches, in no later than one (1) Day after the update or patch is available, unless otherwise directed by LRS Project Director.
14. The CONTRACTOR shall submit a test results report for each update and patch within ten (10) days after the update or patch is available. The report shall include:
  - a. Description of the update or patch;
  - b. Release date of the update or patch;
  - c. Test date of the update or patch; and
  - d. Test results of the update or patch.
15. The CONTRACTOR shall install other updates and patches upon approval of LRS Project Director.
16. The LRS shall include an Intrusion Prevention System (IPS) and Intrusion Detection System (IDS).
17. The LRS shall enable logging and auditing functions on LRS Component.
18. The LRS shall include a strategy for the review of LRS Component logs and audits on a regular basis.
19. The LRS shall include the ability to prevent Users from accessing the LRS and/or the LRS Application Software at CONSORTIUM-specified times.
20. The LRS shall include closely controlled access to its processing environments. Access to the LRS by location and staff other than from CONSORTIUM shall be limited to the Project Office, Primary Central Site, Backup Central Site, Central Print Facility, Backup Print Facility and shall not be allowed without the prior and revocable written consent of LRS Project Director (e.g., a programmer or technician working at home or off site shall not have LRS access without such prior consent).
21. The LRS shall include secure and dedicated access for Internet Users which shall not utilize any CONSORTIUM network resources (e.g.,

LANet/EN). LRS shall include all security aspects of this connection, including virus scanning and other threats.

**3.3.5 Capacity Growth.**

1. The LRS Component shall accommodate any capacity growth, including usage, caseload, printing, and processing, over the term of the Agreement.
2. The LRS Component shall include sufficient CONTRACTOR-provided data storage to support all LRS Data and the LRS Repository, over the term of the Agreement.
3. The LRS Component shall be scaled to handle any increase to the LRS Data with no adverse effect on performance requirements, over the term of the Agreement.
4. The LRS Component shall support access via LANet/EN to the LRS, including LRS Data input, updates, queries, and reporting capabilities, for CONSORTIUM-specified Users to manage CONSORTIUM's caseload, over the term of the Agreement.
5. The LRS Component shall support access via CONTRACTOR-provided secure and confidential Internet connectivity to the LRS, including LRS Data input, updates, and queries, for CONSORTIUM-specified Users, including applicants, participants, and the general public, over the term of the Agreement.
6. The LRS Component shall support any growth in usage of the CONTRACTOR-provided secure and confidential Internet connectivity to the LRS, over the term of the Agreement.

**3.4 COMPONENT FRAMEWORK:**

Component Framework refers to the underlying software foundation, technologies, standards, and specifications by which the LRS Application Software and its service components are built, exchanged, and deployed across the LRS SOA. The component framework is the “n-tier” environment within which the functional services provided by the LRS shall be implemented. The LRS Application Software design shall be split into distinct layers for presentation, business logic, and database management. Each layer shall be independent of the other and shall have defined interfaces for communication. This architecture shall facilitate change in the presentation, business logic, or database management layers without affecting the other layers.

1. The LRS shall include guaranteed message delivery in order to enable “submit and forget” processing to improve LRS Application Software performance.
2. The LRS software applications shall be independent of the technical components (e.g., there shall be little effect on an application if a technical component, such as the TCP/IP stack, is changed or updated).
3. The LRS shall be designed so that all major LRS Application Software processing occurs at the enterprise server level (i.e., Primary Central Site), with no resident or permanent processing occurring at the workstation or laptop level except for presentation layer activities.

#### **3.4.1 Security.**

The Security Layer shall ensure that the LRS includes appropriate security throughout the LRS that meets or exceeds all applicable federal, State, and local laws, rules, regulations, ordinances, guidelines, directives, policies, and procedures regarding security. Security measures shall be included within the LRS Application Software design and development tools, at integration points of the LRS, and during the LRS implementation.

Since the information stored in the LRS processing environment databases is highly sensitive and confidential, security is a critical requirement. The LRS shall be secure and protect against inappropriate access to, or use of, any LRS environment, LRS Data, or LRS Repository while meeting the business requirements specified in Section 2 (Functional Requirements) of this Exhibit B. Only CONSORTIUM-specified Users with proper security, password, and, where appropriate, computing device identification clearance shall be allowed to view, change, or in any way update LRS Data. It is extremely important that LRS Data and LRS Repository be accessed only on a “need to know” basis.

1. The LRS shall include both centralized and local administration of LRS security features and requirements that include:
  - a. Access management and control;
  - b. Session management;
  - c. Role/profile management;
  - d. Security monitoring and auditing;

- e. Alerts and notifications; and
  - f. Encryption.
2. The LRS shall include a detailed written Information Security Plan, completed by CONTRACTOR, which includes the following:
- a. Roles and responsibilities of CONTRACTOR;
  - b. Strategies for complying with all applicable federal, State, and local laws, rules, regulations, ordinances, guidelines, directives, policies, and procedures regarding security;
  - c. Baseline security measures, risk assessments (i.e., vulnerability and threat analyses), and continual monitoring of LRS security;
  - d. Incident response activities;
  - e. Security awareness training;
  - f. Physical security measures;
  - g. LRS hardware security;
  - h. LRS software security, including application code vulnerability;
  - i. Access policies to all processing environments;
  - j. User security profiles, audit trails, and transaction sampling;
  - k. Physical and logical network management and security, access controls, event management, and reporting;
  - l. LRS Data security administration, file server security, LRS Data structure integrity, virus protection, patch management, backup and recovery, and LRS Data encryption;
  - m. Alternate site logical security including the Project Office and CONTRACTOR network control center; and
  - n. Internet security, including data transmission.
3. The LRS security processes shall support multiple levels of security and shall support Local Office Site security administration as well as centralized security administration.
4. The LRS shall include LRS Data integrity security to ensure the contents of a transaction have not been altered in some way by an unauthorized user.
5. The LRS shall contain appropriate audit and control features, including access control and LRS Data retention.
6. The LRS shall use an industry-accepted protocol for User authentication (e.g., Kerberos 5).

7. The LRS shall include the ability to use biometric logon authentication technology for Users.
8. The LRS shall prevent all but CONSORTIUM-specified Users access to the LRS.
9. The LRS shall include screens and views based on an individual User's security profile.
10. The LRS shall ensure that no Disabling Device is placed on, or contained in, any LRS Component.
11. The LRS shall display a message and a control requiring a User's acceptance of the terms and conditions of use of the LRS and LRS Data, prior to allowing any access to the LRS and LRS Data based on security profile.

#### **3.4.1.2 Access Management and Control.**

Access management and control includes establishing User accounts based on job role(s), auditing User accounts, controlling and managing User access, establishing and resetting passwords, and auditing User activity. The LRS shall include Role-Based Access Control (RBAC) and any application-oriented User access management practices and tools shall follow the NIST standard for RBAC.

1. The LRS shall include the ability for User IDs and passwords to be controlled through CONSORTIUM-specified central agents serving as security administrators for the LRS Application Software (Central Security Officers (CSOs)) as well as a limited number of CONSORTIUM-specified agents at each Local Office Site (Local Security Officers (LSOs)).
2. The LRS shall ensure that information and LRS Data is shared only on a "need to know" basis.
3. The LRS shall support RBAC, allowing CONSORTIUM to establish a direct link between a CONSORTIUM-specified User's functional job title and his security profile.
4. The LRS shall allow CONSORTIUM-specified Users to have more than one security profile associated with their User ID.
5. The LRS shall prevent incompatible functions (i.e. conflicting security profiles), as specified by CONSORTIUM, from being assigned to CONSORTIUM-specified Users.

6. The LRS shall include the ability to limit viewing of sensitive case records to authorized personnel, as specified by CONSORTIUM.
7. The LRS shall allow for the creation of special security profiles and security restrictions, such as limited-view, for external stakeholders.
8. The LRS shall include screen, control object, and field level security, in specified User security profiles.
9. The LRS shall include an online means for authorized security personnel to assign, update, or remove User access rights at the individual User level.
10. The LRS shall include the ability to capture computing device ID and Media Access Control (MAC) address information.
11. The LRS shall provide a standard administrative report that provides the following information to CONSORTIUM administrative staff:
  - a. Inactive accounts (i.e., showing no activity by CONSORTIUM-specified Users) for the past 60, 90, and 120 days;
  - b. All CONSORTIUM-specified User accounts suspended during the past 60, 90, and 120 days; and
  - c. All CONSORTIUM-specified User accounts added during the past 60, 90, and 120 days.
12. The LRS shall include a viewable online history of all security profile and functional job title assignments associated with CONSORTIUM-specified Users. The online history shall include:
  - a. The name of the currently assigned security profile;
  - b. The name of the currently assigned functional job title;
  - c. The names of all previously assigned security profiles;
  - d. The names of all previously assigned functional job titles;
  - e. The User ID and name of the CSO or LSO who made each security profile assignment and/or change;
  - f. The User ID and name of the Central Manage Personnel Officer (CMPO) or Local Manage Personnel Officer (LMPO) who made each functional job title assignment and/or change;
  - g. The date and local time of each security profile assignment and/or change;



- h. The date and local time of each functional job title assignment and/or change;
  - i. The workstation ID where the CSO or LSO made the security profile assignment and/or change; and
  - j. The workstation ID where the CMPO or LMPO made the functional job title assignment and/or change.
13. The LRS shall allow for both CSOs and LSOs the ability to unlock CONSORTIUM-specified Users and reset passwords for CONSORTIUM-specified Users.
14. The LRS shall include the ability for CSOs and LSOs to assign CONSORTIUM-specified Users to User groups that have similar access capabilities.
15. The LRS shall disable (i.e., lock out) the User ID after a CONSORTIUM-specified number of invalid logon attempts. The LRS shall allow the visible and audible message and the default number of invalid logon attempts to be modified from time-to-time by CONSORTIUM.
16. The LRS shall log the User off the LRS if no activity has occurred after a CONSORTIUM-specified period of time. The current default is twenty (20) minutes. The LRS shall allow the default period of time to be modified by CONSORTIUM from time-to-time.
17. The LRS shall prevent the User from simultaneously accessing the LRS Application Software from more than one computing device.
18. The LRS shall provide customizable and easily understood visible and audible message to the User when the User attempts to access the LRS Application Software from more than one computing device simultaneously. The LRS shall allow the visible and audible message to be modified from time-to-time by CONSORTIUM.
19. The LRS shall suspend the User ID if the User ID has not logged on to the LRS for a CONSORTIUM-specified number of days. The current default is sixty (60) days. The LRS shall allow the default number of days to be modified by CONSORTIUM from time-to-time.
20. The LRS shall prohibit access by unauthorized Users to the security sub-system and all related security tools.
21. The LRS shall include Digital Certificates X.509 (or later, depending on version at time of implementation) for Internet User verification and non-repudiation.

22. The LRS shall only require a single sign-on by Users to access all functions based on the security profile(s) assigned to a User ID.
23. The LRS shall, to the greatest extent possible, include a means for partner applications to share User authentication and authorization information without the use of cookies.
24. The LRS shall permit access to the LRS by combination of a unique User ID with a valid password.
25. The LRS shall provide a unique User ID for each CONSORTIUM-specified User that accesses the LRS.
26. The LRS shall provide a unique User ID that does not include a User's Social Security number (SSN) or other personally identifiable information.
27. The LRS shall not display the User's password on the logon screen.
28. The LRS shall not store a User's password on a local computing device.
29. The LRS shall include the ability to system-generate the password for the User, whereby the generation, transmission, and internal storage of the password is accomplished in a secure manner based on industry standards.
30. The LRS shall force the User to immediately change his password when a default "starter" password is issued by a CSO, LSO, CONTRACTOR technical staff person, or by the LRS itself via an automated password reset program.
31. The LRS shall allow for variable password lengths that are a minimum of eight (8) characters long. The LRS shall allow the minimum length of the password to be modified by CONSORTIUM from time-to-time.
32. The LRS shall enforce CONSORTIUM-specified password rules that allow the User to establish a password that includes letters, numbers, and special characters. The LRS shall allow the password rules to be modified by CONSORTIUM from time-to-time.
33. The LRS shall restrict passwords for certain character patterns.
34. The LRS shall allow the User to change his password whenever desired.
35. The LRS shall force the User to change his password after a CONSORTIUM-specified period of time. The LRS shall

allow the default period of time to be modified by CONSORTIUM from time-to-time.

36. The LRS shall maintain an encrypted file of passwords for each User in order to prevent the User from “recycling” his password. The LRS shall allow the number of passwords to be maintained to be modified by CONSORTIUM from time-to-time.
37. The LRS shall allow for both CSOs and LSOs the ability to enable and disable existing individual CONSORTIUM-specified User IDs.
38. The LRS shall allow for both CSOs and LSOs the ability to enable and disable one or more groups of existing CONSORTIUM-specified User IDs.

#### **3.4.1.3 Session Management.**

Session management is the process of keeping track of User activity across one or more sessions of interaction with the LRS. LRS session management shall keep track of which services or functions have been invoked by a User and the state of the LRS Data which the function or service is accessing, so that the same state may be restored if the User terminates a current session and initiates a new session at a later time.

1. The LRS shall track the User’s session from the time that the User is authenticated to the LRS to when the session is terminated, either explicitly by the User or implicitly through a specified event such as accidental loss of connectivity, designated period of inactivity, or closure of the main Web browser window.
2. The LRS shall allow only one session per User to be active at any one time.
3. The LRS shall include a means to identify all interactions related to a single User session in such a manner that prevents LRS compromise.
4. The LRS shall allow either the User agent (e.g., the Web browser) or the LRS technical infrastructure (e.g., the Web server) to terminate a session.
5. The LRS shall require that the User re-authenticate when a session is terminated.

6. The LRS shall not cache any User credentials for future use (i.e., display of a User ID after termination of current session for use in starting a new session).
7. The LRS shall terminate a session in the event of any System/network failure.
8. The LRS shall allow the User to resume an interrupted session from the last User action.
9. The LRS shall maintain a history of which LRS functions have been invoked by CONSORTIUM-specified Users and the outcomes of those functions for a period specified by CONSORTIUM.
10. The LRS shall maintain the current state of the last session for CONSORTIUM-specified Users when a session is terminated, including the state of any process and/or function and the LRS Data upon which the function was acting for a period specified by CONSORTIUM.
11. The LRS shall allow CONSORTIUM-specified Users to resume a terminated session, depending on the state of any process and/or function and the LRS Data upon which the process or function was acting at the termination of the session.

#### **3.4.1.4 Role/Profile Management.**

Role/profile management includes the administrative setup of the various roles in the LRS and the privileges associated with each role. Each CONSORTIUM-specified User shall be assigned a unique User ID by the LRS. All other Users shall be assigned a guest User ID by the LRS. Each User may be assigned to one or more roles. The LRS shall flag conflicting roles.

1. The LRS shall allow an LRS system administrator/security officer to create roles/profiles which define the User's permissions regarding access to both LRS functions (operations) and objects (e.g., LRS Data, screens, reports, case records).
2. The LRS shall ensure that a change made to a specific User's access, or denial of access, is updated to the LRS in real-time mode, so that the User may have immediate access, or immediate denial of access, to the LRS or a function within the LRS.

3. The LRS shall provide CSOs the ability to create or modify a security profile for a group of Users online in real-time, so that those Users may have immediate access to a function added to a profile, or immediate denial of access to a function removed from the profile.
4. The LRS shall include a means to prevent LSOs from assigning CONSORTIUM-specified security profiles to Users.
5. The LRS shall provide a unique visual indication (e.g., grayed out) for readable fields and screens that are not updateable by the User, based on the User's security profile.
6. The LRS shall include the ability to define the restrictions associated with a User's security profile such as access from an IP address, access to an LRS Application Software menu item, type of transaction, LRS Data field, and other CONSORTIUM-specified criteria.
7. The LRS shall include a viewable online history of all changes made by CSOs to the design of a security profile. The online history shall include the following:
  - a. The name of the security profile;
  - b. The transactions, windows, screens, fields, and controls added to, or deleted from, a security profile;
  - c. The User ID and name of the CSO making the change(s);
  - d. The date and local time of the change; and
  - e. The workstation or laptop ID where the change was performed.
8. The LRS shall allow CSOs full access control to change the levels of LRS Application Software security without the assistance of technical specialists such as programmers.
9. The LRS shall allow for the creation of specific User security profiles in order to limit the ability to access certain parts of the LRS network and/or the LRS Application Software, including menus, screens, windows, and functions.

#### **3.4.1.5 Security Monitoring and Auditing.**

This includes the tools for recording and analyzing system events appropriate to security.

1. The LRS shall utilize appropriate tools to monitor LRS access, access attempts, and usage.

2. The LRS shall detect and log all unauthorized access attempts.
3. The LRS shall generate security reports that assist CONSORTIUM-specified Users and CONTRACTOR technical personnel in monitoring LRS security.
4. The LRS shall generate security reports that are available in real-time mode.
5. The LRS shall generate security reports that include the following:
  - a. List of security events and alerts for all servers, workstations, and laptops in the LRS;
  - b. Description and properties of security events and alerts for all servers, workstations, and laptops in the LRS;
  - c. CONSORTIUM-specified Users' properties, including last password change, last logon and logoff date and time, total number of logons, and number of failed logon attempts;
  - d. CONSORTIUM-specified Users' account details, searchable by criteria (e.g., disabled accounts, locked out accounts, expired password accounts, remote access accounts);
  - e. Last logon by account (e.g., a list of CONSORTIUM-specified Users, sorted by the number of days since the last logon to the LRS);
  - f. Invalid logon attempts;
  - g. Logon violations by local time;
  - h. Logon violations by User ID and User name;
  - i. Logon violations by workstation or laptop ID;
  - j. Logon violation trends by day;
  - k. Multiple logon violations by User ID in the last 24 hours;
  - l. List of domains and Local Office Sites;
  - m. List of CONSORTIUM-specified Users by domain and/or Local Office Site;
  - n. List of CONSORTIUM-specified Users at a Local Office Site, with name and User ID, along with their assigned security profiles;
  - o. User account changes;
  - p. List of security profiles;

- q. List of security transactions within a security profile; and
  - r. List of LRS Application Software screens and windows within a security transaction.
6. The LRS shall generate browser-based security reports that are viewable, sortable, and printable.
  7. The LRS shall not permit any modification to audit trail data.
  8. The LRS shall make available audit trails for online inquiry for up to twelve (12) months after the last auditable action on a case or case individual.
  9. The LRS shall include provisions for the retrieval of audit trails after twelve (12) months from the last activity on a case or case individual, which may include the storing of audit trail data on machine-readable media.
  10. The LRS shall include the ability for CSOs to access all security audit logs.
  11. The LRS shall include logging of all transactions by date, time, workstation or laptop ID, MAC address, User ID, User name, and transaction performed.
  12. The LRS shall include User ID tracking through all levels of the LRS.
  13. The LRS shall make available audit trails to trace User and LRS-initiated actions for all case update and inquiry transactions.
  14. The LRS shall allow CONSORTIUM-specified Users to search transaction logs with parameters that include:
    - a. User's full name;
    - b. User's first name;
    - c. User's last name;
    - d. Employee number;
    - e. User ID;
    - f. User security profile;
    - g. User functional job title;
    - h. Workstation or laptop ID;
    - i. Applicant/participant's full name;
    - j. Applicant/participant's first name;
    - k. Applicant/participant's last name;
    - l. Case name;

- m. Case number;
- n. Claim number;
- o. Welfare fraud assignment number;
- p. Application number;
- q. Screen ID name;
- r. Screen ID number;
- s. Program type;
- t. Office;
- u. Unit;
- v. Section;
- w. File;
- x. Worker;
- y. Vendor ID; and
- z. Vendor name.

15. The LRS shall allow for the searching of transaction logs and audit trails at any single point in time, or any open-ended period of time. A search involving open-ended periods of time shall be limitless in the beginning and end dates of the search.

#### **3.4.1.6 Alert and Notification.**

The LRS shall provide automated alerts relative to security and unusual activity and be capable of sending a message to the security administrator.

1. The LRS shall be capable of notifying CONSORTIUM-specified Users, such as CSOs, when a User's security profile has been changed a CONSORTIUM-specified number of times within a CONSORTIUM-specified time period.
2. The LRS shall be capable of notifying CONSORTIUM-specified Users, such as CSOs, when a User's password has been changed or reset a CONSORTIUM-specified number of times within a CONSORTIUM-specified time period.
3. The LRS shall be capable of notifying a CONSORTIUM-specified User, such as a BCTS Division Chief, when the CSO's security profile has been modified.



**3.4.1.7 Encryption.**

1. The LRS shall comply with all encryption requirements specified by FIPS Publication 140-2, “Security Requirements for Cryptographic Modules”, and any addendums and other revisions thereof, for encryption levels appropriate to the LRS Application Software.
2. The LRS shall comply with all encryption requirements specified by CONSORTIUM policies and procedures, and any addendums and other revisions thereof, for encryption levels appropriate to the LRS Application Software.
3. The LRS shall encrypt all LRS Data in transit and at rest.
4. The LRS shall provide LRS Data encryption to ensure the security of the LRS from all points of entry.
5. The LRS shall encrypt passwords for transmission.
6. The LRS shall maintain any password list(s) in an encrypted format.
7. The LRS shall encrypt all backup data.

**3.4.2 Presentation.**

The LRS Presentation/Interface layer specifies the nature of the interface between the User and the LRS Application Software, as physically represented on the video display of a computing device or self-service kiosk. Display elements include both static (i.e., a pre-defined, unchanging graphical interface) and dynamic/server side (i.e., creation of graphical user interfaces with the ability to change while the LRS Application Software is running). CONSORTIUM has specified a set of appropriate standards and requirements for content presentation as well as basic design principles. Throughout the design and development of the LRS Application Software, as well as for any subsequent Application Software Modifications and/or Enhancements, the LRS Application Software’s presentation, User interface, and navigation features shall be validated through formal and documented usability testing. DPSS Systems and DCFS Systems terminology, field names, and relationship of data elements to screens shall be used, to the greatest extent possible and when practical, in order to minimize User training for the LRS Application Software.

1. The LRS User interface shall logically organize information in order to allow the User to access and operate on all relevant LRS Data within an individual Web page, independent of all other Web pages, wherever possible.
2. The LRS online portion of the LRS Application Software shall have a view that is efficient yet uncluttered, with a logical organization of information presented to the User.
3. The LRS shall present a consistent look and feel throughout the LRS Application Software. The display of the LRS Application Software Web pages shall be consistent in the placement of function buttons, common instructions, menus, and fields.
4. The LRS shall use plain language for any alerts, notifications, or reminders and the subsequent actions to be taken in response.
5. The LRS shall allow the User to move easily from one portion of the LRS Application Software to another in the least amount of time and with the minimum number of User actions (e.g. keystrokes or mouse), including the following features:
  - a. The ability to move to the next Web page, prior Web page, and the Web page that called the current Web page;
  - b. The ability to go to the next LRS Data entry area (e.g., text box, drop down menu, icon, etc.), prior LRS Data entry area, and the LRS Data entry area that called the current LRS Data entry area;
  - c. The ability to save, send, clear, reset, or delete information from a page and/or screen;
  - d. The ability to access Help Web pages by field and by Web page; and
  - e. The ability to move and display between multiple cases.
6. The LRS online portion of the LRS Application Software shall incorporate a solution that minimizes the need for Web pages to refresh every time the User enters or receives new data.
7. The LRS Application Software shall include appropriate prompts to facilitate ease of use for the User.
8. The LRS shall provide the User with feedback and lead the User through the various LRS Application Software functions.
9. The LRS online portion of the LRS Application Software shall make use of expandable and collapsible items that allow the User to see information detail without the need to navigate to additional Web pages.
10. The LRS online portion of the LRS Application Software shall make use of hyperlinks in order to save time for the User and to take the User directly to the Web page holding additional information. For example, if a case summary Web page indicates “income”, there shall be a

hyperlink that takes the User to an “income detail” Web page directly, without the need for the User to take the time to search the LRS Application Software for the appropriate Web page.

11. The LRS online portion of the LRS Application Software shall include LRS Data entry processes that include manual text entries, and shall also make use of function keys and icons to reduce the keystrokes needed for efficient LRS Data entry through the use of pop-up windows, pop-up calendars, pull-down menus, labels, mouse support, tabs, check boxes, radio buttons, and icons.
12. The LRS shall include a cursor which is visually easy to locate on each Web page.
13. The LRS shall provide an indicator if a delay is encountered in completing the User’s request. This indicator shall be informational and, if possible, include some indication of the progress in completing the User’s request.
14. The LRS shall be designed in such a way so that the User is not required to directly enter LRS Data in the form of codes. The LRS shall include the following support features for handling codes:
  - a. Descriptions shall be displayed in an understandable text format, although the LRS may internally store the description(s) by abbreviated code;
  - b. The LRS shall allow the User to move a cursor, mouse, light bar or other navigation device to the non-code text description to select that entry;
  - c. The LRS shall include modifiable tables, that CONSORTIUM-specified Users may access, in order to hold the codes and their text descriptions, as they will change frequently;
  - d. The LRS’s Web page displays and reports that utilize the “coded” LRS Data elements shall display the text descriptions so that the actual codes are never seen by the User; and
  - e. The LRS may allow a very limited number of abbreviations when they are commonly understood (e.g., “Y” for Yes and “N” for No).
15. The LRS shall display the current date and time on all Web pages.
16. The LRS shall display the current User ID on all Web pages.
17. The LRS shall display a screen name and screen ID on all screens.
  - a. The LRS shall place the Web page (s) in a consistent location throughout the LRS Application Software and at a place that is visually easy to locate; and

- b. The LRS shall clearly distinguish sub-pages as unique from a “parent” Web page as well as from the other sub-pages derived from the “parent” Web page.
- 18. The LRS shall provide the User with an easily viewed navigation structure that allows him to know where he is at all times and can easily return him to a desired starting point, including the LRS “home” logout Web page with a single action from anywhere within the LRS navigation structure.
- 19. The LRS shall immediately transfer LRS Data values from “pop-ups” to the appropriate field when selected and proceed to the next LRS Data entry field.
- 20. The LRS shall allow default values to be designated for specific actions or LRS Data fields.
- 21. The LRS shall adjust required LRS Data based upon answers to previous questions.
- 22. The LRS shall allow the use of data-driven branching logic to develop the LRS screen-based workflows. This shall enable the design of an interactive workflow wherein the LRS User interface shall branch to the appropriate next question based on previous sets of responses and other existing LRS Data.
- 23. The LRS shall include tools to design and automate the screen-based workflow that facilitate an underlying business process or sub-process. These tools shall allow for the design and testing of the workflow without the need for programming (e.g., the tools would include a graphical editing and simulation tool for defining and verifying screen-based workflows).
- 24. The LRS workflow tools shall allow for the development of screen and Web page flows that progress logically with no break in functionality (e.g., returning to the LRS home page unnecessarily). The screen flow shall return the User to a default starting point that follows logically from his completion of the previous task.
- 25. The LRS shall ensure that any LRS Data entered propagates to all affected pages, screens, tables, and indexes based on the needs of the underlying business processes and/or sub-processes.
- 26. The LRS shall amend the navigation sequence of activities as activities are completed, outcomes are determined, and dependencies are satisfied.
- 27. The LRS shall include an automated flow in a logical progression of LRS Data and Web pages in order to enhance User orientation and familiarization of the LRS yet allow deviations as desired by the User.

28. The LRS shall include rules-based LRS Data entry to prevent inconsistencies in LRS Data. The LRS shall alert the User, through edit checks, if the information that has been entered is incorrect or does not conform to predefined requirements. The LRS shall also indicate that LRS Data has been correctly entered.
29. The LRS shall validate LRS Data at the point of entry based on defined rules.
30. The LRS shall provide that required LRS Data entry fields on each screen be obvious to the User, such as through the use of a different color.
31. The LRS shall flag or highlight missing LRS Data based on data integrity, data validation, and program rules.
32. The LRS shall direct the User to the location where LRS Data entry errors occur.
33. The LRS shall force the User to make necessary corrections to LRS Data entry before allowing the User to go to the next LRS Data entry field or page.
34. The LRS shall contain table-driven error messages that appear in a standard format, in a consistent location on each screen, and are written in plain text and easily understood in order to assist the User in correcting LRS Data entry errors.
35. The LRS navigation structure shall permit designated components, modules, screens, windows, and Web pages to be accessible from any point in the LRS.
36. The LRS shall allow the User to return to the previous Web page(s) and add or modify LRS Data, unless specifically prohibited and stated clearly to the User that they may not return to the previous Web page.
37. The LRS shall use USPS-compliant and CASS-certified (Coding Accuracy Support System) technology to validate address information (e.g., address line, city, state, ZIP code, and ZIP+4) entered by the User at any point within the LRS Application Software, and shall force the User to make any necessary corrections to the address information before the LRS Application Software accepts it. The LRS shall include the ability for CONSORTIUM-specified Users to override the validation, as some addresses may be so new or are not included in the supplied data reference tables. Data reference tables shall be kept current and shall be updated within thirty (30) days of the release of any new data reference tables.
38. The LRS shall transfer LRS Data input gathered from interactive questions onto the appropriate CONSORTIUM, State, and federal application and eligibility maintenance forms for manual download and printing.

39. The LRS presentation, User interface, and navigation features shall be fully validated through the use of formal and documented usability testing prior to implementation in the production environment.

**3.4.2.2 Online Documentation and Help.**

1. The LRS shall include online documentation and/or Help functions that are:
  - a. Available to LANet/EN Users and Internet Users;
  - b. Context (field) specific;
  - c. Screen specific;
  - d. Supplied with the LRS;
  - e. Updated to reflect changes made for CONSORTIUM;
  - f. Updated with new enhancements and releases;
  - g. Possible to update with CONSORTIUM-specific text;
  - h. Linked directly to the LRS Data dictionary for each field;
  - i. Will display field-level edits in effect; and
  - j. Updateable by CONSORTIUM-specified Users.
2. The LRS shall include the ability to associate related content (e.g., documents, manuals, forms, and publications) to one another.
3. The LRS shall present any Help pages and/or screens so as to prevent obstruction of the existing page, screen, menu, or field that is involved in the Help session.
4. The LRS shall include context sensitive Help features, providing assistance related to the LRS Data or Web page from which the Help feature was accessed, including internal hyperlinks to LRS Help and external hyperlinks to departmental policies and procedure manuals, memorandums, bulletins, and other relevant departmental online information.
5. The LRS shall include “Show me how to” features, coaches, and expert systems along with “What’s this?” activation to facilitate User access to more detailed online Help functions.
6. The LRS shall include a Help file system that contains key word search capabilities (index) and a full glossary of all terms and contents with hyperlinks.
7. The LRS online documentation and/or Help functions shall include search capabilities.

8. The LRS online documentation and/or Help functions shall include the ability to “hotlink” to other pertinent Help topics within the Help document.
9. The LRS online documentation and/or Help functions shall include the ability to “hotlink” to other pertinent Web-based sites on CONSORTIUM intranets or the Internet.
10. The LRS online documentation and/or Help functions shall include an online LRS Handbook for reference by CONSORTIUM-specified Users, with search capabilities.
11. The LRS online documentation and/or Help functions shall be consistent with all other written materials produced by CONTRACTOR or CONSORTIUM.
12. The LRS shall include online documentation and/or Help that can be viewed online and/or printed to a local printer as desired.
13. The LRS shall include, for CONSORTIUM-specified Users, an easily identifiable LRS Application Software version number, version date, and a hyperlink to a current version details explanation on the main page of the LRS Application Software.
14. The LRS shall include, for CONSORTIUM-specified Users, a hyperlink to detailed information describing the details of previous versions of the LRS Application Software.
15. The LRS shall allow CONSORTIUM-specified Users to capture appropriate hyperlinks to commonly used LRS Application Software pages, LRS reference documentation, and online Help.

#### **3.4.3 Business Logic.**

The Business Logic Layer specifies the software, protocol, or methodology by which business rules are enforced within the LRS Application Software. Ideally, the description of the business logic should conform to a standard that is platform independent, i.e., able to execute and run on any type of server platform that is supported by the software which can interpret the business rule description.

1. The LRS shall enable the integration of proposed and third party applications, as appropriate.
2. The LRS shall, to the maximum extent possible, make extensive use of tables

3. The LRS shall contain table-driven fields that appear in a standard format, such as in a drop-down menu, and are written in plain text and easily understood (e.g., no table codes, “disabilities” instead of “05”).
4. The LRS shall include a secure interface that allows CONSORTIUM-specified Users the ability to update business logic and reference information (tables).
5. The LRS shall allow CONSORTIUM-specified Users the ability to make corrections or modifications to text-based forms within the LRS (e.g., NOAs) without the assistance of technical programmers.
6. The LRS shall use the correct version(s) of reference tables in order to apply the correct rules in determining eligibility status and benefit calculations, based on rules and edits in effect for the time period(s) being evaluated.
7. The LRS shall maintain all versions of reference tables so that they are available for viewing by CONSORTIUM-specified Users.
8. The LRS shall ensure that any reference tables within the LRS cross-reference each other in order to validate information across corresponding reference tables and across screens in the LRS.

#### **3.4.4 Data Management.**

The Data Interchange Layer and Data Management Layer together provide the structure (i.e., schema), the contents, and the administration of the LRS Data. In accordance with CONSORTIUM standards, the underlying database management system (DBMS) shall be fully relational and support current industry standards (e.g., ODBC, OLTP, OLE-DB, ADO). The DBMS shall offer full referential integrity and support American National Standards Institute Structured Query Language (ANSI SQL) standards.

The LRS shall include a multi-platform commercially available database management system. The DBMS solution selected by CONTRACTOR shall interact seamlessly with CONSORTIUM’s relational database management system (RDBMS) preferred standard. CONSORTIUM has standardized on Oracle 10g as its relational DBMS.

1. The LRS shall include a CONSORTIUM-specified RDBMS solution that is compatible with CONSORTIUM’s RDBMS solution. The current CONSORTIUM standard is Oracle 10g.



2. The LRS DBMS shall be fully relational and support current industry standards for database connectivity (to include ODBC, OLE DB, ADO, and possibly JDBC) and offer full referential integrity.
3. The LRS DBMS shall support ANSI SQL standards.
4. The LRS DBMS shall include an active LRS Data dictionary that is integrated with all tools supplied for application development and ad hoc database access.
5. The LRS DBMS shall include an activity-monitoring feature to maintain statistics such as those on performance, disk I/O, and index usage/non-usage.
6. The LRS DBMS shall include record locking techniques for concurrence control and transaction processing.
7. The LRS DBMS include the ability to control User access to LRS Data by a central database administrator.
8. The LRS DBMS shall allow CONSORTIUM-specified technical Users the ability to access, modify, and manage LRS Data in all processing environments.
9. The LRS DBMS shall include LRS Data rollback functionality.
10. The LRS shall include a production environment database that allows access to the entire CONSORTIUM welfare caseload with minimal impact on access response times.
11. The LRS shall maintain its LRS operating system and non-database files on storage systems separate from the DBMS and LRS Data.
12. The LRS shall include a strategy for archiving a portion of its production environment database for history maintenance, based on CONSORTIUM-specified rules.
13. The LRS shall include a robust archiving component that allows CONSORTIUM-specified Users the ability to control by data object/file/class all parameters associated with archiving, such as length of retention as well as a fully functional retrieval from archive capability.
14. The LRS shall allow CONSORTIUM-specified Users to select closed cases and records which shall remain in the online database rather than being archived to off-line storage according to the standard archival rules for the subject LRS Data.
15. The LRS shall include the ability to auto-recover or re-create an archived case record upon request.
16. The LRS shall include the ability to access and/or restore LRS Data from older backup media.

17. The LRS shall maintain online case LRS Data consistent with CONSORTIUM, State, and federal case record retention requirements.
18. The LRS shall create and queue jobs for unattended processing.
19. The LRS shall include procedures that can restart the LRS from a given checkpoint in the batch processing process without running the entire batch process from the beginning.
20. The LRS shall include the ability to restart processing that includes LRS Data integrity and processing reliability features.
21. The LRS shall enforce referential integrity of its databases in order to maintain the relationships for associated information in multiple tables.
22. The LRS shall support multiple data types such as characters, strings, integers, decimals, Binary Large Objects (BLOB), and precision decimals, in order to ensure all LRS Data can be stored.
23. The LRS shall include a database engine monitor in order to manage application resource utilization.
24. The LRS shall include a variety of search capabilities and algorithms available to include Soundex (phonic), partial name, cumulative, exact, wild card, Boolean, and fuzzy search.
25. The LRS shall include the ability to perform, group, sort, and display multiple searches in the “background” while the User continues to interact with the LRS to perform other work.
26. The LRS shall include the ability to search multiple databases.
27. The LRS shall include the ability to perform mass record changes.
28. The LRS shall allow multiple CONSORTIUM-specified Users to inquire on the same case record concurrently.
29. The LRS shall prevent the concurrent updating of the same records and/or fields by more than one User.
30. The LRS shall include a query analyzer.
31. The LRS shall include Online Analytical Processing (OLAP) tools in order to support the analysis of multidimensional data.

#### **3.4.4.2 Data Exchange.**

1. The LRS shall be capable of using XML, secure point-to-point connections, direct database accessing, WebMethods, FTP, and other protocols to integrate various services and systems.
2. The LRS shall be capable of using SOAP messaging protocols in order to encode the information in Web services request and response messages before transport over the network.

#### **3.4.4.3 Data Analysis and Reporting.**

Data analysis and reporting encompasses a set of critical functional services for CONSORTIUM-specified Users, including the tools, languages, and protocols used to extract LRS Data from a data store and process it into useful information. A major emphasis in CONSORTIUM technical requirements is on a user-friendly reporting system that provides timely, accurate, and reliable information to CONSORTIUM-specified Users without adversely impacting the performance of the production environment. The numerous reports required by the LRS include:

- State and federally mandated reports
- Month-end reports
- Statistical reports
- Case management reports
- Internal management reports
- Ad hoc reports

The LRS shall include reporting functionality flexible enough to produce these reports readily without requiring significant customization by CONTRACTOR or CONSORTIUM Users. To the greatest extent possible, reports shall be Web-based and available online, so that the User may view and/or print reports locally, as needed. The LRS shall include a solution that optimizes performance of the reporting system, while also ensuring the integrity of LRS Data used for the reports.

1. The LRS shall include reporting capabilities for all processing environments.
2. The LRS shall maintain a copy of the most current database of all production environment LRS Data for the purposes of ad-hoc reporting.
3. The LRS shall support the online viewing of batch reports that indicate everything occurring during batch cycles.

4. The LRS shall retain online access to reports for minimum specified periods of time prior to archiving:
  - a. Daily reports: 120 days;
  - b. Weekly reports: 26 weeks;
  - c. Monthly reports: 12 months;
  - d. Quarterly reports: 12 quarters; and
  - e. Yearly reports: 3 years.
5. The LRS shall include a specified strategy for archiving and accessing, for reporting purposes, production environment LRS Data up to seven (7) years old that is not available for online access.
6. The LRS shall include a specified strategy for archiving ad-hoc documents and reports.
7. The LRS shall enforce referential integrity of its reporting databases to ensure that actions such as change and delete on entity entries are correctly applied to all associated table entries to prevent orphaned rows in those tables and to ensure accuracy of the LRS Data for reports.
8. The LRS reporting environment database shall be compliant with industry standards for open database connectivity, such as ODBC.
9. The LRS shall allow an unlimited number of CONSORTIUM-specified Users to access the reporting database concurrently without degradation in the daily and normal operation and performance of the LRS.
10. The LRS shall ensure that the generation and printing of reports does not interfere with the daily and normal operation and performance of the LRS, as specified by CONSORTIUM.
11. The LRS shall include a strategy for ongoing tuning of the reporting environment database after Consortiumwide Implementation in order to ensure that the production environment and other processing environments continue to meet or exceed performance requirements, as specified by CONSORTIUM.
12. The LRS shall include real-time access to information and reports shall be available on demand during morning and afternoon peak production environment usage periods with response times that meet or exceed CONSORTIUM-specified requirements.

13. The LRS shall include dedicated network circuits and processing power (e.g., servers) for the reporting environment.
14. The LRS shall centrally generate scheduled reports (certain mandated CONSORTIUM, State, and federal reports) and be capable of distributing the reports online to CONSORTIUM-specified Users.
15. The LRS shall include the ability for the on-demand generation of all reports specified by CONSORTIUM.
16. The LRS shall include a mechanism for the easy transfer and placement onto the Internet those reports and statistical LRS Data that are considered a matter of public record.
17. The LRS shall include the ability to develop, execute, save, and modify queries and reports based on CONSORTIUM-specified User criteria.
18. The LRS shall allow CONSORTIUM-specified Users to access, generate, and print reports locally without the need for outside technical assistance.
19. The LRS shall allow CONSORTIUM-specified Users to extract ad-hoc LRS Data and reports at any point-in-time without waiting for established report periods.
20. The LRS shall utilize industry standard packages and applications for the extraction and processing of LRS Data from the LRS databases, including:
  - a. Cognos, which is the CONSORTIUM standard business intelligence software; and
  - b. CONSORTIUM data warehouse(s) using Oracle tools and processes.
21. The LRS shall include Cognos' flexible report sorting capability.
22. The LRS shall include Cognos' ability to request and format selected LRS Data using parameter-driven capabilities.
23. The LRS shall include a Cognos' report writer that can be used throughout the LRS Application Software with all business processes.
24. The LRS shall include a Cognos' report writer that includes the following characteristics:
  - a. Browser-based;
  - b. SQL-based;
  - c. Compliant with industry standards;

- d. Ability to create reports entirely with a “point and click” method that requires no special commands be remembered to create a report, if so desired by the CONSORTIUM-specified User;
  - e. Ability to set size limits for User-generated reports using parameters that can be restricted by a system administrator;
  - f. Ability to store reports in an LRS Repository available only to CONSORTIUM-specified Users authorized at the report level;
  - g. Ability to generate and store reports in HTML, XML, ASCII, .dbf, PDF, spreadsheet, comma delimited format;
  - h. Ability to preview reports online and modify print options in print-preview mode;
  - i. Ability to download reports in electronic format (using CONSORTIUM-specified version of the Microsoft Office suite format); and
  - j. Ability to track by census tract, Supervisorial District, SPA, and other geographic areas, as specified by CONSORTIUM.
25. The LRS shall be able to generate reports, processed, or raw LRS Data, in multiple output formats (e.g., HTML, XML, ASCII, .dbf, PDF, spreadsheet, comma delimited) and to a selection of media (e.g., online, hard copy, CD-ROM, DVD).
26. The LRS shall be able to generate standard forms populated with LRS Data in the reporting environment database without depending on extensive customization.
27. The LRS shall include the ability to generate routine reports in a prescribed format, as specified by CONSORTIUM.
28. The LRS shall print the CONSORTIUM logo on demand to eliminate the need for pre-printed forms (OLE-capable).
29. The LRS shall include the ability to create summary reports or online screens with User-requested information.
30. The LRS shall include the ability to develop, generate, and save statistical reports.
31. The LRS shall include the ability to generate trend analysis across historical LRS Data.
32. The LRS shall include a mechanism in which future trends, based on historical LRS Data, can be forecast by the use of statistical or analytical data tools.

33. The LRS shall include the capability for what-if analysis reporting.
34. The LRS shall include the ability to randomly extract LRS Data for statistical purposes, testing, or other reporting activities, as specified by CONSORTIUM.
35. The LRS shall include the ability to convey statistical information via graphical means (e.g., charts, graphs, and other graphical representations).
36. The LRS shall include extensive “drill down” capabilities to view components of summary reports.
37. The LRS shall support automated or User-specified generation of activity or inactivity reports.
38. The LRS shall allow CONSORTIUM-specified Users to download and save reports to the User’s workstation or laptop.
39. The LRS shall allow CONSORTIUM-specified Users the option of viewing reports and/or printing them as needed.
40. The LRS shall include screen-print capability.
41. The LRS shall include print preview capabilities for standard and ad hoc reports, indicating the length of the report and other pertinent printing information.
42. The LRS shall create, update, and print location-specific standard and ad hoc reports and print those reports to the appropriate location.
43. The LRS shall include the ability for appending miscellaneous text or LRS Data files to standard and ad hoc reports.
44. The LRS shall include the ability to combine LRS Data with data from other applications in the same report.
45. The LRS shall include the ability to create reports and save the structure so that the report can be generated in the future on a scheduled or requested basis.
46. The LRS shall include an automated production schedule report accessible online to CONSORTIUM-specified Users.
47. The LRS shall track transactions and generate a transaction report to CONSORTIUM-specified Users on demand, according to CONSORTIUM specifications.
48. The LRS shall include the ability to define key fields for rapid searching and reporting.
49. The LRS shall include the ability to search for multiple, or any combination of, items in a single search.

50. The LRS shall allow CONSORTIUM-specified Users to cancel a report run before the end of the job.
51. The LRS shall include simple and easy-to-understand error messages to CONSORTIUM-specified Users if a report fails.
52. The LRS shall record error messages in a log if a report fails.
53. The LRS shall allow CONSORTIUM-specified Users an automated access methodology to data residing in other CONSORTIUM databases (e.g., District Attorney, GAIN) for reporting purposes.
54. The LRS shall use consistent criteria and definitions for reporting purposes across differing databases, in order to maximize consistency and reliability of reports.
55. The LRS shall be able to receive reports from other systems (e.g., EBT, IEVS).
56. The LRS shall include user-friendly online Help and tutorials for the reporting system that includes the following:
  - a. Brief description of the report;
  - b. Help in reading the report; and
  - c. Help in navigating, sorting, and printing.
57. The LRS shall include online training materials in order to enhance User efficiency and productivity while using the ad hoc reporting system.
58. The LRS shall include the ability to stop the processing of a query search at any point in the process.
59. The LRS shall include a mechanism to track User requests for reports.

### **3.5 SERVICE INTERFACE AND INTEGRATION:**

Service Interface and Integration refers to the collection of technologies, methodologies, standards, and specifications that govern how information is securely communicated, transported, and exchanged both internally within the LRS and externally by the LRS. The LRS shall interface to other systems as well as share services with additional CONSORTIUM applications and services.

1. The LRS shall provide LRS Data extracts to the requestor via secure FTP or other media, as requested by CONSORTIUM (e.g. data files, DLT, CD-ROM, DVD).



2. The LRS shall interface and download/upload LRS Data securely using standard file formats.
3. The LRS shall include the appropriate middleware tools/components for integrating with other systems.
4. The LRS shall include the appropriate APIs necessary for integrating third-party tools.

**3.5.1 Document Management Services:**

The use of electronic document management services is intended to reduce user errors, minimize paperwork, lower printing and document storage costs, and provide more efficient and less duplicative efforts in serving applicants and participants. Document management services shall be integrated into the design of the LRS.

1. The LRS shall provide seamless integration to commercially available document management systems. The existing CONSORTIUM document management system is Computer Automated Scanning and Tracking (CAST).
2. The LRS shall, without User intervention, be updated with information regarding links to images related to a case or individual stored in external document management systems and shall store such links in the LRS Data.
3. The LRS shall include integration, storage and retrieval of CONSORTIUM-specified document management services which may be internal or external to LRS Data and may include:
  - a. Paper document imaging (e.g., CAST);
  - b. E-mail;
  - c. Fax;
  - d. Document images in formats specified by CONSORTIUM; and
  - e. Electronic signatures.
4. The LRS shall support archiving of any document management services images that are stored within the LRS, integrated with the case information archiving.
5. The LRS shall maximize the utilization of paperless systems and workflow technology for User entry of approvals.
6. The LRS shall, when an image is stored within the LRS, have the image indexed and available for online viewing and/or printing as needed.

7. The LRS shall, when an image is archived within the LRS, have the ability to retrieve the image linked to active or historical case records and/or individual records and deliver the image to the CONSORTIUM-specified User.
8. The LRS shall enable or prohibit the editing of images as specified by CONSORTIUM.
9. The LRS shall, for an image stored within the LRS, have the ability to link the database record with the image.
10. The LRS shall provide access to case history and use previously validated LRS Data to allow comparison and to avoid reentry of existing information including: birth records, Social Security numbers, and citizenship documentation.
11. The LRS shall support bar-coding technologies for current and future business processes, as specified by CONSORTIUM.
12. The LRS shall be able to capture, store, and display electronic signatures and signature dates.
13. The LRS shall support optical character recognition (OCR) for the capture of information to a screen, case comment, or database as specified by CONSORTIUM.

**3.5.2 Internal and External System Interfaces:**

The LRS shall support secure automated, integrated internal and external system interfaces with CONSORTIUM and external agencies. The LRS shall interface with over sixty (60) systems at the federal, State, and CONSORTIUM levels. Section 4 (Summary of Required LRS Interfaces) of this Exhibit B lists the systems that may interface with the LRS. To the greatest extent possible, interface activities shall be scheduled to occur at times which shall have the least impact on LRS performance and the least disruption to User activity.

1. The LRS shall enable the sharing of information across multiple agencies.
2. The LRS shall include automated, integrated interfaces with CONSORTIUM and external agencies' known interfaces, as specified in Section 4 (Summary of Required LRS Interfaces) of this Exhibit B.
3. The LRS shall, to the greatest extent possible, schedule batch interface actions to occur at a time that shall least affect LRS performance, as specified by CONSORTIUM.

4. The LRS shall coexist with external agency applications residing on the workstation or laptop without creating configuration issues or response time issues.
5. The LRS shall alert CONSORTIUM-specified Users of any changes to an individual or case record resulting from updates through an interface.
6. The LRS shall take action on external data received from interfaces, without intervention by CONSORTIUM-specified Users, if possible, or direct the change to the appropriate staff via LRS notification if automatic action cannot be taken.
7. The LRS shall track updates to the database made as a result of external data received, along with the source of the data.
8. The LRS shall include the ability, via interfaces, to implement changes triggered by policy changes or mass financial changes.
9. The LRS shall implement mass changes through interfaces without affecting performance.
10. The LRS shall be capable of producing reports of cases affected by mass changes.
11. The LRS shall produce reports of System interface processes that are not completed successfully.
12. The LRS shall allow CONSORTIUM-specified Users to view files and LRS Data received through interfaces in a user-friendly and easily understood format.
13. The LRS interfaces shall be evaluated for exception processing.

### **3.6 LRS PERFORMANCE REQUIREMENTS:**

The performance requirements of the LRS are of major importance to CONSORTIUM, They are described in two (2) areas: (i) general performance requirements, as set forth in Subsection 3.6.1 (General Performance Requirements), and (ii) performance requirements that include specific measurements, as set forth in Subsection 3.6.2 (Certain Performance Requirement Measurements).

#### **3.6.1 General Performance Requirements.**

1. The LRS shall include CONSORTIUM-approved online LRS performance monitoring tools and failure alert monitoring tools which shall be made available online to no less than twenty-five (25) CONSORTIUM-specified Users. Tools shall be available for monitoring the LRS, including:
  - a. Central Sites Services;

- b. Print Facility Sites Services;
  - c. Enterprise Connecting Hardware;
  - d. Project Office Services;
  - e. M&O Services;
  - f. M&E Services; and
  - g. Any other LRS components, goods and services.
2. The LRS shall include all CONTRACTOR internal LRS performance monitoring tools used by CONTRACTOR and these tools shall be made available online to twenty-five (25) CONSORTIUM- specified Users.
  3. The LRS shall include CONSORTIUM-approved performance monitoring reports for each performance requirement set forth in Subsection 3.6.2 (Performance Requirement Measurements). These reports shall be available to CONSORTIUM online and in hard copy and electronic formats, as specified by CONSORTIUM, and shall include:
    - a. Daily detail and summary;
    - b. Monthly detail and summary; and
    - c. One combined monthly report on all performance requirements.
  4. The LRS capacity shall be such that the LRS performance requirements shall be met while LRS performance monitoring tools are running.
  5. The LRS batch processing shall not prevent online access to LRS during Prime Business Hours and Off Prime Business Hours.
  6. The LRS batch processing shall process all transactions entered by Users up to 9:00 p.m., Pacific Time, on any day to be completed by 6:00 a.m., Pacific Time, the next day.
  7. The LRS batch processing shall process all transactions generated by the LRS during batch processing on any day to be completed by 6:00 a.m., Pacific Time, the next day.
  8. The LRS batch processing shall not compete with Peak Usage Hours online processes for LRS system resources.
  9. The LRS batch processing shall not adversely affect LRS availability and response times, and, shall not degrade online processes.
  10. The LRS batch processing cycle shall be monitored through an automated scheduling package that shall report on both the scheduled start and stop times for the batch jobs and the actual start and stop times for the batch jobs.

11. CONTRACTOR shall monitor the batch processing cycle on a continuous basis and reports of any anomalies or missed schedules shall be provided to CONSORTIUM-specified Users.
12. CONTRACTOR shall ensure that LRS batch processing output designated for mailing, as specified by CONSORTIUM, is delivered to the appropriate local United States Postal Service in time to be post-marked by midnight the same day (e.g., Notices of Actions, letters, forms, redetermination packets).
13. CONTRACTOR shall ensure that LRS batch processing output that is not designated for mailing, as specified by CONSORTIUM on any day, is available online or delivered in hard copy no later than 10:00 a.m., Pacific Time, following the batch run (e.g., printed or electronic reports).
14. The LRS shall identify all online transactions that are at or above fifteen (15) seconds in detailed and summary monthly reports to CONSORTIUM, with a corrective action plan attached. Corrective actions to bring the identified transactions into compliance with LRS performance requirements shall be initiated by CONTRACTOR within ten (10) days of the applicable report date.
15. The LRS shall have reports available online to CONSORTIUM, prior to archiving, for the following minimum time periods or for any other periods specified by applicable federal, State, and local laws, rules, regulations, ordinances, guidelines, directives, policies, and procedures, whichever is longer:
  - a. Daily reports for one hundred and twenty (120) days;
  - b. Weekly reports for eighteen (18) weeks;
  - c. Monthly reports for twelve (12) months;
  - d. Quarterly reports for twelve (12) quarters; and
  - e. Yearly reports for three (3) years.
16. The LRS shall have sufficient LRS capacity to allow full access to reporting functions while meeting LRS availability requirements and response time requirements. Also, the LRS shall have a minimum of fifteen percent (15%) of all LRS capacity dedicated to reporting functions, except that the LRS shall provide a higher minimum percentage of all LRS capacity dedicated to reporting functions, as determined by LRS Project Director.
17. The LRS shall use Cognos business intelligence software, or Cognos-compatible equivalent, to identify, develop, and control the parameters for executing reporting and screen queries, including:
  - a. Ad hoc reporting;

- b. Unbounded queries;
  - c. Outer joins; and
  - d. Prevention of runaway or looping processes.
18. The LRS shall include an effective and reliable solution for retaining all LRS Data backups during the term of the Agreement or until the LRS has been successfully transitioned to a replacement system, whichever is longer. The LRS shall retain backups for the following minimum time periods or for any other time periods to meet applicable federal, State, and local laws, rules, regulations, ordinances, guidelines, directives, policies, and procedures, whichever is longer:
- a. Daily backups for fourteen (14) days or back to the last LRS Application Software version release, whichever is longer;
  - b. Weekly backups for six (6) weeks;
  - c. Monthly backups for four (4) months;
  - d. Quarterly backups for four (4) quarters; and
  - e. Annual backups for two (2) years.
19. The LRS shall include a Business Continuity/Disaster Recovery Plan that shall meet the following performance requirements, and the parameters of the following events shall be identified in advance by CONTRACTOR, shall require approval of LRS Project Director, and may be changed from time-to-time as required by LRS Project Director:
- a. Minor event: Ninety (90) minutes or less to restore full LRS functionality in the event of a minor event, including minor or partial loss of LRS functionality;
  - b. Significant event: Four (4) hours or less to restore full LRS functionality in the event of a significant event, including significant loss of LRS functionality;
  - c. Serious event: Twenty-four (24) hours or less to restore partial LRS functionality in the event of a serious event, including an extended disruption of LRS functionality due to a major disaster. Partial LRS functionality shall include CONSORTIUM's ability to take applications and issue emergency benefits, including Expedited Services, Immediate Need, and Medi-Cal. Major disasters include earthquakes, fires, floods, hurricanes, and terrorist attacks; and
  - d. Serious event: Forty-eight (48) hours or less to restore full LRS functionality in the event of a serious event, including an extended disruption of LRS functionality due to a major disaster. Major disasters include earthquakes, fires, floods, hurricanes, and terrorist attacks.

20. The LRS shall have the production environment and other environments that are needed to support Users in Off Prime Business Hours, including environments that support simulation and e-Learning modules.
21. The LRS shall have a Helpdesk available to receive and respond to calls seven (7) days a week, twenty-four (24) hours a day, three hundred and sixty-five (365) days a year.

**3.6.2 Certain Performance Requirement Measurements.**

Some of the performance requirements set forth in this Subsection 3.6.2 are not practical to measure on a one hundred percent (100%) basis, and therefore a transactional sample methodology is indicated and shall be utilized for measuring certain performance requirements.

For each performance requirement for which a transactional sample methodology is indicated, the following shall apply: (i) the term “Transaction Sample” shall mean a sample of the applicable transactions each day for which the sample (including: (a) sampling methodology, (b) what is included in the sample, and (c) sample size), as approved by LRS Project Director, is used for the purpose of determining the Transaction Response Time measurements for the performance requirement; (ii) the term “Transaction Response Time” shall mean the time period, following the activation of an interrupt key (e.g., enter key, mouse click, function key), that begins when the first data packet for a transaction is transferred from LAnet/EN to the Gateway in order to initiate the transaction and ends when the resultant data and screen image has been transferred at the Gateway and is under the control of LAnet/EN; (iii) the term “Internet Transaction Response Time” shall mean the time period, following the activation of an interrupt key (e.g., enter key, mouse click, function key), that begins when the first data packet for a transaction is transferred from the Internet to the CONTRACTOR-provided Point-of-Presence (POP) in order to initiate the transaction and ends when the resultant data and screen image has been transferred at the CONTRACTOR-provided POP to the Internet and is outside the control of CONTRACTOR; (iv) the frequency of the Transaction Sample shall be daily and be statistically valid to the day level

and shall be approved by LRS Project Director; and (v) CONTRACTOR shall recommend a method to eliminate any anomalous transactions from the end performance computation for LRS Project Director's consideration and approval.

The performance requirements set forth in this Subsection 3.6.2 shall be measured using the LRS performance monitoring tools described in Subsection 3.6.1 (General Performance Requirements).

CONSORTIUM, in its sole discretion, may change at any time any transactional sample or methodology employed for determining CONTRACTOR's compliance with any performance requirement.

1. **Daily Peak Usage Hours Availability:** The LRS shall be available for all online functions for all Users ninety-eight percent (98%) of the time during Peak Usage Hours each day. The percentage of availability shall be determined in accordance with the following formula:  $\text{Availability \%} = 100 \times ((A - B) / A)$ ; A = the measurement period which is Peak Usage Hours for a day expressed in minutes; B = the number of the minutes in the measurement period that the LRS is not available.
2. **Daily Prime Business Hours Availability:** The LRS shall be available for all online functions for all Users ninety-seven percent (97%) of the time during Prime Business Hours each day. The percentage of availability shall be determined in accordance with the following formula:  $\text{Availability \%} = 100 \times ((A - B) / A)$ ; A = the measurement period which is Prime Business Hours for a day expressed in minutes; B = the number of the minutes in the measurement period that the LRS is not available.
3. **Daily Peak Usage Hours ED/BC Response Time:** The LRS shall have a response time for ninety-five percent (95%) of ED/BC transactions of three (3) seconds or less during Peak Usage Hours each day. The response time shall be determined by transactional sample methodology. Each ED/BC transaction shall be up to four (4) months of eligibility calculations, and each additional four (4) months (or less than four (4) months for the final transaction) of eligibility calculations shall be a separate ED/BC transaction. The Transaction Response Time percentage shall be determined in accordance with the following formula:  $\text{Transaction Response Time \%} = 100 \times ((A - B) / A)$ ; A = the number of transactions in the Transaction Sample; B = the number of transactions in the Transaction Sample that exceeded three (3) seconds



(e.g., an eleven (11) month ED/BC eligibility calculation would count as three (3) ED/BC transactions).

4. **Daily Prime Business Hours ED/BC Response Time:** The LRS shall have a response time for ninety-nine and nine tenths percent (99.9%) of ED/BC transactions of twenty (20) seconds or less during Prime Business Hours each day. The response time shall be determined by transactional sample methodology. Each ED/BC transaction shall be up to four (4) months of eligibility calculations, and each additional four (4) months (or less than four (4) months for the final transaction) of eligibility calculations shall be a separate ED/BC transaction. The Transaction Response Time percentage shall be determined in accordance with the following formula:  $\text{Transaction Response Time \%} = 100 \times ((A - B) / A)$ ; A = the number of transactions in the Transaction Sample; B = the number of transactions in the Transaction Sample that exceeded twenty (20) seconds (e.g., an eleven (11) month ED/BC eligibility calculation would count as three (3) ED/BC transactions).
5. **Daily Peak Usage Hours Screen to Screen Navigation Response Time:** The LRS shall have a response time for ninety-eight percent (98%) of screen to screen navigation transactions of two (2) seconds or less during Peak Usage Hours each day. The response time shall be determined by transactional sample methodology. The Transaction Response Time percentage shall be determined in accordance with the following formula:  $\text{Transaction Response Time \%} = 100 \times ((A - B) / A)$ ; A = the number of transactions in the Transaction Sample; B = the number of transactions in the Transaction Sample that exceeded two (2) seconds (e.g., moving from one screen and viewing data, with or without data update, to another screen).
6. **Daily Prime Business Hours Screen to Screen Navigation Response Time:** The LRS shall have a response time for ninety-nine and nine tenths percent (99.9%) of screen to screen navigation transactions of ten (10) seconds or less during Prime Business Hours each day. The response time shall be determined by transactional sample methodology. The Transaction Response Time percentage shall be determined in accordance with the following formula:  $\text{Transaction Response Time \%} = 100 \times ((A - B) / A)$ ; A = the number of transactions in the Transaction Sample; B = the number of transactions in the Transaction Sample that exceeded ten (10) seconds (e.g., moving from one screen and viewing data, with or without data update, to another screen).
7. **Daily Batch Production Jobs Completion:** The LRS shall have ninety-nine percent (99%) of the daily batch production jobs completed by 6:00 a.m., Pacific Time, the next day. The daily batch production jobs

completion percentage shall be determined in accordance with the following formula: Daily Batch Production Jobs Completion % =  $100 \times ((A - B) / A)$ ; A = the number of normal daily batch production jobs scheduled; B = the number of normal daily batch production jobs that failed to successfully complete on time. The normal daily batch production jobs list and schedule and any modification thereof shall require the approval of LRS Project Director.

8. Monthly Off Prime Business Hours Availability: The LRS shall be available for all online functions for all Users ninety-eight percent (98%) of the time during Off Prime Business Hours each calendar month. The percentage of availability shall be determined in accordance with the following formula: Availability % =  $100 \times ((A - B) / A)$ ; A = the measurement period which is Off Prime Business Hours for each day in the calendar month expressed in minutes; B = the number of the minutes in the measurement period that the LRS production environment, or any other environment that supports the production environment, is not available (e.g., simulation or e-Learning functions may be supported from an environment other than production).
9. Daily Off Prime Business Hours ED/BC Response Time: The LRS shall have a response time for ninety-five percent (95%) of ED/BC transactions of five (5) seconds or less during Off Prime Business Hours each day. The response time shall be determined by transactional sample methodology. Each ED/BC transaction shall be up to four (4) months of eligibility calculations, and each additional four (4) months (or less than four (4) months for the final transaction) of eligibility calculations shall be a separate ED/BC transaction. The Transaction Response Time percentage shall be determined in accordance with the following formula: Transaction Response Time % =  $100 \times ((A - B) / A)$ ; A = the number of the transactions in the Transaction Sample; B = the number of transactions in the Transaction Sample that exceeded five (5) seconds (e.g., an eleven (11) month ED/BC eligibility calculation would count as three (3) ED/BC transactions).
10. Daily Off Prime Business Hours Screen to Screen Navigation Response Time: The LRS shall have a response time for ninety-five percent (95%) of screen to screen navigation transactions of three (3) seconds or less during Off Prime Business Hours each day. The response time shall be determined by transactional sample methodology. The Transaction Response Time percentage shall be determined in accordance with the following formula: Transaction Response Time % =  $100 \times ((A - B) / A)$ ; A = the number of transactions in the Transaction Sample; B = the number of transactions in the Transaction Sample that exceeded three (3) seconds (e.g., moving from one screen and viewing data, with or without data update, to another screen).

11. **Daily Refresh LRS Application Software Web Page Response Time:**  
The LRS shall have a response time for ninety-five percent (95%) of transactions to refresh an LRS Application Software Web page of three (3) seconds or less each day. The response time percentage shall be determined by transactional sample methodology. The Transaction Response Time percentage shall be determined in accordance with the following formula:  $\text{Transaction Response Time \%} = 100 \times ((A - B) / A)$ ; A = the number of transactions in the Transaction Sample; B = the number of transactions in the Transaction Sample that exceeded three (3) seconds.
12. **Daily LRS Application Software Error Notification Response Time:**  
The LRS shall have a response time for ninety-five percent (95%) of transactions to send an error notification when the User is editing LRS Data of three (3) seconds or less each day. The response time percentage shall be determined by transactional sample methodology. The Transaction Response Time percentage shall be determined in accordance with the following formula:  $\text{Transaction Response Time \%} = 100 \times ((A - B) / A)$ ; A = the number of transactions in the Transaction Sample; B = the number of transactions in the Transaction Sample that exceeded three (3) seconds.
13. **Daily Case Index Lookup Response Time:** The LRS shall have a response time for ninety-five percent (95%) of transactions to lookup known case index and display the retrieved record of two (2) seconds or less each day. The response time percentage shall be determined by transactional sample methodology. The Transaction Response Time percentage shall be determined in accordance with the following formula:  $\text{Transaction Response Time \%} = 100 \times ((A - B) / A)$ ; A = the number of transactions in the Transaction Sample; B = the number of transactions in the Transaction Sample that exceeded two (2) seconds.
14. **Daily Unbounded Search Response Time:** The LRS shall have a response time for ninety-five percent (95%) of transactions to display a record or records of an unbounded search result set of six (6) seconds or less each day. The response time percentage shall be determined by transactional sample methodology. The Transaction Response Time percentage shall be determined in accordance with the following formula:  $\text{Transaction Response Time \%} = 100 \times ((A - B) / A)$ ; A = the number of transactions in the Transaction Sample; B = the number of transactions in the Transaction Sample that exceeded six (6) seconds (e.g., a non-specific indexed search for a person by his last name).
15. **Daily Local Print Initiation (Font Resident on Printer Firmware) Response Time:** The LRS shall have a response time for ninety-five

percent (95%) of transactions to perform local print initiation (font resident on printer firmware) of two (2) seconds or less each day. The measurement of local print initiation response time begins when a command to print a page, screen, standard report, notice, form, letter, warrant, or other document is issued and ends when the page, screen, standard report, notice, form, letter, warrant, or other document is at the Gateway and is under the control of LANet/EN on its way to the correct print queue. The response time percentage shall be determined by transactional sample methodology. The Transaction Response Time percentage shall be determined in accordance with the following formula: Transaction Response Time % =  $100 \times ((A - B) / A)$ ; A = the number of transactions in the Transaction Sample; B = the number of transactions in the Transaction Sample that exceeded two (2) seconds.

16. Daily Local Print Initiation (Font Download) Response Time: The LRS shall have a response time for ninety-five percent (95%) of transactions to perform local print initiation for printing that requires the downloading of a font because the font is not resident on the printer firmware (excludes downloading a barcode font), of seven (7) seconds or less each day. The measurement of local print initiation response time begins when a command to print a page, screen, standard report, notice, form, letter, warrant, or other document is issued and ends when the page, screen, standard report, notice, form, letter, warrant, or other document is at the Gateway and is under the control of LANet/EN on its way to the correct print queue. The response time percentage shall be determined by transactional sample methodology. The Transaction Response Time percentage shall be determined in accordance with the following formula: Transaction Response Time % =  $100 \times ((A - B) / A)$ ; A = the number of transactions in the Transaction Sample; B = the number of transactions in the Transaction Sample that exceeded seven (7) seconds.
17. Monthly Prime Business Hours Availability of LRS Non-Production Environments: The LRS non-production environments shall be available for all online and batch functions for all CONSORTIUM-specified Users ninety-eight percent (98%) of the time during Prime Business Hours each calendar month. The percentage of availability shall be determined in accordance with the following formula: Availability % =  $100 \times ((A - B) / A)$ ; A = the measurement period which is Prime Business Hours for each day in the calendar month expressed in minutes; B = the number of the minutes in the measurement period that any LRS non-production environment was not available (these are unduplicated minutes, if two (2) non-production environments were not available for the same five (5) minutes, then that time period would count as five (5) minutes).

18. **Daily Prime Business Hours Availability of LRS Training Environments:** The LRS training environments shall be available for all online and batch functions for all CONSORTIUM-specified Users ninety-five percent (95%) of the time during Prime Business Hours each day. The percentage of availability shall be determined in accordance with the following formula:  $\text{Availability \%} = 100 \times ((A - B) / A)$ ; A = the measurement period which is Prime Business Hours for each day expressed in minutes; B = the number of the minutes in the measurement period that any LRS training environment was not available.
19. **Daily Peak Usage Hours Internet Response Time:** The LRS shall have a response time for ninety-five percent (95%) of Internet transactions of three (3) seconds or less during Peak Usage Hours each day. The response time percentage shall be determined by transactional sample methodology. The Internet Transaction Response Time percentage shall be determined in accordance with the following formula:  $\text{Internet Transaction Response Time \%} = 100 \times ((A - B) / A)$ ; A = the number of transactions in the Transaction Sample; B = the number of transactions in the Transaction Sample that exceeded three (3) seconds.
20. **Daily Peak Usage Hours Standard Report Response Time:** The LRS shall have a response time for ninety-five percent (95%) of standard report transactions of ten (10) seconds or less during Peak Usage Hours each day. The response time percentage shall be determined by transactional sample methodology. The Transaction Response Time percentage shall be determined in accordance with the following formula:  $\text{Transaction Response Time \%} = 100 \times ((A - B) / A)$ ; A = the number of transactions in the Transaction Sample; B = the number of transactions in the Transaction Sample that exceeded ten (10) seconds. Without limiting LRS Project Director's right to approve or modify which reports shall be included in the Transaction Sample, the Transaction Sample shall initially include:
- a. Local Office Site management reports;
  - b. Local Office Site performance reports;
  - c. LRS performance reports; and
  - d. LRS operations reports.
21. **Monthly Deficiency Notification Response Time:** CONTRACTOR shall, within one (1) hour of discovery, notify LRS Project Director and other CONSORTIUM-designated staff of any Deficiency that may have an adverse effect on the operation or performance of the LRS, ninety-nine point five percent (99.5%) of the time each calendar month. At the sole discretion of LRS Project Director, a written report on the Deficiency, and a corrective action plan may be required to be provided by CONTRACTOR to CONSORTIUM within two (2) working days.

The Monthly Deficiency Notification Response Time percentage shall be determined in accordance with the following formula: Monthly Deficiency Notification Response Time % =  $100 \times ((A - B) / A)$ ; A = the number of Deficiencies discovered in the calendar month; B = the number of Deficiencies discovered in the calendar month where the notification to LRS Project Director exceeded one (1) hour.

22. Monthly M&E Request Response Time: CONTRACTOR shall respond with an M&E Proposal for an M&E Request within ten (10) working days of CONTRACTOR's receipt of the M&E Request from CONSORTIUM, ninety-eight percent (98%) of the time each calendar month. The Monthly M&E Request Response Time percentage shall be determined in accordance with the following formula: Monthly M&E Request Response Time % =  $100 \times ((A - B) / A)$ ; A = the total of number of M&E Proposals due in the calendar month plus any M&E Proposals that were due in prior calendar months and are still pending; B = the total of number of pending M&E Proposals that exceed the ten (10) working day M&E Request response time.
23. Monthly M&O Request Response Time: CONTRACTOR shall provide a written response to an M&O Request, including hours by staff resource, within ten (10) working days of CONTRACTOR's receipt of the M&O Request from CONSORTIUM, ninety-eight percent (98%) of the time each calendar month. The Monthly M&O Request Response Time percentage shall be determined in accordance with the following formula: Monthly M&O Request Response Time % =  $100 \times ((A - B) / A)$ ; A = the total of number of M&O Request written responses due in the calendar month plus any M&O Request written responses that were due in prior calendar months and are still pending; B = the total of number of pending M&O Request written responses that exceed the ten (10) working day M&O Request response time.
24. Monthly Helpdesk Call Back Response Time: CONTRACTOR response time for a Helpdesk call back (including describing the problem, describing CONTRACTOR's corrective actions, and providing an estimated time for correction) shall be within thirty (30) minutes, ninety-eight percent (98%) of the time each calendar month. The Monthly Helpdesk Call Back Response Time percentage shall be determined in accordance with the following formula: Monthly Helpdesk Call Back Response Time % =  $100 \times ((A - B) / A)$ ; A = the number of Helpdesk calls within the calendar month; B = the number of Helpdesk calls within the calendar month where the Helpdesk call back exceeded thirty (30) minutes.

**3.6.3 Certain Security Management Performance Requirements.**

1. CONTRACTOR shall notify LRS Project Director within one (1) hour following the identification of any potential or actual security incident, including any breach, any attack, or the introduction of any Disabling Device, related to the LRS. Furthermore, CONTRACTOR shall take corrective action within two (2) hours following the identification of each potential or actual security incident.
2. CONTRACTOR shall provide a written report and assessment regarding all actions taken concerning each identified security incident, including any breach, any attack, or the introduction of any Disabling Device, the current status, and any potential impact(s) to CONSORTIUM of the security incident. Each security incident shall be categorized according to criticality as either minor or major. For a minor security incident, which causes limited loss of confidentiality, integrity, protection, and/or availability of the LRS to organizational operations, organizational assets, or individuals, this report and assessment shall be provided within twelve (12) hours following the identification of the minor security incident. For a major security incident, which causes serious or catastrophic loss of confidentiality, integrity, protection, and/or availability of the LRS to organizational operations, organizational assets, or individuals, this report and assessment shall be provided within two (2) hours following the identification of the major security incident. LRS Project Director, in his sole discretion, may require CONTRACTOR to update this report and assessment on an hourly or daily basis depending on criticality, status, and possible impact to CONSORTIUM.
3. CONTRACTOR shall ensure that the confidentiality, integrity, protection, and/or availability of the LRS are not compromised through any action(s) or inaction(s) of CONTRACTOR, whether intentional or negligent.

**3.7 ONGOING SUPPORT TOOLS:**

The LRS shall include tools for ongoing support. These shall include tools for LRS monitoring, helpdesk, and tracking M&E Requests, M&E Proposals, and M&O Requests. These tools shall be browser-based and available to CONSORTIUM-specified Users. Where practical, these tools shall be directly integrated with the LRS Application Software. If proposed by CONTRACTOR and approved by CONSORTIUM, CONTRACTOR shall provide videoconferencing goods and services for LRS support with minimal physical and operational impact on Local Office Sites.

**3.7.1 System Monitoring, Administration, and Management.**

1. CONTRACTOR shall provide to CONSORTIUM the same performance monitoring software and installation tools used by CONTRACTOR (for a minimum of twenty (20) CONSORTIUM-specified locations), to be used by CONSORTIUM to measure performance of the LRS from CONSORTIUM's side of the Gateway, as set forth in Section 3.6.2 (Certain Performance Requirement Measurements).
2. The LRS network management and control system shall be capable of interfacing with CONSORTIUM network hardware/software monitoring tools, as needed.
3. The LRS network management and control system, including all resultant reports and data, shall be accessible by CONTRACTOR and CONSORTIUM for review and independent analysis.
4. The LRS shall include Web-enabled conference collaboration tool (e.g., NetMeeting, WebEx).

**3.7.2 Automated Regression Test Tools:**

1. CONTRACTOR shall provide to CONSORTIUM automated regression test tools for a minimum of twenty-five (25) CONSORTIUM-specified Users.
2. CONTRACTOR shall provide specialized training in automated regression testing for a minimum of twenty-five (25) CONSORTIUM-specified Users not less than four (4) times a year.

**3.7.3 System Problem Reporting and CONTRACTOR Helpdesk Application.**

1. The LRS helpdesk application shall allow CONSORTIUM-specified Users the ability to record new problems, view the status of existing problems, or update specific information for previously reported problems.
2. The LRS helpdesk application shall be browser-based and accessible via CONSORTIUM-specified Users' computing device.
3. The LRS helpdesk application shall be very intuitive and easy to use, with a consistent look and feel throughout all components of the helpdesk application.
4. The LRS helpdesk application shall include menu options to perform common helpdesk application tasks (e.g., searches, queries, new problems, reports, printing).
5. The LRS helpdesk application shall assign a unique number, date, and time to track each reported issue.



6. The LRS helpdesk application shall allow CONSORTIUM-specified Users to input the name, telephone number, and e-mail address of a User who reports a problem.
7. The LRS helpdesk application shall allow CONSORTIUM-specified Users to input the name, telephone number, and e-mail address of the individual responsible for tracking and resolving the problem.
8. The LRS helpdesk application shall allow CONSORTIUM-specified Users to track and easily add, delete, or update the location information of the trouble ticket requester. The requester should be able to update his personal information for notification purposes.
9. The LRS helpdesk application shall incorporate a multi-level problem categorization scheme (such as through the use of drop-down menus) to allow for easy and complete description of a reported problem by CONSORTIUM-specified Users.
10. The LRS helpdesk application shall track issues/trouble tickets by problem category, indicating whether the category was assigned either by a CONSORTIUM-specified User or by an analyst.
11. The LRS helpdesk application's problem categories shall include the indication of whether the issue is due to a User or procedural error or to an LRS error.
12. The LRS helpdesk application shall include a method for CONSORTIUM-specified Users to indicate the urgency/importance of a problem (e.g. "Hot") and escalated tickets (e.g., "Priority").
13. The LRS helpdesk application shall enforce rules that require certain fields to be completed before a trouble ticket can be created. The system administrator shall have the ability to designate these fields and modify the field rules as necessary.
14. The LRS helpdesk application shall include a spell check feature for selected fields.
15. The LRS helpdesk application shall include specialized fields for CONSORTIUM-specified Users to input different types of comments as needed, such as a detailed problem description or problem resolution information.
16. The LRS helpdesk application shall allow CONSORTIUM-specified Users to attach files, such as screenshots or error messages.
17. The LRS helpdesk application shall allow for the tracking of individual trouble tickets as well as issues that may involve multiple trouble tickets. The helpdesk application shall allow the linking or unlinking of an individual ticket to other related issues. Resolution of the related issues shall allow all trouble tickets linked to it to be updated at the same time.

18. The LRS helpdesk application shall enforce access/permission to different features of the helpdesk application based on CONSORTIUM-specified User groups or levels.
19. The LRS helpdesk application shall allow the CONSORTIUM-specified Users to view all problems reported on the helpdesk application.
20. The LRS helpdesk application shall allow tracking by assistance benefit type.
21. The LRS helpdesk application shall allow tracking of case/application/claim/fraud referral numbers and names.
22. The LRS helpdesk application shall include a function to auto-assign incoming trouble tickets to the proper analyst or group based on the type of problem. The system administrator shall have the ability to turn this feature on and off.
23. The LRS helpdesk application shall include a method for notifying/reminding CONSORTIUM-specified Users of any changes/updates made to trouble tickets that they have submitted, are currently working on, or have been assigned to them.
24. The LRS helpdesk application shall include the ability to broadcast messages to CONSORTIUM-specified Users.
25. The LRS helpdesk application shall allow tracking of pending Application Software Modifications and/or Enhancements and the anticipated date for implementing Application Software Modifications and/or Enhancements.
26. The LRS helpdesk application shall include the functionality to automatically close a trouble ticket after it has been resolved for a CONSORTIUM-specified period of time. The system administrator shall have the ability to modify this time period.
27. The LRS helpdesk application shall allow CONSORTIUM-specified Users to make parameter-driven searches.
28. The LRS helpdesk application shall include reporting tools with enough flexibility to allow CONSORTIUM-specified Users to easily and quickly generate detailed reports based on a variety of parameter-driven criteria.
29. The LRS helpdesk application shall generate reports for online viewing, download, or printing, as specified by CONSORTIUM-specified Users.
30. The LRS helpdesk application shall allow CONSORTIUM-specified Users to download and save reports.
31. The LRS helpdesk application shall include flexible report sorting capability.

32. The LRS helpdesk application shall include a knowledge base that CONSORTIUM-specified Users can search for solutions to common problems.
33. The LRS helpdesk application shall include online printable management reports regarding the status of production environment problems.
34. The LRS helpdesk application shall be available to an unlimited number of CONSORTIUM-specified Users concurrently.
35. The LRS helpdesk application shall include an interface between CONTRACTOR helpdesk application and all applicable CONSORTIUM helpdesk applications (e.g., DPSS, DCFS, ITD, ISD) in order to ensure that any information needed to report on, track, or resolve an LRS issue is identical and provided to all applicable helpdesk applications in real time.

**3.7.4 Automated Change Tracking System (ACTS).**

1. The LRS shall include an Automated Change Tracking System (ACTS) for the purpose of tracking all M&E Requests, M&E Proposals, and M&O Requests.
2. The ACTS application shall be browser-based and accessible via the CONSORTIUM-specified Users' computing devices.
3. The ACTS application shall assign a unique ACTS-generated number that can be used to track each M&E Request, each M&E Proposal, and each M&O Request.
4. The ACTS application shall state the LRS component(s) for which each M&E Request, each M&E Proposal, and each M&O Request is being made.
5. The ACTS application shall include a brief description of each M&E Request, each M&E Proposal, and each M&O Request.
6. The ACTS application shall include the date(s) and levels of CONSORTIUM and CONTRACTOR authorizations for each M&E Request, each M&E Proposal, and each M&O Request.
7. The ACTS application shall include the date each M&E Request, each M&E Proposal, and each M&O Request was sent to CONTRACTOR by CONSORTIUM and the date it was acknowledged as received by CONTRACTOR.
8. The ACTS application shall include the estimated hours it will take CONTRACTOR to complete each M&E Request, each M&E Proposal, and each M&O Request.

9. The ACTS application shall state the projected target date for CONTRACTOR to complete each M&E Request, each M&E Proposal, and each M&O Request.
10. The ACTS application shall state the individual to whom CONTRACTOR has assigned each M&E Request, each M&E Proposal, and each M&O Request.
11. The ACTS application shall include ongoing updates as to the status of each M&E Request, each M&E Proposal, and each M&O Request, until the request is completed or closed, as determined by CONSORTIUM.
12. The ACTS application shall state any hardware and operating software maintenance activities involved for each M&E Request, each M&E Proposal, and each M&O Request.
13. The ACTS application shall include a cost analysis component for each M&E Proposal.
14. The ACTS application shall include comments and additional recommendations for each M&E Request, each M&E Proposal, and each M&O Request.
15. The ACTS application shall include a completion date for each M&E Request, each M&E Proposal, and each M&O Request.
16. The ACTS application shall include a method to indicate the urgency/importance/priority of each M&E Request, each M&E Proposal, and each M&O Request.
17. The ACTS application shall include a tracking mechanism for budgeted, projected and actual programming and operational support hours used for each M&E Request, each M&E Proposal, and each M&O Request.
18. The ACTS application shall enforce rules that require certain fields to be completed. The system administrator shall have the ability to designate these fields and modify the field rules as necessary.
19. The ACTS application shall allow for cross-indexing (e.g., by component, priority, cost, completion date) each M&E Request, each M&E Proposal, and each M&O Request.
20. The ACTS application shall include reporting tools with enough flexibility to allow CONSORTIUM-specified Users to easily and quickly generate reports based on any search criteria parameters specified by the User.
21. The ACTS application shall include the ability to provide flexible report sorting capability.
22. The ACTS application shall be able to generate reports for viewing or printing, as needed.

23. The ACTS application shall allow CONSORTIUM-specified Users the ability to download and save reports to the User's workstation or laptop.
24. The ACTS application shall include a means to notify CONSORTIUM-specified Users via an easily understood LRS broadcast message when each M&E Proposal and each M&O Request has been completed.

**3.7.5 Business Continuity/Disaster Recovery Planning.**

1. The Business Continuity/Disaster Recovery Plan shall include documentation that specifies and describes the activities required to ensure that the Primary Central Site, Backup Central Site, Central Print Facility, Backup Print Facility, Project Office, and Enterprise Connecting Hardware, which includes the Gateway, shall be able to recover from any disruption in service regardless of the level of severity.
2. The Business Continuity/Disaster Recovery Plan document shall be updated whenever a new LRS Component or other major LRS changes is implemented.
3. The LRS Application Software and LRS Data shall be available for Production Use at the backup sites (Backup Central Site, Backup Print Facility) in the event of a disaster.
4. The Business Continuity/Disaster Recovery Plan shall be fully tested semi-annually.
  - a. Tests shall be coordinated from the Project Office;
  - b. Tests shall be conducted on the Backup Central Site server(s) and the Backup Print Facility server(s); and
  - c. Tests shall also include the testing of the daily, weekly, monthly, and quarterly LRS Data and LRS Repository backup processes.
5. The Backup Central Site and Backup Print Facility shall be implemented and tested prior to the commencement date of Consortiumwide implementation that includes the following:
  - a. Providing daily backups of the LRS Application Software that will be stored at the backup site;
  - b. Retaining at least two generations (i.e., two days) of daily backups of the LRS Application Software;
  - c. Providing continuous configuration management for the backup site to ensure it mirrors the production environment facility;
  - d. Providing a backup site that adheres to LRS performance requirements; and
  - e. Interfacing with other systems to ensure the accuracy and timeliness of LRS Data.
6. The LRS backup processes shall be automated.

7. The LRS shall utilize backup and recovery solutions that provide security against unauthorized access.
8. The LRS shall be capable of performing continuous data protection (CDP) backups of the LRS production environment database.
9. The LRS shall include the ability to be restored to a state that reflects the state of all LRS files as of the last fully processed transaction.
10. The LRS shall ensure, once the LRS becomes available again, that it shall be necessary for CONSORTIUM-specified Users to re-enter only the transactions that were in process at the time LRS availability was lost.
11. The LRS shall include the ability for broadcast notification to CONSORTIUM-specified Users that the LRS is once again operational. Such notification may be automatically or manually initiated. The notification process shall take advantage of a variety of communication channels to include e-mail, pager, voicemail, and wireless messaging.
12. The LRS shall complete backups during Off Prime Business Hours, with no adverse effect on LRS performance.
13. The LRS shall, for the Primary Central Site and Backup Central Site, unless otherwise requested by CONSORTIUM, secure and retain all LRS Data backup media for the following minimum timeframes or for other time periods specified by CONSORTIUM, which ever is longer:
  - a. Daily backups: Fourteen (14) days or back to the last LRS Application Software version, whichever is longer;
  - b. Weekly backups: Six (6) weeks;
  - c. Monthly backups: Four (4) months;
  - d. Quarterly backups: Four (4) quarters;
  - e. Annual backups: Seven (7) years; and
  - f. Disaster recovery: Last two (2) functional versions of the LRS Data and LRS Application Software.
14. The LRS shall perform monthly tests of the daily/weekly/monthly backup processes.
15. The LRS shall ensure that failover needed to keep the LRS available to the Users has no or minimal impact on the Users. This includes automated switchover to the Backup Central Site to meet performance requirements in the event that the Primary Central Site suffers a loss of availability.
16. The LRS shall include redundancy onsite at the Primary Central Site and at the Central Print Facility to protect against power supply failures with sufficient capacity to last until the Backup Central Site and Backup

Print Facility are fully operational, but in no event with less than a four (4) hour capacity.

17. The LRS shall include redundancy to protect against cooling system failures at the Primary Central Site, Backup Central Site, Central Print Facility, Backup Print Facility, and Project Office.
18. The LRS shall allow selected backup of CONSORTIUM-specified LRS components, as opposed to a complete disk image.
19. The LRS shall encrypt data during the backup processes.
20. The LRS shall minimize access restrictions or LRS functionality errors during the enterprise-wide backup process.
21. The LRS backups shall minimize disruption to User daily operations.
22. The LRS backup and recovery solutions shall support a variety of media types that may include tape, disk, CD-ROM, and DVD.
23. The LRS shall encrypt all data that exists on backup media.
24. The LRS shall include a strategy for securing backup media during transit and storage.
25. The LRS shall create and maintain log files of all backups in order to detect anomalies and errors in the backup processes.

### **3.8 LRS CONVERSION AND ARCHIVING REQUIREMENTS:**

The LRS shall include a Conversion and Archiving Plan for DPSS Systems and a Conversion and Archiving Plan for DCFS Systems. The LRS shall include an automated data conversion and archiving strategy that assures data integrity. The data conversion and archiving strategy shall be included in each Conversion and Archiving Plan and shall depict a process that analyzes source files, determines data requirements, extracts appropriate data, identifies and corrects data exceptions, and loads the appropriate databases for subsequent LRS activities. The archiving of DPSS Systems data, DCFS Systems data, and other legacy data, shall be fully integrated into each Conversion and Archiving Plan, since DPSS Systems data, DCFS Systems data, and other legacy data must be moved out of their current environments and be placed in environments accessible to Users through the LRS. The design of the archiving method shall be the same that is used to archive LRS Data.

The conversion and archiving of DPSS Systems data, DCFS Systems data, and other legacy data that is unnecessary (e.g., closed cases) for LRS online activities, as specified by CONSORTIUM, shall be completed prior to the start of Consortiumwide implementation. The conversion of DPSS Systems data, DCFS Systems data, and other legacy data that is necessary for online LRS activities, as specified by CONSORTIUM, shall be completed during Consortiumwide implementation.

A complete comparison of data fields and definitions between the DPSS Systems data, DCFS Systems data, and other legacy data and the LRS Data shall be completed as soon as a data structure is identified for the LRS. The data comparison shall be performed in Phase 1 (Design/Development/Implementation Phase). Each Conversion and Archiving Plan shall set forth in detail how data mismatches will be handled without interruption to current processing in the DPSS Systems and DCFS Systems. Conversion software and activities shall be fully tested prior to use and a conversion strategy and schedule shall be designed to ensure migration to the LRS with no delays and no adverse effect on LRS performance.

### **3.8.1 CONVERSION AND ARCHIVING REQUIREMENTS.**

The LRS shall include a conversion and archiving strategy which maximizes the reliance on an automated solution and minimizes the disruption to Local Office Site operations in a smooth transition and successful implementation of the LRS.

The LRS shall include a conversion and archiving strategy for the migration of DPSS Systems data, DCFS Systems data, and other legacy data to the LRS in the LRS archive format that can be used with the current LRS Data in the production environment as described in Subsection 2.26 (History Maintenance) of this Exhibit B.

Conversion and archiving requirements include the following:

1. The LRS conversion development, testing, and execution shall not cause any disruption to the public or to Local Office Site staff in the normal operation of business.



2. The LRS shall identify and map all data field, field definitions, and structural differences between the DPSS Systems data and other legacy data and LRS Data.
3. The LRS shall prevent duplicate benefit issuance during the conversion process, by issuing benefits from a single system for each Local Office Site during Consortiumwide implementation.
4. The LRS shall prevent any delay in the participant's receipt of benefits.
5. The LRS shall include and maximize the use of automated data conversion by using a comprehensive and effective analysis to correct data discrepancies in DPSS Systems data and other legacy data prior to conversion to the LRS.
6. The LRS shall not prevent or impede full access to the DPSS Systems by DPSS System users and CONSORTIUM-specified Users.
7. The LRS shall not prevent or impede full access to the existing DCFS Systems by existing DCFS Systems users and CONSORTIUM-specified Users.
8. The LRS shall include an analysis of DPSS Systems source files, DCFS Systems source files, and other legacy data source files in order to determine what DPSS Systems data, DCFS Systems data, and other legacy data can and/or cannot be extracted and processed during the conversion process.
9. The LRS shall include an analysis of DPSS Systems and DCFS Systems duplicated and unduplicated records with a priority ranking based upon the accuracy of each record's data in order to extract and load the most accurate data.
10. The LRS shall identify data exceptions. Edits and logic shall be developed that will identify invalid data values, incomplete records, duplicate identifiers, individuals with more than one identifier, inconsistencies between files, and other exception conditions. All exceptions shall be documented on reports in a format approved by LRS Project Director.
11. The LRS shall correct data exceptions, as a first priority via update transactions that will be created and processed against the appropriate existing source file(s) in order to correct the exception(s) if possible.
12. The LRS shall correct data exceptions by additional conversion code that shall correct the problem during the conversion process, where an automated data correction is not possible.
13. The LRS shall document all automated corrections via update transactions in reports in a format approved by LRS Project Director.
14. The LRS shall identify all instances where an automated correction is not possible via update transactions and shall, as the second priority to

item 10 above, write conversion code that will correct the problem during the conversion process.

15. The LRS shall document and produce reports, in a format approved by LRS Project Director, of all instances where automated correction will be achieved via conversion logic and default values.
16. The LRS shall identify all instances where update transactions and conversion logic as automated solutions are not possible and shall document these instances in reports, in a format approved by LRS Project Director, with a corrective action plan.
17. The LRS shall, as part of the conversion transaction corrective action plan above, include the option to treat the case as a manual case under the ED/BC requirements for overriding the system. CONTRACTOR shall obtain LRS Project Director approval for each identified situation.
18. The LRS shall include an iterative process for cleaning data prior to final conversion to the LRS. The process shall include multiple runs of data fields and areas with reports in a format approved by LRS Project Director and lists that include, sorting by office, and file number and type of conversion case situation.
19. The LRS shall develop conversion rules and logic to convert values from the DPSS Systems, DCFS Systems, and other legacy systems into LRS Data element values. Default values shall be identified for data elements not available on existing systems, including those data elements which are necessary to establish eligibility or calculate a benefit level.
20. The LRS shall be loaded with the edited and purified case and client data. When appropriate, new data elements required for the LRS Data shall be updated with default values. The LRS database shall be populated with data including:
  - a. Payment history (online and archived) attained from existing sources;
  - b. Current and historical data from existing CONSORTIUM, ancillary, and interfacing systems; and
  - c. All data from the DPSS Systems and DCFS Systems, including active and inactive cases.
21. The LRS shall have the ability to determine correct eligibility and benefit levels and otherwise fully maintain the case using the converted and default data.
22. The LRS shall establish a testing database in the LRS that is retrieved from a three percent (3%) representative sample of cases from DPSS Systems and DCFS Systems covering all programs, aid codes, and

scenarios to be used in all phases of testing. The testing database shall be loaded using LRS conversion programs, edits, and default values.

23. The LRS testing database shall be built from the LRS conversion programs and shall be kept current and be reloaded as LRS conversion programs and DPSS Systems data, DCFS Systems, or other legacy data are refined and corrected.
24. The LRS conversion software shall be tested prior to the initiation of any conversion activity. All conversion software shall be unit tested, system tested, and acceptance tested prior to implementation.
25. CONTRACTOR shall prepare a conversion test plan, develop the conversion test criteria, and provide the test environment. The iterative conversion test reports shall include a presentation of the test results and performance analysis, problems encountered, corrective action(s) taken, and retest results.
26. CONTRACTOR shall, in addition to all other testing, test in an iterative manner all LRS components against the testing database (in the same format as the LRS database) that is to be created using the LRS conversion programs during the early stages of Phase 1 (Design/Development/Implementation Phase).
27. The LRS shall bring over the ED/BC results from DPSS Systems and DCFS Systems and reference them to the conversion testing database. ED/BC from the LRS shall be executed against the conversion database and CONTRACTOR shall automatically compare these results against ED/BC results from the DPSS Systems and DCFS Systems and provide appropriate differential reports, in a format approved by LRS Project Director, for each test run.
28. The LRS shall determine if a case is working based on default data conversion values and shall alert CONSORTIUM-specified Users to update the default data conversion values, as specified by CONSORTIUM.
29. The LRS shall include appropriate default conversion indicators such that reports can be produced on cases that have default values in the LRS. The reports shall be in a format approved by LRS Project Director and shall include the capabilities to filter, sort, and select by criteria that include:
  - a. Office;
  - b. Unit;
  - c. File number;
  - d. Worker;
  - e. Type of default value;

- f. Type of case; and
  - g. Redetermination, Recertification, Annual Agreement month and year.
30. The LRS shall generate exception reports that identify cases which failed to be converted through the automated database update. Management reports, in a format approved by LRS Project Director, shall also be generated in order to monitor the conversion process.
31. The LRS shall provide reports on cases using default values set at conversion. The reports shall, at a minimum, provide selection and sorting for file, unit, section, office, and department, based on one, selected, or all default conversion field values in the LRS.
32. The LRS shall in an automated manner clear default conversion values appropriately when they are corrected or confirmed.
33. The LRS shall determine the internal integrity of the data selected for conversion. Data verification programs shall be developed which identify and report on inconsistencies within the existing systems. Verification activities shall be monitored. A methodology shall be used to determine unduplicated clients and cases. The analysis shall include:
- a. A list of all conditions applicable to data integrity checks;
  - b. For each condition checked, the number of existing records that contain the condition (e.g., how many records have this error condition);
  - c. A report of, or online access to, each record that has invalid condition(s); and
  - d. A description of data verification programs/processes to perform automated and manual data verification.
34. The LRS conversion software shall be developed so that CONSORTIUM-specified Users are not subjected to an increased workload due to duplicate data entry or other similar redundant activities.
35. The LRS shall examine the DPSS Systems, DCFS Systems, and other appropriate legacy systems' data structures and tables in order to analyze the best method for archiving.
36. The LRS shall include benefit and budget history, including warrants, issued checks, issuance numbers, amounts, issue dates used to compute benefits, overpayments, underpayments, overissuances, and underissuances.
37. Each Conversion and Archiving Plan shall include all DPSS Systems data, DCFS Systems data, and other legacy data, as appropriate.

38. Each Conversion and Archiving Plan shall detail how existing data is to be handled for CONSORTIUM approval, including:
  - a. What tables and/or data is to be moved to the archive;
  - b. What tables and/or data is to be kept for online access; and
  - c. What tables and/or data are to be purged.
39. Each Conversion and Archiving Plan shall comply with all applicable federal, State, and local laws, rules, regulations, ordinances, guidelines, directives, policies, and procedures.
40. The LRS shall provide a seamless access from online LRS Data to archived LRS Data.
41. The LRS shall provide a method so that archived data for a specific case or set of cases, including individuals, can be retrieved to the online LRS database, such that ED/BC can be run for any period in the archive history within one working day.
42. Each Conversion and Archiving Plan shall be consistent with the strategies and methods for archiving, accessing, and retrieving LRS Data as described in Subsection 2.26 (History Maintenance) of this Exhibit B.
43. The LRS archiving process shall not interrupt DPSS Systems business activities, DCFS Systems business activities, or LRS business activities.

### **3.8.2 CONVERSION AND ARCHIVING PLANS.**

Each Conversion and Archiving Plan shall include documentation of the approach for conversion which satisfies all of the requirements for conversion. Each Conversion and Archiving Plan shall include the following:

1. Each Conversion and Archiving Plan shall include a detailed analysis and mapping of the DPSS Systems data, DCFS Systems data, and other legacy data structures and the data conversion rules for each.
2. Each Conversion and Archiving Plan shall define the origin of each DPSS Systems data element, DCFS Systems data element, and other legacy data element, conversion rules, and how default values are calculated when appropriate.
3. Each Conversion and Archiving Plan shall identify any potential data conversion problems.
4. Each Conversion and Archiving Plan shall include an automated method of interfacing with the DPSS Systems, DCFS Systems, and other legacy systems in an iterative process in order to correct any identified data conversion problems.

5. Each Conversion and Archiving Plan shall include a list of data sources, files, and tables being converted.
6. Each Conversion and Archiving Plan shall include a cross reference of DPSS Systems, DCFS Systems, other legacy systems, and interface data elements to LRS Data elements.
7. Each Conversion and Archiving Plan shall include an initial library of conversion rules for each LRS Data element that shall be kept up to date as those rules and procedures become clarified during Phase 1 (Design/Development/Implementation Phase) and leading up to and including final conversion.
8. Each Conversion and Archiving Plan shall include a high level conceptual design of the migration process, along with a more detailed design showing inputs and outputs, including DPSS Systems and DCFS Systems to the LRS and the detailed data relationships to and from all interfaces.
9. Each Conversion and Archiving Plan shall include a process to prevent duplicate issuances of benefits from the LRS and the DPSS Systems and the DCFS Systems and shall automatically indicate that the case has been converted to the LRS on the existing systems.
10. Each Conversion and Archiving Plan shall include documentation of all User-related processes and procedures of how the conversion process will affect those processes and procedures, including:
  - a. Redeterminations, Recertifications, and Annual Agreements;
  - b. Periodic reporting;
  - c. Adding a program;
  - d. Adding a person;
  - e. Each interface;
  - f. Collection and allotment reductions;
  - g. Case transfers and reassignments; and
  - h. Benefit issuances.
11. Each Conversion and Archiving Plan shall include a strategy to generate Consortiumwide reports and Quality Control samples until CONSORTIUM is completely converted to the LRS.
12. Each Conversion and Archiving Plan shall address the iterative process of correcting data in advance of Consortiumwide implementation.
13. Each Conversion and Archiving Plan shall address the manual conversion of those cases which fail to be converted through automated means.

14. Each Conversion and Archiving Plan shall include all conversion-related reports, screen layouts, and definitions.
15. Each Conversion and Archiving Plan shall include all conversion-related training materials and documentation when they are completed.
16. The LRS shall include all computer operation procedures necessary to successfully execute the conversion batch programs.
17. The LRS shall include a timeline for all conversion activities, clearly showing sufficient time for automated correction of DPSS Systems data, DCFS Systems data, and other legacy data, as appropriate, multiple times prior to actual conversion.
18. The LRS shall include early testing of actual DPSS Systems data, DCFS Systems data, and other legacy data being integrated into Phase 1 (Design/Development/Implementation Phase) testing of the conversion and archiving approach and final processes.
19. Each Conversion and Archiving Plan shall provide a methodology for a single interface with each external system until Consortiumwide implementation is complete. The methodology shall combine LRS Data and data from the DPSS Systems and/or DCFS Systems into a single file for transmission to the external system. The methodology shall also parse data from the external systems for transmission to the LRS and the DPSS Systems and DCFS Systems.
20. Each Conversion and Archiving Plan shall provide a methodology for a single reporting service. The methodology shall combine LRS Data and data from DPSS Systems and/or DCFS Systems into a single report.

**3.8.3 CONVERSION AND ARCHIVING TRAINING.**

CONSORTIUM-specified Users shall be trained by CONTRACTOR in the operation of all input/update/inquiry software to be used for conversion and archive retrieval. CONTRACTOR shall develop, produce and deliver training and training materials which address the User-related processes and procedures as a result of the conversion requirements, archiving requirements, and Conversion and Archiving Plans as described in Subsection 3.8.2 (Conversion and Archiving Plans) of this Exhibit B.

**3.8.4 EXECUTION OF THE FINAL CONVERSION.**

The conversion software necessary to perform the automated conversion of DPSS Systems data, DCFS Systems data, and other legacy data shall be executed, thus creating the initial LRS databases that will allow CONSORTIUM-specified Users to perform online LRS activities and

complete ED/BC. CONTRACTOR shall complete all actions to ensure data integrity, including:

1. The ED/BC result comparison between the LRS results and DPSS Systems or DCFS Systems of the final conversion run shall be reviewed in order to ensure the accuracy of the conversion and consistency with prior test runs.
2. The LRS shall generate a report of those cases which were unable to be automatically converted before eligibility staff access the LRS for such cases. These reports must be CONSORTIUM approved and integrated seamlessly into the conversion plan tasks for manual corrections.
3. The conversion process shall not permit duplicate cases or clients to be added to the production LRS database unless approved by LRS Project Director.
4. The LRS final conversion of data shall be completed in the Off Prime Business Hours.
5. Final conversion shall have the ability to rollback the current phase of conversion and that would be the default action given the occurrence of any unknown or new anomalous data conversion situations.
6. Obtain approval from LRS Project Director to place the LRS Data in Production Use or rollback the current phase of conversion.



#### **4. SUMMARY OF REQUIRED LRS INTERFACES:**

Table 1 presents a high-level summary of those systems and applications outside of the LRS with which the LRS may be exchanging information. The interfaces include those currently in place with the DPSS Systems and DCFS Systems, those that are in development, and those foreseen as being a part of the LRS.

If CONSORTIUM, in its sole discretion, terminates the Work related to DCFS Systems and DCFS Programs pursuant to Paragraph 73 (Removal and Redirection of Work) of the Base Agreement, all interfaces set forth in Table 1 shall survive the termination of such Work, except those interfaces annotated with footnote 2.

As a high-level overview, Table 1 does not fully describe the complexities of these interfaces.

**Table 1. Summary of Required LRS Interfaces**

Item #	Interface	Summary Description	One-way or Two-way	Frequency	Interfacing Entity and System	Interface Protocol	Currently Implemented
<b>COUNTY LEVEL INTERFACES</b>							
1.	1099 Reporting File	An annual file of all payments made by DPSS to service providers that require 1099 reporting, for IRS purposes. Records are summarized by provider and payment category.	One-way Outbound	Yearly Batch	COUNTY Dept.: Auditor-Controller  System: eCAPS	Batch: FTP	Yes
2.	Alternative Payment Provider (APP)	Send participant information and receive child care payment information.	Two-way	Daily	COUNTY Dept: ISD  System: N/A	Batch: FTP	Yes
3.	APS	Adult Protective Services - The APS System will update the existing LEADER System with changes to the case status, demographic and address information. Case information will be stored on the existing LEADER System database at the index level.	Two-way	Daily Batch	COUNTY Dept.: Community and Senior Services  System: APS	Batch: FTP	No (In Development)
4.	ARS	ACSES Replacement System (Los Angeles County Automated Child Support Enforcement Replacement System) – Existing LEADER System sends benefit issuance and demographic information such as payee changes, changes in absent parent, address changes, person eligibility information, income and employment changes. Existing LEADER System receives information such as person information, cooperation status, support order information, employment information on the absent parent, and payment distribution. NOTE: New interface (CCSAS) is in development at the State level.	Two-way	Daily Batch	COUNTY Dept.: Child Support Services Department  System: ARS	Batch: FTP	Yes (However, planned for retirement in 2008)
5.	AWINS	Auditor's Warrant Inquiry System – Existing LEADER System sends bank information on paid transactions that are bypassed and not updated by the existing LEADER System.	One-way Outbound	Daily Batch	COUNTY Dept.: Auditor-Controller  System: AWINS	Batch: FTP	Yes
6.	CAST & Other County Document Imaging Systems	Computer Automated Scanning and Tracking system scans, stores, and tracks images of eligibility documentation to ensure	Two-way	Real-time On-demand	COUNTY Dept: DPSS	Online Real-time: TCP/IP	No (In Development)

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Item #	Interface	Summary Description	One-way or Two-way	Frequency	Interfacing Entity and System	Interface Protocol	Currently Implemented
		the timely processing of case changes reported by participants.			System: CAST		
7.	DCFS Document Imaging System <sup>2</sup>	DCFS document imaging system.	Two-way	Real-time On-demand	COUNTY Dept: DCFS  System: DCFS document imaging system	Online Real-time: TCP/IP	No
8.	CHDP	Child Health and Disability Prevention - For making referrals to the CHDP Program.	One-way Outbound	Daily Batch	COUNTY Dept.: DPH System: CHDP	Batch: FTP	Yes
9.	CHP	General Relief Community Health Plan (DHS-PMS/DMH-NSA) – Existing LEADER System sends participant eligibility information to DHS and DMH.	One-way Outbound	Daily Batch, Monthly Batch	COUNTY Dept.: DHS and DMH System: CHP	Batch: FTP	Yes
10.	Customer Service Center Call Tracking System - Service Request Initiation	A COUNTY-specified User will initiate a host-to-host transaction from an existing LEADER System workstation in order to open a service request on the Customer Service Center Call Tracking System. This system will then initiate a return confirmation transaction upon successful initiation of a service request, along with additional information for the purposes of populating existing LEADER System case comments. Send transactions are via host-to-host and receive transactions are via trickle feed batch.	Two-way	Daily and Real-time On-demand	COUNTY Dept.: DPSS  System: DPSS Customer Service Center Call Tracking System - Frontlink	Host-to-Host (TCP socket program to program call) TCP/IP	Yes
11.	Customer Service Center Call Tracking System – Service Request Details	<b>The Call Tracking System will follow up the service request initiation with details to the existing LEADER System about the service request, such as service request number, action requested, and information reported by the participant to the Customer Service Center agent during the call for purposes of populating existing LEADER System case comments.</b>	One-way	On Demand Batch (trickle feed as resources permit)	COUNTY Dept.: DPSS  System: DPSS Customer Service Center Call Tracking System - Frontlink	Host-to-Host (FTP) TCP/IP	<b>Yes</b>
12.	Customer Service Center CTI	<b>Computer/Telephony Integration</b> - An automated interactive voice response system to be used by participants in order to make telephone inquiries about case status and benefits. Certain data is extracted from the	Two-Way	On-Demand Real Time during existing LEADER	COUNTY Dept.: DPSS System: DPSS IVR:ISD	Host-to-Host TCP/IP	<b>No (Planned implementation December 2007)</b>

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Item #	Interface	Summary Description	One-way or Two-way	Frequency	Interfacing Entity and System	Interface Protocol	Currently Implemented
		existing LEADER System and sent to the CTI system. Participant accesses information by use of a unique and authenticated Customer Service Center ID and PIN that is generated by, and stored on the existing LEADER System. Participants may speak to live agent by pressing a pre-defined telephone key. The IVR will then send the customer ID and case number to the customer tracking system to request a screen population. Existing LEADER System sends all required data for the screen population to the customer tracking system.		System operational hours	Customer Service Center Call Tracking System - Frontlink		
13.	DataQuick	Real estate property information - For use by DPSS' WFP&I and the Property Services Division of Medi-Cal Long Term Care, DataQuick contains public ownership information and property characteristic information collected from county recorders' and assessors' offices. DataQuick compiles real property data from the county assessor and recorder offices and then sells it to COUNTY in a more defined and useful file format. Currently, WFP&I has access to Los Angeles and surrounding counties data. This product is purchased on a CD format in yearly basis. It is loaded and maintained on a computer by ISD/ITD.	One-Way Inquiry	Real-time On-Demand	CONTRACTOR is to determine the appropriate location for the interface.	Standalone program loaded from CD onto select workstations.	No (NOTE: CONTRACTOR is advised to research DataQuick licensing requirements in order to determine the feasibility of accessing DataQuick directly from an LRS Application Software interface.)
14.	Death Match	County death data information received.	One-way Inbound	Monthly Batch	COUNTY Dept.: Coroner  System: Death Match	Batch: FTP	Yes
15.	DPSS Data Warehouse	Data is extracted from DPSS Systems and sent to the DPSS Data Warehouse, which then translates the data into standardized and internally consistent formats for reporting purposes by the Information and Statistical Services (ISS) Section of DPSS.	One-way Outbound	Weekly Batch (Refresh of changes), End of Month Snapshots	COUNTY Dept.: DPSS  System: DPSS Data Warehouse	Batch: FTP	No (First phase planned for implementation in June 2007)
16.	eCAPS	Exchange of data for vendor and participant warrant issuance by the Electronic	Two-way	Daily Batch	COUNTY Dept.: Auditor-Controller	Batch: FTP	No

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Item #	Interface	Summary Description	One-way or Two-way	Frequency	Interfacing Entity and System	Interface Protocol	Currently Implemented
		Countywide Accounting and Purchasing System (eCAPS), postback, and updates.			System: eCAPS		
17.	EFT - Direct Deposit Activity	Via the Electronic Countywide Accounting and Purchasing System (eCAPS) interface, Vendor demographic information is sent and Vendor status change information is received.	Two-way	Daily Batch	COUNTY Dept.: Auditor-Controller  System: eCAPS	Batch: FTP	Yes
18.	EFT - Direct Deposit Benefits	Via the Electronic Countywide Accounting and Purchasing System (eCAPS) interface, benefit authorization information is sent and Vendor postback data information is received.	Two-way	Daily Batch, Monthly Batch	COUNTY Dept.: Auditor-Controller  System: eCAPS	Batch: FTP	Yes
19.	Expenditure Reporting	Via the Electronic Countywide Accounting and Purchasing System (eCAPS) interface, account information is sent.	One-way Outbound	Daily, Monthly, Month End Batch	COUNTY Dept.: Auditor-Controller  System: eCAPS	Batch: FTP	Yes
20.	FFCC	Former Foster Care Children - Text data file is received from DCFS on a monthly basis, of children recently terminated from Foster Care. The data on former foster care children, who turn 18 or 19, are eligible to continued Med-Cal, is used to create an application form which is sent manually via County Mail to Med-Cal in DPSS District 42.	One-way Inbound	Monthly Batch	COUNTY Dept.: DCFS  System: CWS/CMS	Batch: FTP	Yes
21.	Haines Directory	Reverse directory software - for use by WFP&I	One-Way Inquiry	Real-time On- Demand	CONTRACTOR is to determine the appropriate location for the interface.	Standalone program loaded from CD onto select workstations.	No  (NOTE: CONTRACTOR is advised to research Haines Directory licensing requirements in order to determine the feasibility of accessing the Haines Directory directly from an LRS Application Software interface.)
22.	Jail Match	Information received on individuals who have been jailed for over thirty (30) days.	One-way Inbound	Monthly Batch	COUNTY Dept.: Sheriff  System: Jail Match	Batch: FTP	Yes
23.	LACountyHelps	Exchange of public assistance program self-screening and application data to seamlessly facilitate and process online applications or	Two-way	Real-time On-demand	COUNTY Dept.: Chief Executive Office	HTTP/HTTPS	No

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		enrollments on the LRS using e-Government functionality.			System: LACountyHelps.org		
24.	LMS	County's Learning Management System (LMS) using Saba software, which tracks training activities, including enrollment, attendance, and results.	One-way Outbound	TBD	COUNTY Dept.: Auditor-Controller  System: LMS	Batch: FTP	No
25.	MEETS	Medi-Cal Express Enrollment Tracking System (MEETS): Express Enrollment is a medical process which allows the school district and the Department of Public Social Services (DPSS) staff to enroll uninsured students into Medi-Cal using the National School Lunch Program application. MEETS will receive, store, and allow DPSS to process the Express Enrollments received from the school district in order to be in compliance with State mandates.	Two-way	Real-time On-demand	COUNTY Dept: DPSS System: MEETS	Online Real-time: TCP/IP	No
26.	PHASE	Permanent Housing Assistance Services system - Extracts are sent from the existing LEADER System to ITD on the demographic and homeless assistance benefit information of CalWORKs participants. The PHASE system information is updated by several COUNTY departments.	One-way Outbound	Monthly Ad- Hoc Report (To be batch in the LRS)	COUNTY Dept.: DPSS  System: PHASE	Ad-Hoc Report	Yes
27.	Probation	Information received on juveniles placed in custody for re-evaluating ongoing eligibility to benefits.	One-way Inbound	Monthly Batch	COUNTY Dept.: Probation  System: Juveniles in Custody	Batch: FTP	No
28.	TTC Ad Hoc	Closed Case Referral and Collection – An ad hoc interface includes sending referrals of outstanding collections to the Treasurer and Tax Collector's CARS system on a monthly basis, such as overpayment claims and information on payments made to sponsored aliens, followed by receipt of a confirmation file of account number information for update to the ad hoc database. This will continue in	Two-way	Monthly Ad- Hoc	COUNTY Dept.: Treasurer and Tax Collector  System: CARS	Batch: FTP	Yes

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		LRS, but the confirmation information will be updated to LRS, along with the daily processing of payment and adjustment information that is sent and received. Also, the full interface will include creating and processing a quarterly reconciliation file.					
29.	TTC Tax Intercept	To send and receive information for the purpose of intercepting funds to recover overpayments and overissuances including the following sources: <ul style="list-style-type: none"> <li>▪ Federal and State Tax Refunds</li> <li>▪ Lottery winnings</li> <li>▪ Third party settlements</li> <li>▪ Inheritances</li> </ul> Existing LEADER System sends information to TTC on outstanding overpayments. TTC receives information from the State, and then TTC returns information to the existing LEADER System for intercepts.	Two-way	Ad hoc reports currently created three (3) to four (4) times monthly	COUNTY Dept.: Treasurer and Tax Collector  System: CARS	Ad Hoc Reports	Yes (Manual Process)
30.	WFLADS	Welfare Fraud Linkage Analysis Database System - Identifies inconsistencies in case data that can lead to potential welfare fraud.	One-way Outbound	Daily, Monthly	COUNTY Dept.: DPSS  System: WFLADS	Batch: FTP	Yes
31.	DCFS Data Warehouse <sup>1</sup>	DCFS data warehouse, including Los Angeles County CWS/CMS case data.	One-way Outbound	Daily	COUNTY Dept.: DCFS  System: DCFS Data Warehouse	FTP/XML	No
<b>STATE LEVEL INTERFACES</b>							
32.	C4Yourself	Exchange of public assistance program self-screening and application data to seamlessly facilitate and process online applications or enrollments on the LRS using e-Government functionality.	Two-way	Real-time On-demand	State Dept.: Consortium IV (C-IV)  System: C4Yourself.com	HTTPS	No
33.	CCSAS <sup>1</sup>	California Child Support Automation System – DPSS/DCFS will provide absent parent information to the statewide automated child support system and DPSS/DCFS will receive distribution of child support payments, disregards, and excess payments.	Two-way	Daily Batch	State Dept.: Franchise Tax Board (FTB)  System: CCSAS	Batch: FTP	No (Planned for implementation in September 2008)

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Item #	Interface	Summary Description	One-way or Two-way	Frequency	Interfacing Entity and System	Interface Protocol	Currently Implemented
34.	CJIS	Criminal Justice Information Services - To send and/or receive data to/from the State prisons. DPSS may send information to CJIS, and CJIS may send information to the DPSS in order to verify household information.	Two-way	TBD	State Dept.: Department of Justice  System: CJIS	TBD	No (CONTRACTOR to work with DPSS to determine feasibility of this interface.)
35.	CMIPS CMIPS II	Caseload Management Information and Payrolling System - Provides payroll information concerning those individuals who receive In-Home Supportive Services (IHSS) benefits. NOTE: CMIPS is to be replaced by CMIPS II which is in development at the State level with a possible implementation date of 2010 in COUNTY. The new CMIPS II interface will be Batch and Host-to-Host and will include IHSS eligibility information. It will also require that the California SAWS system determine IHSS income and resource eligibility, along with the IHSS Share of Cost by individual.	CMIPS: One-way  CMIPS II: Two-way	CMIPS: Daily Batch;  CMIPS II will be online real-time, and daily batch.	State Dept.: OSI  System: CMIPS	Batch: FTP  Online Real-time: TCP/IP	No  CMIPS: In development  CMIPS II: In planning stages
36.	CWS/CMS <sup>1</sup>	Child Welfare Services/Case Management System (CWS/CMS) - This system is used by the Department of Children and Family Services (DCFS). DCFS will request case information and case number from the existing LEADER System via Single Index. CWS/CMS will update the existing LEADER System with the current case status and changes to individual demographic and case information. This system will be replaced by a successor SACWIS.	One-way inbound	Daily Batch	State Dept.: CDSS  System: CWS/CMS	Batch: FTP	Yes
37.	Successor Statewide Automated Child Welfare Information System (SACWIS) <sup>1</sup>	CWS/CMS will be replaced by an unnamed successor SACWIS for the State of California. The transition from CWS/CMS to the successor SACWIS will occur during the term of any resultant LRS Agreement.	Two-way	Daily Batch and Online	State Dept.: CDSS  System: Pending	Batch: FTP  Online Real-time: TCP/IP	No
38.	DDSD	Disability Determination Service Division - To send information and refer individuals for disability evaluation, and to receive and view results from DED.	Two-way	Daily Batch	State Dept.: DHS  System: DDSD	Batch: FTP	No



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Item #	Interface	Summary Description	One-way or Two-way	Frequency	Interfacing Entity and System	Interface Protocol	Currently Implemented
39.	DMV	Department of Motor Vehicles - Allows limited access by Welfare Fraud and Property Services Users to motor vehicle files for inquiry, eligibility determination, and fraud detection purposes by using name, license plate, or driver's license number.	One-Way Inquiry	Real-time On-Demand	State Dept.: DMV  System: DMV	TBD	No
40.	EBT Batch	Electronic Benefit Transfer - This system issues Food Stamp and cash benefits via an EBT card. The existing LEADER System sends issuance data to the EBT system, and will receive reconciliation information back for updating benefit history. The existing LEADER System will generate cancellation of benefits upon receipt of unlinked benefit transactions and will transmit benefit cancellations when action is taken prior to the benefit availability date. Batch functions also include Cash and Food Stamp Benefit Send, Demographic Send, Unlinked Benefit Receive, Inactive/Dormant/Expunged Account Receive, Expungement Receive, Claim Activity Receive, Account Activity Receive, Benefit and Demo Exception Receive. The interface also has automated exception handling.	Two-way	Daily Batch, Monthly Batch	State Dept.: HHS/OSI  System: EBT	Batch: FTP	Yes
41.	EBT Online	Electronic Benefit Transfer - This system issues Food Stamp and cash benefits via an EBT card. The existing LEADER System sends issuance data to the EBT system, and will receive reconciliation information back for updating benefit history. The existing LEADER System will generate and transmit cancellation of benefits when action is taken prior to the benefit availability date. Online functions also include several two-way update and inquiry host-to-host transactions as well as EBT card embossing.	Two-way	Daily Real-time	State Dept.: HHS/OSI  System: EBT	TCP/IP	Yes
42.	Electronic Inter-County Transfers	Used to collect and track inter-county transfer data. Must allow COUNTY-specified Users to send participant data to another county to which the participant is moving, as well as allowing a new county to request participant	Two-way	Daily	State Dept: CDSS  System: SAWS	TBD	No

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Item #	Interface	Summary Description	One-way or Two-way	Frequency	Interfacing Entity and System	Interface Protocol	Currently Implemented
		information from the participant's original county of assistance.					
43.	Fraud	To establish and track all fraud indicators and transfer fraud details between counties and the State. Information at the State level is used to initiate appropriate fraud investigations.	Two-way	TBD	State Dept: CDSS System: SAWS	TBD	No
44.	HAPI	Homeless Assistance Payment Indicator - Tracks the issuance of permanent homeless assistance payments to CalWORKs participants; used for inquiry, update, and eligibility determination purposes.	One-way Outbound	Daily Batch	State Dept: CDSS System: MEDS	Batch: FTP	Yes
45.	IEVS	Income and Eligibility Verification System - Verifies and compares various types of recipient demographic, income, and asset information through interface files with federal and State data on a monthly, quarterly, and annual basis. IEVS identifies, calculates, prioritizes, and reports discrepancies between IEVS data and reported case data.					
		▪ IEVS Applicant Information - Provides data and verifications for new applicants.	One-way Inbound	Daily	State Dept.: CDSS System: MEDS	Batch: FTP	Yes
		▪ IEVS New Hire Registry (NHR) - To provide information about participant's new employment.	One-way Inbound	Monthly	State Dept.: CDSS System: MEDS	Batch: FTP	Yes
		▪ IEVS Payment Verification System (PVS) - Provides information on applicants/participants who receive, or will receive, Retirement Survivors Disability Insurance (RSDI), Unemployment Insurance Benefits (UIB) or Disability Insurance Benefits (DIB).	One-way Inbound	Monthly	State Dept: CDSS System: MEDS	Batch: FTP	Yes
		▪ Integrated Fraud Detection System (IFDS) - Reports discrepancies between reported case data and IEVS data on participant earnings.	One-way Inbound	Quarterly	State Dept.: CDSS System: MEDS	Batch: FTP	Yes
46.	MEDS	Medi-Cal Eligibility Data System - To verify and transmit Medi-Cal eligibility information and to issue Medi-Cal to eligible recipients;	Two-way	Daily online in real time; Daily in batch	State Dept.: CDHS System: MEDS	Batch: FTP	Yes

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Item #	Interface	Summary Description	One-way or Two-way	Frequency	Interfacing Entity and System	Interface Protocol	Currently Implemented
		also provides history of current and former Med-Cal eligibility.					
47.	MEDS Recon	MEDS receives information from the existing LEADER System and matches existing LEADER System information against MEDS information in order to find discrepancies between the two systems.	Two-way	Quarterly	State: CDHS System: MEDS	Manual Report	Yes
48.	One-e-App	An online application and enrollment service for Medi-Cal, Healthy Families, and Los Angeles COUNTY Healthy Kids health plan. Community Based Organizations (CBO) assist families in the process and then submit information to the State's Single Point of Entry (SPE) which in turn forwards information to the appropriate COUNTY agency.	Two-way	Real-time On-demand	State Dept.: CDHS System: SPE	HTTP/HTTPS	No
49.	QCIS	Quality Control Information System - A statewide system for providing sampling methodology and validation of CalWORKs and Food Stamp eligibility. Includes QC Food Stamp Negative Universe, Food Stamp Primary Universe, Food Stamp Secondary Universe, QC TANF Primary Universe, and QC TANF Secondary Universe.	Two-way	Monthly	State Dept.: CDSS System: QCIS	TBD	No
50.	QCS	Quality Control Systems - A statewide system for providing sampling methodology and validation of Medi-Cal eligibility.	Two-way	Monthly	State Dept.: CDSS System: QCS	TBD	No
51.	SCI	Statewide Client Index - For file clearances and assignment of Client Index Numbers (CINs) for individuals known and unknown to the SCI.	Two-way	Real-time On-demand	State Dept.: CDHS System: SCI	TCP/IP for immediate clearances and inquiries.	Yes
52.	SDX/IAR	State Data Exchange - Data sent by the Social Security Administration on new, active, and closed SSI cases, including the SSI benefit amount. The existing LEADER System uses this information to post SSI income to matching individuals and to build an SSI case for Medi-Cal eligibility.  Interim Assistance Reimbursement - to send and receive information for the purpose of obtaining reimbursement from Social Security	Two-way	Daily and Monthly Batch	State Dept.: CDHS System: MEDS	Batch: FTP	Yes

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Item #	Interface	Summary Description	One-way or Two-way	Frequency	Interfacing Entity and System	Interface Protocol	Currently Implemented
		for assistance paid while an SSI application is pending.					
53.	SFIS	Statewide Fingerprint Imaging System - Used for the storing of biometric information on all recipients and payees.	Two-way	Daily and Weekly Batch	State Dept.: CDSS System: SFIS	Batch: FTP	Yes
54.	State Fair Hearings	Allows for the transfer of hearings information from the COUNTY level to the State Fair Hearings' system to identify individuals for a state hearing, and allows the State to transfer information regarding hearing dates and decisions back to the COUNTY level.	Two-way	Daily Batch	State Dept.: CDSS System: State Fair	Batch: FTP	No
55.	State Vital Statistics	Used to verify birth, death, marriage, and other reported information. Must automatically alert COUNTY-specified Users of any discrepancies that are identified.	Two-way	Daily Batch	State Dept.: CDHS System: MEDS	Batch: FTP	No (Planned for implementation in 2008)
56.	TPL Branch	Third Party Liability Branch - To send and receive information in regards to third party asset sources that may be held liable for payment of medical services.	Two-way	Monthly and Quarterly Batch	State Dept.: CDHS System: MEDS	Ad Hoc Reports	No (Is currently a manual process)
57.	TrustLine	TrustLine Registry - Provides access to California's registry of in-home child care providers, tutors and in-home counselors who have passed a background screening, including clearance through a fingerprint check at the California Department of Justice.	One-way	Real-time On-demand	State Dept.: Department of Justice System: California Resource and Referral Network	TBD	No (Feasibility discussions to occur a later date)
58.	WDTIP/TRAC	Welfare Data Tracking Implementation Project/Tracking Recipients Across California: CalWORKs/TANF time limit tracking - Sends participants' time on aid "Time Clock" sixty (60) month time limit information. Includes exemptions (clock stoppers) and extensions (extenders) for time on aid. Receives information on participants approaching the sixty (60) month time limit and exceeding the sixty (60) month time limit.	Two-way	Daily and Monthly Batch	State Dept.: CDSS System: WDTIP/TRAC	Batch: FTP	Yes
59.	ACE	Statewide Assistance to Children in Emergency system. The ACE system controls episodes of EA funds provided.	One-way Inbound	Daily	State Dept: CDHS	Batch: FTP	No

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Item #	Interface	Summary Description	One-way or Two-way	Frequency	Interfacing Entity and System	Interface Protocol	Currently Implemented
					System: ACE		
<b>FEDERAL LEVEL INTERFACES</b>							
60.	Administration for Children and Families (ACF) Final TANF Report	Production of an electronic file of required data elements for TANF (CalWORKs) cases and participants. The file is produced monthly with extensive, detailed case and participant data, and quarterly with aggregate assistance data. The quarterly file is submitted to ACF headquarters in Washington, D.C.	One-way Outbound	Monthly Quarterly	Federal Agency: HHS  System: ACF TANF	TBD	No
61.	BEER	BEER (Beneficiary Earnings Exchange Record) - A Social Security Administration system used by DPSS for matching SSA wage data to individuals in the DPSS database. Discrepancies are identified by DPSS as part of Federal IEVS processing.	Two-way	Monthly	Federal Agency: SSA  System: BEER	Ad Hoc Paper Report	Yes (Manual Process. Current confidentiality rules prohibit automation.)
62.	BENDEX	BENDEX (Beneficiary and Earnings Data Exchange) – A Social Security Administration system that updates MEDS and is used by DPSS to match Social Security, railroad retirement, and black lung data to individuals in the DPSS database. Discrepancies are identified by DPSS as part of Federal IEVS processing.	Two-way	Monthly	Federal Agency: SSA  System: BENDEX	Ad Hoc Paper Report	Yes (Manual Process. Current confidentiality rules prohibit automation.)
63.	DRS	Disqualified Recipient Subsystem (DRS) – This federal Food and Nutrition Services (FNS) system maintains a national file of all persons disqualified for food stamps. DPSS will send data on disqualified DPSS participants, and DRS will send data on participants from other States.	Two-way	Monthly	Federal Agency: FNS  System: DRS	TBD	No
64.	IRS	Internal Revenue Service – In addition to monthly IEVS processing, COUNTY will annually send IRS welfare benefits match information so that IRS can match with absent parents claiming children on COUNTY cases as dependents.	One-way	Annually	Federal Agency: IRS  System: IRS	TBD	No
65.	SAVE	Systematic Alien Verification for Entitlements - To verify alien status information necessary	Two-way	Daily	Federal Agency: USCIS	Send: FTP	Yes

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Item #	Interface	Summary Description	One-way or Two-way	Frequency	Interfacing Entity and System	Interface Protocol	Currently Implemented
		for meeting citizenship or alien status eligibility criteria for benefits.			System: SAVE, via State's MEDS	Receive: Paper, via the MEDS Printer	
66.	SVES	State Verification and Exchange System – Is used by COUNTY-specified Users in order to request SSA quarters of coverage for participants and related people in order to determine the alien work requirement for eligibility. Eligibility staff will be notified by the COUNTY system of a match, and if data is found, the detailed coverage information will be displayed. It will also be used to send and receive prisoner match information from the federally maintained file.	Two-way	Daily Batch	Federal Agency: SSA  System: SVES	Currently a manual process. CONTRACTOR to work with COUNTY to determine appropriate protocol.	Yes (Manual Process)
67.	Social Security Administration	Interface needed to obtain SSA information.	Two-way	Daily and Monthly Batch	Federal Agency: SSA  System: Federal SSA System	Batch: FTP	Yes
<b>OTHER INTERFACES</b>							
68.	Bank - Participant Warrants	Bank information on participant warrants: send warrant issuance information and receive warrant paid information along with a daily confirmation file. Weekend and holiday files are accumulated and only transmitted Monday to Friday. Month-end process included in Daily file.	Two-way	Daily Batch, Month End Batch	Vendor: Citibank System: Vendor System	Batch: FTP	Yes
69.	Bank - Vendor Warrants	Bank information on Vendor warrants: send warrant issuance information and receive warrant paid information. Weekend and holiday files are accumulated and only transmitted Monday to Friday. Month-end process included in Daily file.	Two-way	Daily Batch, Month End Batch	Vendor: Bank of America, from the County Auditor. System: Vendor System	Batch: FTP	Yes
70.	Glendale School District	Direct certification for free meals program.	One-way Outbound	Semi-Annually	Glendale School District via Food Stamp Program System: Glendale School District System	CD	Yes

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Item #	Interface	Summary Description	One-way or Two-way	Frequency	Interfacing Entity and System	Interface Protocol	Currently Implemented
71.	Financial Holding Institutions (e.g. Bank of America) <sup>2</sup>	Bank information on SSA/SSI benefits held on the behalf of children supervised by DCFS.	Two-way	Daily and Monthly Batch	Vendor: Currently Bank of America System: Vendor System	Batch: FTP	Yes

<sup>1</sup> This interface is pending federal review.

<sup>2</sup> This interface is not required if and when COUNTY terminates the Work related to DCFS Systems and DCFS Programs pursuant to Paragraph 73 (Removal and Redirection of Work) the Base Agreement.

**5. PROJECT OFFICE REQUIREMENTS:**

The LRS shall have a Project Office that supports the LRS Project, including administration, development, testing, performance monitoring, ad hoc training, and demonstration activities. CONTRACTOR shall provide and maintain the Project Office throughout the term of the Agreement. Project Office requirements include the following:

1. The Project Office shall house CONTRACTOR Project Team, including Subcontractor staff, and CONSORTIUM Project Team.
2. The Project Office shall be located within the County of Los Angeles and within ten (10) miles of the DPSS Administrative Headquarters, located at 12860 Crossroads Parkway South, City of Industry, CA 91746, unless otherwise approved by LRS Project Director. CONTRACTOR shall consider proximity to mass transit when recommending a Project Office location.
3. CONTRACTOR shall comply with and satisfy all written requests by LRS Project Director from time-to-time during the term of the Agreement to make changes at the Project Office, including changes to office space, equipment, and other items provided for CONSORTIUM and others, as specified in such requests.
4. The Project Office shall comply with CONSORTIUM space planning policies and requirements, including those regarding office space, as well all applicable federal, State, and local laws, rules, regulations, ordinances, guidelines, directives, policies, and procedures regarding facility accessibility.
5. The Project Office shall include security, building maintenance, housekeeping, office management, heating, air-conditioning, and on-site parking for (i) CONTRACTOR Project Team, including Subcontractor staff, (ii) CONSORTIUM Project Team, (iii) COUNTY's DPSS Assistant Director for Contract and Technical Services, (iv) COUNTY's DPSS Systems legacy support staff, (v) CONSORTIUM's IV&V Contractor staff, and (vi) other individuals that may be housed at the Project Office for a period of time (e.g., visitors, auditor), as approved by LRS Project Director.
6. The Project Office shall include ample office space, as determined by LRS Project Director, for (i) CONTRACTOR Project Team, including Subcontractor staff, (ii) CONSORTIUM Project Team, (iii) COUNTY's DPSS Assistant Director for Contract and Technical Services, (iv) COUNTY's DPSS Systems legacy support staff, (v) CONSORTIUM's IV&V Contractor staff, and (vi) other individuals that may be housed at the Project Office for a period of time (e.g., visitors, auditor), as approved by LRS Project Director.



7. The Project Office shall support a minimum of two hundred fifty (250) individuals for CONSORTIUM and shall support a minimum of one hundred fifty (150) individuals for CONTRACTOR.
8. The Project Office shall include private and secure (e.g., ability to lock office doors) individual offices for (i) CONSORTIUM Project Team managers, as specified by LRS Project Director, (ii) COUNTY's DPSS Assistant Director for Contract and Technical Services, (iii) CONSORTIUM's IV&V Contractor project manager, and (iv) other persons, as determined by LRS Project Director. The size of the individual offices for such persons shall be equal to or larger than the size of the individual offices for CONTRACTOR Project Team members.
9. The Project Office shall include ergonomic locking desks, chairs, locking file cabinets, office supplies, and other office equipment, as appropriate.
10. The Project Office shall include at least five (5) conference rooms:
  - a. At least three (3) conference rooms shall be large enough to support CONSORTIUM or CONTRACTOR interviews and meetings for up to fifty (50) individuals.
  - b. At least one (1) conference room shall be provided that is large enough to accommodate meetings for at least one hundred (100) individuals.
  - c. At least one (1) conference room shall be dedicated solely for CONSORTIUM purposes, shall be located in CONSORTIUM's administrative area of the Project Office, and shall be large enough to accommodate up to twenty-five (25) individuals.
  - d. All conference rooms shall include appropriate furniture and equipment, including large digital touch-screen displays, ceiling mounted digital projectors, teleconferencing capabilities, videoconferencing capabilities, conference phones, wireless access points, and floor-mounted power receptacles and data drops, including high-speed Internet access.
  - e. An electronic process (e.g., Microsoft Exchange calendaring service) for CONSORTIUM-specified staff and CONTRACTOR staff to schedule and reserve conference rooms shall be implemented and maintained.
11. The Project Office shall include sufficient CONTRACTOR clerical support staff to perform duties, including reception, photocopying, distribution services, and mail room services, for the hours from 8:00 a.m. and 5:00 p.m., Pacific Time.
12. The Project Office shall include workstations, laptops, telephones with speaker phone capabilities, long distance access, and voice mail, printers, fax machines with measured business lines, scanners, copiers, and shredders (or a shredding service with secure containers) for CONSORTIUM Project Team and other individuals, as determined by LRS Project Director, and CONTRACTOR Project Team for the term of the Agreement. CONSORTIUM's IV&V Contractor may provide its own personal computing equipment for IV&V

services, but CONTRACTOR shall provide CONSORTIUM's IV&V Contractor access to all LRS processing environments.

13. The Project Office shall include insulated grounded electrical lines, data drops, phone ports, telecommunications, LANs, connectivity to the LANet/EN, high speed Internet access, CONSORTIUM intranet access, and DPSS e-mail or other e-mail access with CONSORTIUM-specified software. CONTRACTOR shall provide CONSORTIUM with sufficient space for CONSORTIUM to have a physically and logically secured CONSORTIUM server located at the Project Office for use by CONSORTIUM using CONTRACTOR-supplied LAN wiring.
14. The Project Office shall include protected access to the Integrated Development Environment (IDE) for authorized CONTRACTOR Project Team members and CONSORTIUM Project Team members.
15. The Project Office shall include dedicated space, equipment, and support for at least seventy (70) individuals involved in user acceptance testing, ad hoc training sessions, and demonstrations throughout the term of the Agreement.
16. The Project Office shall include a "break room", including refrigerators, sink, and microwave ovens.
17. The Project Office shall include reserved parking onsite for CONSORTIUM-specified managers and shall provide ample parking onsite for all others.
18. The Project Office shall include other goods and services as required by LRS Project Director.

**6. LRS TRAINING REQUIREMENTS:**

The LRS shall include an LRS Training Plan for DPSS Systems Users and an LRS Training Plan for DCFS Systems Users. The LRS shall provide comprehensive and quality LRS Training Plans designed and implemented to ensure that all CONSORTIUM-specified Users are provided training, including a comprehensive understanding of the LRS that will enable them to proficiently perform their duties. Each LRS Training Plan shall incorporate e-Learning, and traditional training methods including classroom training and a knowledge base reference tool. If proposed by CONTRACTOR and approved by CONSORTIUM, CONTRACTOR shall provide videoconferencing goods and services as part of each LRS Training Plan with minimal physical and operational impact on Local Office Sites. Each LRS Training Plan shall be used in both LRS implementation and ongoing training by both CONTRACTOR and CONSORTIUM. It is essential that the highest quality training be delivered to all CONSORTIUM-specified Users.

**6.1 GENERAL TRAINING REQUIREMENTS.**

A key objective of the training requirements is that CONSORTIUM-specified Users must be proficient in the use of LRS. The development of training must occur in concert with the LRS system development. One of the primary delivery methods for LRS training will be e-Learning modules that can be accessed from any workstation or laptop that can access the LRS by CONSORTIUM-specified Users with appropriate security profiles and security access. CONSORTIUM-specified Users will also be independently tested by CONSORTIUM to ensure that CONTRACTOR-provided training and materials is effective and that Users can retain learned material.

The LRS training requirements during Phase 1 (Design/Development/Implementation Phase) include the following:

1. The LRS shall include development and delivery of training materials for the LRS.
2. The LRS shall include development and delivery of training materials in support of the Conversion and Archiving Plans and activities.

3. The LRS shall not cause disruption to applicants/participants during training and conversion activities and schedules.
4. The LRS shall include training which ensures the timely transition from training to actual use of the LRS for CONSORTIUM-specified Users.
5. The LRS shall include development and completion of specialized training for CONSORTIUM-specified staff in support of User Acceptance Test, Pilot, and Consortiumwide implementation activities and schedules.
6. The LRS shall include efficient workstation and laptop access to e-Learning, knowledgebase, and other training sources for CONSORTIUM-specified Users.
7. The LRS shall include availability of any necessary refresher training following initial training.
8. The LRS shall provide and use the same development and delivery training software for implementation and ongoing training.
9. The LRS shall include in each LRS Training Plan the ability for CONSORTIUM to efficiently and effectively assume training responsibilities subsequent to Consortiumwide implementation, using the CONTRACTOR-provided and maintained training environment and e-Learning tools.
10. CONTRACTOR shall provide LRS Training Plans that describe the approach to training and the plans for ensuring satisfactory completion of the required training.
11. CONTRACTOR shall maintain all training materials to reflect the latest version of the LRS Application Software as well as changes resulting from evaluations and use during User Acceptance Testing, Pilot, and Consortiumwide implementation.
12. CONTRACTOR shall provide training resources, including trainers, facilities, and equipment, at a level necessary to support training quality and training schedule requirements.
13. CONTRACTOR shall employ a training methodology which ensures that training and training materials are effectively applied.
14. CONTRACTOR shall complete all training materials, infrastructure, and e-Learning training modules consistent with the Conversion and Archiving Plans and LRS Training Plans timetables.
15. The LRS shall include a training records database, which uses or is compatible with the current CONSORTIUM standard, for enrolling trainees, reviewing training records, and tracking training information for appropriate CONSORTIUM-specified User levels, including:
  - a. CONSORTIUM training academies;
  - b. Central management;
  - c. Local management; and

- d. Supervisors of CONSORTIUM staff.
- 16. The LRS shall support the training of various User groups, as determined by CONSORTIUM.
- 17. The LRS training shall include training delivery at CONSORTIUM-approved geographically dispersed locations throughout Los Angeles County to limit each trainee's travel distance between training location and trainee's work location to no more than twenty (20) miles.

## **6.2 SPECIALIZED TRAINING REQUIREMENTS.**

CONTRACTOR shall provide specialized training during the term of the Agreement, including:

1. CONTRACTOR shall provide specialized training for CONSORTIUM-specified Users in the use of automated regression testing tools. CONTRACTOR shall develop curriculum and materials for CONSORTIUM approval prior to delivery of the training. Training shall be provided during Phase 1 (Design/Development/Implementation) as needed and thereafter, not less than quarterly.
2. CONTRACTOR shall provide specialized training for CONSORTIUM-specified Users on all CONTRACTOR internal process or system notifications and alerts of anything that affects, or potentially could affect, LRS performance. CONTRACTOR shall train CONSORTIUM-specified Users on the appropriate protocols. CONTRACTOR shall develop curriculum and materials for CONSORTIUM approval prior to delivery of the training. Training shall be provided during Phase 1 (Design/Development/Implementation Phase) as needed and thereafter, not less than quarterly.
3. CONTRACTOR shall provide specialized training for CONSORTIUM-specified Users in the use of all e-Learning training tools. CONTRACTOR shall develop curriculum and materials for CONSORTIUM approval prior to delivery of the training. Training shall be provided during Phase 1 (Design/Development/Implementation Phase) as needed and thereafter, not less than quarterly.
4. CONTRACTOR shall provide specialized training for CONSORTIUM-specified Users in the use of all performance monitoring tools. CONTRACTOR shall develop curriculum and materials for CONSORTIUM approval prior to delivery of the training. Training shall be provided during Phase 1 (Design/Development/Implementation Phase) as needed and thereafter, not less than quarterly.
5. CONTRACTOR shall provide specialized training for CONSORTIUM-specified Users in the management, administration and use of the knowledge base software and tools. CONTRACTOR shall develop curriculum and materials for CONSORTIUM approval prior to delivery of the training. Training shall be provided during Phase 1

(Design/Development/Implementation Phase) as needed and thereafter, not less than quarterly.

### **6.3 TRAINING COMPONENTS.**

The LRS shall include the following major training components which shall be available from the LRS workstation or laptop and by traditional classroom training for CONSORTIUM-specified Users:

1. Orientation training that provides a general overview of the LRS, including the graphical user interface (GUI), navigation methodology, technology, and specialized training.
2. e-Learning software to train CONSORTIUM-specified Users on LRS business processes, as described in Subsection 2.6.2 (e-Learning Training) of this Exhibit B.
3. Traditional classroom training for CONSORTIUM-specified Users and for special processes.
4. Knowledgebase training to be used by CONSORTIUM for training, policy, program, and business process clarification.
5. Other training solution (e.g., videoconference training).

### **6.4 LRS TRAINING PLANS.**

Each LRS Training Plan shall include:

1. Description of the roles and responsibilities of CONTRACTOR, including providing an approach to the training program and a “train-the-trainer program”, which shall include:
  - a. CONTRACTOR shall be responsible for the development and delivery of the each LRS Training Plan.
  - b. CONTRACTOR shall, prior to the completion of Phase 1 (Design/Development/Implementation Phase), provide transition training in the use of all materials for CONSORTIUM-specified training staff for use in Phase 2 (Performance Verification Phase) and Phase 3 (Operational Phase).
2. Description of training curricula that supports the trainer and all e-Learning modules.
3. Traditional classroom training for CONSORTIUM-specified Users and special support staff, including:
  - a. CONSORTIUM employees unable to effectively use the e-Learning environment;

- b. CONSORTIUM security administrators, both local and central;
  - c. CONSORTIUM manage personnel administrators, both local and central;
  - d. Case review trouble shooting staff; and
  - e. Local Office Site technical support staff.
4. Traditional classroom specifications, including:
- a. No more than twenty-five (25) trainees per class;
  - b. Workstations at a one-to-one (1:1) ratio to trainees;
  - c. Two instructors per class;
  - d. Appropriate ergonomic desks and chairs;
  - f. Compliance with the Americans with Disabilities Act (ADA), including for classroom access and use; and
  - g. Projectors, screens, white boards, and other related training tools, as needed.
5. Knowledge base software training for CONSORTIUM-specified Users on how to use the knowledge base software, as well as training for additional CONSORTIUM-specified Users that may add to or modify the knowledgebase.
6. The training schedule for each Local Office Site shall ensure that CONSORTIUM-specified Users receive training prior to the implementation of LRS in their respective Local Office Sites, as established in the Implementation Master Plan. The training schedule for each Local Office Site shall include the following:
- a. Training shall be provided for support of User Acceptance Testing and Pilot as well as Consortiumwide implementation and the needs of special groups, including CONSORTIUM training academies trainers.
  - b. There shall be no more than fourteen (14) days between the completion of any training and the scheduled start of the use of the LRS by the trainee.
  - c. No more than twenty-five percent (25%) of any staff classification at each Local Office Site shall be scheduled for training at any one time (e.g., program-specific intake workers, Receptionists, Case Opening Clerks, GR Approved workers).
  - d. All training for each Local Office Site shall be completed within a period of four (4) consecutive weeks.
  - e. The duration of training shall not adversely affect Local Office Site operations or services to applicants and participants.

## **6.5 KNOWLEDGE BASE.**

The LRS shall include knowledge base software for use by CONSORTIUM in training, policy, program, and business process clarification. Knowledge base requirements include the following:

1. The knowledge base shall use industry standard software.
2. The knowledge base software shall be hosted by CONTRACTOR on the appropriate LRS processing environment.
3. The knowledge base software shall be compatible with existing knowledge base software in use by CONSORTIUM, and approved by CONSORTIUM.
4. The knowledge base software shall be seamlessly accessible through the LRS by CONSORTIUM-specified Users from LRS workstations and laptops.
5. The knowledge base software shall have an established track record in the industry and be recognized as one of the top three products.
6. The knowledge base software shall allow CONSORTIUM-specified Users to make additions or modifications to the LRS knowledgebase, from any location.

## **6.6 LRS TRAINING MATERIALS.**

The LRS shall include LRS Training Materials for DPSS Systems Users and LRS Training Materials for DCFS Systems Users. The LRS Training Materials shall be constructed in such a way as to allow training to continue beyond the classroom to CONSORTIUM-specified Users located at Local Office Sites upon the completion of classroom training (or videoconferencing training, if proposed by CONTRACTOR and approved by CONSORTIUM). The LRS Training Materials shall include:

1. Instructor/Trainer/Site Coordinator Guides which provide the ability for the trainers to structure the individual training sessions so that trainees are provided instruction on all relevant functionality. If videoconferencing training is proposed by CONTRACTOR and approved by CONSORTIUM, site coordinators shall be trained in advance of videoconference trainings in order to encourage productive sessions either via separate videoconference or in a traditional classroom.
2. e-Learning training modules as described in Subsection 2.6.2 (e-Learning Training) of this Exhibit B.
3. LRS Handbook as described in Subsection 3.4.2.1 (Online Documentation and Help) of this Exhibit B.



4. Desk aids shall accompany orientation training and each of the e-Learning modules. The desk aids shall be designed to provide quick access to solutions and information which CONSORTIUM-specified Users most frequently need. The desk aids shall be available at CONSORTIUM-specified Users' desks and shall act as an easy reference. The desk aids shall include:
  - a. Keyboard templates;
  - b. LRS Application Software screen ID reference guide; and
  - c. Screen navigation techniques.
5. "How To" guide for all functional areas, consisting of guiding a User through the procedural processes for all business functions within the LRS Application Software. This "How To" guide shall be in a manual format to allow for changes, additions, and deletions of system-related procedures.
6. Online Help screens shall be provided for each LRS Application Software screen and shall also be integrated into the provided knowledge base software. They shall describe the screen and how to use it. Special command or function keys shall be used to invoke the Help screens and to return the User to the LRS Application Software screen at the same point the User left it. Online Help shall be context sensitive (e.g., it shall not show information about fields that are not related to the function the user is performing). Online Help shall be provided at the field level, where cursoring to a field obtains specific Help information regarding that field. The Help facility shall have an index that lists the contents of the Help screens, and can be used to access specific subjects. Online Help shall be easily accessible, with return access from all other screens.

#### **6.7 LRS TRAINING DELIVERY.**

The training shall be accomplished in accordance with the CONSORTIUM-approved LRS Training Plans. Sufficient training time shall be provided by CONTRACTOR to successfully and completely cover all components of each LRS Training Plan. Each LRS Training Plan shall include a minimum of sixteen (16) hours of orientation training per trainee. If implementation at a Local Office Site is delayed beyond fourteen (14) days after initial training has been delivered, refresher training shall be provided.