

**RFP 21-1950****TECHNICAL PROPOSAL****ATTACHMENT F****Instructions:**

Please supply **all** requested information **in the yellow-shaded areas** and identify any exhibits or attachments that have been included. Label all exhibits and attachments and which section and question they pertain to.

**2.4.1 Key Proposed Project Personnel and Project Team Organization****2.4.1.1 Organizational Chart**

- Please submit as an Exhibit, labeled as 2.4.1.1: Organizational Chart, and insert after Attachment F.
- The Organizational Chart should include subcontractors and the reporting structure of the entire Project Team including names and roles of each team member. Please note any roles that a specific individual is not assigned to.

**2.4.1.2 Project Team Resumes (Contractor)**

- Please submit (as an Exhibit to Attachment F, labeled 2.4.1.2 Contractor Resumes) resumes for the Contractor's Project Team, as well as for any additional personnel involved in live operation and ongoing support and maintenance. Resumes shall be specific to the actual personnel to be assigned to this Project for all primary roles (e.g., Project Manager, Business Analyst, Trainer).
- Resumes should include a listing of past software implementation projects and certifications held for each Project Team member.
- The IDOC expects that any staff assigned to the Project will remain assigned to the Project unless the IDOC deems the services to not meet expectations, at which point the Contractor and the IDOC will work together to remedy such non-conforming services.
- Please describe your approach to maintaining team stability throughout the project and include your plan to mitigate resource risk.

InfoStrat is a professional services company with a deep bench of Dynamics 365 developers with more than 100 years of experience combined, a core group of which are key to SAVIN360 implementations. In addition, we have a cadre of independent consultants who have deep Dynamics 365 development experience. Which developers will be assigned to this project depends in large part on who is available when the project starts or when surge capacity is required. InfoStrat is happy to have IDOC review qualifications/resume and/or interview specific personnel when they are to be added to the project.

**2.4.1.3 Summary of Project Team**

- Please complete Table 1 by listing a summary of the Contractor Project Team Members. If a role does not have a specific individual assigned, please note this and when an individual would be assigned.

**Table 1: Contractor Project Team Members**

Contractor Project Team Members							
Name	Title	Role on Proposed Project Team (e.g., Project Manager)	Years of Relevant Experience	Years With Firm	Number of Victim Notification System Implementations Completed Within Past Five Years	Identify Scope of Services/Tasks This Individual Will Be Working on for proposed Victim Notification System Project	Relevant Certifications (e.g., PMP®)
Danny Shannon	SAVIN360 Solution Owner	SAVIN360 Subject Matter Expert (SME)	23	13	3	Subject Matter Expert, Advisor	<b>Microsoft Certified:</b> --Professional --Managing Microsoft Dynamics Implementations --CRM Online Deployment --Customization and Configuration --Dynamics365 Sales --Applications --SharePoint Configuration --Certified Tester, Foundation Level (Int'l Software Testing Qual Board)
Stacey Novak	SAVIN360 Program Manager	Account Manager	13	1	1	Implementation: Contract Oversight & Administration, Risk & Issue Management O&M: Project Management	PMP® Professional Scrum Master (PSM) I ITIL v3 Lean Management Professional <b>Microsoft Certified:</b> --Professional --Managing Microsoft Dynamics Implementations Specialist

							--Pre-Sales Technical Specialist --Customization and Configuration -- Dynamics365 Sales --Applications
Benson Hsu	SAVIN360 Architect	SAVIN360 Architect	16	8	3	Application Architecture and System Development; Data Integration Testing	<b>Microsoft Certified:</b> --Dynamics Customization and Configuration --Extending Microsoft Dynamics
Robert Shurtleff		ETL/SQL Developer		1	1	System Development; Data Migration; Data Integration Testing	<b>Microsoft Certified:</b> --FastTrack Recognized Solution Architect Dynamics 365 Certified Professional --D365 Certified Sales Professional --Certified Professional MCAD.NET Application Developer MCSD.NET Solution Developer
Virginia Funk-Currie	Business Analyst & Victim Services SME	Dynamics365 Business Analyst & Victim Services SME	22	2	1	Requirements Documentation, User Training; UAT Support; Data Integration Testing	
TBD in December 2020		Mid-Level Dynamics365 Developer				System Development	
TBD in December 2020		Microsoft Portals Developer				Portal Development	
TBD in January		Mid-Level				Technical Support	

2021		Dynamics365 Developer					
------	--	--------------------------	--	--	--	--	--



#### 2.4.1.4 Project Team Resumes (Subcontractor)

- Please submit (as an Exhibit to Attachment F labeled 2.4.1.4 Subcontractor Resumes) resumes for any of the named subcontractor(s) who are part of the Project Team, as well as for any additional subcontractors involved in live operation and ongoing support and maintenance. Resumes shall be specific to the actual subcontractor to be assigned to this Project for all primary roles (e.g., Project Manager, Business Analyst, Trainer).
- Resumes should include a listing of past software implementation projects and certifications held for each Project Team subcontractor.

#### 2.4.1.5 Summary of Project Team (Subcontractor)

- Please complete Table 2 by listing a summary of the Subcontractor Project Team Members. If a role does not have a specific subcontractor assigned, please note this and when a subcontractor would be identified.

**Table 2: Subcontractor Project Team Members**

Subcontractor Project Team Members							
Name	Title	Role on Proposed Project Team (e.g., Project Manager)	Years of Relevant Experience	Years in Business	Number of Victim Notification System Implementations Completed Within Past Five Years	Identify Scope of Services/Tasks This Individual Will Be Working on for proposed Victim Notification System Project	Relevant Certifications (e.g., PMP®)
Christopher Brown	Engagement Manager (BCforward)	Engagement Manager	28	4	0	Risks/Issue Management, Governance/CCB	<b>Microsoft Certified:</b> --Professional --Application Developer --Solution Developer --Technology Specialist – SQL Server --MEC Facilitator
Brian Wittman	Scrum Master (BCforward)	Scrum Master	4	2	0	Project Schedule, Risks and Issue Management, Communication Plan, Status Reporting, Resource Management,	CSM®

						Governance/CCB	
Michael Thompson	QA – Test Lead (BCforward)	QA Test Lead	15	2	0	Test Plan, Test Execution & UAT Support	
Katie Lueken	QA Analyst (BCforward)	QA Analyst	8	1	0	Test Execution & UAT Support	
Brad Forgey	Director of Software Services (Roeing)	Sr. Dynamics365 Developer	18	21	0	Application Architecture and System Development primarily within: Electronic Document and Imaging Management, Performance Management; Regulatory and Security Compliance	<b>Microsoft Certified:</b> --Application Developer --Solution Developer --Business Solutions Certified Professional <b>Microsoft Certified in:</b> --Azure Infrastructure Solutions --Dynamics CRM Deployment & Implementation
Jonathon Bloom	Data Analyst (Roeing)	Dynamics365 Business Analyst	22	6	0	Data Migration; Data Analytics, Business Intelligence Consultation, Report Conversion, Regulatory Security Compliance	
Donald Kloepper	Business Analyst (Roeing)	Training and Technical Writer, Trainer	4	3	0	Requirements Documentation, System Documentation, Training Material Creation, Instructional Design, User Training	--Six Sigma Green Belt --IBM Process Training Certification --Georgia Dept.of Technical & Adult Education: Service Skills Certificate

### 2.4.1.6 Resource Hours

- Please include the estimated resource levels for the Contractor Project Team and the IDOC Project Team during implementation and a short period of time post go-live (hypercare) by completing the table below.

**Table 3: Contractor Project Team and IDOC Project Team Resource Hours**

<b>Instructions:</b> Please provide the number of hours the Respondent expects to commit to the project, and the number of hours estimated for IDOC resources. Ranges of hours are acceptable. These amounts should be based on the functionality the IDOC desires, included in the detailed Functional and Technical Requirements (Attachment F2).										
<b>Assumptions:</b> Any assumptions related to the number of the Respondent Project Team and the IDOC Project Team staff, roles of staff, and duration of involvement used in the development of the resource hour estimates <b>should be included here:</b> Project Management hour are distributed across the phases in proportion to the workload contained therein. Data Transformation System Interface hours include time to develop the interface, set up code maps for each agency, and validate data from each agency. We assume that agencies will be onboarded over a staggered schedule and so the mapping and validation will occur over a longer duration than the project implementation schedule. Without detailed requirements, we cannot with certainty determine the distribution of Configuration and Customization for new features. Therefore, we will split these across the two options understanding that the overall level of effort will be the same. While there is no migration of legacy data, we do plan to include migration of on-premise data and member DB data to the cloud, which will be included in the Installation and Environmental Setup section. Documentation and training lever of effort will be placed within the Training section										
Team	Requirements Review and Configuration	Customization	Data Transformation System Interface	Installation and Environmental Setup	Testing	Training	Go-Live Prep and Execution	Command Center	Hypercare	Total
Respondent Project Team	900-1000	1250-1350	840	590	1240	620	40	12	80	5772
IDOC Project Team	40-60	20-40	240	40	160	24	80	6	20	670
<b>Total Hours by Project Phase:</b>	<b>940-1060</b>	<b>1270-1390</b>	<b>1080</b>	<b>630</b>	<b>1400</b>	<b>644</b>	<b>120</b>	<b>18</b>	<b>100</b>	<b>6442</b>

- Please include the anticipated resource hour's levels for the IDOC Project Team based on typical Project role by completing the table below. Any comments related to the anticipated hours or phase-specific involvement, or any assumptions, should be noted in the Additional Respondent Comments column.

**Table 4: Anticipated Hours by Project Role**

<b>Project Role</b> (e.g. Project Sponsor, Project Manager, Conversion Lead)	<b>Estimated Hours Per Month (Ranges Are Acceptable)</b>	<b>Estimated Number of Individuals Required for Role</b>	<b>Additional Respondent Comments</b>
Project Sponsor	10 – 20	1	
Project Manager	32 – 60	1	
Victim Services Director/SME	16 – 40	1	
Service Center Staff Member	16 – 40	1	
Subject Matter Experts	16 – 40	2	
IOT Technical Staff	16 – 40	1 – 2	

- Provide the overall estimated split/division of the work effort as shared between the IDOC and the Contractor Project Teams (e.g., the IDOC owns 20% of the work effort, and the Contractor owns 80% of the work effort), along with any narrative to support this estimate.

Comments:

Most of the effort to be provided by IDOC would be primarily standard client activities during a project: project management, collaborate on requirements and follow up questions, review deliverables, attend demonstrations and provide feedback, user acceptance testing, training, parallel monitoring, etc.

Given that IDOC has used SAVIN360 for 10 years, several IDOC Victim Services staff are well versed in form and view configuration. Thus, as part of the migration to the cloud, we anticipate training staff on the Unified User Interface and that they would configure the model driven apps appropriate to staff needs.

**Table 5: Anticipated Work Effort Division**

	<b>IDOC Project Team</b>	<b>Contractor Project Team</b>
<b>Estimated Number of Individuals Required for Project Team</b>	3	17 people will be assigned, though in most cases the active staff at any point will be less than 10
<b>Percentage of Work Effort Owned</b>	<10%	>90%

## **2.4.2 Software Solution, System and Application Architecture, Software Hosting**

### **2.4.2.1 Software Solution**

#### **2.4.2.1.1 Summary Description**

- Provide a summary description of the capabilities of the proposed solution in narrative format. The purpose of this summary is so that the IDOC has a high-level understanding of the proposed solution. The narrative should be written for an audience of the end-user community. Respondents should consider reviewing the detailed functional and technical requirements, along with the supplemental Use Cases that accompany them to inform the narrative.

Indiana Department of Correction has been using our SAVIN360 solution since July 2010. During that time, IDOC has enjoyed the benefits of a highly customizable, easily self-managed notification solution that provides a high degree of service and personalization for victims while providing significant flexibility for IDOC Victim Services staff.

InfoStrat is proposing continued use of the SAVIN360 solution, but also migrating to the Microsoft Government Community Cloud and updating the solution to meet new requirements identified in this RFP and to take advantage of new features of both SAVIN360 and Dynamics 365.

SAVIN360 provides a wide array of benefits that IDOC already uses to their advantage. These include:

#### **Near Real-time Data Exchange**

SAVIN360 uses web services (direct data exchange between systems) as the primary means of data exchange. Thus, data are passed on a transaction basis; that is, each notification worthy event is communicated directly from the source system to the victim notification system as it is logged in the source system. This makes SAVIN360 ideal for integration with the Data Transformation Service.

#### **State Specific Solution**

SAVIN360 entails a Microsoft Dynamics 365 solution that is owned and operated by your government agency and would be specific to your victim services laws and regulations. The public portal is branded according to your requirements and is stand-alone, not a website shared with other states. The data also remains in your Microsoft 365 tenant, it is not shipped off to another location to be used for other products.

#### **Single Offender Record**

One of the key differentiators of SAVIN360 is that it maintains a single record of the Offender, despite receiving data from multiple data sources. This ensures that a victim need only register once and be provided with notification throughout the full justice lifecycle. Thus, when an Offender is booked by County A, the victim can register for the Offender and will receive notifications when he is released. Later, if that Offender is booked in County B, the booking information from County B will be used to find the same Offender in SAVIN and update the record; the victim is then notified of the return to custody in County B without having to register again. Thus, victims enjoy a once-registered, always registered paradigm that provides ongoing notifications in perpetuity, unless the victim chooses to disable them.

#### **Categorized Notification Schema**

SAVIN360 differentiates between types of events with the understanding that some events are more time sensitive or more urgent. A categorization scheme then is applied to notification event definitions

that is used to determine re-call rates, phone call time of day allowances, and communication methods to be included for a specific event. The current IDOC categorization schema includes the following:

**Emergency:** these are events in which the offender is no longer in custody and for which advanced warning of such could not be provided (i.e., escape, conviction overturned)

**Urgent:** these are events in which the offender is no longer in custody, but advanced warning could be provided (parole and probation releases, completed sentence, hearing rescheduled to within a few days, reduction in custodial security level)

**Priority:** these are events that are time bound, but do not entail release from custody (i.e., court or parole hearings, significant change of release date due to time cut)

**Routine:** events which do not have any time critical element and, for public safety or other compelling reasons, may be better delaying notification until several hours or even days after the fact (i.e., movements between facilities, death of inmate, advanced notification of pending release)

This schema enables SAVIN360 to provide notifications most appropriately taking into consideration time of day, communication channel and event urgency. Thus, there is no calling at 2:00 am for non-Emergency events. This also provides a means to minimize extraneous cost for unnecessary notifications.

## Personalized Notification

SAVIN360 uses the Categorization Schema to allow constituents to specify how they would like to be notified by category based on the method allowances established by the sponsor. The following screen depicts how a constituent can specify how to be notified for specific categories of events and can vary the methods for each offender.

NOTIFICATION TYPES

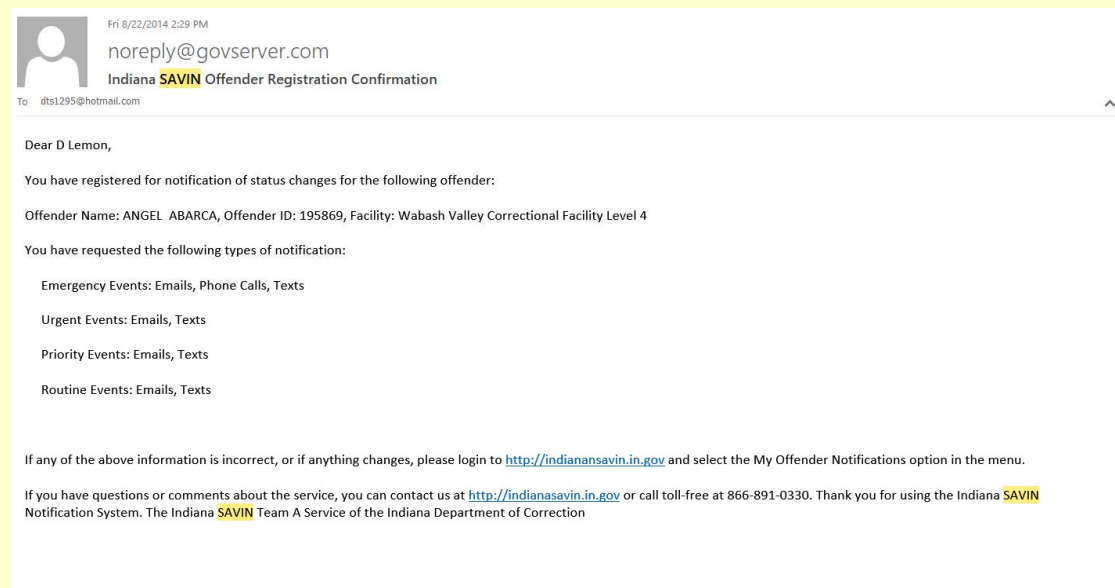
Please select methods by which you wish to be notified when specific types of events occur regarding the offender. We have preselected the most appropriate options based on the contact information you provided. However, you are free to change the options as best meets your needs.

<b>Emergency</b> ⓘ	<input checked="" type="checkbox"/> Email	<input checked="" type="checkbox"/> Email 2	<input checked="" type="checkbox"/> Text 1	<input type="checkbox"/> Text 2	<input checked="" type="checkbox"/> Phone	<input type="checkbox"/> Phone 2	<input type="checkbox"/> Phone 3
<b>Urgent</b> ⓘ	<input checked="" type="checkbox"/> Email	<input checked="" type="checkbox"/> Email 2	<input checked="" type="checkbox"/> Text 1	<input type="checkbox"/> Text 2	<input type="checkbox"/> Phone	<input type="checkbox"/> Phone 2	<input type="checkbox"/> Phone 3
<b>Priority</b> ⓘ	<input checked="" type="checkbox"/> Email	<input checked="" type="checkbox"/> Email 2	<input checked="" type="checkbox"/> Text 1	<input type="checkbox"/> Text 2	<input type="checkbox"/> Letter		
<b>Routine</b> ⓘ	<input checked="" type="checkbox"/> Email	<input checked="" type="checkbox"/> Email 2	<input checked="" type="checkbox"/> Text 1	<input type="checkbox"/> Text 2	<input type="checkbox"/> Letter		

\*Some communication types may be grayed out or disabled if no information was provided. To allow all communication types ensure that your [Profile](#) is up-to-date and has all of the information for phone numbers and email addresses filled in.

Unregister
Update

## Multiple-Identity Search



## My Notifications (watch list)

SAVIN360 provides a feature whereby constituents can quickly and easily see the current status of all offenders for which they have registered and to modify the registration settings for each. The following screen depicts the My Offender Notifications (watch list) in the SAVIN360 portal. In later versions, this is enhanced to a Dashboard, where the registrant can view the offender watch list but also view recent notifications and even stop notification calls if they can't remember their PIN.

INDIANA DEPARTMENT OF CORRECTION

Welcome [Redacted] [Log Out]

Indiana SAVIN & Alert Notification Service

Home Offender Search Facility Search My Profile My Offender Notifications My Facility Notifications Administration

MY OFFENDER NOTIFICATIONS

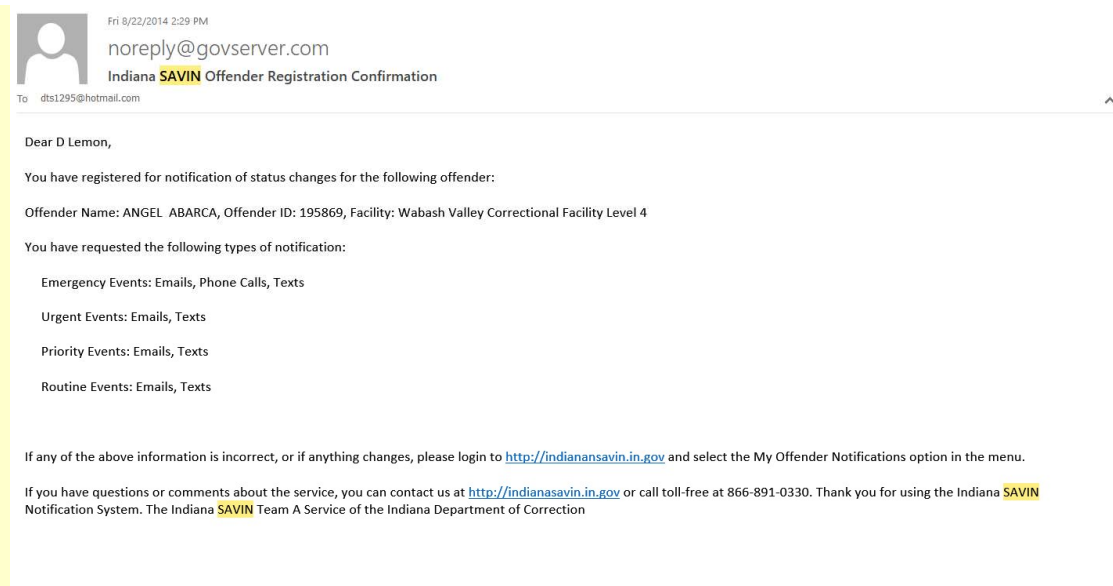
These are the offenders you have registered against

Click the 'Details' link to view or modify your offender notification record.

	Name	Status	Offender ID	Location	DOB	Expected Release	Release Date	Book Date
<a href="#">Details</a>	Smith, William	Under Supervision	114599	State of Illinois	8/9/1968		2/22/2016	
<a href="#">Details</a>	Zzzzevon, Zzzwarren Zzzl	In Custody		Switzerland County Jail	1/12/1951			10/24/2013
<a href="#">Details</a>	Zzzjohnson, Zzzorestes Z	Out of Custody	111111	Reception Diagnostic Center	1/11/1951			

## Registration and Profile Confirmations

SAVIN360 provides an email to a constituent who has registered for an account or for notification of an Offender as a confirmation message. A confirmation message also is sent when a constituent updates their profile or registration details for notification. This provides assurance to the constituent that they truly have "signed up." The following screen is a sample email for a registration for an offender.



## Annual Follow-up

An ongoing issue for any victim notification solution is the validity of the contact data for the victim. Phone numbers, in particular, present a more recurring problem because the constituent can change phone numbers and someone can inherit the old number which was used to register. The same is true for text messaging numbers; addresses change occasionally, emails get deactivated. SAVIN360 addresses this in several ways as part of normal operations, but the solution also proactively searches out constituents who have not made any changes to the contact data for more than one year and requests them to confirm their information. This is done as emails, letters and phone calls, based on what data is provided.

## Event-Based Governor

SAVIN360 provides a means of preventing erroneous notification that can occur when a source system erroneously passes a large number of changes that are not accurate. The SAVIN360 solution uses an event-based governor in which each type of event is given its own threshold and if a threshold is crossed, only notifications for that event are stopped until a determination is made as to accuracy. For example, 30 Parole Releases in an hour is probably not an issue, whereas 5 Deaths in an hour probably is an issue. Thus, if the five deaths per hour threshold is crossed, an alert is sent to the Victim Services staff but only Death notifications are stalled while the situation is investigated; all other types of notifications continue. If it is determined that the five Deaths were in error, any notifications that would have been sent can be cancelled; if it was not an error, the notifications can be continued with a single mouse click by an administrator. The following screen depicts configuration of the notification governor.



EVENT TYPE : ADMIN  
Escape

Modified On: 6/4/2020  
Stopped: No

Notification Governor	
Enabled	No
Threshold Count	3
Threshold Time (minutes)	60
Stopped	No
Last Governor Stoppage	

Were the threshold crossed for this event type, the stopped value would be “Yes” and there would be a Date/Time value in the Last Governor Stoppage field.

### Intelligent Custody Status Change Logic

SAVIN360 provides logic to accommodate the notion that a change in custody status may have a different meaning depending on what the previous custody status was. For example, an End of Sentence for someone who is on parole has a different meaning than it would for someone who is incarcerated in a correctional facility. In another example, someone who went to court from work release and then returns to work release has simply returned from court; conversely, someone who goes from a correctional facility to court and then to work release has been assigned to work release. SAVIN360 allows flexibility in determining what notification should occur based on current and previous custody status. This also allows SAVIN360 to prevent notifications that don't make sense considering what was already reported, in case bad data are provided. For example, SAVIN360 would prevent notification of a parole release for an offender who previously was updated as deceased; in this case, a task would be created for the Service Center staff to investigate.

### Complete Communication History

Because SAVIN360 is built using Dynamics 365, it leverages the out-of-the-box capability of tracking all communications with a constituent including being able to track all inbound calls, emails, text responses, etc. All these communications can be found by drilling down from the constituent record. The following screen depicts the communication history for a constituent.

CONTACT : SAVIN  
Danny Shannon

User ID: \_\_\_\_\_ Organization: \_\_\_\_\_ Facility: \_\_\_\_\_

Filter on: All

NEW ACTIVITY ADD EXISTING ACTIVITY BULK DELETE CHART PANE RUN REPORT EXCEL TEMPLATES EXPORT ACTIVITIES TRACK EMAILS BY FOLDER

Subject	Activity Type	Priority	Due Date	Owner	Created By	Date Created	Actual End
SAVIN Notification: Claus, Santa 18...	Phone Call	Normal	6/5/2020 10:53 AM	CL Savin Ad...	Danny Shan...	6/5/2020 9:58 A...	6/5/2020 10:53 AM
SAVIN Notification: Claus, Santa 18...	Phone Call	Normal	6/5/2020 9:53 AM	CL Savin Ad...	Danny Shan...	6/5/2020 8:58 A...	6/5/2020 9:53 AM
SAVIN Notification: Claus, Santa 18...	Phone Call	Normal	6/5/2020 8:53 AM	CL Savin Ad...	Danny Shan...	6/5/2020 7:58 A...	6/5/2020 8:53 AM
SAVIN Notification: Claus, Santa 18...	Phone Call	Normal	6/5/2020 7:53 AM	CL Savin Ad...	Danny Shan...	6/5/2020 6:58 A...	6/5/2020 7:53 AM
SAVIN Notification: Claus, Santa 18...	Phone Call	Normal	6/5/2020 6:53 AM	CL Savin Ad...	Danny Shan...	6/5/2020 5:58 A...	6/5/2020 6:53 AM
SAVIN Notification: Claus, Santa 18...	Phone Call	Normal	6/5/2020 5:53 AM	CL Savin Ad...	Danny Shan...	6/5/2020 4:58 A...	6/5/2020 5:53 AM
SAVIN Notification: Claus, Santa 18...	Phone Call	Normal	6/5/2020 4:53 AM	CL Savin Ad...	Danny Shan...	6/5/2020 3:58 A...	6/5/2020 4:53 AM
SAVIN Notification: Claus, Santa 18...	Phone Call	Normal	6/5/2020 3:53 AM	CL Savin Ad...	Danny Shan...	6/5/2020 2:58 A...	6/5/2020 3:53 AM
SAVIN Notification: Claus, Santa 18...	Phone Call	Normal	6/5/2020 2:53 AM	CL Savin Ad...	Danny Shan...	6/5/2020 1:58 A...	6/5/2020 2:53 AM
SAVIN Notification: Claus, Santa 18...	Phone Call	Normal	6/5/2020 1:53 AM	CL Savin Ad...	Danny Shan...	6/5/2020 12:58 ...	6/5/2020 1:53 AM

1 - 60 of 60 | All # A B C D E F G H I J K L M N O P Q R S T U V W X Y Z Page 1

## Extensive Auditing

SAVIN360 provides tracking of all relevant data changes in the SAVIN360 database. This enables administrators to determine what data was changed, by whom, when and from what value to what value. With multiple data sources attempting to update the same offender record, understanding what system updated which data values is vital. The following screen displays the Audit History of an offender record.

Changed Date	Changed By	Event	Changed Field	Old Value	New Value
6/4/2020 2:40 PM	Danny Shannon	Update	Last Notification T...	6/4/2020 2:00 PM	6/4/2020 2:40 PM
6/4/2020 2:00 PM	Danny Shannon	Update	Last Notification T...	6/4/2020 1:58 PM	6/4/2020 2:00 PM
6/4/2020 1:58 PM	Danny Shannon	Update	Last Notification T...	6/4/2020 1:38 PM	6/4/2020 1:58 PM
6/4/2020 1:38 PM	Danny Shannon	Update	Last Notification T...	6/3/2020 3:31 PM	6/4/2020 1:38 PM
6/4/2020 11:08 ...	Danny Shannon	Update	Approval Date		11/6/2019
			Expiration Date		11/5/2020
			ID Number		44541
			LENS Status		Approved
			Subscriber Type		District Attorney/Count...
			VAC Access Appro...	No	Yes
6/3/2020 3:31 PM	Danny Shannon	Update	Last Notification T...	6/3/2020 3:22 PM	6/3/2020 3:31 PM

The screen also provides filtering to search changes to a specific data field. In the screen below, the Audit History is filtered by Facility

Changed Date	Changed By	Event	Changed Field	Old Value	New Value
3/17/2020 2:56 ...	CL Savin Admin	Update	Facility	Anchorly County Jail	Bibby County Jail
3/17/2020 2:33 ...	CL Savin Admin	Create	Facility		Anchorly County Jail

## Backdate Handling

SAVIN360 provides special handling procedures for backdated data, which can be a recurring issue from various data sources. At times, an offender record is updated in the source data system for an event that is past. For example, an offender is released from prison on Friday, but the record is not

updated until Monday. In this case, the data is three days old and may have been superseded by a booking in the meantime. SAVIN360 provides an alerting capability for this kind of scenario and allows Victim Services staff to validate the data and update the notification message accordingly prior to providing the notification. In addition, backdate logic can be varied by type of Event, so that two days would be the backdate threshold for most events, but for Transfer events, the backdate threshold is five days to accommodate stop-overs (a prison transfer in which the offender stays a night or two at a facility that is not the final destination).

### **Self-Service Operational Configurability**

SAVIN360 was designed to enable the administrator to manage the day-to-day operations of notification schemas, messages, and system values. This allows the Program Manager and permitted staff to manage many of the notification process elements, rather than going to a vendor to make the changes. Some of these are described below:

**Event Types**—whenever the need arises for adding new types of events, SAVIN360 provides a centralized tool for the Program Manager and permitted staff to create event types. For example, if state law changes to allow for home detention via electronic monitoring where no such type of custody existed before, SAVIN360 provides a simple means to allow for the event type to be provided through data feeds simply by adding a record to the data type interpretation table. For IDOC, these are called Notify Rules.

**Messages**—SAVIN360 provides the Program Manager and permitted staff to add the text of notifications that will be used as well as modifying existing message text. Messages are associated with the notification event type (Notify Rule) for which they will be used and can be accessed from the Notify Rule screen.

**Categorization**—SAVIN360 provides standardized out-of-the-box categories: Emergency, Urgent, Priority, Routine. These are used to define Notify Rules level of urgency/severity as well as phone call repeat rates. Categories also are used to allow constituents to determine how they would most like to be notified and to limit notification delivery options where appropriate (e.g., don't send letters for emergency events, etc.).

**System Values**—SAVIN360 provides a wide range of configurable system values that are applied during various processes. These values include confirmation email text, notification type prefix and suffix text (standard text used in notifications; e.g., email prefix), backdate global and specific values, and many others.

**Governor Settings**—SAVIN360 monitors incoming data to determine if there are too many of the same types of changes in a short period. This is called the Notification Governor. A full description of this feature is provided in our discussion of SAVIN360 features on page 22. The Victim Services staff will be able to manage the threshold settings and enabling or disabling the Notification Governor on the Notify Rule form.

By way of example for this capability, one week prior to the submission of this proposal the Victim Services Director for IDOC had requested a change to the before and after logic to produce the same End of Commitment messages for parolees who finish their term as is produced for those offenders who finish their term in a facility. This increased the count of End of Commitment events, which triggered a false positive Governor warnings. The Victim Services Director was immediately able to change the threshold values for End of Commitment events without any help from InfoStrat thus,

reducing the likelihood of false positives.

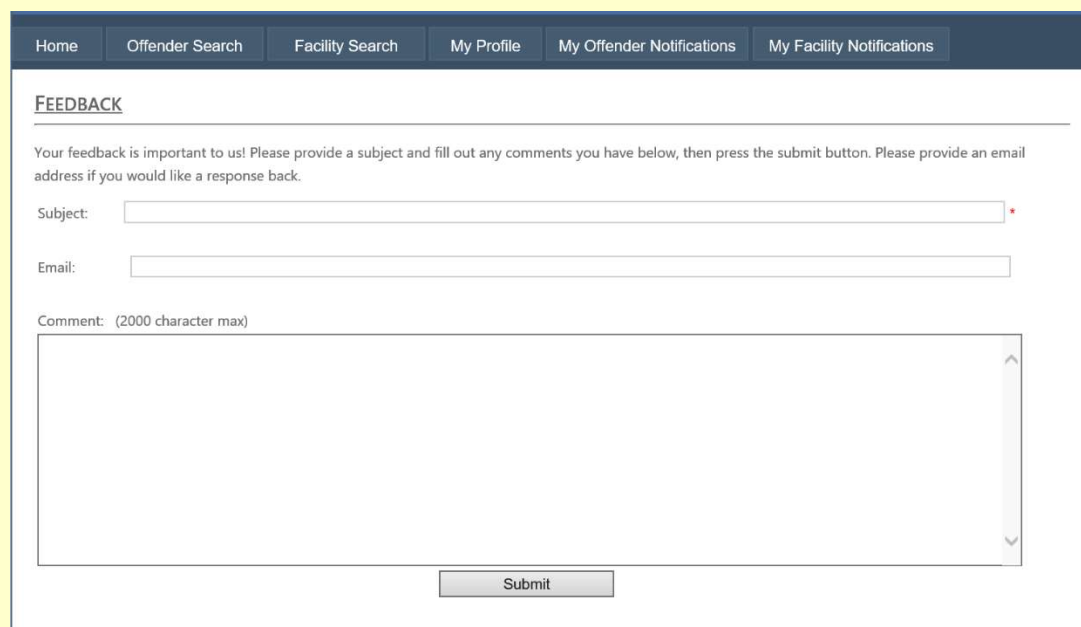
**Offender Display, Register, and Notification Settings**—SAVIN360 provides a method for determining how constituents can access offender data on the portal. There are three controls on each Offender record that are used for this purpose. These are: *Do Not Notify* (prevents notifications for the offender), *Do Not Register* (prevents registration for the offender), and *Portal Display* (determines how the offender will be presented on the portal—available to all, available to none, available to someone already registered).

### Facility Alerting

This feature extends notification beyond individual constituents and offenders to an alerting feature for citizens living near a facility, or who are interested in inmates at a facility. Constituents can sign up for notification when there is an emergency or other alert-worthy condition at a facility.

### Feedback Handling

SAVIN360 provides a feedback option whereby anyone can provide input or make inquiries through the portal. This feedback is immediately forwarded to the Victim Services staff for review and, if any response is needed, Dynamics 365 (the administrative tool) provides easy means for response. If the feedback is provided by a defined portal user, the feedback and response will be linked to the user's record in Dynamics 365. The following screen depicts the feedback feature on the SAVIN360 Portal.



The screenshot shows the SAVIN360 Portal navigation bar with links: Home, Offender Search, Facility Search, My Profile, My Offender Notifications, and My Facility Notifications. Below the navigation bar is the "FEEDBACK" section. It contains a message: "Your feedback is important to us! Please provide a subject and fill out any comments you have below, then press the submit button. Please provide an email address if you would like a response back." There are input fields for "Subject:" and "Email:", and a large text area for "Comment: (2000 character max)". A "Submit" button is located at the bottom right of the form.

In addition to direct feedback from the website, responses to text messages and emails are made available to Service Center staff so that they can take any necessary actions.

### Rapid Enhancement

Because Dynamics 365 is used as a rapid development engine, enhancements to the notification or other processes can be done quickly. By way of example: when the Indiana legislature passed a law requiring IDOC to notify constituents about significant changes to the offender release date and periodic updates regarding the offender release date, InfoStrat had about a month to make the changes. The law was to become effective on July 1 of the same year. Developing in Dynamics 365,

InfoStrat was able to roll out these features in 3 weeks and meet the state's deadline

## Full Traceability

SAVIN360 maintains all data as it traverses the system. As data are received from a source a record stores both the raw data received as well as the processed data; these records are linked to the Offender and related records that were updated by that source data. The updated records are audited so that the changes can be determined. When the Offender record is updated, automated workflows are run on the record to determine the actions needed; these workflow session records are maintained and available for viewing from the Offender record. If the change requires a notification, then a record is created for each registrant and each is available from the Offender record. Finally, as notifications are conducted, the audit data and workflow session records are available from the notification record. Thus, at every step in the process, data are available to trace all actions conducted by the system as a result of incoming data. The same is true for any manually initiated actions.

## Microsoft Office Integration

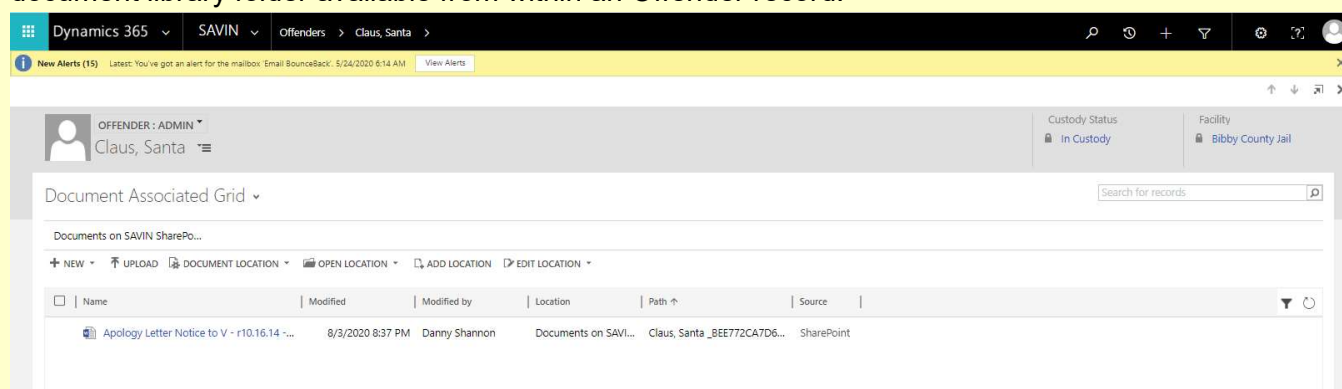
Dynamics 365 integrates with the following Microsoft Office applications:

Excel—Dynamics 365 allows for export to Excel, import from Excel, development of Excel templates for reporting and business intelligence.

Word—Dynamics 365 provides mail merge and Word Templates for generating documents using record data.

Outlook—Dynamics 365 integrates with Outlook such that most features can be access and run from within Outlook; Emails, Contacts, Appointments and Tasks can be synched from Outlook. Additional features are added to Outlook to enable linking Emails to specific records in Dynamics 365; any emails forwarded or received in reply to the email will also be stored as an Activity in Dynamics 365.

SharePoint—Dynamics 365 seamlessly integrates with SharePoint such that specific record types (e.g., Registrants, Offenders, Notifications) can be associated with a SharePoint document library and each new record creates a folder for the record in the library. Documents related to that record can be added to the folder and are available from within Dynamics 365. The following screen depicts a SharePoint document library folder available from within an Offender record.



## Extensibility

Dynamics 365 can serve as a platform for rapid, web application development. As such, in addition to notification, by leveraging the SAVIN360 data model and data therein (primarily the victim data) we have implemented for IDOC and for other states additional companion applications for Justice and Victim Services agencies. For IDOC, we have implemented applications in SAVIN360 for Sex and

Violent Offender (SVO) Out-Processing, Facility Alerting, the Law Enforcement Notification Service (LENS). For other states, we have implemented Victim Services Case Management (primarily used for tracking services provided for VOCA Grant Quarterly Reports), Justice Publication Clearinghouse, Victim Services Provider Registry, Victim-Offender Mediation, Offender Apology Bank, County Victim Service Statistics Reporting, Electronic Victim Impact Statements, and several other smaller applications.

### **New Features**

Included in our proposal would be to bring in the IDOC SAVIN360 solution features that have been developed for other states that would be of value to IDOC. As part of our agreements with all SAVIN360 states, these additional features are available to IDOC for no license cost, but only the cost of services to install and update to be specific to IDOC. The following features would be provided.

### **Updated Portal**

Microsoft purchased the rights to ADX portals in 2015 and has since made it a standard offering as part of Dynamics 365. Significant enhancements since then have made integration between Dynamics 365 and Dynamics Portal (as it now is called) more seamless and places user management squarely under the auspices of Dynamics 365 and Azure; the current version of portal places user management into a separate, stand-alone database with connections to Dynamics CRM (the name of the version of Dynamics 365 currently used by IDOC).

One feature of Dynamics Portal that is of great use is that it renders forms and data views from Dynamics 365 making them editable to authorized users. Dynamics Portals also makes use of more modern capabilities, such as Liquid templates, to improve user experience. InfoStrat proposes to convert the current IDOC SAVIN portal to Dynamics Portals, leveraging work already done and adding pages and features that are unique to IDOC.

### **My Dashboard**

Using features available from Dynamics Portals, the My Dashboard provides a landing page whereby a logged in portal user can view all their registrations, recent notifications and facility alert registrations in one place. The dashboard is interactive, so the user can click into any record and update or review it. While not specifically required, since we propose migrating to Dynamics portals, we would include the dashboard as part of that migration. The following screen depicts a standard My Dashboard page. Of particular note is the My Registrations table, which provides a current view of the Offender information.



Colossus DOC SAVIN

My Dashboard | Offender Search | Admin | FAQ | Feedback | Q | Danny Shannon | TRANSLATE

SAVIN > My Dashboard

## My Dashboard

My Registrations

Offender ↑	Offender Status	Facility	Intake Date	Release Date	Relationship
Claus, Santa	In Custody	Bibby County Jail			Concerned Citizen
JONES, MIKE THOMAS	In Custody	Anchorage County Jail			Concerned Citizen
Krumpf, Ed	Out of Custody	Anchorage County Jail			Offender Family - Not Victim of the Offense
LUTHOR, LEX	In Custody	Bibby County Jail			
MacDonald2, Ronald2	In Custody	Anchorage County Jail			Concerned Citizen

My Recent Notifications

Offender	SID	DOC #	Event Type	Event Date ↓	Category	Email Requested	Letter Requested	Phone Requested	SMS Requested	TTY Requested
JONES, MIKE THOMAS	123456789		Return to Custody	6/4/2020 2:20 PM	Urgent	Yes	No	No	Yes	No
JONES, MIKE THOMAS	123456789		Return to Custody	6/4/2020 10:37 AM	Urgent	Yes	No	No	Yes	No
JONES, MIKE THOMAS	123456789		Discharge	6/4/2020 10:37 AM	Urgent	Yes	No	No	Yes	No
Claus, Santa			Spontaneous Release	6/4/2020 8:00 AM	Emergency	Yes	No	Yes	Yes	No
Claus, Santa			Spontaneous Release	6/3/2020 1:00 PM	Urgent	Yes	Yes	Yes	Yes	No

## Enhanced Categorization

In the original SAVIN360 used by IDOC, the Notification Category assigned to a Notify Rule was a simple picklist. Application of the allowances for each category was hard coded into the portal and registrant records. InfoStrat has updated the Notification Category to be a master table that allows authorized users to name categories, to set method allowances and to establish the re-call schema and afterhours call allowances. This allows for application and modification of category rules that get applied without code changes. The following screen depicts the Notification Category configuration form.

Dynamics 365 | Config | Notification Category | Emergency

New Alerts (15) | Latest: You've got an alert for the mailbox: 'Email BounceBack', 5/24/2020 8:14 AM | View Alerts

SAVE | SAVE & CLOSE | NEW | DEACTIVATE | DELETE | EMAIL A LINK | RUN WORKFLOW | START DIALOG | FLOW | ...

NOTIFICATION CATEGORY: SAVIN

Emergency

General

Category: Emergency | Category Number: 1

Description: Notifications regarding an escape from custody and recapture

Allowances					
Phone	No	Email	Yes	Mobile	No
Robo	Yes	SMS	Yes	Social	No
TTY	Yes	Letter	No	IM	No

Phone After Hours	Yes				
Phone Cycle 1 Wait	15	Phone Cycle 2 Wait	60	Phone Cycle 3 Wait	120
Phone Cycle 1 Max	8	Phone Cycle 2 Max	22	Phone Cycle 3 Max	12

InfoStrat would update the IDOC SAVIN360 to use this new schema.

### Expanded Registrant/Notification Schema

In the original SAVIN360 used by IDOC, all contact data for a victim was maintained on a single record which provided for up to three phone numbers, two email addresses and two text numbers. InfoStrat has since modified the data schema to use a parent-child relationship between the victim record and the contact data. In addition, the schema allows identification of the phone type, to only need to enter the phone number once for a mobile (thus, SMS enabled) phone. This reduces the data entry requirement for whomever adds the victim registration and normalizes the contact data.

From the Victim record, the listing of child contact data records, called Contact Methods, is visible as a table on the victim form. From this table, the user can add and remove contact data records. The following screen shows the Contact Methods list from a victim record.

The screenshot displays the Dynamics 365 SAVIN interface for a victim record. The top navigation bar shows 'Dynamics 365' and 'SAVIN'. The breadcrumb trail indicates 'Contacts > Danny Shannon'. The main content area is titled 'CONTACT : SAVIN' and 'Danny Shannon'. Below this, the 'General' tab is active, showing a form with fields for Salutation, First Name, Middle Name, Last Name, and Suffix. To the right of these fields are fields for Victim ID, PIN, Language, Follow Up, and Source. Below the form is a table titled 'Contact Methods' with columns: Name, Method, Invalid, Email Address, Phone Number, Phone, Preference, Account, City, State, Constituent, and Modified. The table contains three rows of contact data. To the right of the table is a sidebar with 'ASSISTANT' and 'NOTES' tabs. The 'ASSISTANT' tab shows 'Today's Insights' with a message: 'There are currently no insights. There are currently no actions waiting to be completed.' Below this is a 'Registrant Count' section with a list of counts: Registrant Count (2), Address Count (1), Email Count (2), Phone Count (1), and SMS Count (1).

Name	Method	Invalid	Email Address	Phone Number	Phone	Preference	Account	City	State	Constituent	Modified
Phone: 3018019...	Phone	No		3018019434	Mob...	No				Danny Shan...	6/23/2020
Email: dts1295@...	Email	No	dts1295@yahoo.com			No				Danny Shan...	6/23/2020
Email: dts1295@...	Email	No	dts1295@hotmail.com			No				Danny Shan...	6/24/2020
Address: Bomo...	Address	No				No		Bomolege	CL	Danny Shan...	6/23/2020

The following screen depicts a Contact Method form. Note that the form fields change based on the Method selected.

The screenshot displays the Dynamics 365 SAVIN interface for a Contact Method form. The top navigation bar shows 'Dynamics 365' and 'Email: dts1295@yahoo.com'. The breadcrumb trail indicates 'CONTACT METHOD : SAVIN' and 'Email: dts1295@yahoo.com'. The main content area is titled 'CONTACT METHOD : SAVIN' and 'Email: dts1295@yahoo.com'. Below this, the 'General' tab is active, showing a form with fields for Constituent, Method, Invalid, Email Address, Source, Name, and Owner. The 'Method' field is set to 'Email'. The 'Invalid' field is set to 'No'. The 'Email Address' field is set to 'dts1295@yahoo.com'. The 'Source' field is empty. The 'Name' field is set to 'Email: dts1295@yahoo.com'. The 'Owner' field is set to 'Danny Shannon'.



## Stop Notification Logic

InfoStrat has added logic to quickly enable Service Center staff and victims to stop notification calls. This logic is primarily used for interrupting automated call (RoboCall) cycles when the recipient cannot remember their PIN. Service Center staff can bring up the Notification based on Phone Number or email address and stop the calls using the Stop Notifications field outlined in red in the screen below.

The screenshot shows the Dynamics 365 SAVIN interface. The top navigation bar includes 'Dynamics 365', 'SAVIN', and 'Notifications > Notify Discharge Da...'. A notification banner at the top states: 'New Alerts (15) Latest: You've got an alert for the mailbox 'Email Bounceback', 5/24/2020 6:14 AM View Alerts'. Below the banner, a toolbar contains buttons: SAVE, SAVE & CLOSE, NEW, DEACTIVATE, DELETE, RESTART OFFENDER NOT..., ASSIGN, SHARE, EMAIL A LINK, and a menu icon. The main content area displays the 'NOTIFICATION : SAVIN' record for 'Notify Discharge Danny Shannon: Claus, Santa'. The record details include: Offender Name (Claus, Santa), Event Type (Discharge), Constituent Name (Danny Shannon), and a 'Stop Notifications' field with a 'No' value, which is highlighted with a red rectangle. The 'General' tab is selected, showing fields for Event Name (Discharge), Event Type (Discharge), Event Date (7/10/2019 11:00 AM), Event Day (7/10/2019), Category (Urgent), Backdated Date (3/15/2020 6:37 PM), and Start Notification Time (3/17/2020 3:20 PM). Other fields include Registrant (Danny Shannon), Constituent (Danny Shannon), Constituent Name (Danny Shannon), Language, Notification Number (189038), and SAVIN Phone Number.

The same logic is available from the portal for Victims. The current notification will appear at the top of the My Recent Notifications list on the user's dashboard. The Victim can open the Notification and select to stop notifications using the Yes/No field outlined in the screen below.

The screenshot shows the Colossus DOC SAVIN portal. The top navigation bar includes 'Colossus DOC SAVIN', a home icon, and links to 'My Dashboard', 'Offender Search', 'FAQ', 'Feedback', and a search icon. A user profile dropdown shows 'Danny Shannon' and a 'TRANSLATE' button. The breadcrumb trail is 'SAVIN > My Dashboard > My Recent Notification Detail'. The main heading is 'My Recent Notification Detail'. The notification details include: Event Name (Pardon), Offender (Claus, Santa), Event Type (Spontaneous Release), and Event Date (6/4/2020 8:00 AM). A 'Notification' section contains text: 'You have registered to receive notifications on the following offender: Claus, Santa. The Colossus Department of Corrections (CDOC) Victim Services Division (VSD) sends our sincere regrets for the criminal victimization you have experienced. It is our goal to assist you in participating in the criminal justice process. The governor has granted a pardon for this offender. If you have questions or would like to remove yourself from future notifications, please contact the CDOC VSD Hotline: at 800-848-4284 or victim.svc@doc.cl.gov. Please visit our website at http://savin.doc.cl.gov to update your account or your registration information. By providing up to date email addresses and phone numbers, we will be able to provide you with more timely notifications. All telephone and email registrations provided through CDOC VSD are kept completely confidential.' Below this, a 'Stop Phone Notification for This Event' field is highlighted with a red rectangle, showing radio buttons for 'No' (selected) and 'Yes'. The 'Notification Details' table is also visible.

Event Type	Type	Contact Method	Category	Requested	Sent	Sent Date	Returned	Returned Date	Confirmed	Confirmation Time
Spontaneous Release	Phone	Phone: 3018019434	Emergency	Yes	Yes	6/5/2020 10:20 AM	No		Yes	6/5/2020 10:20 AM
Spontaneous Release	SMS	Phone: 3018019434	Emergency	Yes	Yes	6/4/2020 1:58 PM	No		No	
Spontaneous Release	Email	Email: danny.s@infostrat.com	Emergency	Yes	Yes	6/4/2020 1:58 PM	No		No	
Spontaneous Release	Address	Address: M... ..	Emergency	No	No		No		No	

## Notification Reports

InfoStrat has built some additional reports that can be installed in the IDOC system. The Notification Statistics report, displayed in the screen below, allows the user to generate the counts of notifications provided by day, week, month or year during a defined reporting period. Also, statistics can be generated by Notifications Sent, Returned or Requested. And the user can also choose to display a specific type of notification.

Start Date: 6/1/2020 End Date: 6/30/2020 View Report

Report By: Day Type: All

Basis: Sent

1 of 1 100%

Notification Statistics

Summary By Day,  
from 06/01/2020 to 06/30/2020,  
for Notifications Sent

Period	Letter	Email	Robo	Phone	SMS
06/01/2020	145	96	60		38
06/02/2020	788	499	70	1	136
06/03/2020	127	92	57		34
06/04/2020	136	106	24		28
06/05/2020	133	85	71	1	46
06/06/2020	36	37	17		12
06/07/2020	42	29	5		13
06/08/2020	164	124	58	5	58
06/09/2020	234	179	74	2	51
06/10/2020	213	157	56	5	54
06/11/2020	157	136	56		30
06/12/2020	126	96	58		30
06/13/2020	28	23	21		8
06/14/2020	53	42	11		8

The Notification by Month for Communication Type provides a count of notifications for a selected month for each Event Type for which notifications were provided and shows the distribution of methods for each Event Type.

Month  Year

Type

1 of 1 100% Find | Next

### Notification by Month for Communication Type

Summary by Month  
Jul 1, 2020 - Jul 31, 2020  
For Notifications Sent

Event Type	Count					
	Total	Letter	Email	SMS	Phone	TTY
Discharge	4	0	4	1	0	0
Escape	1	0	1	1	1	0
Parole	3	1	3	2	2	0
Return to Custody	9	0	8	2	0	0
Spontaneous Release	3	0	3	3	2	0

### RoboCall and TTY Configuration

All SAVIN360 notification configurations have been updated to provide support for automated phone call (RoboCall) and TTY support. TTY support is provided through CDYNE, similar to SMS. RoboCall support is provided for Categories and Event Types

### IVR Search and Registration

InfoStrat has implemented touch-based interactive voice response (IVR) capabilities to enable a caller with a touch tone phone to search for an Offender by name or ID and to receive status information concerning that offender. The caller can then register for notifications about that Offender, if not already registered. We limited the capability to touch IVR because results of voice IVR indicate a high number of frustrated callers who drop out of IVR completely or request to speak to an operator. Thus, out of sensitivity to the victim community, we focus on approaches that will have a high likelihood of success.

### Victim Vetting

This feature is designed to provide a means to allow registrants to self-identify as a victim and to require approval by a state or county official to confirm that the person is a victim. Since requirement FN.15 requires distinguishing known victims, this provides a process for doing so.

### Phone and Address Check

InfoStrat has implemented logic to use the CDYNE API for phone verification and address validation and would install that logic into the IDOC system. These services are designed to prevent sending letters and texts that cannot be delivered. The address validation logic involves passing the address to the CDYNE service when it is entered and receives confirmation of the validity of the address according the US Postal database. If the service determines that it is an invalid address, an error message is provided to the user. The phone verification logic passes a mobile phone number to the CDYNE service when it is entered and receives confirmation that the number is valid and a mobile number; if it is not a mobile number the phone type is set back to landline. Requirements FN.9 and FN.11 require this logic.

#### 2.4.2.1.2 Software Documentation

- Provide a summary of the software documentation that describes how systems administrators and users will interact with the features and functions of the proposed solution. Identify what makes the documentation user-friendly and useful to the end user and the technical user of the software.

The software documentation is focused on the use cases for sets of users. By focusing the documentation on a task-based approach, users can easily understand how to complete specific tasks based on their job role.

##### **System Administrators**

The software documentation for the system administrators is focused on the administration of the system. This documentation includes information on general Dynamics 365 and Power Platform administration as well as administration of SAVIN360 specific features. This documentation is focused on helping the IDOC System Administrative users be self-sufficient on basic maintenance and operational tasks that need to be performed. This documentation focuses on:

- Configuring security
- Performing user management
- Managing lookup values
- Creating and managing dashboards
- Creating and assigning advanced find views for users
- Creating reports and assigning to users
- Managing queues
- Maintaining document storage
- User personalization

##### **System Users**

The software documentation for system users is focused on the tasks performed for their job roles. This documentation includes general Dynamics 365 features to allow the user to navigate the system and understand the core system features. In addition, the documentation provides task-based help round their specific use cases. This documentation focuses on a long list of features which include:

- Accessing the system
- Navigation
- Locating records
- Using dashboards
- Activities and timelines
- Data entry for victim information and registration
- Uploading and viewing documents

SAVIN360 provides context sensitive help based on the screen the user is accessing. When the user accesses the help from a screen, the SAVIN360 help will be displayed for that screen. This allows the user to see the help documentation specific to the task that the user is performing. The help for the screen includes information about how the task is performed, the steps that need to be taken to complete the task, and screen shots to walk the user through the task.

## Knowledge Articles

In addition to the SAVIN360 documentation contained in the help system, the system includes the ability for users to create knowledge articles. These articles are designed to allow for the documentation of procedures and processes which may or may not be completed in the system. For example, an article could be added on the process for how a call center worker collects information from a victim, how to report an incident, or how to address a specific question that they may be asked. These documents are created in the system and undergo an approval process before being published to other users. Users can search the articles on keywords and other information to locate a specific article.

### 2.4.2.1.3 Software Information

- Provide the following detailed information regarding the software:
  - Product name and version
  - Time on market
  - Release date of most current version
  - Next major release date
  - Next minor release date
  - Description of licensing options, such as subscription, enterprise, concurrent users, site, power user, etc.
  - The number of licenses included in the proposal
- Describe the frequency and release of upgrades, and the process for testing any upgrades.
- Describe how often major and minor software updates are provided, as well as the level of IDOC resources required for a major update, and the level of resources required for a minor update.

SAVIN360 is a pre-packaged set of Dynamics 365 configurations that greatly shorten the time to setup a tailored solution to meet IDOC's specific victim notification requirements. Dynamics 365 is a SaaS offering that resides within the Office 365 architecture and is regularly updated by Microsoft; usually Microsoft publishes two minor upgrades per year. The current version is "Version 1710 (9.1.0.19867) online". Upgrades are announced as available by Microsoft and then can be scheduled. All SAVIN360 features leverage Dynamics 365 features, including interfaces which use the Dynamics 365 Software Development Kit (SDK) to enable data exchange with various sources. In addition, InfoStrat proposes conversion of the old portal, which uses an outdated technology, to Dynamics Portal.

In addition to Dynamics 365, InfoStrat would use various Azure services in an IaaS, SaaS or PaaS scheme in which Azure services are used to provide required capabilities. The following Azure services are expected to be used to meet explicit requirements.

Azure Cognitive Service: Translator  
Azure Cognitive Service: Form Recognizer  
Azure Cognitive Service: Computer Vision  
Azure Web Application

Azure Virtual Machine  
 Azure Blob Storage  
 Enterprise Power Automate

As Dynamics 365 instances will be managed through your Microsoft 365 (formerly, Office 365) tenant and Azure services will be provided through IOT's Azure tenant, IOT will have need to set these services up, procure subscriptions (InfoStrat cannot procure such services through the state's enterprise agreement), and provide appropriate access to InfoStrat and IDOC staff.

#### 2.4.2.1.4 Third-Party Products or Partnerships

- Describe any third-party software or partnership required for this system. Include the following:
  - Name of software firm and product or partnership firm
  - Name of existing clients using the system and third-party software/partnership, and the number of years the client has been using the two products together
  - Description of the approach and responsibilities for managing the implementation and acceptance testing for each of the proposed third-party software or partnerships
  - Description of the approach and responsibilities for the service-level agreement (SLA) or maintenance agreement related to the third-party software or partnership
  - Enter N/A if no third-party software or partnership is required

In addition to the partners identified for implementation, InfoStrat regularly works with third-party services for communication pathways not native to Dynamics 365. These services are meant to be used as part of Operations and Maintenance. We use the following partners:

#### **CDYNE**

This is a cloud service that InfoStrat has used to provide SMS notifications for SAVIN360. InfoStrat began using CDYNE as for SMS notifications with the Indiana Department of Correction SAVIN360 implementation in 2011. We have never had any issue with the service in the 9 years that we have used it. All other SAVIN360 implementations use CDYNE as well. In addition to SMS, CDYNE provides services such as Address validation and Phone verification that we are using in two other SAVIN implementations. CDYNE is used for SAVIN360 SMS notifications by South Dakota Attorney General's Office since 2015; Texas Department of Criminal Justice Victim Services Division since 2018. It also is configured for use by one other state that has not been announced but will be live by the time the project starts. Details about CDYNE can be found here: <https://cdyne.com/>.

#### **Certified Languages**

This is an interpreter service that InfoStrat uses for phone translation for both inbound and outbound phone calls. Service Center staff are provided with account information whenever they need to use the service to speak with a victim in a language other than English. InfoStrat has engaged this service for Indiana Department of Correction SAVIN360 operations since 2010. Other states have their own interpretation services. InfoStrat also uses Certified Languages for language translation for messages and IVR scripts. Details about Certified Languages can be found here: <https://certifiedlanguages.com/>.

#### **Ring Central**



Ring Central is a cloud service that provides virtual PBX/call routing services. Indiana Department of Correction uses Ring Central to direct inbound calls according to business rules. Ring Central is a virtualized PBX in that it does not require all recipient phones to reside in the same environment; thus, calls can be directed to work desk phones, home phones, or mobile phones, whatever is configured for the service. During normal work hours, inbound calls are forwarded to Service Center staff in a pre-determined order and based on availability (the service will bypass a busy phone and move to the next phone in the rotation; after hours calls are directed to the afterhours hotline established by Indiana Department of Correction. Ring Central also provides call statistics and call recording capability, as needed. And missed calls can be forwarded by email to Service Center staff. InfoStrat has used Ring Central to support the Indiana Department of Correction Service Center since 2010. Details about Ring Center can be found here: <https://www.ringcentral.com/>.

#### **Westpark Communications, Inc.**

Westpark provides call center and other automated telephony services, namely automated dialing and interactive voice response. InfoStrat has worked with Westpark since 2018. Westpark provides after hours call services for the Texas Department of Criminal Justice SAVIN360 implementation and will be the call service provider for the state that will go live this fall (InfoStrat is not permitted to identify this state prior to go live). In addition to call center services, InfoStrat uses Westpark technical services to provide automated phone calls for notification for the Texas Department of Criminal Justice and will do so for the state that will go live this fall. InfoStrat has worked with Westpark to implement touch-based IVR for offender search and registration, which will be used by the state that will go live this fall. Details about Westpark can be found here: <https://westparkcom.net/>.

#### **2.4.2.1.5 General**

- Describe the ability of the proposed software to integrate with the State's Active Directory or Azure AD implemented in accordance with published internet standards for single sign-on, such as Lightweight Directory Access Protocol (LDAP) and Domain Name System (DNS). If such integration is not offered, explain the identity management solution that is provided.

InfoStrat's SAVIN360 is a Dynamics 365 solution add-on. As such, all user authentication is managed by the Office 365 Tenant to which Dynamics 365 is attached. InfoStrat is proposing that The State utilize their existing Office 365 Tenant and its underlying Azure AD directory for which The State has already setup user's SSO. The new Dynamics 365 instance used for SAVIN360 within The State's Office 365 Tenant will automatically inherit and utilize your existing SSO investments.

For public constituency portal registrations and public constituency authentication, SAVIN360 utilizes Azure B2C. While not stated as an explicit requirement, should The State wish to allow public constituency SSO with consumer SSO services, this can be enabled via Azure B2C. This request would be handled via the established change request process of the project.

#### **2.4.2.2 System Architecture**

- Please describe the overall platform and architecture of the system. Please provide an architecture diagram as an Exhibit labeled System Architecture.
- List all browsers and operating systems that are certified for use with the system, and describe any required browser add-ons, function enablement, etc.

- Please include a description of how the solution supports use on mobile devices.

**System Architecture:** Please see “Exhibit: System Architecture” for the requisite system architect.

**Supported Browsers:** As a Dynamics 365 solution add-on SAVIN360 inherits the broad browser support of Dynamics 365. As of this writing, Dynamics 365 supports the current versions of the following browsers:

- Microsoft Chromium-based Edge
- Chrome
- Firefox
- Safari

SAVIN360 does not require the use of any browser add-ons or special function enablement.

**Mobile Experience:** For the public constituency, the SAVIN360 public portal is a modern HTML 5 portal that support modern device responsive display. This allows for the public portal to be used on most any device with a standard browser while retaining full functionality as the actual device allows.

For administrative and victim services users, a combination of the native Microsoft Dynamics 365 mobile applications in combination with custom Power Apps are utilized. These are native mobile platform applications that provide business specific functionality.

#### 2.4.2.3 Software Hosting

- Describe the proposed system deployment model for a Contractor-hosted model or a Software as a Service (SaaS) model.

InfoStrat's SAVIN360 is a combination of a Microsoft Dynamics 365 solution add-on along with purpose-built components that run in Microsoft Azure PaaS services. As such, SAVIN360 fully resides within the Microsoft Office 365 and Dynamics 365 SaaS infrastructures along with the Microsoft Azure PaaS services. To support legacy FTP integration when needed, the SAVIN360 solution also utilizes an Azure IaaS component for hosting a secure-FTP service.

No part of InfoStrat SAVIN360 resides within any InfoStrat contractor-hosted infrastructure.

Please refer to “Exhibit: System Architecture” for further details on the utilization of Microsoft's SaaS and PaaS infrastructures.

- **Please fill out and include Attachment F1 – IT Security Assessment with your proposal.**
- Provide answers to the questions in Table 6, below.

**Table 6: Software Hosting Questions**


Question/Topic	Response
1. Where are the data center and storage facilities physically located?	<p>InfoStrat is proposing that The State procure a Dynamics 365 instance within The State's existing Office 365 GCC Tenant. Dynamics 365 GCC is hosted out of Microsoft's GCC locations which at present are Virginia, Iowa, California.</p> <p>Azure components will be in the Azure Government cloud and SAVIN360 will</p>



Question/Topic	Response
	specifically utilize Azure US Gov Iowa and US Gov Virginia to provide communications geographically closest to Indiana.
2. What data security and system redundancy capabilities are available at your data center and storage facilities?	The Microsoft SaaS and PaaS infrastructures offer industry leading system redundancies. All SAVIN360 transactional data resides within Microsoft Dynamics 365. Microsoft maintains 4 active-active real-time replications of the SAVIN360 Dynamics 365 database across two (2) geographically separated data centers. This provides industry leading redundancy and disaster recovery for core Dynamics 365 up-time and operations. Additionally, SAVIN360 utilizes Azure BLOB for the storage of files, images, and API and auditing archival. By default, SAVIN360 utilizes locally redundant Azure storage. Multi-geo redundancy options are available should The State desire broader Azure storage redundancy options.
3. What disaster recovery services are provided under your standard hosting/SaaS agreement? If not standard, is there a separate agreement/cost associated with disaster recovery?	<p>As mentioned in #2 above, SAVIN360 is a fully Microsoft infrastructure-based solution with full redundancies and disaster recovery built into the entire Microsoft infrastructure. All SAVIN360 transactional data resides within Microsoft Dynamics 365. Microsoft maintains 4 active-active real-time replications of the SAVIN360 Dynamics 365 database across two (2) geographically separated data centers. This provides industry leading redundancy and disaster recovery for core Dynamics 365 up-time and operations.</p> <p>This industry leading level of disaster recovery capabilities is standard with the Microsoft Dynamics 365 and Azure services.</p>
4. What is the total number of active clients currently served by hosted and/or SaaS solutions provided by your company?	<p>Currently, three states use SAVIN360 for Victim Notification services, as well as using the extensibility capability to perform other Victim Services and justice-based activities. A fourth state is expected to go live this fall. And InfoStrat has just contracted with a fifth state to implement victim notification services.</p> <p>While Microsoft does not publish their exact customer numbers, for Dynamics 365, their last disclosed numbers were over 40-thousand customers with over 4.4-million active users. For Microsoft Azure, the total quantity of customers varies by the services consumed, but as the second largest cloud services platform in the market today, Microsoft Azure has established itself as a premier global hyper-scale cloud provider with many millions of active users.</p>
5. How many years has your company provided hosted and/or SaaS solutions?	<p>Microsoft has been providing public cloud services for over 15 years.</p> <p>InfoStrat hosted the original Indiana SAVIN360 implementation for about 4 months, while working with IOT to migrate the solution to the state IT ecosystem. InfoStrat implemented South Dakota as an on-premise solution in 2015 but migrated the solution to the Microsoft Government Community Cloud (GCC) in January 2020. All subsequent implementations of SAVIN360 have been conducted in the Microsoft GCC. In addition to our SAVIN solution, we have implemented numerous other solutions in the Microsoft commercial and</p>

Question/Topic	Response
	government clouds.
6. Describe how functionality, developed for another client, will be included in the core functionality in use by the IDOC. How are hosted and/or SaaS software applications deployed for use by numerous customers?	<p><b>Functional Updates:</b> InfoStrat makes feature updates to the core SAVIN360 accelerator available to all InfoStrat SAVIN360 customers on an as-released basis. These are optional updates that can be incorporated into your SAVIN360 solution at your discretion. There is no cost except for services cost to deploy or modify the feature and any ongoing cost for any new third party services (such as SMS, robocall, or special data storage) required to implement the modification.</p> <p><b>Deployment Approach:</b> Every SAVIN360 customer licenses their own dedicated Dynamics 365 organization with Microsoft within which is deployed the InfoStrat SAVIN360 solution add-on. Additionally, for the Azure components, the SAVIN360 customer licenses their own dedicated Azure subscription within with the SAVIN360 components are setup.</p>
7. What availability and response time do you guarantee?	<p><b>Microsoft Dynamics 365:</b> Microsoft is the only CRM SaaS provider that provides a financially backed 99.9% SLA for their Dynamics 365 subscriptions.</p> <p><b>Azure Services:</b> While the SLA varies by Azure service, in general, most Azure services have a 99.95% SLA.</p>
8. How many instances of unplanned outages have any of your customers experienced within the past five (5) years?	<p>InfoStrat has encountered no complete outages of Dynamics 365 for SAVIN360 implementations. Occasionally, Microsoft provides an alert of a brief interruption of a service that had no impact on notification services.</p> <p>Microsoft does not publish cumulative statistics of outages; they actively communicate any outages with all affected users. It is important to note that Microsoft provides a financially backed SLA. Both Dynamics 365 and Azure services have historically surpassed their published SLAs.</p>
9. What has been the duration and scope of such unplanned outages?	<p>Microsoft does not publish cumulative statistics of outages; they actively communicate any outages with all affected users. It is important to note that Microsoft provides a financially backed SLA. Both Dynamics 365 and Azure services have historically surpassed their published SLAs.</p> <p>These interruptions lasted no more than an hour and did not affect any SAVIN360 services.</p>
10. Please provide the standard relief schedules for unplanned system downtime/outages. If these schedules	<p>The standard SAVIN360 Service Level Agreement has been included in the response to section 2.4.3.3.</p> <p>Microsoft provides industry leading financially backed SLAs on their cloud services. Full details of these programs is available directly from Microsoft at: <a href="https://www.microsoftvolumelicensing.com/Downloader.aspx?DocumentId=17726">https://www.microsoftvolumelicensing.com/Downloader.aspx?DocumentId=17726</a></p>

Question/Topic	Response
are part of your Service Level Agreement (SLA), please refer evaluators to your response for 2.4.3.3	
11. Please describe the instances in which your company has paid client relief for unplanned outages.	<p>This information is not publicly published by Microsoft. Full details of these programs is available directly from Microsoft at:  <a href="https://www.microsoftvolumelicensing.com/Downloader.aspx?DocumentId=17726">https://www.microsoftvolumelicensing.com/Downloader.aspx?DocumentId=17726</a></p> <p>InfoStrat has never been asked to pay relief for unplanned outages.</p>
12. Please describe your process for notification of standard maintenance and downtime?	<p>Microsoft provides advanced notification of all maintenance activities to all service administrators and other registered recipients. Major updates are scheduled by the service customer to ensure they fit within the organization's planning.</p> <p>InfoStrat will notify IDOC of scheduled outages at least twenty-four (24) hours in advance, and such outages will last no longer than one (1) hour, whenever possible. Such outages shall be scheduled between the hours of 9:00 p.m. and 11:00 pm, EST on Tuesday or weekend nights ("Scheduled Downtime"), whenever possible.</p>
13. Please provide relevant documentation related to any recent certifications pertaining to the Respondent's hosting technical and operation capabilities, or that of its subcontracted provider for these services.	<p>The core of InfoStrat SAVIN360 is Microsoft Dynamics 365 provided by Microsoft as a SaaS software solution offering. Microsoft's cloud solutions are the most industry security compliant and third-party audited in the market today.</p> <p>Microsoft holds following compliance attestations:</p> <ul style="list-style-type: none"> <li>• ISO 27001</li> <li>• European Union (EU) Model Clauses</li> <li>• the Health Insurance Portability and Accountability Act Business Associate Agreement (HIPAA BAA)</li> <li>• the Federal Information Security Management Act (FISMA)</li> <li>• FedRAMP Authority to Operate (ATO) by the Department of Health and Human Services Office of the Inspector General (HHS OIG)</li> <li>• ISO 27018</li> <li>• Family Educational Rights and Privacy Act (FERPA)</li> <li>• Statement on Standards for Attestation Engagements No. 16 (SSAE 16):</li> <li>• Gramm–Leach–Bliley Act (GLBA)</li> <li>• Health Information Trust Alliance (HITRUST)</li> <li>• IRS 1075</li> <li>• HIPAA</li> </ul>

Question/Topic	Response
	<ul style="list-style-type: none"> <li>• CJIS</li> <li>• NIST</li> </ul> <p>The following infographic provides an at-a-glance summary of the Microsoft cloud services security compliance portfolio:</p>  <p>Full details of all certifications and audit attestations for Microsoft can be seen at: <a href="https://www.microsoft.com/en-us/trust-center">https://www.microsoft.com/en-us/trust-center</a></p>
<p>14. Please provide detailed information on the way(s) in which the IDOC will access the software if deployed in a SaaS or hosted environment. Such information should include how the software is accessed from within or outside of the IDOC network, as well as any additional hardware/software that might be</p>	<p>Both the InfoStrat SAVIN360 administrative portal and public constituency portal are available over the Internet. There is no additional hardware or software that is required for accessing InfoStrat SAVIN360.</p>

Question/Topic	Response
required for accessing the software.	
15. Please provide a copy of the warranty for the software and implementation services.	<p><b>LIMITED WARRANTY</b></p> <p><b>A. LIMITED WARRANTY.</b> If you follow the instructions, the software will perform substantially as described in the InfoStrat materials that you receive in or with the software. References to “limited warranty” are references to the express warranty provided by InfoStrat. This warranty is given in addition to other rights and remedies you may have under law, including your rights and remedies in accordance with the statutory guarantees under local Consumer Law.</p> <p><b>B. TERM OF WARRANTY; WARRANTY RECIPIENT; LENGTH OF ANY IMPLIED WARRANTIES.</b> The limited warranty covers the software for one year after Go Live. If you receive supplements, updates, or upgraded software during that year, they will be covered for the remainder of the warranty or 30 days, whichever is longer.</p> <p><b>To the extent permitted by law, any implied warranties, guarantees or conditions last only during the term of the limited warranty.</b> Some states do not allow limitations on how long an implied warranty lasts, so these limitations may not apply to you. They also might not apply to you because some countries may not allow limitations on how long an implied warranty, guarantee or condition lasts.</p> <p><b>C. EXCLUSIONS FROM WARRANTY.</b> This warranty does not cover problems caused by your acts (or failures to act), the acts of others, or events beyond InfoStrat’s and/or Microsoft’s reasonable control.</p> <p><b>D. REMEDY FOR BREACH OF WARRANTY.</b> InfoStrat will repair the original, updated, or upgraded software at no charge, if the software is not working according to System Rules, established during project implementation. These are your only remedies for breach of the limited warranty.</p> <p><b>E. CONSUMER RIGHTS NOT AFFECTED.</b> You may have additional consumer rights under your local laws, which this agreement cannot change.</p> <p><b>F. WARRANTY PROCEDURES.</b> For warranty service contact InfoStrat at 202-364-8822, 5101 Wisconsin Avenue NW, Suite 420, Washington DC 20016 or submit a Support Request to InfoStrat at the following URL (to be created). A portion of a sample Support Request form is shown below.</p>

Question/Topic	Response
	<p>This will initiate a contact escalation.</p> <p><b>G. NO OTHER WARRANTIES.</b> The limited warranty is the only direct warranty from InfoStrat. InfoStrat gives no other express warranties, guarantees or conditions. Where allowed by your local laws, InfoStrat excludes implied warranties of merchantability, fitness for a particular purpose and noninfringement. If your local laws give you any implied warranties, guarantees or conditions, despite this exclusion, your remedies are described in the Remedy for Breach of Warranty clause above, to the extent permitted by your local laws.</p>

## Indiana Department of Corrections SAVIN360

Submit your request for help.

**Username / Name \***

**Email Address**

**Phone number**

**Concern \***

Describe your issue, question or suggestion

**Location of Issue \***

Contact Page, Queue, etc.

**Ticket Category \***

☐ Question ☐ Suggestion ☐ Issue ☐ Enhancement ☐ Other

**Priority \***

☐ Minor ☐ Major ☐ Catastrophic ☐ Enhancement

**File Attachment(s)**

Upload a FULL screen shot (if possible), error log, etc.

Drag and drop files here or [browse files](#)

**Victim Follow Up**

Check this box if follow-up regarding this issue should occur with a specific victim.

☐

**Staff Follow Up**

Check this box if follow-up regarding this issue should occur with a specific staff member.

☐



## 2.4.3 Project Approach

### 2.4.3.1 Approach

- Provide a description of the proposed approach for providing the Scope of Work described in RFP Section 1.4.3, including a comprehensive description of the proposed implementation methodology for the Project. The description should include how the Respondent has developed this methodology to incorporate lessons learned from experiences, as well as to meet the needs described in the RFP.

#### **General Implementation Plan**

By way of background, at the time of this proposal, IDOC is currently using SAVIN360 on Dynamics CRM 2011 with a plan to upgrade to Dynamics CRM 2016, v 8.2 in the coming weeks. The plan is to continue to Dynamics 365 v9.0 on premise once Microsoft provides a patch specific to IDOC. These will be done under previous budget items and not as part of this RFP. We expect it will be done prior to the start of the project for this RFP.

Once IDOC is on version 9.0, we can export the SAVIN360 solution and import it into a cloud instance of Dynamics 365 (version 9.1). At the same time, we will migrate all existing web services and external applications to the IOT Azure tenant.

Once the solution is updated, InfoStrat will begin development in multiple tracks. By using multiple concurrent tracks, InfoStrat expects to minimize development time to about 22 weeks, with an additional 2 weeks for parallel monitoring. The tracks are designed to segregate efforts so that all be conducted on a single development environment without overlap of efforts as all take place in different segments of the Dynamics 365/Azure platform. These are:

Track 1. A standard extract, transform, and load (ETL) process using SQL Service Integration Service (SSIS) and Kingswaysoft Ultimate, which will convert the existing production data into the updated SAVIN360 data model. Master data will be migrated first, after which the Dynamics 365 instance will be cloned to the other Dynamics 365 instances. After that, ETL development for operational data will commence and we will validate in a sandbox environment separate from the development environment used for other tracks; this will ensure that all development efforts are not interacting with operational data.

Track 2. Portal conversion will begin such that by the time the ETL process is complete, the new portal will be available for use by IDOC and victims. The portal will be updated in two phases: the first phase will be to reproduce current portal features and will be completed to coincide with the ETL; the second will be to add the new features required by the RFP.

Track 3. Dynamics 365 modifications, like the portal in two phases: the first to configure existing SAVIN360 features new to IDOC and enable operations in Dynamics 365 in the cloud; the second to build the new features required by the RFP.

Track 4. Implementation of Use Cases 1 – 3; much of which will use Azure processes initially. These will then be tied into SAVIN360.

Track 5. Update the VN-SSP to handle all sources according to IDOC rules and to receive data from the Data Transformation System as soon as it can start sending.

Track 6. Additional environmental configuration, including telephony configuration, chat configuration



and so forth.

While development is taking place, test planning is also ongoing. Since each track has a different level of effort, test execution can begin as one track completes and continue as other tracks complete. Likewise, concurrent with test execution, Documentation and Training efforts also can commence to document the solution as it will be when complete.

When testing is completed, we will begin the ETL process to migrate operational data to the production environment. At this point, all current interfaces will be directed to the production environment as well as the on-premise production environment to allow for parallel monitoring. This way, IDOC staff can compare in both systems side-by-side, with support from the InfoStrat team. This also simplifies go live, as once approval from IDOC has been provided, we simply shut off the interfaces to the on-premise environment and have IOT stop the CRM Server.

Our expectation is that all development and testing activities for SAVIN360 will be completed well before the Data Transformation Service is receiving data from all agencies. Thus, we assume the actual rollout of agencies into the DTS will continue past go live. See our response to section 2.4.6.4 for details on how we view this rollout will occur.

Because InfoStrat already provides victim notification services, our approach can be simplified to encompass two overarching activities: 1) migrate current operations to the most current SAVIN360 solution and Dynamics 365 version; 2) develop all new features in the version of SAVIN360/Dynamics 365 that will serve as the base operational configuration.

The current approach is to convert from the existing SAVIN360 implementation to the cloud implementation after all development has been completed. As an option, and without any additional cost, we could approach in two phases with migration of current operations in phase I and development of new features in phase II. This would have the benefit of enabling IDOC to shut off the on-premise environment a few months earlier, and thus hosting costs for IOT would be eliminated at that point. However, this may add effort on the part of IDOC

- In addition, please provide responses for the information requested below.
  - Based on information provided in this RFP and experience in working with other states, what is the Respondent's perspective on the most significant risks to this Project, and how does the Respondent plan to mitigate these risks?
  - With what frequency will the Respondent's Project Team be on-site at the IDOC during implementation? Will staff be on-site for full or partial weeks? Describe how the Respondent arrived at these on-site recommendations and why those recommendations will provide an environment for project success.
  - Describe any additional assumptions made in the proposal not already identified in detail. These should include any assumptions related to the current IDOC technical environment, staffing, project management approach, and IDOC resources available during implementation and support phases.
  - Please include your plan for working remotely with the IDOC project team if on-site work is not required by the IDOC. What potential risks exist as a result of working remote and what steps will you take to mitigate those risks?

**Project Risks and Mitigation Strategies**

InfoStrat considers this project a low risk project for a number of reasons. IDOC already uses our solution, SAVIN360, so this project for us is not a system replacement but rather a migration to the Microsoft cloud and development of enhancements to the existing solution. InfoStrat has conducted numerous cloud deployments for Dynamics 365, including one for SAVIN360. InfoStrat plans to do all development in Dynamics 365 development environment and in Azure; which is normal operation for InfoStrat. Thus, we see this as a very low risk. However, there are a few risks which we list below.

***SME Remote Work***

Current circumstances necessitate that people who do not have to be in the office to perform their job functions. While InfoStrat has been developing applications for our customers remotely for more than 15 years, this is a relatively new aspect of work life for many others. Thus, subject matter experts may not be as comfortable working remotely. To mitigate this, we believe that maintaining regular communications through web share and virtual meeting technologies, like Microsoft Teams, help keep the team engaged. In addition, Agile methodologies like Scrum can help to demonstrate progress at frequent checkpoints to ensure that IDOC and other agency staff can see regular progress and keep them engaged as well.

***Software Procurement***

Often procurement rules and processes can delay the acquisition of the necessary Dynamics 365 and Azure environments necessary for development and migration activities to begin. Thus, if the environments cannot be procured quickly enough, that could cause project delays. As a means of mitigation, InfoStrat, as a Microsoft Gold Partner, can set up sandbox Dynamics 365 and Azure environments to enable development activities to begin more quickly, if needed. The sandbox environments that we can stand up are not in the government cloud and are not high availability and there would be some added cost for additional data space and Azure processing capacity. And these would be temporary environments. However, it would enable us to accommodate some lag in getting the actual environments stood up as the state navigates the procurement process.

***SME Availability***

The subject matter experts that will be required to provide guidance and help with requirements elaboration and elucidation have that designation because they are really good at what they do and, as such, tend to be very busy. We have seen projects delayed in the past because subject matter experts have had limited availability due to things like grant reporting cycles, prolonged planned absences, engagement in other major system implementations and so forth. Thus, there is some risk that the planned development period may not be ideal or even feasible for some or even all SMEs. To mitigate this, the state should confirm SME availability and, if there is any expected periods of unavailability of one or more SMEs, we can make adjustments to the project schedule with options including a later start date or a revision of the scheduled order of development.

***Holiday Period***

With a start in late fall, there will be a couple months' worth of project activity before the winter holidays are upon us. While this is not a technical issue, we have found that many people have planned leave for this period and it is, overall, a time of many distractions in which many will miss

planned meetings even though they are working. We have some mitigation for a slower schedule included in our project plan. But the best mitigation is to have all project team members, SMEs and other stakeholders identify all conflicts and maintain some form of share calendar to provide visibility and enable redirection of resources to best maintain the project schedule. One other mitigation strategy would be to stop work on December 11, 2020 and pick back up on January 4, 2021; this would not be our preferred method as it will change the projected roll out date, but it is an option.

### **On-site Recommendations**

While InfoStrat does not have on-site resources, our partners *BCforward* and *Roeing* have significant presence in Indiana, particularly in the Indianapolis metropolitan region. In particular, *BCforward* will provide project management services, so will be able to meet regularly with IDOC project team. Our other partner, *Roeing*, is an Indiana company with deep technical skill in the development technologies we will be using and can also attend on-site

InfoStrat has successfully implemented many solutions, SAVIN360 and others, with minimal on-site presence; usually we are on-site for kickoff and requirements elaboration and then at the end of the project for UAT support and Training. We have perfected the art of remote implementation. Because much of the work will be conducted in the Microsoft Government Cloud, the need to have on-site development presence is nominal. In the era of COVID, as people have been forced to learn how to collaborate electronically, we believe our remote capabilities provide an overall benefit for our customers.

### **Assumptions**

InfoStrat assumes the following:

All SaaS, PaaS and IaaS subscriptions and other software will be procured by the Indiana Office of Technology (IOT) under the state's Enterprise Agreement with Microsoft and will be available as provided for in the project schedule.

IOT will serve as Global Administrators in the Office 365 tenant and as Azure Administrators and will provide InfoStrat access with the requisite permissions in each environment to enable management of the components therein.

IOT will provide support necessary additional connections as needed, for example, appropriate access to the on-premise Dynamics 365 database to connect SSIS for ETL development and execution, given appropriate lead notice.

InfoStrat will be given regular access to Subject Matter Experts from IDOC and other agencies.

IDOC will complete reviews of document deliverables within five (5) business days of delivery.

Most subject matter experts and IDOC staff will be working remotely for much, if not all, of the project and will be able to use Microsoft collaboration tools, such as Microsoft Teams and Office Groups.

### **Potential Risks and Mitigations Associated with Remote Work**

InfoStrat recognizes the rapidly fluctuating COVID-19 conditions and acknowledges that flexibility is key. InfoStrat will work collaboratively with IDOC to consider the costs and benefits of on-site vs

remote support through the project. The biggest potential risk with remote support is slowed establishment of rapport within teams. InfoStrat has established rapport within IDOC through the ten years of SAVIN support it has provided already. InfoStrat partners have also worked extensively within the State of Indiana, so this too will facilitate relationship building. While our Indiana-based partners are available to be onsite, if agreed, InfoStrat is a nationally distributed team of colleagues. We are all experts at performing remote work and supporting our clients' needs efficiently and effectively, especially utilizing collaboration tools within Microsoft Teams, GoToMeeting, Zoom, etc.

#### 2.4.3.2 Go-Live and Ongoing Support

- Describe what level of pre and post go-live support is available under the proposed fee structure. If varying levels of support are available, this section of the proposal should clarify these potential support services and highlight the level of support that has been proposed. The Respondent shall use the Cost Proposal to clearly identify the varying fees based on the varying levels of support that are available.

Prior to go live, we will have conducted at least 2 weeks of parallel monitoring, meeting daily with IDOC Victim Services staff to review any variations they might find in their reviews and reviewing system features to confirm all are working correctly. Daily review meetings would be attended by the InfoStrat Scrum Master, Business Analyst and Sr. Developer. If needed, the SAVIN360 SME also can attend these sessions.

For go live itself, because both systems will have been receiving the incoming data from the various sources, there is very little that will need to be done. To ensure continuous synch between the on premise and cloud environments, in the event that a rollback is required, we will continue to send feed data to both system, but at cutover we will direct the data to the new production system first. The DNS server will need to be reset to the point to the new portal. We would prefer to cut over on a Sunday as this would be the slowest day from a feed perspective.

After go live, during the Hypercare period, a dedicated developer will monitor processes and provide troubleshooting and updates or fixes as needed as well as answer questions and make requested adjustments to forms, views, etc. All other project team members will be in a stand-by status to support as needed.

Once Hypercare ends, InfoStrat will operate in accordance with our SLA. Additionally, InfoStrat will host weekly meetings to review any new or open issues and enhancement requests, answer questions, make small adjustments to the solution components, to better serve the Victim Services staff and make planned upgrades to the solution as desired by IDOC.

- Describe your approach for pre go-live support and readiness assessment. Include a detailed description of a go-live command center, and responsibilities of IDOC and Contractor staff. Please include considerations for remote support if on-site presence is not required by the IDOC.

The readiness assessment occurs iteratively throughout implementation via demonstrations of development with IDOC stakeholders along the way. InfoStrat will facilitate the Go/No-Go Conference. This is a meeting of appropriate IDOC stakeholders to review the implementation, as

a whole and methodically determine its readiness to Go-Live. Agreement of key stakeholders regarding whether SAVIN360 will not Go-Live or will Go-Live, with or without caveats, occurs at this time.

In addition, during the parallel monitoring period we will be able to make any adjustments needed as we discover any special conditions that were not discovered in testing.

- What is your approach to supporting the go-live/cutover period?

For go live itself, because both systems will have been receiving the incoming data from the various sources, there is very little that will need to be done. To ensure continuous synch between the on premise and cloud environments, in the event that a rollback is required, we will continue to send feed data to both system, but at cutover we will direct the data to the new production system first. The DNS server will need to be reset to the point to the new portal. We would prefer to cut over on a Sunday as this would be the slowest day from a feed perspective.

During Go Live, InfoStrat will use an “all hands on deck” approach, wherein all technical staff and the scrum master will be available and we will monitor data flow and system processes for a minimum of 4 hours, longer if there are concerns. The System Architect and Sr. Dynamics 365 Developer will have the key role and supported by the SME and Business Analyst with all other technical staff on standby; managed by the Scrum Master. As stated above, we will continue to send incoming data to both the new and old production systems if a rollback becomes necessary.

- Please describe your proposed plan and duration of support for hypercare.

During the first two-week period after Go Live, InfoStrat provides increased assistance and support (or “Hypercare”) to fully meet the needs of the new System and its Users. For the Hypercare period, InfoStrat will provide a dedicated developer available for any troubleshooting or updates, fixes, etc. All other project team members will be in a stand-by status to support as needed.

- What are the standard hours of operational support offered after the hypercare period, and through what means is support offered (e.g., telephone, web ticket submission)?

Standard operational support occurs during “Business Hours,” which are defined as 7:00 a.m. to 5:00 p.m. EST, Monday through Friday, excluding federal and Indiana holidays. Support Requests will be submitted via a web-based system (or other InfoStrat-provided mechanisms, if desired) which trigger will a support cascade.

- Are after-hours and weekend support offered, and if so, is this part of the standard support offering or part of a different tier/offering?

Non-Business Hour support is standard and included in the support costs provided.

- Is ongoing operational product support offered directly by the Respondent staff, or is this support sub-contracted to a third-party support contractor?

Ongoing operational support is provided by InfoStrat.

- Please describe your process for prioritizing enhancement requests from entities using your solution. Will the IDOC have the ability to routinely submit enhancement requests? What is the timeline for making those enhancements?

As part of our support, IDOC will be able to submit enhancement requests through the tools provided as described in our SLA. Each enhancement request will be reviewed within a week of submittal and an estimate or set of clarifying questions provided. At recurring meetings that we conduct as part of the operational support (see our response to the next bullet), we will discuss the enhancement to understand the priority. InfoStrat will provide up to 12 hours per month of enhancement support as part of the maintenance agreement. If the estimate is within that amount, we will schedule the change in accordance with IDOC priorities. If it is beyond that amount, a change order would be required. To accommodate rapid implementation of enhancements beyond 12 hours, InfoStrat recommends that IDOC maintain some available funds that could be used as a funding source for larger, rapid enhancements.

- Please describe from your experience what role the customer (i.e., IDOC) plays in ongoing support and maintenance of the proposed system. Please provide staffing estimates for the customer side of the support model.

For the first year of the Agreement, InfoStrat will conduct twice weekly check-in meetings of up to an hour each for Routine Support (for example, to help with System activities, answer questions, review reported issues, provide system tweaks and help understand System activities). Every other week, InfoStrat will also discuss any performance or support request trends or issues and offer approaches to reducing the number of Support Requests as well as improving InfoStrat's responses to such Support Requests. In following contract years, if requested by the Department, InfoStrat will be available for monthly check-in meetings of up to an hour each to continue such assistance.

SAVIN360 allows for continuous monitoring and management of the Services to optimize availability of the Services. Primary responsibility for these activities is split between IDOC, typically a SAVIN360 Administrator and InfoStrat as shown below, aligned with business-related Task Management and Alarm Management.

#### **Task Management (IDOC Victim Services staff):**

The SAVIN360 Administrator manages the day-to-day operation of SAVIN360. This entails monitoring system dashboards, which include tasks items such as the following, which require follow up. IDOC has been performing these functions for 10 years and is familiar with them.

#### ***Data Management Tasks***

These are tasks regarding data conditions that may impact notification or registration. For each of these, the SAVIN360 Administrator will need to figure out what should happen. It is possible to configure the system to check to see if there are any registrants and, if not, just apply the changes. This will reduce the number of tasks.

- Dual Location—'Facility A' books an offender then later 'Facility B' books the same offender without 'Facility A' sending any kind of release or transfer. So, SAVIN360 creates a task in order that it can be determined where the offender really is; usually by a phone call to the sending agency. The task has approval fields so that, if the transfer is approved in the task, the update is



made to the offender record automatically.

- **Duplicate Offender**— SAVIN360 has excellent offender matching logic to try to maintain a single offender record; the matching logic uses an upper and lower threshold. An offender that matches at or above the upper threshold is a match and that record gets updated. An offender below the upper threshold results in a new offender record; if the match is above lower threshold, SAVIN360 creates a task because it may be a duplicate. A lot of times this happens because it is the same person and someone erroneously entered the DOB, etc.
- **Invalid Custody Change**—this task gets created when a Site sends a custody status change that makes no sense, e.g., an offender who is Discharged after getting a Parole Release. These tasks are rare, but they are possible to prevent an erroneous notification.
- **Unexpected Offender Change**—this task gets created when key identifying data gets updated for a matched offender.
- **Business Rule Tasks**—these are tasks about data conditions specific to the ALEA SAVIN360 implementation that violate some kind of business rule.

#### *Notification/Registration Tasks*

These are tasks that indicate that a notification is underway and could not be completed or is impacted by something; or that a Registration should be updated. Typically, these would be handled by Victim Services staff as they may need to interact with the victims.

- **Backdated Event**—this occurs when a notification is being conducted for an event more than N period old (2 days is default). SAVIN360 pauses the notification prior to sending so it can be determined if it is still accurate and add any text to the notification to explain the delay.
- **Email not confirmed**—when someone registers, SAVIN360 sends a confirmation email to them with a link. When they click the link the email address is confirmed; so SAVIN360 knows it is valid. If someone registers but does not click the link after N period, SAVIN360 creates a follow up task to make sure they got the email (did not go to spam, they didn't know or want to click the link, etc.).
- **Consecutive Answer no Confirm**—when making calls, if SAVIN360 calls X consecutive times and someone answers but does not confirm, it is likely that they do not remember their PIN or inherited someone's registration. So, SAVIN360 creates a follow up task to make sure the info is good.
- **Invalid Phone**—when SAVIN360 makes a call and gets an out of service message, SAVIN360 creates a follow up task so that other means can be used to reach out to the person and find out if they need their contact information updated.
- **Never Answered**—when making calls, if a phone number goes through the entire call cycle and is never answered, a follow up task is created so that it can be determined if the number is correct. There are other ways to handle this, but other states have seen this as an opportunity to reach out to a registrant.
- **Wrong Number (9-9-9)**—our robo-call structure allows the recipient to press 9-9-9 to indicate that they never signed up; but some people use this when they cannot remember their PIN. When they do, we deactivate the phone number, so we do not keep calling it, and create a task to follow



up and make sure it is not a forgotten PIN situation.

- **Offender Death**—this is a task SAVIN360 creates when an Offender has registrants and dies while in custody. The task is designed to allow time to try to determine if any of the registrants are family members and, if so, deactivate their registrations so they don't get a text or email telling them their son, daughter, brother, sister, mom, dad, or cousin is deceased. (We also put a wait on the notification, just in case).

#### *Other Follow Up*

- **Email Bounceback**—when an email bounces back as undeliverable, SAVIN360 puts that return message into a queue so these can be reviewed, and any further action taken. The email address is marked invalid, so SAVIN360 does not send another email to that address. The item is placed in the queue so that it can be confirmed that the notification was delivered by some other means; if not, some type of outreach can be conducted.

- **After Hours Follow Up**—this is a newer feature used in other states that can be added. When the afterhours call staff receive inquiries that they cannot answer, they mark the phone call as requiring follow up and a task is created for Victim Services staff to follow up.

- **Elevated Access Requests**—these requests come from the portal where law enforcement users can request greater access rights to specific features based on their job. So, these tasks are used to allow vetting of requests to make sure that the person really is a justice system person for the agency listed and can be approved or denied accordingly. Handling this task usually entails a call or email to the agency to confirm that the person truly works there and should have access; then approving or denying. There are a couple related tasks, for when people change jurisdictions or retire.

#### **Alarm Management (InfoStrat)**

A primary function is to monitor and manage the flow of data from external sources as well as within the solution. Data monitoring shall occur 24 hours a day, 365 days a year. InfoStrat will work with IDOC to established pre-determined delivery schemas for each data exchange. The predetermined schedule will provide a maximum time by which data is expected to be received from that source as well as any minimum or maximum periodic limits.

- Please provide the Service Level Agreement (SLA) for ongoing maintenance and support. Include example instances (if any) when you did not meet an SLA and the steps taken to remediate the issue. Respondents should include any standard consequences for missed SLAs and expect to negotiate the SLA with the IDOC during the contracting phase, including any consequences.

InfoStrat has encountered no complete outages of Dynamics 365 for SAVIN360 implementations. Occasionally, Microsoft provides an alert of a brief interruption of a service that had no impact on notification services. SAVIN360 has not had any instances of failing to meet an SLA.

Microsoft does not publish cumulative statistics of outages; they actively communicate any outages with all affected users. It is important to note that Microsoft provides a financially backed SLA. Both Dynamics 365 and Azure services have historically surpassed their published SLAs.

See Exhibit 8 for our standard Service Level Agreement (SLA).

- Please describe your approach to marketing your solution to end users and to local governments whose participation in the solution is not mandatory.

IDOC has during the life of the existing contract provided marketing collateral regarding the Indiana SAVIN program to counties. Our expectation is that IDOC would continue to provide this. However, as an optional item, InfoStrat can assume the responsibility for printing and delivery of collateral.

InfoStrat also proposes online, recurring (quarterly or semi-annual) User group meetings to familiarize Users with new or frequently used features and answer questions. Training sessions for new users will occur at a pace commiserate with new agencies coming online through the Data Transformation Service. These outreach activities are included in the cost of the implementation.

The current marketing collateral used by IDOC is now 10 years old. As an optional service, we can help IDOC redesign the marketing collateral.

Beyond that, InfoStrat works with our trusted, Washington, DC based partner, Clyde Group, to help educate the public, Victim Service agencies, and non-governmental organizations (NGOs) about its SAVIN360 systems. There are many options available, and InfoStrat/Clyde Group can assist IDOC choose “al-a-carte” style from the items below:

- Logo Design
- Trifold Brochures
- Posters
- Branded Marketing Items (magnets, pens, tear-off pads, etc.)
- Social Media Toolkit (Develop content, graphics for Facebook, Twitter, Instagram around the launch of updated SAVIN360)
- Social media promotion posts and Google AdWords campaign
- 30 to 60-second public education video
- Event banner
- Full Media Relations support (including : a) creation of an Editorial Calendar of press releases and media pitches; b) Targeted Media List and negotiation of Public Service Announcement placement; c) Media Materials: launch press release, media FAQs, etc. d) Coordination and lead a press conference to announce new system (develop scripts, staff the event, post-event follow-up, and all media monitoring); e) spokespeople preparation
- Ongoing support of branded marketing materials, posters, brochures, and social media toolkit

#### **2.4.4 Project Management**

- Please describe your approach for each of the following project management processes. If any of these processes or responsibilities will not be provided, please explain.

##### **2.4.4.1 Resource Management Plan**

- Please describe the resource management plan, and how Contractor and IDOC resources will be managed throughout the project. Provide context based on the estimated number of hours indicated in Tables 3 and 4.

As part of Project Initiation, the InfoStrat Scrum Master will coordinate with IDOC and InfoStrat

stakeholders to align resources to support activities as outlined in the Project Schedule, with specific focus on ensuring expectations and communicated and acted upon to deliver on-time and with consideration for specific interdependencies. Tasks will be organized based on the phase and the intended duration of activity, and the Scrum Master will assist in orchestrating hand-offs and ensuring the team has the necessary support to delivery on time and with quality outcomes.

Throughout the project, the full-time Scrum master will manage the development team directly, in concert with the SAVIN360 Technical Lead. Both will have direct access to the Engagement Manager and Contract Manager should resourcing needs arise. The estimated levels of effort in Tables 3 and 4 have been constructed based on previous experience and solutioning expertise.

#### **2.4.4.2 Scope Management**

- Please describe the approach to managing Project Scope, including a proposed change control process for ensuring that changes to agreed-upon scope follow an approved governance model. Any changes to Project Scope must be reviewed and approved by the IDOC's Project Team.

The InfoStrat team will manage scope for the implementation working with the IDOC project team to outline scope definition, along with steps to monitor and control scope during project execution based upon the work breakdown structure and project plan. Change Management will follow an approved governance model through a change control process. Governance sessions will be facilitated by the Project Manager or Scrum Master (SM) at a frequency agreed upon by the project team during project kick-off.

Changes to the software platform, data processing, workflows, reporting, integrations, or self-service capabilities as well as the project deliverables, training, and other artifacts will be governed through the change control process. For the purposes of managing the change control process, a Change Control Board (CCB) with membership jointly identified by IDOC and Infostrat will function as a Steering Committee to evaluate proposed changes. As general guideline to be considered for the implementation, this group will be chaired by an IDOC decision-maker who can sanction the approval of work to be executed beyond the project's initial scope.

To evaluate the change request, the Infostrat Development Team will research a change request and provide a written impact statement, including systems and deliverables involved; proposal of the resources required; the associated cost for performing the change, and the estimated time to deliver, test, and deploy the change for consideration.

As part of the change control process, the CCB will decide whether the requested change should be made at this time, at some point in the future, or not at all. Approval must occur before the start of work.

Upon approval of a Change Request, the Infostrat PM will ensure the team updates change request and project documentation to reflect the updated scope, including but not limited to the project plan/WBS, Test Plan, and Communication Plan to reflect the impact of the change on project work remaining to be done. The Infostrat Project Manager manages any task dependencies as necessary, including any necessary training activities.

#### **2.4.4.3 Schedule Management**

- Please describe the approach for managing the IDOC's Project Schedule and the process used to submit requested changes to the schedule. The Contractor must ensure that the Project

Schedule is fully integrated, kept current, and will be responsible for reporting any missed milestones to the IDOC.

The Infostrat PM/Scrum Master will conduct weekly status reporting for the entire implementation scope to manage progress according to planned tasks and milestones, and will ensure development progress is monitored on a daily basis for rapid identification of risks or issues with potential for delays if not mitigated or resolved. Where development and configuration tasks are executed iteratively, the Scrum Master, in collaboration with the PM assigned to the engagement, will work with the Project Sponsor, Product Owner, and Quality Assurance to determine the appropriate format to align to the data points requested within the IDOC Project schedule for accurate reporting. Changes requested to the schedule will be managed through the Change Control Board, wherein the change management process will be undertaken with a full analysis of delayed or reschedule tasks, dependencies, and impacts of the proposed change to other team. Any missed milestones will be reported to IDOC, along with an After-Action Review conducted and prepared by the Project Manager and Scrum Master, summarizing the root cause analysis performed by the team to identify issues and remediation measures for on-going delivery according to planned milestones.

#### **2.4.4.4 Risk and Issue Management**

- Please describe the approach for documenting Project risks and issues (risk and issue register) and providing recommendations for mitigating risks and issues, and explain how this will be communicated to the IDOC's Project Team. What is the process for monitoring, escalating, and resolving risks that will arise during the Project?

Risk Assessments are a critical element within Project kick-off to establish expectations and explore assumptions ahead of project execution. The PM/SM will facilitate Risk Assessment activities leveraging a template format which captures potential risks, assessments of probability rating and level of impact should the risk become realized. Within this format, the Risk Assessment will identify the planned and/or ad hoc risk mitigation tasks the team will execute, or the defined escalation process to be followed to secure support, resources, or tools to successfully resolve. Any decisions made by IDOC and project leadership as part of Governance arising from the Risk Assessment exercise performed during project kick-off will be documented and communicated by the Project Manager and Scrum Master across the project team and stakeholder group for appropriate alignment.

During project execution, the Scrum Master will be responsible for managing the risk and issue register, identifying and documenting risks and issues through daily stand-up's, weekly status reporting, and governance / CCB meetings wherein stakeholders will also actively review on-going mitigation measures and report any degrading capability to prevent risks or manage issues for escalation with Project leadership from IDOC and InfoStrat. Risks and Issues tracked and managed in the log will be documented with reporting details, including date, originator, summary, resolution or mitigation tactics, target resolution/close date, status, progress, and assignee. Any retrospective After Action Review that needs to occur to prevent potential recurring issues will be identified and facilitated by the Scrum Master in an effort to prevent further impact to the project schedule, budget, and quality management plan or to update the communication and training plan content for distribution to the broader project team.

#### **2.4.4.5 Quality Management**

- Please describe the approach/policies to ensure that all written deliverables have received

appropriate reviews for quality before being submitted to the IDOC. Include a description of the process to review the quality of the software and the process for defect identification and management.

Full quality management should include all teams responsible for providing development and support services as well as dedicated teams responsible for quality assurance.

InfoStrat believes testing, early and often, is a key part of its SAVIN360 development approach. While even robust testing cannot guarantee defects will not be found later, proper testing greatly increases confidence the system functions properly and as expected.

Early in the project schedule, InfoStrat will work with the IDOC Project Manager, and other stakeholders as desired, to create a comprehensive Test Plan. The Test Plan communicates the complete testing approach for the following types of testing: unit, data mapping, system functionality, accessibility, integration, user acceptance, offender data migration, and parallel monitoring. InfoStrat recognizes the importance of penetration, latency, and load testing, however it relies on Microsoft's substantial internal testing as SAVIN360 is built upon Microsoft's robust infrastructure.

This Test Plan typically includes objectives; scope of testing; deliverables (and approval procedures); test schedule; test stages (including methodology, participants, and approval); control procedures, including dependencies, defect and remediation tracking; test team members, and approval of the plan.

The Test Plan will provide thorough detail regarding each of the stages of testing SAVIN360 will undergo during its implementation. Stages may occur more than once, for example, the development team will perform unit and system testing throughout implementation as new functionality is developed. Stages may occur sequentially or simultaneously and the start of one phase is not necessarily dependent on the end of another.

Throughout development, tests are performed by developers as they build or configure parts of the application to specified requirements. Code reviews are conducted on custom-built code needed for application functionality per requirements and tracked within the development team's task management system. Code reviews are requested, performed, and tracked within Azure DevOps. Subsequent stages of testing are designed to verify expected output and lists of attributes for data fields to validate accurate, clean data is mapped from the IDOC source system(s) and ensure the related systems function appropriately through systems and integration testing efforts prior to collaboration with IDOC on User Acceptance Testing (UAT).

### **Acceptance Testing Support**

InfoStrat will provide dedicated (on-site or virtual) support for up to three days of User Acceptance Testing (UAT); for any remaining UAT, InfoStrat will provide up to two (2) hours of off-site support daily. InfoStrat will provide approximately 100 foundational user test cases from which IDOC can expand to meet its specific testing needs. User Stories created early in the implementation, and their associated Acceptance Criteria, are the basis for subsequent system testing and UAT.

### **Defect (Bug) Tracking and Remediation**

Identification of defects (bugs) can happen at any phase of testing. Defects found through UAT, or other testing, and their remediation is tracked against User Stories. Testers provide test results via a web-based tool, in which they can record test results and upload screen shots. Beyond strict pass/fail test criteria, testers are encouraged to provide additional feedback about user experience, suggestions,

questions. Appropriate stakeholders will have access to the results tracker for full visibility and interaction.

The stakeholders will discuss any findings that arise with the InfoStrat Development Team in order to determine whether a finding is deemed a true defect or an enhancement. Certain priority levels of bugs must be remediated and retested before further work can occur, while others can be deployed into Production (see priority details below).

--Priority 1 = Critical: Show stopper; Cannot proceed to the next iteration or testing stage until this is resolved

--Priority 2 = High: Must be resolved prior to moving to Production/Go Live; Functionality is impacted but testing can proceed

--Priority 3 = Medium: Must be resolved prior to moving to Production/Go Live; Functionality is not impacted, and testing can proceed

--Priority 4 = Low: Cosmetic issue or feature enhancement that is not otherwise deemed Priority Level #1-3; deployment can proceed to Production/Go-Live

All Priority 1, 2, and 3 Bugs must be resolved prior to moving to the Parallel Production Monitoring Test Stage or Production/Go Live.

When the issue in the bug is fixed, the Development Team will mark the bug as “resolved” and reassign it to the tester who created the bug or another stakeholder for retesting. Upon deployment of the fix, a tester will verify the problem is no longer an issue by re-running the test case and “closing” the bug or “failing” the bug and reassigning it to the Development Team with comments about the failure.

### **Quality Management Plan**

In addition, a Quality Management approach will be defined at Project Kick-off, which will confirm the expectations and acceptance criteria for each deliverable, subsequently defining the InfoStrat implementation team contributors and reviewers, who will ensure that the deliverable has been completed per IDOC’s specifications in the correct format and with adequate level of detail to provide assurance that the corresponding work effort has been completed with a high degree of quality, and that the necessary verification and validation has occurred to demonstrate those outcomes to IDOC ahead of submission for approval.

### **2.4.4.6 Communication Management**

- Please describe the approach that will be used to provide the IDOC with a detailed communication plan that includes: key implementation metrics for tracking progress; types of communication methods (e.g., memos, emails, one-on-one meetings); frequency of these communications; and key points of contact with overall responsibility for ensuring these communications are provided as scheduled.
- Please describe how key personnel and staff will be available should major issues arise during the implementation that significantly impact the schedule or budget of the Project.

Communication Plans are critical to project success focusing on both internal communications among the project team as well as communications within the Organization but outside of the immediate project team. A proper stakeholder assessment is critical to understanding Communication and Organizational



Change Management needs. The Scrum Master will facilitate gathering details from the project team during kick-off activities to support identification of the people, processes, and other systems/interfaces/data sources impacted by the intended scope, duration, and implementation plan for SAVIN360. A simple template will document initial assumptions, risks and concerns, while also identifying key stakeholders within the project team, line(s) of supervision and leadership (vendor and Agency), as well as intra-agency stakeholders to consider integrating into project communications.

As the project progresses, the team will leverage the initial inputs to create and manage the communication plan, identifying various audiences, the frequency, subject matter content, action required, and distribution plan to tactically execute an effective communication approach. The SM, during execution of the Communication Plan, will actively solicit transparent feedback from project team members, key stakeholders, and communication recipients to ensure the intent of the communication plan is delivered, and if adaptation is needed, changes can be made throughout the project.

Should major issues arise during implementation, the Scrum Master, who will be fully dedicated to the project, will facilitate the Communication Plan and escalation procedures to engage key stakeholders, including but not limited to the following progressive escalation contacts:

*BCforward* Engagement Manager – Service Executive with Engagement Management responsibilities, including direct oversight and authority over project management and quality assurance delivery services and direct line escalation to InfoStrat Contract Manager and Technical Lead. The *BCforward* Engagement Manager is local to Indianapolis, Indiana and can be immediately available to support major issues that may occur and require assessment of impact to project schedule and budget for resolution and/or facilitation of the change management process with appropriate IDOC stakeholders and decision-makers.

InfoStrat Contract Manager – Solution Executive & Agency Relationship Manager, who will provide direct oversight and authority beyond the Scrum Master's dedicated day-to-day tactical oversight for the full development team.

Technical Lead, who will oversee the technical team and provide analysis and assessment details to support impact assessments and root cause analysis for any issues that may occur during implementation.

#### **2.4.4.7 Status Reporting**

- Please detail the approach to providing status reports and status meetings throughout the course of the Project. The response should include an example of the recurring status report as an Exhibit, and should identify the format that will be used to provide the report to the IDOC.

Status reviews will occur on a weekly basis with project stakeholders and will capture updates from each of the project workstreams in scope for the implementation. The Scrum Master, in collaboration with the IDOC project team, will customize a draft format and a core set of metrics to standardize project status reporting content and format as part of the implementation project kick-off, and will integrate in the data transformation dependencies in collaboration with that team's status reporting cadence and format.

The Weekly Status Report will communicate Requirements or User Story Coverage (where appropriate),



Project Plan (Schedule), testing estimates/actuals details and metrics, along with a summary of the issue and risk register. Additionally, Weekly Status Reports will highlight risk mitigation activities identified for mitigation during the Risk Assessment for on-going execution, as well as issues tracked and managed, including current status and intended timeline and approach for resolution.

Lastly, a summary of Communication Plan items, progress, and feedback will be included within the Weekly Status Report.

## **2.4.5 Project Schedule, Milestones, and Deliverables**

### **2.4.5.1 Project Schedule**

- Please submit a proposed Project Schedule with the major milestones, activities, and timing of deliverables for the Scope of Work described in the RFP. The Project Schedule should include activities owned by the respondent and IDOC. In addition, the response should reflect Project predecessors, successors, and dependencies.
- The IDOC requests that the sample Project Schedule be in a Gantt chart format developed in Microsoft Project.
- The IDOC anticipates beginning implementation in the fall of 2020.
- Please submit the Project Schedule as an Exhibit, labeled as Project Schedule.
- Below, please provide a brief narrative description of the Project Schedule.
- Based on current obligations, what is the earliest the Respondent can begin implementation after contract signing?
- What activities would the Respondent expect to occur within the first 60 days after contract signing?
- How long does the typical implementation of the product being proposed take for an organization of similar size to the IDOC?

The proposed Project Schedule encompasses the phases necessary to customize the SAVIN360 solution for IDOC's business workflows and unique configuration needs and align with the five phases included in the Cost Proposal. These include 1) Project Initiation; 2) Solution Installation, Configuration, and Customization; 3) Training; 4) Production Implementation and Post Go-Live Support; 5) Project Closure; and Operations and Maintenance. The data integration necessary between SAVIN360 and the IDOC Data Transformation Service, will be incorporated as a sub-phase of Solution Installation, Configuration, and Customization. IDOC and supporting agency subject matter experts are called out in each anticipated area of customization to support refinement of design to assure fit for use and quality in design during the initial project kick-off and design phases. Similarly, once features are tested, IDOC and its supporting stakeholders will be responsible for conducting User Acceptance Testing ahead of deployment.

The Infostrat team is available to kick-off the project immediately upon award following contract execution. Generally, implementations for SAVIN360 have a duration of 4-6 months depending on the necessary customizations and configuration for the organization. The Project Schedule for IDOC will be dependent on predecessor tasks being completed on-time and with open communication and

collaboration with the IDOC data transformation solution project.

In the first 60 days of the project, InfoStrat recommends that license procurement occur as early as possible after contract award and any required background checks or personnel clearance procedures begin as soon as possible. The InfoStrat team would expect to work very closely with IDOC stakeholders to validate and elaborate requirements and create the project management strategy, including Quality Management, Communication Management, Issue and Risk Management, Change Management and Stakeholder Management. Furthermore, the Implementation Plan would be finalized, and the Training Plan would be initiated. System and Portal development would also begin during the first 60 days.

The Project Schedule Exhibit displays the major milestones in each phase as well as significant activities. The overall project schedule displays a proposed project start date of November 2, 2020, with a kickoff planned for November 16, 2020. A “Y” signifies the indicated team will participate in an activity, while Lead indicates which team is has the responsibility for leading an activity.

#### 2.4.5.2 Project Milestones, Deliverables, and Payment Schedule

- Please include a list of Project milestones and deliverables and describe what will be provided and how it will be provided, to meet the needs of the IDOC.
- Please submit the proposed payment schedule, tied to the listed deliverables and milestones for review by the IDOC. This schedule shall be consistent with the terms provided in the Cost Proposal of the RFP (Attachment D) and **should not include the dollar amounts** for payments, but rather the events that would trigger payments.
- Please submit the above as an Exhibit, labeled as Project Deliverables, Milestones, and Payment Schedule.
- Below, please provide a brief description of the Exhibit.

The Project Milestones, Deliverables, and Payment Schedule Exhibit attached provides an overview of deliverables, and specifically those identified as payment milestones, that when completed and approved by IDOC, will trigger payment. These align with the completed in accordance to the Implementation Plan in the next section. IDOC shall inspect all deliverables that InfoStrat develops under this implementation. Deliverables are typically categorized as technical or documentation-based. InfoStrat shall document, track, and resolve all material issues resulting from the inspections.

##### *Technical Deliverables*

Iterative development of the IDOC SAVIN360 solution, its Portal, associated data exchanges, and data conversions are examples of technical deliverables. Shortly after the project Kickoff, IDOC and InfoStrat will collaboratively determine the dates of technical inspections, known as demonstrations. These typically occur at the end of each sprint. Mid-sprint demonstrations may be planned or added, as well, depending on the needs of the project. The IDOC representative will indicate to the InfoStrat Scrum Master during demonstrations or testing that the Deliverable has been evaluated and meets Acceptance Criteria.

##### *Documentation-Based Deliverables*

Deliverables such as the Status Reports, Training Materials, Test Plan, and Completion Reports are

examples of documentation-based deliverables. InfoStrat will provide the documentation-based deliverables for inspection, review, and comment. Acceptance is indicated by written notification from the responsible IDOC representative to the InfoStrat Scrum Master, by email or otherwise, that the Deliverable has been evaluated and approved. If no feedback is received from the IDOC within 5 business days, the deliverable is considered accepted.

#### 2.4.6 Implementation Project Plan

- Provide your overall objectives and approach to the IDOC's implementation. Discuss timing in regard to the rollout to counties. What are your plans in terms of staging county implementation over an extended period of time?

##### **Objectives:**

This project will develop, implement, execute, and monitor a cloud-based, statewide automated victims assistance notification system, known as SAVIN360, that is reliable, scalable, and flexible and can provide near-real time data and reports. IDOC has benefited from the Microsoft Dynamics-based SAVIN360 already. InfoStrat's objective is to continue to provide the following benefits to IDOC:

InfoStrat prides itself on upholding one key approach, Working as One Team. That is, while stakeholders represent different perspectives, from victim services to prison warden, executive sponsorship to IT security, or development team to data vendor, we are all on the same team, with the same objectives.

InfoStrat designed and developed SAVIN360 to provide multi-faceted benefits to the crime victims, victim service providers, law enforcement, and their related agencies. InfoStrat is committed to the following objectives for all its clients:

**Low cost notification based on usage.** SAVIN360 is built to use built-in Dynamics 365 standard communication methods and cloud services for methods it does not provide. Thus, the actual cost of notification is nominal (1 cent per text, free email through Microsoft Exchange, 6 cents per robo-calls) and based on actual usage.

**Built on Microsoft Dynamics 365, which serves as rapid development engine.** New features can be rapidly developed and deployed to accommodate legislative changes or needed modifications to notification processes. In addition, new standard features become available as upgrades are achieved.

**Notification Governor: Individual thresholds by type of event; only offending event type stops.** SAVIN360 treats each type of event differently and set thresholds for each. When crossed, only that event type stops processing to allow for investigation.

**Notification History: All notifications and communications with constituents are recorded in Activities records, which are available to the state SAVIN360 staff.** SAVIN360 stores all communications with constituents such that any particular notification can be quickly retrieved. Also, for a notification event, all data are gathered into custom entity from which all notification workflows run. Thus, there is a history of all notification activity, available to the state SAVIN360 administrator if a constituent calls wanting information about a notification or a missed notification.

**Control over Data:** SAVIN360 will collect offender data from all myriad Indiana sources as the Data Transformation Service matures, including DOC, the current jails, prosecution and court feeds. Indiana retains full ownership of the collected data, and has the right to use, transform, and distribute it as the

state deems necessary. This data will be in the cloud under the control of the Indiana Office of Technology. InfoStrat will not sell any data, access to the data nor share the data with any outside organization unless directed by contract with IDOC to do so.

**Continuity of Victim Notification:** Trained law enforcement users can record offender movements directly into SAVIN360 in the event their vendor-based OMS system goes offline.

**Notification Failover: Confirm receipt and follow up if failed.** SAVIN360 tracks the success of each notification to make sure that the constituent was notified in some way. Phone Calls, Emails, and Text Messages are tracked for successful delivery and if a failure occurs, SAVIN360 automatically looks to see if some other method succeeded and, if none succeeded, determine if other options exist and use those.

**Constituent Follow Up: Check annually to make sure that data are kept up to date;** An ongoing issue for any victim notification solution is the validity of the contact data for the victim. Phone numbers, in particular, are difficult because the constituent can change phone numbers, and someone can inherit their old number. The same is true for text messaging numbers and email address deactivation.

**Self-Service Configuration: SAVIN360 Administrator can configure operational features.** SAVIN360 was designed to enable the administrator to manage the day-to-day operations as notification schemas, messages, and system values. This allows the state administrator to manage the elements of the notification process that should be under their control, rather than going to a developer to make the changes.

**Accessible Notification Logs:** SAVIN360 provides logging features such that the administrator can trace the entire process from feed, to execution of business processes, to notification text by type, to results and failover results.

**Role-Based Access:** Access to the system, its data, all functionality, and the web-based portal will be defined by a user's role, with that role specifically defined by IDOC stakeholders. Victim Service Providers will have the similar benefits, be able to act on behalf of survivors, access pre-defined and ad-hoc reports, etc.

**Victim Control via Web Portal:** The implementation provides a web-based portal so victims can find offender status information; register for or manage their notifications; and learn about victim assistance resources.

**One record per offender.** In SAVIN360, the focus is on maintaining a single record for offenders. That way the constituent needs only to sign up once for an offender and will be notified for any changes to that offender record from any of the data sources.

**Notification schemas are categorized by type of event; constituent selects how to notify by category.** The SAVIN360 approach establishes a criticality factor to determine how urgent the notification would be. It does this by providing a categorization of notifications by type of event. Thus, an Emergency event, which entails an offender release to the community with no prior notification, would be given higher priority for notification resources than a lower category of event. The categorization allows specifying when (if) and how to make notifications.

**Additionally:**

Beyond current functionality and benefits IDOC enjoys with SAVIN, another objective is to bring IDOC

into the cloud using the most advanced and secure technology available. SAVIN360 is a prepackaged suite of functionality that extends Dynamics 365 in a supportable, forward-compatible architecture. InfoStrat uses Microsoft Dynamics 365 Online, hosted and managed by Microsoft, as a true software-as-a-service (SaaS) software offering.

The InfoStrat SAVIN360 solution utilizes Microsoft Azure platform-as-a-service (PaaS) components for hosting and managing the suite of SAVIN360 APIs. Additionally, SAVIN360 utilizes Azure BLOB Storage for archiving imported flat files and as the SAVIN360 photo repository. Lastly, the SAVIN360 public portal is also hosted in Azure to achieve elastic scale and meet performance expectations of the public constituency.

### **Approach:**

InfoStrat proposes utilizing a hybrid approach to implementing SAVIN360 for IDOC. Presented in detail in Section 2. Project Approach, and as illustrated in the Project Schedule, the key phases of the project are defined, *i.e.*, 1) Project Initiation; 2) Solution Installation, Configuration, and Customization; 3) Training; 4) Production Implementation and Post Go-Live Support; 5) Project Closure; and Operations and Maintenance. InfoStrat will work together with IDOC stakeholders, including subject matter experts and the project manager, to validate the project requirements and finalize all plans, accordingly.

InfoStrat recommends the use of Agile methodology during the Solution Installation, Configuration, and Customization and Production Implementation and Post Go-Live Support phases. Therefore, during and after the Project Initiation portion of the project, our team will perform the work breakdown by creating features, epics, and user stories to accomplish all necessary work. Work, in the form of user stories, will be prioritized and completed during each sprint.

User Stories are built according to the INVEST model, so they are Independent (non-dependent, non-sequential), Negotiable (flexible and built through team collaboration), Valuable (to Indiana's final SAVIN360 solution); Estimatable; Small (designed, built, and tested in an iteration), and Testable (with agreed upon acceptance criteria).

The Product Backlog tracks all work: planned, underway, and completed. User Stories are estimated, prioritized, and the Backlog is groomed throughout the project. This provides full transparency amongst the team and encourages collaboration, which are critical to successful Agile implementations.

InfoStrat has found 3 to 4-week sprint cycles, with frequent client engagement, *i.e.*, daily to weekly interaction with subject matter experts and management, and monthly demonstrations lead to our most successful SAVIN360 implementations. Feedback from IDOC staff and other Indiana stakeholders is critical not just during planning and design, but throughout implementation of services. Feedback is gathered, categorized and prioritized, then tracked in our Smartsheet system which is open to all stakeholders for real-time understanding of its status. This allows full transparency between IDOC stakeholders and the InfoStrat Development Team and frequent interaction and feedback-based rapid adjustments to occur.

### **Timing:**

The approach to IDOC's Data Transformation Service (DTS) implementation will be collaborative, working in lockstep with IDOC, its stakeholders, and the DTS solution vendor to ensure there is a comprehensive plan that meets IDOC's requirements. InfoStrat expects that it will take more time to get agencies onboarded to DTS, though SAVIN360 will be ready to receive data from DTS on Month 5



of the implementation and will begin receiving whatever data DTS can provide at that time. Any interfaces InfoStrat currently has with agencies that are also providing data to DTS would then be disabled. SAVIN360 will continue to receive data from any agencies providing data that are not integrated with DTS until such time as they begin providing data to DTS. Thus, there will be no lapse of coverage from agencies that currently provide data to SAVIN360.

- Please submit a Sample Implementation Plan as an Exhibit to Attachment F, labeled as Sample Implementation Plan.

#### **2.4.6.1 Installation and Environmental Setup**

- Please describe your approach to installation and setup of all the environments listed in RFP Section 1.4.3.3. Provide details regarding roles and responsibilities of the Contractor and IDOC staff. Describe the proposed process for applying software upgrades and patches in these environments.

At the time of the project kickoff, the IDOC implementation of SAVIN360 will be an on-premise installation of Dynamics 365 version 8.2 or possibly version 9.0 and has a corresponding QA system; both systems are in the IOT environment.

As part of our implementation plan, we will work with IOT to stand up the Production environment and two sandboxes (the RFP requires 4 Sandbox environments, but for the initial configuration, only 2 are needed), with commensurate portals; this will be the Configuration/Development and Testing systems identified in RFP section 1.4.3.3. InfoStrat will install the IDOC SAVIN Solution into the production environment. Next, using ETL tools we will migrate all master data (Counties, Zip Codes, Relationships, Facilities, Notify Rules, etc.) to ensure that when the system is cloned to the Sandbox environments, all system have the same record IDs (called GUIDs) as not doing so will cause breakages when workflows are migrated from one system to the next. Once the production system is correctly configured and populated with standard data, we will work with IOT to clone the production system to the sandbox environments. These will be updated with new features developed at other states that are to be included in the project. Development will begin on the Configuration/Development system; while ETL development and validation will take place on the Testing system. Once development is completed and tested by InfoStrat, we will work with IOT to stand up the Training and Stage environments called for in RFP section 1.4.3.3. and clone them from the Production system; then we will migrate the solutions built in Configuration/Development to Testing, Training and Stage systems. Dynamics 365 uses a construct called a Solution to migrate configurations and customizations from one system to another. All instances will then be managed through Azure DevOps.

While section 1.4.3.3 calls for a Disaster Recovery/Business Continuity system, this is not necessary for Dynamics 365. Disaster Recovery/Business Continuity is a native facility of the underlying Dynamics 365 SaaS platform. Microsoft maintains 4 active replications of each CRM instance across two geo-distant data centers. Microsoft can move a CRM instance around within a data center or across data centers as necessary to maintain scale and to facilitate upgrades or in the rare instance due to disaster situations.

As a Microsoft cloud-based solution, SAVIN360 leverages Microsoft's heavy investment in services operations and maintenance. Microsoft applies continuous security and stabilization patches across their entire suite of cloud services. New features are released on a frequent basis with schedules that vary by the cloud service. Example: Azure receives monthly feature enhancements, while Dynamics

365 receives two (2) major enhancement releases per year. Some are applied automatically and others, representing more significant upgrades, will be scheduled in accordance with the SLA. When such an upgrade is available, InfoStrat will upgrade the Development environment first and conduct regression testing to discover any issues proactively. After regression testing, InfoStrat will schedule the UAT environment for upgrade, upon which IDOC would test. Following successful test in UAT environment, the Production system would be upgraded.

At the time of the project kickoff, the IDOC implementation of SAVIN360 will be an on-premise installation of Dynamics 365 version 8.2 or possibly version 9.0 and has a corresponding QA system; both systems are in the IOT environment. As part of our implementation plan, we will work with IOT to stand up the Production environment and two sandboxes (the RFP requires 4 Sandbox environments, but for the initial configuration, only 2 are needed, one for development and one for ETL validation), with commensurate portals. InfoStrat will install the IDOC SAVIN Solution into the production environment. Then once installed, using ETL tools we will migrate all master data (Counties, Zip Codes, Relationships, Facilities, etc.) to ensure that when the system is cloned to the Sandbox environments, these records have the same record IDs (called GUIDs) as these will get called in workflows. Indiana; a change order may be required to add deployment, modification, and ongoing costs. Likewise, any modifications made for Indiana will be available to other SAVIN360 customers under the same conditions.

#### 2.4.6.2 Configuration Plan

- Please describe your approach to configuration of the system, including how you will work with the IDOC to determine which requirements can be accommodated by configuration and which require customization, and how the configurations will be applied (by IDOC staff, your staff, or a combination). The plan should include a description of a configuration management database to track the history of configurations for documentation purposes. Please also include an estimate of the percentage of configuration changes vs. customizations required in past projects.

The entire InfoStrat development team has reviewed and extensively strategized solutions to meet all RFP requirements. Based on our knowledge as the provider of the current SAVIN system, and utilizing our entire team's expertise, some items have already been determined to be possible via configuration of the existing base SAVIN360 solution, while others will require custom code to implement. During the Project Initiation phase, RFP requirements will be validated, and our solution approaches verified and modified, if necessary.

InfoStrat will work early and often with IDOC stakeholders. Our Agile development methodology allows for rapid development and demonstration of the solution as progress continues. As such, it requires more weekly involvement from the stakeholders, for some it will be daily involvement, than a more traditional software development project. InfoStrat will determine any and all configuration items that can be performed by IDOC in coordination with IDOC SAVIN SMEs.

Throughout implementation and support, InfoStrat uses DevOps best practices, including configuration management, in accordance with Information Technology Infrastructure Library (ITIL) v3 guidelines and the Microsoft xRM CI Framework to implement a fully automated DevOps pipeline. This allows consistent, high-quality, peer-reviewed continuous delivery and deployment.

InfoStrat estimates the percentage of changes required in past projects that were accomplished through system configuration versus customizations in a couple different ways. Looked at from the



standpoint of functionality of features delivered, it can be estimated that 80% of overall functionality was delivered through configuration. However, looked at from the standpoint of Level of Effort, it's closer to 40% of the effort. Much of the effort involved entails one of two activities: building new, reusable capabilities that can be included in later projects as configurable items; or, custom code for the agency for data inputs and integrations that are unique to the agency. As an example of the former, a customer required that we provide a touch IVR search and registration capability; thus, we added special workflow steps to convert name fields to numeric representations and a web service that can be accessed by the IVR system to retrieve offender information and pass phone and PIN information for registration; this feature is now available for others to use and only requires configuration. As an example of the latter, our customer in Texas required that SAVIN360 generate a nightly output (flat file) of victim data using a fixed length record format to be consumed by a legacy system used by the Texas Parole Board.

#### **2.4.6.3 Customization Plan**

- Please describe your approach to designing, developing, testing, and implementing customizations to the system. The plan should include a description of your methodology to track customizations for documentation purposes.

Beyond that described in the previous section, throughout implementation and support, InfoStrat uses DevOps best practices, including configuration management, in accordance with Information Technology Infrastructure Library (ITIL) v3 guidelines and the Microsoft xRM CI Framework to implement a fully automated DevOps pipeline. This allows consistent, high-quality, peer-reviewed continuous delivery and deployment.

#### **2.4.6.4 Data Transformation System Interface Plan**

- Please provide a detailed description of the approach and process you will follow to design, develop, and test the interface with the Data Transformation System described in the RFP Section 1.4.1. As part of the resulting Project Scope, the Contractor will work with the awarded Data Transformation System Contractor and the IDOC to complete the interface. Please include any risks you anticipate with interfacing with the data transformation system.

InfoStrat built SAVIN360 with an emphasis on transaction-based data exchange. While SAVIN360 supports batch file processing, the solution was designed to eliminate the need for dedicated hardware and software in the Site environment and to reduce the latency; that is, the time between an event and the beginning of notification for that event. Thus, our preferred method for exchanging data is more akin to a direct electronic handshake between two systems for a specific transaction—not too different from a purchase on Amazon.com—the source system sends data directly to SAVIN360 at the time of transaction. As an offender record is updated, the source system immediately sends data to SAVIN360 so that we can begin the assessment and, as required, notification processes. This is the approach we propose to take with the Data Transformation System.

InfoStrat already has implemented the VN-SSP (Victim Notification Service Specification Package), a NIEM-conformant, web service data exchange designed for US Department of Justice for Victim Notification data exchanges. This interface currently is implemented as a SOAP service for IDOC and is used to receive Offender Case data from the states centralized Court Case Management solution,

Odyssey. It also is used to get Victim Notification requests from JTAC.

InfoStrat also has implemented the VN-SSP data exchange for the South Dakota Attorney General's office and it is used for all data exchanges receiving data from Corrections, Courts, and Jails. The VN-SSP is designed to enable data from multiple sources in a single interface, which means that only one interface is required. This is ideal for receiving data from the Data Transformation System as all messages from the system, regardless of content, can use the same format with slight variations in one Node based on the action reported.

Because of this, InfoStrat already is configured to receive data from Data Transformation System once it is available via the VN-SSP. In our proposal, InfoStrat maintains the web service as an Azure Web App to which the Data Transformation System passes data as it receives it, making the interface as real time as possible. InfoStrat would need to update the rules engine for the different types of data being received. For example, the following screen depicts the format for a Corrections feed using the VN-SSP

```
<vn-ext:CorrectionsEvent s:id="ACTIVITY">
  <nc:ActivityIdentification>
    <nc:IdentificationID>corrections-urlocn12345</nc:IdentificationID>
  </nc:ActivityIdentification>
  <nc:ActivityDate>
    <nc:DateTime>1999-09-09T09:30:47Z</nc:DateTime>
  </nc:ActivityDate>
  <nc:ActivityDescriptionText>Test Comment</nc:ActivityDescriptionText>
  <vn-ext:EventCategory>Corrections</vn-ext:EventCategory>
  <vn-ext:EventSubtype>Release to Supervision</vn-ext:EventSubtype>
  <vn-ext:NotificationCategory>Information</vn-ext:NotificationCategory>
  <vn-ext:NotificationSubtype s:id="NOTIFICATIONSUBTYPE001">Validate</vn-ext:NotificationSubtype>
  <vn-ext:NotificationValidationCategory s:id="NOTIFICATIONVALIDATION001">Other Information</vn-ext:NotificationValidationCategory>
  <im>Status>
    <nc>StatusDate>
      <nc:DateTime>1999-09-09T09:30:47Z</nc:DateTime>
    </nc>StatusDate>
    <nc>StatusDescriptionText>Test status description</nc>StatusDescriptionText>
    <im>StatusAugmentation>
      <im>StatusReasonText>Test reason</im>StatusReasonText>
    </im>StatusAugmentation>
    </im>Status>
    <vn-ext:ClemencyIndicator>0</vn-ext:ClemencyIndicator>
  <vn-ext:EffectiveDateTime>
    <nc:DateTime>1999-09-09T09:30:47Z</nc:DateTime>
  </vn-ext:EffectiveDateTime>
  <vn-ext:EligibleDateTime>
    <nc:DateTime>1999-09-09T09:30:47Z</nc:DateTime>
  </vn-ext:EligibleDateTime>
  <vn-ext:EscapeDateTime>
    <nc:DateTime>1999-09-09T09:30:47Z</nc:DateTime>
  </vn-ext:EscapeDateTime>
  <vn-ext:PardonIndicator>0</vn-ext:PardonIndicator>
  <vn-ext:RecaptureDateTime>
    <nc:DateTime>1999-09-09T09:40:27Z</nc:DateTime>
  </vn-ext:RecaptureDateTime>
  <nc:Release>
    <nc:ActivityDate>
      <nc:DateTime>1999-09-09T09:30:47Z</nc:DateTime>
    </nc:ActivityDate>
  </nc:Release>
</vn-ext:CorrectionsEvent>
```

The following screen depicts a Court feed for a Hearing event.

```

<ivn-ext:CourtEvent s:id="ACTIVITY">
  <nc:ActivityIdentification>
    <nc:IdentificationID>14437</nc:IdentificationID>
  </nc:ActivityIdentification>
  <nc:ActivityDate>
    <nc:Date>2015-02-12</nc:Date>
  </nc:ActivityDate>
  <nc:ActivityDescriptionText>SDCH</nc:ActivityDescriptionText>
  <vn-ext:EventCategory>Court</vn-ext:EventCategory>
  <vn-ext:EventSubtype>Court Hearing</vn-ext:EventSubtype>
  <vn-ext:NotificationCategory>Hearing Notice</vn-ext:NotificationCategory>
  <vn-ext:NotificationSubtype s:id="NOTIFICATIONSUBTYPE001">Do Not Validate</vn-ext:NotificationSubtype>
  <vn-ext:NotificationValidationCategory s:id="NOTIFICATIONVALIDATION001">Other Information</vn-ext:NotificationValidationCategory>
  <nc:Case>
    <nc:CaseTrackingID>4253</nc:CaseTrackingID>
    <nc:CaseDocketID>DC-101-CR-15-0042</nc:CaseDocketID>
  </nc:Case>
</ivn-ext:CourtEvent>

```

Since the Activity element varies by source of the data (Court, Corrections, Jail, Probation, etc.) InfoStrat will need to migrate and adjust rules to accommodate the codes and rules from each different feed source. Also, we expect that there will be extensions to the core VN-SSP package definition required for Indiana data and rules. These updates will be completed during implementation.

Nonetheless, InfoStrat anticipates that it may take more time to get agencies onboarded to the Data Transformation System, though SAVIN360 will be ready to receive data from the Data Transformation System within 6 months of project kickoff (see the project schedule for expected completion date) and will begin receiving whatever data the Data Transformation System can provide at that time. Any interfaces with agencies that are also providing data to the Data Transformation System will be disabled. Any interfaces with agencies that are not integrated with DTS will continue to remain active until such time as those agencies are active with the Data Transformation System.

When the Data Transformation System adds an agency, InfoStrat will work with the vendor and agency staff to configure receipt of the data in a sandbox system to validate that the data are being provided correctly and to make sure that the agency codes are working properly. In most cases, the validation should only take a few hours per agency.

## 2.4.7 Testing and Quality Assurance

### 2.4.7.1 Approach

- Please describe the standard approach to testing and quality assurance.

InfoStrat utilizes Agile development methodology and believes testing, early and often, is a key part of its SAVIN360 development. While even robust testing cannot guarantee defects will not be found later, proper testing greatly increases confidence the system functions properly and as expected.

Early in the project schedule, InfoStrat will work with the IDOC, and other stakeholders as desired, to create a comprehensive Test Plan. The Test Plan will provide thorough detail regarding each of the stages of testing SAVIN360 will undergo during its implementation. Stages may occur more than once, for example, the development team will perform unit and system testing throughout implementation as new functionality is developed. Stages may occur sequentially or simultaneously and the start of one phase is not necessarily dependent on the end of another. Throughout development, tests are performed by developers as they build or configure parts of the application to specified requirements. Code reviews are conducted on custom-built code needed for application functionality per requirements and tracked within the development team's task management system. Code reviews are requested, performed, and tracked within Azure DevOps. Subsequent stages of testing are designed to verify

expected output and lists of attributes for data fields to validate accurate, clean data is mapped from the IDOC source system(s) and ensure the related systems function appropriately through systems and integration testing efforts prior to collaboration with IDOC on User Acceptance Testing (UAT).

### **Acceptance Testing Support**

InfoStrat will provide dedicated (on-site or virtual) support for up to three days of User Acceptance Testing (UAT); for any remaining UAT, InfoStrat will provide up to two (2) hours of off-site support daily. InfoStrat will provide approximately 100 foundational user test cases from which IDOC can expand to meet its specific testing needs. User Stories created early in the implementation, and their associated Acceptance Criteria, are the basis for subsequent system testing and UAT.

### **Defect (Bug) Tracking and Remediation**

Identification of defects (bugs) can happen at any phase of testing. Defects found through UAT, or other testing, and their remediation is tracked against User Stories. Testers provide test results via a web-based tool, in which they can record test results and upload screen shots. Beyond strict pass/fail test criteria, testers are encouraged to provide additional feedback about user experience, suggestions, questions. Appropriate stakeholders will have access to the results tracker for full visibility and interaction.

The stakeholders will discuss any findings that arise with the InfoStrat Development Team in order to determine whether a finding is deemed a true defect or an enhancement. Certain priority levels of bugs must be remediated and retested before further work can occur, while others can be deployed into Production (see priority details below).

--Priority 1 = Critical: Show stopper; Cannot proceed to the next iteration or testing stage until this is resolved

--Priority 2 = High: Must be resolved prior to moving to Production/Go Live; Functionality is impacted but testing can proceed

--Priority 3 = Medium: Must be resolved prior to moving to Production/Go Live; Functionality is not impacted, and testing can proceed

--Priority 4 = Low: Cosmetic issue or feature enhancement that is not otherwise deemed Priority Level #1-3; deployment can proceed to Production/Go-Live

Note: All Priority 1, 2, and 3 Bugs must be resolved prior to moving to the Parallel Production Monitoring Test Stage or Production/Go Live.

When the issue in the bug is fixed, the Development Team will mark the bug as "resolved" and reassign it to the tester who created the bug or another stakeholder for retesting. Upon deployment of the fix, a tester will verify the problem is no longer an issue by re-running the test case and "closing" the bug or "failing" the bug and reassigning it to the Development Team with comments about the failure.

### **2.4.7.2 Sample Plan**

- Please submit a Sample Testing and Quality Assurance Plan similar to the plan that will be used for this Project. Please submit as an Exhibit, labeled as Sample Testing and Quality Assurance Plan.

### 2.4.7.3 Plan Details

- The Contractor will be responsible for providing a Testing and Quality Assurance Plan that describes all phases of testing that might be used: unit testing, system testing, interface testing, regression testing, parallel testing, and support for user acceptance testing (UAT). It is the IDOC's expectation that the Testing and Quality Assurance Plan govern all phases of the Project, and that the Contractor will also provide assistance during each testing phase involving IDOC users. The Contractor will develop the initial UAT plan, provide templates and guidance for developing test scripts, and if required by the IDOC provide on-site support during UAT. The Contractor will also provide a plan for performance testing the system, which will occur during or after UAT.
- Please confirm that the proposal includes providing the services identified in this section, and describe any additional services that are also provided as part of the Testing and Quality Assurance Plan in the space below.

This proposal provides for all the testing and assurance services identified under Section 2.4.7.3 as well as on-site UAT support.

### 2.4.7.4 Levels of Support

- What levels of support will be provided during the IDOC project team testing phases (e.g., parallel and UAT)? Will the Contractor resources be on-site during certain testing phases if required? Are varying service levels offered for testing support? Describe your approach to fully remote testing support given current COVID-19 concerns.

Parallel testing will be fully supported by InfoStrat's Dev and QA teams in collaboration with IDOC, performed remotely.

UAT testing will be supported by the InfoStrat team by providing IDOC with representative test cases, which can be updated/customized to the priority areas for IDOC to test during this phase. In addition, the InfoStrat team will provide up to 3 days of on-site UAT support, along with 2 days of dedicated remote support for setup and execution.

InfoStrat recognizes the rapidly fluctuating COVID-19 conditions and acknowledges that flexibility is key. InfoStrat will work collaboratively with IDOC to consider the costs and benefits of on-site vs remote support through testing. InfoStrat is a nationally distributed team of colleagues, so we are experts at performing remote work and supporting our clients' needs efficiently and effectively, especially utilizing collaboration tools within Microsoft Teams, GoToMeeting, Zoom, etc.

### 2.4.7.5 Parallel Testing

- Describe the proposed approach to parallel testing with the existing SAVIN system.

Given that InfoStrat is proposing to continue with the existing system, SAVIN360, albeit migrated to the Microsoft cloud, parallel testing really is limited to determining if the cloud version of the system continues to operate in the same way that the current on-premise instance of SAVIN360 operates with regard to victim notification input, processes and outputs. As such, to conduct parallel testing (we also refer to this as parallel monitoring), we will configure current inbound data from the various sources—IDOC's Offender Information System (OIS), count jails, courts, prosecutors—to update both the on-



premise and cloud instances with Offender data. We also will set up a recurring (probably hourly) ETL update of contact and registrant data from the on-premise to the cloud solution to ensure that both systems remaining in synch; and a nightly synch of Activity data, so that closed emails, phone calls, texts, letters and tasks are maintained in the new system to reduce the ETL load prior to go live.

Data will update the current system first, so as not to slow notifications, then the cloud instance; so there may be a few minutes lag between the two systems, but they will be in relative synch. In the cloud instance, we will configure all Event Types (Notify Rules) to be set to Do Not Process = True (depicted in the screen below outlined in red) so that notifications will not actually be sent out from the system.

The screenshot shows the Dynamics 365 configuration page for the 'Escape' event type. The 'Do Not Process' checkbox is checked and highlighted with a red box. Other settings include: Event Type: Escape, Category: Emergency, Wait Notification Time: 0, After Hours Calls: Yes, Victim Only: No, General Notification: No, Include in SMS Limited: No, and Media Notification: No.

This will result in Notification records being generated with message text so that messages could be sent but are not. IDOC and InfoStrat team members will be able to compare the lists of notifications (as seen below in the first screen below) and the data and messages in each (as seen in the second screen below) and so determine if the new system is getting the same results.

### Screen 1: Notification List

The screenshot shows the Dynamics 365 SAVIN Notifications screen. The table displays a list of active notifications with columns for Event Type, Constituent, Offender, SID, DOC, Category, Email, Email, Lette, Lette, Phon, Phon, SMS, SMS, TTY, TTY, Event Date, and Created On. The data is as follows:

Event Type	Constituent	Offender	SID	DOC	Category	Email	Email	Lette	Lette	Phon	Phon	SMS	SMS	TTY	TTY	Event Date	Created On
Parole Eligibil...	Danny Shann...	Baker, Lafaye...	0446...	0346...	Priority	Yes	Yes	Yes	Yes	No	Yes	Yes	No	No	No	6/23/2019 12...	6/23/2019 12...
Parole Eligibil...		Barker, Ma	0138...	0038...	Priority	Yes	Yes	Yes	Yes	No	Yes	No	No	No	No	6/25/2019 12...	6/25/2019 10...
Parole Eligibil...		Barker, Ma	0138...	0038...	Priority	Yes	Yes	Yes	Yes	No	Yes	No	No	No	No	6/25/2019 12...	6/25/2019 10...
Temp Release	Amalie Alexa...	Bonny, Anne	0331...	0231...	Priority	Yes	No	Yes	No	No	No	No	No	No	No	6/25/2019 7...	6/25/2019 11...
Temp Release	Charlotte Chr...	Bonny, Anne	0331...	0231...	Priority	Yes	No	Yes	No	No	Yes	No	No	No	No	6/25/2019 7...	6/25/2019 11...
Temp Release	Gallagher Pey...	Bonny, Anne	0331...	0231...	Priority	Yes	No	No	No	No	No	No	No	No	No	6/25/2019 7...	6/25/2019 11...
Discharge	Danny Shann...	Byrne, Robert	0395...	0295...	Urgent	Yes	Yes	Yes	Yes	Yes	Yes	Yes	No	No	No	6/25/2019 1...	6/25/2019 1...
Discharge	virginia funk...	Parker, Michael	0150...	0050...	Urgent	Yes	Yes	No	No	No	No	No	No	No	No	6/25/2019 2...	6/25/2019 2...
Discharge	Danny Shann...	Parker, Michael	0150...	0050...	Urgent	Yes	Yes	Yes	Yes	Yes	Yes	Yes	No	No	No	6/25/2019 2...	6/25/2019 2...

## Screen 2: Message Text

The screenshot displays the Dynamics 365 SAVIN interface. At the top, there's a navigation bar with 'Dynamics 365', 'SAVIN', and 'Notifications > Notify Discharge Da...'. Below this, a 'New Alerts (15)' banner shows a recent alert about a mailbox bounce. The main content area is titled 'NOTIFICATION : SAVIN' and 'Notify Discharge Danny Shannon: Byrne, Robert'. It includes fields for 'Offender Name' (Byrne, Robert), 'Event Type' (Discharge), 'Constituent Name' (Danny Shannon), and 'Stop Notifications' (No). The 'General' tab is active, showing four sections: 'SMS Text', 'TTY Text', 'Phone Text', and 'Email Text'. Each section contains a message template for notifying the constituent about their release from custody on 6/25/2019.

We propose 2 weeks of parallel monitoring so that IDOC Service Center staff are not hampered in daily operations but are free to compare results as time permits. During this two-week period, InfoStrat would host a daily meeting with the IDOC Project Manager and IDOC Service Center staff to discuss findings and troubleshoot any disparities between the systems.

### 2.4.8 Training Plan

- Please provide the approach to the training plan, and explain what makes the training plan successful and effective for system implementations. Include the approach to using on-site training versus a webinar or a train-the-trainer format. Describe your approach to a fully remote training program given current COVID-19 concerns.

The InfoStrat team understands Training is a crucial Organizational Change Management (OCM) function that needs to assist the full scope of the organization and its stakeholders in adopting the new solution to meet the business process workflows and enhance end users' experience to support victims with up-to-date, accurate, and thorough information.

The Training Plan will encompass the organization and InfoStrat's approach to training, including:

- 1) Types of Training Offered, Audience, and Journey Map
- 2) Methods of Training
- 3) Curriculum and Topics, including Current to Future State analysis
- 4) Delivery Logistics
- 5) Supporting Documentation & Materials

Due to COVID-19, the InfoStrat team recommends virtual training delivery, to be coordinated and scheduled across audiences by user types, training journey maps, and roll-out plan. This will approach



will allow the team to offer more comprehensive, additional volume of events, without putting health and safety of key stakeholders and team members at risk. Additionally, training materials can be adapted for specific audiences to provide a focused current to future state agenda to compare current legacy system and data sharing workflows to future state with SAVIN360. To support roll-out among the many organizations encompassed within the deployment for this solution, the InfoStrat team also recommends a specific training journey for super users, to be aligned in partnership with IDOC when designing the training plan, based on function, location, and/or business process, for on-going onboarding of new users and/or new team members into the platform following roll-out.

InfoStrat and its partners have been engaged in training internal teams and client teams since broad remote work commenced in March 2020 through technology platforms including Microsoft Teams and Zoom. This has included training for the Indiana Prosecuting Attorney's Office, and law enforcement agencies and victim's advocates across the State of Indiana for the rollout of ICJI's sexual assault kit tracking solution as well as advanced technical curriculum through BC*forward's* Digital Innovation Academy for private sector clients. Platform selection can defer to the State's preferred platform based on security protocols, both are structured with break-out rooms for more individual, facilitated portions of training, and can be paired with Microsoft Whiteboards for any virtual class participation to recreate the physical classroom environment. With virtual events, a best practice includes limiting online sessions traditionally to half of the duration each day as is typical, and as necessary, spreading the duration of the session out over multiple business days to avoid learning lethargy and fatigue. On demand and self-service materials are also helpful to pair with user roles post-training in the virtual environment.

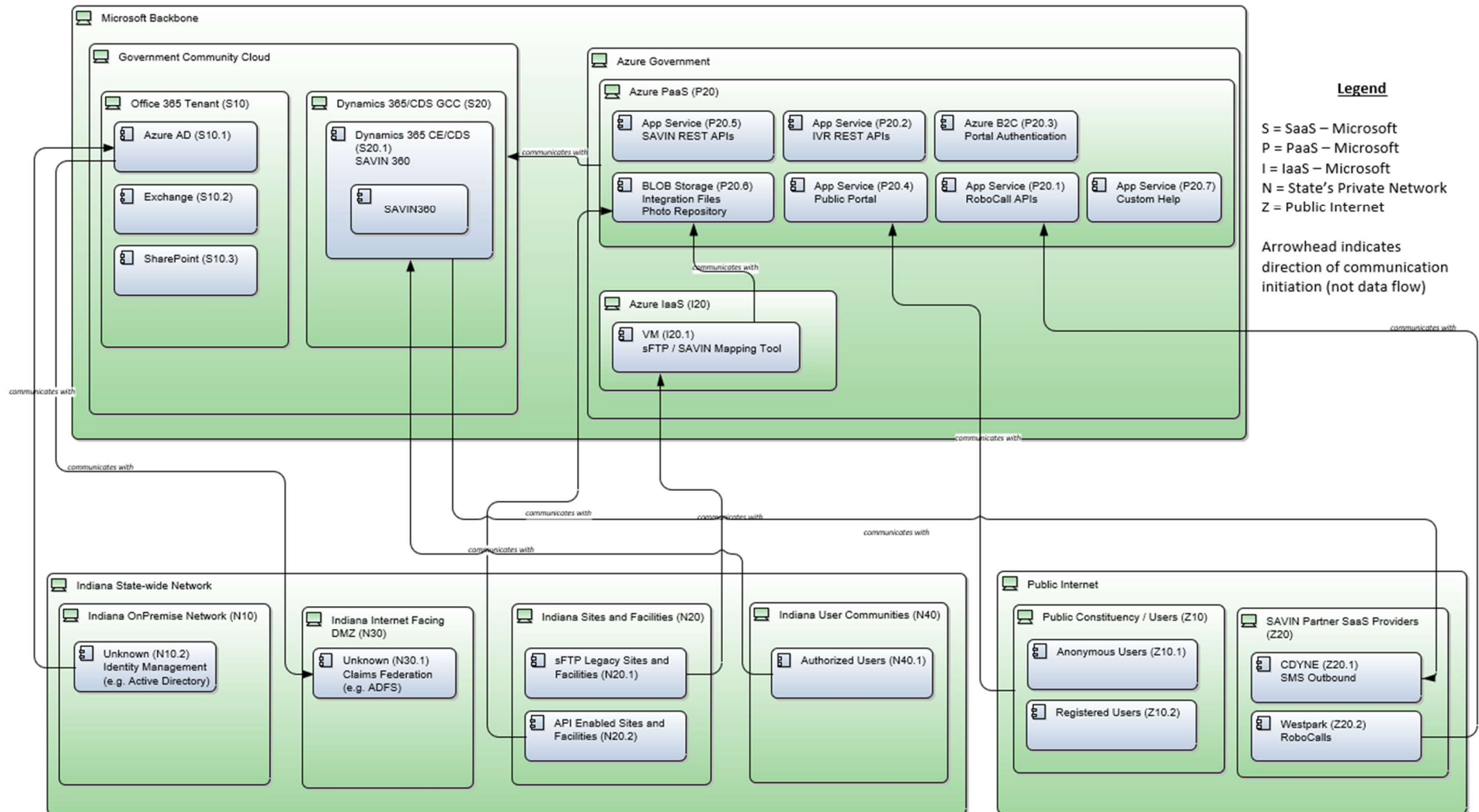
#### **2.4.9 Attachment F2 - Functional and Technical Requirements Spreadsheet and Attachment F3 -Use Cases**

- Please complete Attachment F2 Functional and Technical Requirements and include with your proposal.
- Please complete Attachment F3 Use Cases and include with your proposal.

## Exhibit 1: System Architecture

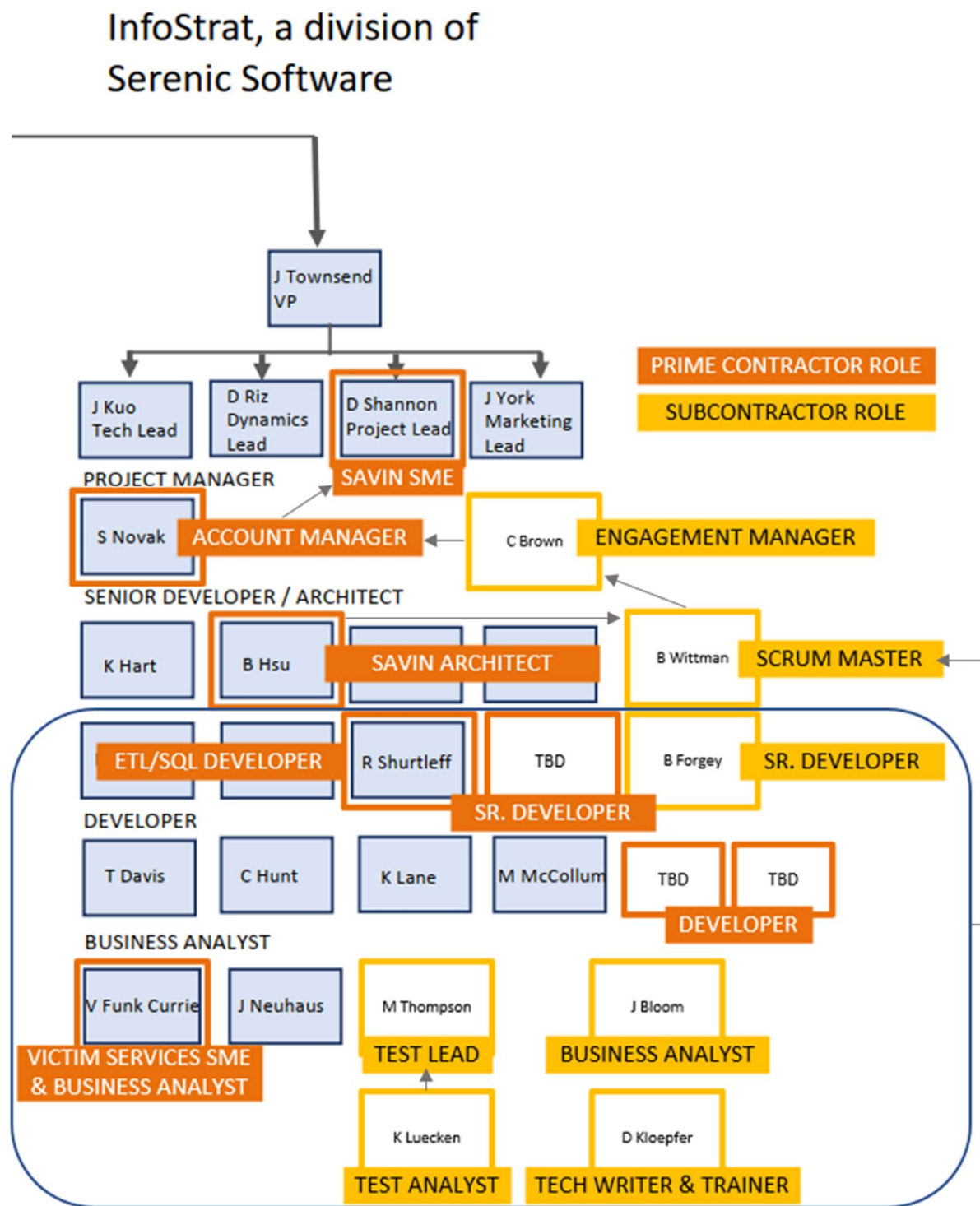
### Exhibit: System Architecture: InfoStrat SAVIN360

Exhibit: System Architecture: InfoStrat SAVIN360	VERSION:	3.2	AUTHOR:	1/7/2020 by InfoStrat Inc.	VERSION AUTHOR:	1/7/2020 by InfoStrat Inc.
--	----------	-----	---------	----------------------------	-----------------	----------------------------

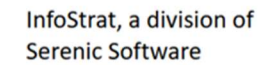


**Exhibit 2 for Section 2.4.1.1: Organizational Chart**

Project Team with Reporting Details (enlarged section of full the organization chart on the following page)



### Sylogist Organization Chart



### **Exhibit 3 for Section 2.4.1.2: Contractor Resumes**

## Danny Shannon, SAVIN Product Owner/SME

### CAREER SUMMARY

Danny Shannon has more than 20 years of experience in the Information Technology field. He has been engaged in nearly all stages of the software development life cycle: developing and auditing processes, planning and managing projects, developing requirements and high-level design specifications, testing, writing technical and end user documentation, developing courseware, delivering training, devising the configuration management and versioning schema, and managing the release process. He instituted several processes including the test methodology, the versioning methodology, the documentation methodology, and the training methodology for software used by many BlueCross and other large health insurance companies around the country. Danny has more than 10 years' experience managing Dynamics and SharePoint projects, driving and developing requirements for Dynamics application, and supporting existing Dynamics applications.

### TECHNICAL SKILLS

O/S & Server Technologies:	Development Technologies:	Tools and Other Technologies:
<ul style="list-style-type: none"> <li>Windows 10/8/7/2003/2000/NT 4.0/XP/98/95/3.X</li> <li>UNIX—AIX</li> <li>UNIX--Solaris</li> <li>Sybase Adaptive Server Enterprise</li> </ul>	<ul style="list-style-type: none"> <li>Perl</li> <li>SQL</li> <li>HTML/XML</li> <li>Visual Basic</li> <li>JavaScript</li> </ul>	<ul style="list-style-type: none"> <li>Dynamics 365 (CRM)</li> <li>SharePoint Designer</li> <li>Microsoft Office</li> <li>Microsoft Project</li> <li>Microsoft Access</li> <li>Mercury Quality Center</li> <li>Acrobat</li> <li>Authorware</li> <li>Captivate</li> <li>RoboHelp</li> <li>Photoshop</li> <li>Pagemaker</li> <li>Dreamweaver</li> </ul>

### EDUCATION & CERTIFICATION

- Bachelor of Science, Physical Science, US Naval Academy, Annapolis, MD, 1986
- Master of Arts, Journalism, University of Maryland, College Park, MD, 1993
- Certified Tester Foundation Level, International Software Testing Qualifications Board/American Software Testing Qualifications Board, 2007
- Microsoft Dynamics 365 for Sales Microsoft Corporation
- Microsoft Dynamics CRM 2016 Online Deployment
- Managing Microsoft Dynamics Implementations
- Microsoft Dynamics Customization and Configuration in CRM 2013
- Microsoft CRM 2011 Applications Certification
- Microsoft CRM 2011 Customizations Certification
- Microsoft Office SharePoint Server 2007, Configuration
- Microsoft CRM 3.0 Applications Certification

### EMPLOYMENT & PROJECT HISTORY

**2017 –  
Present**

**Information Strategies, Inc., Washington, DC**  
*Chief Operations Officer*

Provide day-to-day leadership and management; establish and monitor consultant utilization and profitability goals; ensure adequate delivery capacity to meet sales goals; ensure project leadership is sufficient to ensure project success and profitability; ensure technical staff are adequately trained to meet operational goals; support business development efforts; build and



grow a strong and stable workforce; identify technical skill gaps and ensure training or hiring to fill such gaps; manage the hiring pipeline to meet delivery requirements; cultivate talent; maintain a subcontractor pool to supplement peak delivery periods; collaborate with the leadership team to develop and implement plans for the operational infrastructure of systems, policies, processes, and staff.

---

**2007 – 2017      Information Strategies, Inc., Washington, DC  
Senior Consultant**

- **Texas Department of Criminal Justice**—Implemented Dynamics 365-based Victim Notification and Case Management solution built in Dynamics 365 for Prison and Parole system for the state of Texas. The solution built on our existing SAVIN solution but was extended to provide greater case management that would allow for increased reporting for Victims of Crime Act (VOCA) Grant statistics and Other Victim Assistance Grants (OVAG) statistics. Served as Analyst and CRM Configurator in initial implementation and provide ongoing support.
  - **Pennsylvania District Attorneys Institute and Pennsylvania Department of Corrections**—Implementing Dynamics 365-based Victim Notification solution for victims of offenders in the County Jails within Pennsylvania counties and Department of Corrections for a statewide deployment. Served as Analyst and CRM Configurator in initial implementation and provide ongoing support.
  - **Government Leasing**—Implemented Dynamics 365 solution to provide full business life cycle for organization specializing in coordinating equipment leases for government agencies: from sales, to financing, to contracts, to invoicing and accounting (Lease Management), to close out and equipment disposition. Assumed the project, in extremis, from other vendor and completed implementation. Implementation included custom import of electronic payments reports for posting receivables and also integrated third party document generation solution (XperiDo). Served as Project Manager, Analyst and CRM Configurator and provides ongoing support.
  - **Taft Law**—Implemented Dynamics CRM 2015 solution to enable major US law firm to conduct risk assessments, due diligence, and investigations of possible conflicts regarding overseas business ventures by large corporate clients. Served as Project Manager, Analyst and CRM Configurator and provides ongoing support.
  - **GovCon Implementation**—Led several implementations of Dynamics 365 Government Contracting Sales solution in for multiple clients in a wide range of business types. All projects entailed requirements discovery and documentation, configuration, development, testing, and go live support. Served as Project Manager, Analyst and CRM Configurator in all implementations.
  - **South Dakota Attorney General**— Managed the project to implement a victim notification system that fully integrates data from Jail, Prison and Court systems and provides updates of offender custody status and case events and dispositions to victims of crime. The solution exclusively uses the SAVIN IEPD, standardized NIEM interface for victim notification transactions. The solution relies heavily on data from the Court system to determine notification eligibility based on qualified charges and case dispositions.
  - **State of Michigan Department of Human Services**—Managed the project to implement a support desk solution in Dynamics CRM 2011 for the DHS Call Center staff to use to input and manage issues reported by field staff of the primary line of business processes. The solution has escalation procedures such that issues can be resolved by Tier 1 staff or escalated to higher tier staff, based on the subject of the issue. The solution was built to distinguish supported systems so that issues get a different case number schema based on the system in which the issue was discovered. Extensive business unit logic segregates case data such that Call Center staff devoted to supporting a system see cases regarding only that system. Currently, the solution is being upgraded to CRM 2013. Assisted in the development of the test plan and review of test results.
  - **San Diego County Department of Human Services**—customized and configured Dynamics CRM 2011 to implement key features of a tool for qualifying constituents for social services
-

for aging populations and for connecting constituents with service providers within a defined range. Also developed a questionnaire tool in Dynamics CRM that is used to defined the screen flow for a public facing website into which constituents can enter requests for services to determine qualifications for various types of social services. Helped develop test plan for the solution.

- **Jhpiego**—Managed the project to implement a tool in Dynamics CRM 2011 that could be used to perform offline or online assessments of third world medical facilities to track improvement against established standards for the facility type. This solution used dynamic forms that could be completed on-line or off-line by facility staff for internal assessment and by external assessors. The forms is built dynamically based on the facility type and country in which the assessment would occur.
- **Council of the District of Columbia**—Managed the project to implement SharePoint as a portal for the Council Members and the Committees, enabling them to develop appropriate legislation, promote it, and collaborate. The system also provides a central location for managing HR and IT processes for the Council staff. Also managed a second project in which a prototype was built to provide access to the official DC Code to be used by attorneys and other interested persons using anonymous access. The Code project would allow a person to see exactly how the DC Code read on a specific day in the past.
- **Indiana Appellate Courts**—Managed the project to implement CRM as an application platform for integrating document management with the legacy legal case management system for tracking incoming motions through to decision and for managing orders and opinions from the appellate court through to publication for the case. The solution tracks criminal, civil and tax court cases, case parties, attorneys, motions, orders, opinions and manages documents regarding case filings and legal publications.
- **Indiana Department of Correction**—Managed the project to implement a notification service for victims of crime and other constituents concerning changes in an offender's custody status, expected release date, and community transitioning. The solution entailed consolidating data from the DOC mainframe, county jail booking systems, and state prosecutor's system to provide full justice life-cycle notification coverage. The consolidated data set also was used to extend features beyond notification and improve collaboration among the state's justice system organizations. Multiple extensions of the solution have included adding new data feeds, adding processes for special notifications for law enforcement, new features for Parole Board hearing management, and Community Transition Team. Developed requirements and test plans, oversaw testing.
- **State of Michigan, Governor's Office**—Managed the project to implement CRM for the Constituent Services Office and the Scheduling Office. The implementation for the Constituent Management Office involved tracking constituent requests, assigning them to the appropriate staff member or escalating them to the appropriate department for resolution; tracking the resolution; and determining the constituent's satisfaction with the resolution. The implementation for the Scheduling Office involved managing requests for the Governor to appear at events, determining which the Governor should attend, which should be attended by the appropriate departmental staff, and implementing a calendar for the Governor. The project was completed within two months. Developed test plan and assisted with testing.
- **Indiana Supreme Court**—Managed the project to implement CRM as an application platform for managing training events for the state's Judges and other court officers and tracking their education credits; for managing special research requests; for tracking probation statistics capture and other court functions. Gathered and documented requirements for all data and process management elements.
- **Stimulus 360 Deployments**—Managed projects to customize, deploy, train and maintain the Stimulus 360 solution framework developed for Microsoft to help state and local governments to track Recovery Act funds. Current completed projects include: State of Tennessee; State of Illinois; City of Chicago, IL; City of Mobile, AL; City of Seattle, WA; City of San Jose, CA.
- **Illinois Department of Commerce and Economic Opportunity**—Managed project to deploy a Sales Automation CRM implementation into a hosted environment.
- **Virginia Information Technology Agency**—Managed the project to implement CRM as the data store and process management component for driving the screen presentation for

Virginia's Business One Stop web site, used to register new businesses in the state. Gathered and documented requirements for the data store and process management elements.

- **Delaware Attorney General**—Managed the project to upgrade Microsoft Dynamics CRM from version 1.2 to 4.0 and implemented new logic leveraging new CRM features to an existing application for managing the states consumer complaint process.
- **Harris County (TX) Neighborhood Protection Council**—Gathered and documented requirements for CRM solution for property inspection, issue recordation, remediation and hearing support.
- **Science Applications International Corporation**—Served as a senior tester for several major upgrades to U.S. Marine Corps personnel and equipment tracking system, including new system to collect and provide critical manpower and equipment data to the Joint Chiefs of Staff via web services.
- **LJT Inc.**—Managed Microsoft Office SharePoint Server 2007 solution used to support the LJT ISO-9000 certification effort and company intranet.
- **American Federation of Teachers**—developed and executed a test plan for a custom .NET application **American Federation of Teachers** for on-line web form development, presentation, and completion.
- **Service Employees International Union**—Managed Microsoft Office SharePoint Server and InfoPath Forms project to automate critical business practices; developed requirements, and oversight of implementation.
- **Allied Capital**—Conducted analysis of upgrade from Microsoft SharePoint Portal Server 2003 to Microsoft Office SharePoint Server 2007; identified delta following test upgrade; developed remediation and migration plan.
- **Propane Education and Research Council**—conducted business analysis and developed business requirements for Microsoft Office SharePoint Server 2007 implementation; developed checklist to help in requirements discovery.
- **US Chamber of Commerce**—Managed pilot project that involved replacement of Microsoft Content Management Server 2001 with Microsoft Office SharePoint Server 2007; developed business and system requirements; oversaw and assisted in implementation; developed procedures for managing template sites and pages; conducted training.
- **Experient, Inc.**—Developed Microsoft Office SharePoint Server requirements. Assisted in designing taxonomy to facilitate enterprise, intranet, departments, and extranet requirements.
- **Defense Intelligence Agency (DIA)**—Developed requirements for custom Microsoft Outlook plug-in that analyzed e-mail content and automatically set the appropriate classification; developed and executed test plan, test conditions, and test cases; designed custom tool for automating test execution; developed User Acceptance Testing guidelines for previous version; developed training script for distance learning video of new features; developed comprehensive help for new features.
- **Graduate Management Admissions Council (GMAC)**—Developed and executed test plan, test conditions and test cases for several projects, including a new auditing methodology for externally validating flat file content, a complete re-architecting of the principal system, and a disability accommodations request and reporting system.
- **US Marine Corps Intelligence Agency (MCIA)**—Developed Microsoft Office SharePoint Server requirements for workflow-based intelligence product tasking, management and reporting system.
- **First Annapolis Consulting**—Managed Microsoft Office SharePoint Server project; developed business and system requirements; supervised implementation; conducted training.
- **Miscellaneous Projects**—Conducted quality reviews of several technical documents for multiple customers; developed Microsoft Office Content Management Training course and delivered for multiple projects and demonstrations; conducted initial business analysis for Microsoft Dynamics CRM project; documented SharePoint usage procedures.

---

**1997 – 2007**     **Dakota Imaging, Inc., Columbia, MD**  
*Quality Assurance Manager (2006 - 2007)*

---

- Managed multiple test and QA projects; implement quality improvement initiatives; manage five local and three remote QA and test staff; plan and manage test activities and test equipment usage; technical mentoring; review test artifacts; troubleshooting issues; analyze test results and defects; triage defects; and develop, evaluate and report quality metrics.
- Developed a test data catalog; established key test and quality metrics; implemented requirements traceability; trained staff in new test methods; identified opportunities for automation; reduced overall test effort while improving quality.

#### **Training Manager/Trainer (2004 –2005)**

- Managed training program; developed courseware; delivered courses to customers and internal staff; managed training facilities and equipment.
- Reduced time to productivity for new staff from 3 months to 7 weeks by developing an orientation course; implemented roles-based courses; introduced needs assessments into course development methodology; introduced distance learning.

#### **Documentation and Training Manager/Trainer (2001 – 04)**

- Managed all technical documentation and training activities; scheduled project documentation delivery; coordinated technical reviews; edited all documentation; recruited new technical writers; mentored technical writing staff; developed courseware; delivered internal and external course delivery; oriented new technical staff.
- Implemented technical reviews, which improved the technical accuracy of documentation; increased the standard documentation set threefold; improved writing quality of customer support staff through weekly reviews of customer issue tickets; improved customer satisfaction for training by 20%.

#### **Release Manager (1998 – 2001)**

- Supervised all release management, testing and quality assurance, documentation, training, and configuration management functions; recruited for CM, test, documentation and training positions.
- Developed and documented first company software release process, versioning methodology, test methodology, and documentation process; reduced maintenance costs through clearly defined release criteria; developed a code turn-over process that ensured changes were documented; instituted a consistent test cycle and defect reporting; implemented regression case development; instituted risk-based testing; implemented documentation of dependencies as part of release; instituted an automated installation history log; instituted rollback scripts as a standard part of software installation; developed a standardized software versioning schema.

#### **Technical Writer (1997 – 98)**

- Developed technical and end-user documentation for company software. Reversed negative customer satisfaction marks for documentation; developed a company intranet; defined editorial style and usage standards; created a product glossary that improved internal and external communication.

---

#### **1995 – American Chemical Society, Washington, DC** **1996** *Environmental Reporter/Editor*

- Edited feature articles, coordinated and edited contributed book reviews and departments, developed story ideas, and wrote magazine departments, regulatory analyses, and news stories for Environmental Science & Technology, the ACS monthly magazine and research journal.

---

#### **1993 – Business Publishers Inc., Silver Spring, MD** **1995** *Environmental Reporter/Editor*

- Researched, wrote, and edited news and feature articles for Environmental Remediation Technology, a bi-weekly newsletter covering research, development, and marketing of innovative environmental cleanup technologies. I also edited other writers' articles.
-

---

**1993 Warren Gorham Lamont, Alexandria, VA**

*Human Resources Reporter*

- Researched, developed and reported news analysis stories on human resources, compensation, and benefits issues for two bi-weekly newsletters. I also reported on budget, taxation, and gambling issues at the Maryland capital for the University of Maryland's daily news wire service.

---

**1992 – National Science Teachers' Association, Arlington, VA**

**1993** *Editorial Assistant/Freelance Reporter*

- Proofread, edited, and desktop published elementary, middle school, and high school science activity books and texts, and performed some writing and copy editing. I also reported for several Washington, DC-area weekly newspapers.

---

**1986 – US Marine Corps, Commissioned Officer**

**1991** *Military Entrance Processing Command, Ft. Meade, MD (1989 – 91)*

*Headquarters Commandant*

- Supervised daily headquarters functions including administration, training, building and equipment maintenance, and security; responsible for public affairs; and coordinated conferences for subordinate unit commanders from all service branches.

**2nd Radio Battalion, Camp Lejeune, NC (1986 – 89)**

*Platoon Commander/Assistant Operations Officer*

- As assistant operations officer, I helped develop tactical intelligence gathering doctrine for the battalion; planned long-range manpower and equipment requirements; wrote initial operations plans for exercises two years into the future; supervised battalion-level training programs; developed battalion training plan.
  - As platoon commander, I led 25 Marines and supervised, planned and conducted individual and platoon training.
-



## Stacey Novak, Account Manager, SAVIN360

### CAREER SUMMARY

Stacey Novak is a highly recommended and experienced Project and Program Manager with a diverse background and history of managing successful projects within the state, federal, and commercial sectors. Stacey has over 25 years' experience managing projects primarily within victim advocacy and healthcare. She has managed teams of 3 to 70+ and projects from \$100K to \$4M annually. Stacey has worked with Dynamics 365 since 2012, first as a CRM functional analyst and pre-sales technologist and later as a Project Manager with D365 implementations primarily for the Department of Veterans Affairs. Stacey is ITILv3 certified, has been a practicing Professional Scrum Master I and Lean Management Professional since 2016, and has maintained her PMI-certified Project Management Professional (PMP) since 2015. She is sought out for her expertise, mentoring, fun approach to team building and management. Her combination of experience, domestic and abroad, creates a rare IT and program management expertise.

### EDUCATION & CERTIFICATIONS

- Master of Science in Biological Psychology | Univ. of Oklahoma Health Sciences Center
- Bachelor of Science in Psychology | Shippensburg University of Pennsylvania
- Project Management Professional (PMP)
- Microsoft Certified Professional (MCP)
  - Managing Microsoft Dynamics Implementations Specialist
  - Microsoft CRM 2013: Sales
  - Microsoft CRM 2013: Pre-Sales Technical Specialist
  - Microsoft CRM 2011: Customization and Configuration
  - Microsoft CRM 2011: Applications
- ITIL v3 Service Management – Axelos
- Professional Scrum Master (PSM) I – scrum.org
- Workforce Trends and Equity – Nonprofit Leadership Alliance
- Lean Management Professional – OTIFAS Six Sigma

### TECHNICAL SKILLS

#### Config / Admin:

- Dynamics 365
- SharePoint

#### Tools & Technologies:

- Azure DevOps
- Office365 Suite
- Smartsheet
- Wrike

#### Project Management:

- Stakeholder, Comms, Contract, HR, and Risk Management
- Earned Value Management
- Agile / Scrum master

### PROJECT MANAGEMENT EXPERIENCE

**July 2019  
– Present**

**Information Strategies, Inc., Washington DC**  
*Program Manager, SAVIN360*

- Managing a combined statewide implementation of DOC and 63 county prisons.
- Managing support of three operational SAVIN solutions, including two upgrades from on-premises to cloud.
- Supplanted outgoing PM for statewide grants management implementation; implemented Agile best practices.

**2016 –  
2019**

**Enterprise Resource Performance, Inc Fairfax, Virginia**  
*IT Portfolio Manager*

- Oversaw various strategic modernization projects, including managing six programs and 31 staff simultaneously.
- Launched a widely utilized veterans' hotline, which handled 250K calls in the first two years of operation.



- Managed multiple IT development projects simultaneously by developing methods to track project life cycles (including integrated schedules, task breakdown, dependencies, risks, communications, staff planning, reallocation, and transition).
- Provided full Software Development Lifecycle (SDLC) and Agile methodology support, including requirements elaboration, application testing, system documentation, testing and remediation, user training, and implementation
- Planned telephony/CRM transition from Salesforce to Dynamics CRM. Re-engineered processes to reduce wait times, which were decreased from an average of five minutes to under 20 seconds. Overall project operation was such a success that the program was approved for expansion into five new medical centers in 2019.
- Earned five corporate awards for Achieving Results, Fostering Collaboration, Innovative Solutions, Serving Others, and Project Rescue.
- Supervised a team of 11 staff charged with implementing a reorganization of two program offices within the Department of Veterans Affairs (VA), resulting efforts led to the merger of 370 personnel in just 19 months.
- Created and directed a communications team of six analysts, which included branding, writing newsletters, facilitating focus groups and monthly town halls, and launching an internal comms website, which had nearly 25,000 views in its first 10 months of operation.

**2014 –  
2016**

**Celedon Partners (now Ardalyt), Columbia, Maryland**

*Senior CRM Project Manager*

- Managed all aspects of Phase 1 Modernization of current MS Dynamics CRM system for a leading non-profit software provider.
- Oversaw the full software development lifecycle (SDLC) for Amway, Inc's South American headquarters "procurement to payment" case management CRM system (contracting and requirements, to deployment, training, and change management). Requirements-to-successful Go Live in four months.
- Acted as liaison between VA product owner, SMEs, VA Office of Information & Technology (OIT), and Microsoft Consulting Services-contracted Dynamics CRM development team. Became Project Leader of on-site Microsoft development team, advised Agile sprint planning, CRM implementation, and approval processes.

**2012 –  
2014**

**Whitney, Bradley, Brown (WBB) Inc., Reston, Virginia**

*Senior Health IT Analyst*

- Served as Product Owner of a Dynamics-based CRM solution which help reduce the backlog of VA medical claims by 89% and drastically cut processing time from 248 days to 92.
- Served as subject matter expert for process re-engineering; reorganized the production of medical evidence to improve claims processing and enrollment timeframes. Researched root cause of a large-scale data outage and recommended failsafe design in a report to executive VA leadership.
- Researched, compiled, and delivered quarterly status briefings to Veterans Health Administration (VHA) Health Informatics key stakeholders for VBMS, a mission critical VBA-led VA Major Initiative. DEAP-VBMS integration SME, constructed architectural and data exchange models and data contracts.

**2007 –  
2011**

**United States Mission to The Netherlands, The Hague**

Defense Intelligence Agency (DIA) Joint Military Attaché School (JMAS)

**Intrepid Fallen Heroes Fund Raiser**

*Project Manager*

- Spearheaded fundraiser to benefit members of the US Armed Forces (and their families) during rehabilitation from combat injuries.

**USA Girl Scouts Overseas (Netherlands) - UN World Thinking Day**

*Program Manager*

- 
- Designed and coordinated 2011 program for Girl Scouts based in Rotterdam, Amsterdam and The Hague within United Nations Millennium Development Goal 3 framework. Resulted in multi-week workshops, community-based international volunteer efforts, and celebrations for over 100 Girl Scouts and their families.

*Diplomat*

- Attended and hosted hundreds of foreign diplomatic events, engaging foreign contacts, and fostering relations in support of the US diplomacy mission abroad.
-

## Benson Hsu, Dynamics 365 Consultant, SAVIN360 Architect

### CAREER SUMMARY

Benson Hsu has 16 years of experience in developing web-based applications, database design and implementation, consulting, and other aspects of the business process. Benson currently acts as the technical lead for implementation and support of five SAVIN360 projects.

### TECHNICAL SKILLS

#### Development Technologies:

- C#.NET
- ASP/ASP .NET
- SQL / SQL Reporting Services
- HTML/DHTML
- Visual Basic / ASP
- JavaScript
- WCF / .NET WebServices
- JQuery / JQuery UI
- AJAX
- XML / JSON
- ODATA
- CSS

#### Tools and Other Technologies:

- Microsoft Dynamics CRM 4.0 / 2011 / 2013 / 2015 / 2016 / 365
- Visual Studio 2005 / 2008 / 2010 / 2012
- Microsoft SQL Server 2005 / 2008
- Microsoft SharePoint
- IIS Web Server
- Scribe Insight

### EDUCATION & CERTIFICATIONS

- Bachelor of Science Information & Computer Science, University of California, Irvine.
- MB2-703: Microsoft Dynamics Customization and Configuration in CRM 2013
- MB2-876: Microsoft Dynamics 2011 Extending

### EMPLOYMENT & PROJECT HISTORY

#### 2012 - Present Information Strategies, Inc., Los Angeles, CA Senior Consultant

- Developed the SAVIN solution for multiple states in the US that integrates jail and court data to a centralized database for tracking offender activity for the purpose of providing notification to victims and interested parties via automated phone calls, SMS text messages, emails and letters.
- Developed a solution that retrieves data from GovWin IQ to InfoStrat's GovCon solution using GovWin IQ's API.
- Performed Dynamics CRM upgrades from CRM 4.0 to 2011, 2011 to 2013, 2013 to 2015, 2015 to 2016 and 2016 to 365
- Integrated Dynamics CRM with external applications such as web services, public facing portals, console applications and SharePoint.
- Developed a broad range of Dynamics CRM customizations including ribbon / sitemap / form / dialog / workflow changes, custom JavaScript to modify the appearance and behavior of a form, custom workflow assemblies and developed custom asynchronous and synchronous plugins to process data according to business rules.
- Designed and developed a real-time data synchronization solution, mirroring data between two individual Dynamics CRM databases using Scribe Insight
- Refactored client's CRM plugins and JavaScript, applying best practices to improve readability and efficiency
- Developed a NIEM compliant information exchange package to facilitate a data exchange between two organizations with different terminology for the same data. Exchange package included extensive technical and business documentation and technical artifacts such as XML, XML Schemas, UML.

**2007-2011**      **LogoIncluded, Inc., (<http://www.logoincluded.com/> ) Covina, CA**  
*Senior Developer*

- Project managed iOS application development
  - Developed web services for iOS application (C# / XML / REST)
  - Developed e-commerce website (HTML / PHP / AJAX / JavaScript)
  - Developed custom internal web application to facilitate entire custom product fulfillment process from sales input to manufacturing and shipment (HTML / ASP / JavaScript / AJAX)
  - SQL database design and implementation (MS SQL Server)
  - Developed website that provided product and service catalog as well as secure customer area for viewing real-time product pricing and order status and history (HTML / ASP / C# / JavaScript / AJAX / SQL / CSS)
  - Was awarded the 2011 PPAI Web Award for Information/Content. PPAI is the major annual conference for the promotional products industry.
- 

**2004-2007**      **Southland Credit Union, Los Alamitos, CA**  
*Senior Programmer Analyst*

- Developed custom applications and reports using existing Symitar banking system
  - Worked directly with CEO, VPs, directors, managers and vendors to determine project requirements and implement solutions while managing a junior programmer
  - Developed and maintained website including online banking website (C# / JavaScript / CSS / JQuery / HTML)
  - Testing for online banking and other membership services
- 

**2003-2011**      **Freelance Web Developer**

- Database design and development (SQL / MySQL)
  - Implementation of e-commerce sites utilizing custom programming (ASP / JavaScript / AJAX / JQuery / PHP / Wordpress / Magento / Joomla)
  - Development of media and content rich websites using custom developed CMS and Wordpress (ASP / JavaScript / PHP)
  - Manage projects throughout entire development cycle
-

## Robert Shurtleff, Senior Dynamics 365 and Azure Solution Architect

### CAREER SUMMARY

Robert brings over 30 years of experience in technology within consulting, IT and business development roles that have crossed numerous domains including: Service and Support; Product Development; Hospitality; Banking; Retail; POS, Public Sector and others. Robert has been focused exclusively on Dynamics 365 since the pre-release of Microsoft CRM 3.0. He has a flair for blending Dynamics 365 and Azure solution architecture to create hybrid cloud solutions. He has also architected several large-scale inbound and outbound contact centers that collectively support millions of customers. He has worked across a variety of industries and has extensive experience in implementing public sector projects. Robert's passionate about the use of Dynamics 365/CDS as a line of business solutions development environment for application modernization. Robert holds numerous Microsoft certifications including Dynamics CRM and .NET Architecture and Development. Robert has served as the manager for both regional and national CRM practices providing vision, planning, training, and execution.

### TECHNICAL SKILLS

#### O/S & Server Technologies:

- Hybrid Cloud Architecture
- Dynamics 365
- Dynamics Portal
- Windows Servers
- SQL Server
- Azure IaaS
- Azure PaaS
- Logic Apps
- Service Bus
- Storage
- Data Gateway
- Hybrid Connection Mgr
- Azure Functions
- B2C
- App Services
- APIM
- SQL Server Integration Services (SSIS)

#### Development Technologies:

- Office 365 Power Automate (Flow)
- Power Apps
- Visual Studio
- Visual Code
- C#
- JavaScript
- HTML
- SSMS
- SSIS
- SSDT

#### Tools and Other Technologies:

- Microsoft 365
- Office 365
- Common Data Services (CDS)
- Power Apps
- Power Automate
- Windows Desktops
- Fiddler
- Kingswaysoft
- Microsoft Teams
- Slack
- Visio
- Azure DevOps
- SharePoint

### EDUCATION & CERTIFICATIONS

- Bachelor of Science in Computer Science; Summa Cum Laude; from Colorado Technical University
- Awarded membership in Tau Alpha Pi engineering honor society
- Microsoft FastTrack Solution Architect Bootcamp Graduate
- Microsoft FastTrack Recognized Solution Architect (2020)
- Dynamics 365 Certified Professional
- Dynamics 365 Certified Sales Professional
- Microsoft Certified Professional
- MCAD.NET Application Developer
- MCSD.NET Solution Developer

### EMPLOYMENT & PROJECT HISTORY

<b>Mar 2020</b>	<b>Information Strategies, Inc.</b>
<b>Present</b>	<b>Senior Dynamics 365 and Azure Solution Architect</b>

#### NATIONAL LAW FIRM

- Advanced troubleshooting Power Automate workflows
- Establishment of Power Automate DevOps process

#### GDPR MANAGEMENT OUTSOURCER

- Advanced troubleshooting of Dynamics 365 routing rules and case automation

#### STATE JUSTICE DEPARTMENT

- InfoStrat SAVIN SME
- InfoStrat SAVIN solution data migration and integration architect
- Hybrid Cloud Architect

#### STATE JUSTICE DEPARTMENT

- InfoStrat SAVIN SME
- Advanced data transformation and post-migration processing developer

#### LARGE COUNTY GRANTS MANAGEMENT

- Grants Management SME
- Advanced escalation architect

#### NATIONAL GOVERNMENT CONTRACTOR

- InfoStrat GovCon SME
- Advanced solution customization developer

---

**Nov 2015** **IBM**  
**Mar 2020** **Microsoft Dynamics 365 and Azure Solution Architect and Pre-sales Engineer**

#### PROPOSAL SOLUTION ARCHITECT

- DOD Publication lifecycle and release management
  - Canadian Province Dynamics upgrade strategy and implementation
  - Numerous Municipalities: Citizen Services 311
  - Numerous States: Grants Management
  - DOD Dynamics upgrade strategy and implementation
  - State University: Alumni CRM
  - Numerous States: LOB platform strategy and roadmap
  - State: Discrimination Complaint Tracking
  - Federal Agency: national, multi-location, support contact center agent desktop
  - Numerous States: Child Support Enforcement modernization
  - Numerous States: Licensing and Permitting system
  - Federal Agency: Enterprise shared services LOB platform
  - Federal Agency: Museum Collections inventory and loan management
  - Federal Investigative Case Management
  - Federal Courts: Appeals application and lifecycle management
  - Federal Agency: LOB platform strategy and roadmap
  - State contact center agent desktop
  - State Department: Administrative Services CRM
  - State agricultural plant quarantine tracking
  - State Smart City IoT strategy
-



- Large metropolitan public transportation: Customer complaint and refund request CRM
- State Safety Inspections Management
- Federal Security Agency: Customer complaints management
- Federal Courts: Defendant lifecycle management
- Federal emergency response agency: emergency response planning and incident management
- DOD Global Logistics Management
- Federal agency: Fraud Case Management
- Federal agency: Tier 2 contact center agent desktop

#### CONSULTING, STRATEGY, ARCHITECTURE

- VA Care Network Manager: application modernization and LOB platform strategy and roadmap
- State-wide LOB platform strategy and roadmap
- Numerous States: Child Support Enforcement modernization strategy and roadmap

#### DELIVERY ARCHITECT LEAD

- Global airlines carrier: B2B sales advanced performance tuning architect
- New York City 311
  - Enterprise solution architecture for new 311 solution wave 1 prototyping
  - Enterprise infrastructure hybrid cloud solution architect
- VA Care Network Manager: Provider and Claims contact center agent desktop
- Federal Agency: national, multi-location, support contact center agent desktop

#### PRODUCT SOLUTION ARCHITECT

- Child Support Enforcement
- Estimation, Staffing, TCO tools

---

**Jan 2014** **HCL Axon USA**  
**Nov 2015**

#### PROPOSAL SOLUTION ARCHITECT

- National Health Plan Consortium: Primary Source Verification Solution
  - Large global bank: salesforce.com displacement and staffing
  - Large airline manufacturer: enterprise integration strategy and implementation around enterprise Dynamics 365 solutions
  - Large US national bank: Customer service solution enhancements and staffing
  - European Children's Charity donor relationship management
  - Global consumer electronics company: enterprise CRM consolidation
  - Global power tools manufacturer: Warranty Registration CRM
  - Global technology wholesale distributor: Salesforce.com displacement
  - National health care network: Salesforce.com displacement
  - Southern California care network: enterprise LOB platform
  - Global Casino: Group Sales CRM
  - National bank: Financial Services Customer Screening CRM
  - Global gases manufacturer: Customer Loyalty CRM
  - National Health Insurance Payor: Policy Administration Customer Service
-

#### CONSULTING, STRATEGY, ARCHITECTURE

- Canadian Manufacturing firm: Enterprise CRM and LOB platform strategy and roadmap
- Bing Enterprise Sales and Marketing CRM strategy and roadmap
- Global wholesale distributor: Enterprise LOB platform application modernization strategy and roadmap
- National dairy producer: Enterprise LOB platform application modernization strategy and roadmap
- US Regional Power Distribution Coop: Enterprise application modernization strategy and roadmap
- World Bank: Application modernization with enterprise LOB platform strategies and roadmap for over 5 separate departments
- Large European home appliance manufacturer: Conduct industry disruption consulting and strategy workshop

#### PRODUCT SOLUTION ARCHITECT

- Estimation, Staffing, TCO tools

---

### **Nov 2011** **HP Enterprise Services** **Jan 2014**

#### PROPOSAL SOLUTION ARCHITECT

- DOD Retail CRM
- Federal Staff Tasking and Tracking
- Federal Support Services CRM and Knowledge Management
- City Land Use Permitting
- City Planning Project Management
- City Vital Statistics Reporting Case Management
- Constituency Relationship Management
- Federal Travel Expense Case Management
- Early Learning CRM
- State University Graduate Programs Recruitment CRM
- State Budgeting Tasking and Tracking
- DOD Sexual Harassment Incident Reporting System
- State Health Care Dual Eligibility Coordination
- USDA Electronic Plant Variety Protection Candidate Architecture
- Municipal Automated Traffic Camera Complaint Adjudication

#### CONSULTING, STRATEGY, ARCHITECTURE

- Canadian Territory cloud adoption and migration strategy and roadmap
- Large county CRM as Line of Business (LOB) application platform adoption strategy and roadmap
- Numerous States: Early Learning modernization strategies
- Numerous States: Child Support Enforcement modernization strategies
- Numerous Municipalities: Code Enforcement modernization strategies

#### DELIVERY ARCHITECT LEAD

- Teachers Retirement Management System CRM
- Federal Private Cloud SaaS Architecture
- Federal Agency Tier 1 Call Center Agent Desktop
- Federal Key Persons Protection Deployment Management

#### PRODUCT SOLUTION ARCHITECT

---

- Private CRMaaS Reference Architecture
- Fraud Detection Case Management
- Contact Center-as-a-Service Reference Architecture
- Child Support Enforcement Case Management
- Court Docket Management
- Estimation, Staffing, TCO tools

**May 2010** **CIBER**  
**Nov 2011**

**PROPOSAL SOLUTION ARCHITECT**

- Global entertainment company: Enterprise Sales CRM and route planning
- National for-profit university: outbound sales call center agent desktop
- National retail credit union: Customer Service contact center agent desktop
- Global credit card provider: Research and Development lifecycle management
- National river cruise provider: Enterprise Sales CRM

**DELIVERY ARCHITECT LEAD**

- National for-profit university: outbound sales call center agent desktop
- Retail Banking support contact center agent desktop

**PRODUCT SOLUTION ARCHITECT**

- Estimation, Staffing, TCO tools

**Apr 2005** **Avanade**  
**May 2010**

**DELIVERY ARCHITECT LEAD**

- Higher Education: Sales force automation and outbound call center solution.
- Consumer Goods Manufacturing: Pricing and discount calculator and management solution.
- High Tech/Software Manufacturing: Premier technical support customer 360 and incident management solution.
- Network Support and Managed Services: Sales financials reporting system.
- State Government: National Sales Tax collection and reporting system.
- Banking & Insurance: Customer 360 for service centers and automated common service request processing.

**PRODUCT SOLUTION ARCHITECT**

- Estimation, Staffing, TCO tools

## **Virginia Funk-Currie, D365 Business Analyst & Victim Services SME**

### **CAREER SUMMARY**

An IT professional with experience in Dynamics 365, translating customer needs into tailor made, user-focused solutions. Extensive knowledge of victim services from funding to direct service provision including notification systems. Specializing in trauma-informed, victim-centered best practices using technology to

decrease repetitive tasks, thereby increasing in person contact. Skilled in federal, state, and local government integration of Microsoft technologies including Dynamics 365, SharePoint, and Office 365.

### TECHNICAL SKILLS

Config / Admin:	Tools & Technologies:	Business Analysis Tools:
<ul style="list-style-type: none"> <li>• Dynamics 365</li> <li>• SharePoint</li> </ul>	<ul style="list-style-type: none"> <li>• Azure DevOps</li> <li>• XML</li> <li>• Photoshop</li> <li>• Office365 Suite</li> <li>• Smartsheet</li> </ul>	<ul style="list-style-type: none"> <li>• Requirements Analysis</li> <li>• SWOT &amp; MOST</li> <li>• Business Process Modeling</li> <li>• Use Case Analysis</li> <li>• Epic/User Story Creation</li> </ul>

### EMPLOYMENT & PROJECT HISTORY

#### 2019 – Information Strategies, Inc., Washington DC

**Present** *Business Analyst and SME*

- **North Carolina Department of Commerce:** customization and QA of Infostrat's Grants Manager Plus solution
- **Pennsylvania Department of Corrections:** customization of SAVIN 360 solution to PADOE specifications using Dynamics 365. Oversaw mapping and subsequent QA of information from 65 JMS/OMS feeds from 12 vendor systems into D365 PASAVIN. Created User Guides, Training Plans and other documentation.
- **DynCorp:** assisted with implementation of InfoStrat's GovCon solution using a modified Shipley process for international contractor.
- **South Carolina Attorney General:** implementation and customization of Microsoft Grants Manager Plus, a Dynamics 365 solution designed to track the full lifecycle of government grants using business process flows and customized Dynamics Portal for external user to create application, receive alerts, and check application status.

#### 2017 – South Carolina Office of the Attorney General

**2019** *Grants Project Manager, Program Coordinator*

- Chief business analyst for the Victim Services division, led requirements gathering sessions to create user stories; verified delivered software for business and user acceptance. Coordinated Federal and State grant funds, collected performance data, and analyzed business operations for more than 150 government and non-profit grant clients across the state. Led the Agile team responsible for the continuous improvement of the web portal and D365 backend for tracking of the full lifecycle of grant administration including applications, financial disbursements, and performance data for more than \$50M in state and federal funds managed by the Attorney General. Served on various federal and state committees and Task Forces including the South Carolina Task Force on Human Trafficking. Note: The South Carolina Legislature created the Division of Crime Victim Services in 2017 and consolidated the Grants Department of SCDPS into the DCVS.

#### 2000 – SC Department of Public Safety

**2017** *Program Coordinator, Business Technology Lead*

- Federal Program Coordinator of victim services block grants (and allied State grant programs) for the South Carolina Department of Public Safety in excess of \$46 million annually. Led the business side of the successful project to migrate grant applications and management from paper to a web-based system, and then a second project, years later, to migrate that same system to modern web portal technology using Agile methodology. Served on various federal and state committees and Task Forces including a nationwide Task Force on Sexual Violence Prevention and Response.

#### 1998 – South Carolina Victim Assistance Network

**2000** *Deputy Director*

- 
- Managed a staff of six; a statewide searchable by county website for service providers, victims, and the general public; four VOCA-funded grant programs and three state-funded programs; a statewide annual victims conference; quarterly newsletter; and promoted statewide advocacy efforts including assisting with the writing of statutes. Developed state agency domestic violence policy and served on the Task Force for Workplace Violence Reduction.

---

**1995 –  
1998**

**Self-Employed Student**

- Managed financial and administrative services for Yesterday's, as well as professional photography, photography studio work, and tax preparation services.

---

**EDUCATION & CERTIFICATION**

- Bachelor of Arts, Journalism and Mass Communication, University of South Carolina
-

## **Exhibit 4 for Section 2.4.1.4: Subcontractor Resumes**



## **Christopher Brown**

---

- Completed numerous IT assessments for public, private and non-profit organizations, including an ITIL maturity assessment for a large university.
- Managed technology and security strategy for a client in-sourcing an on-site, employer-owned healthcare clinic.
- Assisted PMO development of skills in DevOps tools within a large pharmaceutical company's IT organization.
- Contracted as interim CIO and provided advisory services for several organizations to deliver hundreds of thousands of dollars of savings as new and creative solutions were implemented to help evolve and modernize the business and how technology was being used.
- Acted as Architecture Office (AO) Program Manager, responsible for management of the team, content and published outcomes and Organizational Change Management (OCM) from the IT architecture office. Worked with AO team members in sponsoring projects to develop a reference architecture and strategies including the DevOps Toolchain, Smart Data Lakes, and Security. Scheduled and led project reviews.

### **Roeing – Indianapolis, IN Architect – Government Projects Lead 2014 - 2016**

Responsible for guiding projects in both the public and private sector. Provided input to business decisions and new business opportunities.

- Attended first ever, Microsoft CRM Flight School; a hand-selected set of 24 individuals across the country, in cooperation with Microsoft and the corporations the individuals represent. This was an invitation only event put on by Microsoft to demonstrate how to build a Microsoft Dynamics CRM practice.
- Certified facilitator in the Microsoft Experience Center, which encourages businesses to immerse their teams and learn how the Microsoft tools can provide additional business value.

### **Zotec Partners LLC – Indianapolis, IN Software Developer 2013 – 2014**

- Produced new applications and features on a new flagship product in an extremely complex data environment.
- Delivered state-of-the-art web project that provides insights from enterprise-level to client-worker-level.
- Created a high-volume, multi-threaded, configurable processing method for moving work through numerous processing engines in the enterprise. This resulted in exponential capacity in the processing of the constant backlog of claims.
- Consulted with other developer with best practices to produce the work as quickly and efficiently as possible.

## Christopher Brown

---

### Allison Payment Systems, Indianapolis

2005 - 2013

#### Software Engineering Lead

Regularly interacted with CEO, CFO and several vice president roles, influencing results to numerous business processes. Architected, authored, and filed a patent on behalf of the company for a complete file-in to mail piece out traceability system. Provide subject matter expertise (SME) for all data processing systems and architected solutions that fully integrate with Dynamics AX ERP accounting system, handling tens of millions of mail pieces per month.

- Sole inventor, architect and developer of a patented, traceability system that tracks every data record received through the address cleansing and presort process, document composition, print file generation and printing process. The system continues to track through insertion and placement into mail trays, packaging and shipping functions.
  - System is still utilized in locations nationwide for traceability in overflow contractor facilities.
  - Provided expertise to integrate traceability system into nationwide infrastructure for Xerox Global Services.
- Pioneered an integrated system that identified work in progress, matching work to be machine sorted to add to overall postage savings. Deemed Intelligent Sort, the system essentially cherry picked 5-digit qualifying mail that normally would have gone to third-party sort facilities and diverted those pieces to sort in-house to achieve increased postage discounts and save handling fees from contractors.
- Hosted e-commerce system for the most well-known domestic motorcycle manufacturer.
- Led development team for a complex postage and billing system that integrated 100 million dollars of postage cost from numerous manufacturing systems and sources into Microsoft Dynamics AX, ERP accounting system.
- Participate in LEAD team to evaluate and architect new products and feature enhancements to legacy systems as the company and technology continue to evolve.
- Provide root cause analysis for ISO:9001, Lean Manufacturing and Six-Sigma organization; participating in Kaizen events.
- Developed a manufacturing scoreboard that displays every machine's status and the current job's manufacturing status, SLA requirements and numerous KPIs for work in progress (WIP) as well as queued work.
- Designed a flexible WIP system that would schedule work to achieve optimum manufacturing for maximum postage discounts. This process saved one customer over a half million dollars in postage cost annually.
- Obtained Optional Procedure approval by the USPS specifically allowing the company to stray from USPS regulations with approved, auditable procedures.
- Developed a camera system watching up to 5 parts per second monitoring integrity.



---

## Christopher Brown

---

### ADDITIONAL EXPERIENCE

- In-Motion, LLC - Chief Technical Officer, President/CEO (2002 – 2004, 1994 – 2002)
- CMB Consulting & Programming, Inc., President (1989-2000)



## Brian Wittman, CSM

---

### OBJECTIVE

- Provide program and project management leadership, experience, and expertise supporting corporate objectives at an enterprise, program or project level.

### SUMMARY

- A highly dependable, adaptable and collaborative individual with experience as a Certified Scrum Master including over four years of Agile software development experience.

### SKILLS

- Project Management
- Program Management
- Agile Methodology
- Scrum Framework
- JIRA
- Data Analysis
- MSFT Office
- Atlassian
- SaaS
- MS Project
- Product Backlog Management
- SharePoint
- CRM Management

### CERTIFICATIONS

- Certified Scrum Master from Scrum Alliance, April 2020 – April 2022

### EDUCATION

- Bachelor of Arts, Wabash College, Crawfordsville, IN

### EXPERIENCE

#### **BCforward – Indianapolis, IN**

##### **Agile Program Manager, Strategy & Digital Innovation Practice**

##### **February 2020 – Present**

- Stand up two web development teams using Scrum practices
- Lead initiative to standardize all corporate project reporting
- Schedule and facilitate Scrum ceremonies and coaching teams new to Scrum practices
- Direct communication with clients representing Product Owners, Stakeholders and Development teams
- Jira data analysis, product backlog refinement, and optimizing internal and candidate onboarding services

#### **BCforward – Indianapolis, IN**

##### **Project Manager, Client Services – Analytics & Data Sciences**

##### **April 2019 – February 2020**

##### **Responsibilities included:**

- Scheduling and facilitating Scrum ceremonies
- Coaching team members on Scrum framework and best practices
- Jira Management
- Coordinating and scheduling interdepartmental events
- Hosting and editing department wide SharePoint site



9777 N. College Avenue | Indianapolis, IN 46280 | 317.493.2000

## Brian Wittman, CSM

---

- Implementation of new applications including mass file transfer and retiring of old applications

### Archon Tech Strategies – Indianapolis, IN

#### Client Success Manager/Director of Product Operations

August 2016 – April 2019

*Director of Product Operations (May 2016 – April 2019):*

Responsibilities included:

- Utilizing Scrum Master practices to lead a Development team on multiple projects
- Intermediating communication between Product Owner, Stakeholders and Development Team for multiple projects
- Helping Product Owner with decision making processes on software development and account management
- Website management, data analysis, product backlog refinement, and CRM management

*Client Success Manager (August 2016 – August 2018):*

Responsibilities included:

- Learning a SaaS based software in order to solve client issues and questions
- Upholding standard Agile techniques
- Database management and data analysis

### MileTrack GPS – Indiana

June 2016 - February 2017

#### Support/Manufacturing/Sales/Shipping/Billing Representative

My responsibilities included:

- Assembling GPS product
- Location testing
- Managing online billing software
- Selling devices to potential customers and performing customer support functions
- Microsoft Office reporting (MS Word, Excel)

### RESEARCH EXPERIENCE

#### Independent Study

October 2012 – December 2012

**Characterization of cw15 mutants and optimization of mutant culture methods in *Chlamydomonas*.**

- Responsibilities include, but are not limited to sterile technique, experimental design, creation and maintenance of live cell cultures, spectrophotometric measurement of culture growth, and construction of growth curves.

## Michael Thompson

---

### OBJECTIVE

- Provide expertise and experience in Quality Assurance, Testing, and Database Management to deliver solutions that meet the needs and expectations of clients.

### SUMMARY

- 14+ years working in Information Technology
- 10+ years working in the Healthcare Industry
- Expansive knowledge in the following ANSI formats and Transactions
- 270/271 Files (Eligibility)
- 837P/837I Files (Claim)
- 276/277 Files (Claim Status)
- 835 Files (Remittance)
- 12+ years working with SQL Databases
- 5+ years working with Automation Development Tools (Using VBScript and C#)

### SKILLS

- Oracle
- Toad
- SQL Server 2000/2014
- SQL Developer
- HP UFT
- Visual Studio 2015/CodedUI
- SourceTree
- Git/Bitbucket
- Windows 95/98/00/XP/7
- Enterprise Tester
- TestRail
- Jira
- MS-Office 2010/2013
- ActiveBatch
- Postman
- WhatsUpGold
- Salesforce
- Zuora

### EDUCATION

- Bachelor of Science, Engineering, IUPUI, Indianapolis, IN

### EXPERIENCE

#### BCforward – Indianapolis, IN

#### Test Lead

#### April 2019 – Present

- Test Script planning and creation; Test execution
- Test Script/Execution reviews
- IT documentation required for compliance with client regulatory and security requirements
- Recommendations of supporting system documentation, testing strategies, and planning
- Reporting on status of deliverables, including test execution



## Michael Thompson

---

### **Availity – Indianapolis, IN**

#### **Application Support Technician/QA Analyst**

**September 2008 – January 2019**

##### *Quality Assurance Analyst I/II (06/13-01/19)*

- Work in fast paced environment on a Scrum Team with 5 developers and a Product Owner
- Triage/Fix issues that are found during testing our RCM Application
- Created Automation Scripts that were used for testing the RCM Application and Database
- Maintain/Run Automation scripts
- Worked with SQL Developer on a daily basis
- SME for several products and processes in Availity's product suite.
- Created a Document Center with training materials for our team to use
- Created video training sessions for other users to learn how to use/write SQL queries
- Train new employees on our RCM Application, CodedUI, SQL Developer, etc.
- Train our employees in India on all aspects of our RCM Application and processes
- Created Regression Suites for products

##### *Application Support Technician (09/08-06/13)*

- Monitored COM+ Packages and Windows Services on multiple servers
- Fixed client issues on a daily basis using SQL Developer and other in-house applications
- Provided after hours support for clients regarding application or server issues
- Monitored inbound and outbound EDI Transactions
- Tested new processes during the 4010 to 5010 migration

### **Foxconn/Q-Edge Corporation - Indianapolis, IN**

#### **Tier 2/DB Support**

**September 2003 – September 2008**

- Provided application support for an operation with over 800 users.
- Assisted site network administrator with resolving user network account issues.
- Worked closely with our development team to provide critical feedback on all bug fixes or changes needed for major software releases.
- Developed and executed validation plans for successful rollouts in the testing and production environments.
- Monitored and maintained background jobs, scheduled jobs and EDI communications between 2 major computer manufacturers.



9777 N. College Avenue | Indianapolis, IN 46280 | 317.493.2000

## Katie Lueken

---

### OBJECTIVE

- Provide expertise in Testing and Quality Assurance to deliver quality solutions that meet the needs and expectations of clients.

### SUMMARY

- Experienced Software Quality Assurance Analyst with heavy exposure to and utilization of JIRA, Confluence, and Zephyr Applications. Has a Clear understanding of QA processes and the Testing Industry with knowledge of testing web services, mobile devices, various Windows & Macintosh Operating Systems across multiple browsers.

### SKILLS

- Manual Testing
- Test Planning
- Test Strategies
- Scrum
- JIRA
- Test Case Creation/Script Creation
- User Acceptance Testing
- Troubleshooting
- Functional/Regression Testing
- SDLC
- Technical Writing/Documentation
- Zephyr Test Management

### EDUCATION

- Bachelor of Science, Computer Science, University of Indianapolis, Indianapolis, IN

### EXPERIENCE

#### BCforward – Indianapolis, IN

April 2020 – Present

#### Quality Assurance & Validation Analyst

- Participates in System Risk Assessment discussions and documents results.
- Develops, in concert with Technical Lead, Test Plan and System Design and Development documents. Performs the planning, writing, and editing of documentation required for tracking and compliance with the applicable departmental policies and guidelines.
- Acquire and applies knowledge of the business and of overarching standards that apply to the project scope relative to software platform and data exchange.
- Collaborates with Subject Matter Experts (SME's) to identify documentation points to ensure a functional, viable relationship between requirements and technical specifications match.



## Katie Lueken

---

### **Lids Sports Group – Indianapolis, IN**

**January 2018 – Present**

#### **Ecommerce Quality Assurance Analyst**

- Directly Involved in all phases of Software Testing Life Cycle including Test Planning, Preparation, and Execution
- Responsible for developing and executing Test Plans, cycles, & Scripts/Cases According to the Business Requirements
- Reporting Activities for Assigned Tasks in an Agile Development Environment using JIRA and Zephyr Test Management Tools to Ensure the Delivery of Quality Software Solutions Remain Proper and Consistent
- Conducting Smoke, Sanity, Functional, Usability, and Regression Testing to Identify, Analyze, and Document Defects/Bugs Utilizing JIRA as a Defect Tracking System
- Assisting the Development Team by Documenting, Creating, and Updating Various JIRA Tasks/Tickets including Story, Epic, Task, Sub-Tasks, Testing, and Bug/Defect Details to Reduce any Communication Issues
- Configuring/Utilizing Different Components and Administration Tools of the E-Commerce SAP hybris Multichannel Platforms such as SAP Hybris Product Content Management, and SAP Hybris Marketing Manual Usability, User Acceptance, Functional & Regression Testing
- Develop/Stage QA/Regression and User Acceptance via Manual Testing -Testing web services, mobile devices, various Windows & Macintosh Server/Desktop Operating Systems across multiple browsers Manual Testing
- Various Windows Server & Desktop Including Internet Explorer 11 (Windows), Microsoft Edge (Windows), Google (Windows and iOS), Firefox (Windows and iOS), and Safari (iOS)
- Participating in Daily Scrum Meetings with the Development Team, the E-Commerce Operations Manager and the E-Commerce Director
- Documenting Detailed JIRA Instructions/Explanations/Test Tickets by Attaching Requirement Links, Technical Documentation, and Visual Examples in Confluence
- Identifying Test Data Requirements and Work with Other Teams as Needed to Create and Maintain test data
- Delivering quality and testing process training to IT staff and project teams and performing quality and testing audits across the various IT functions to ensure adherence to quality and testing standards, procedures, and methodologies are being followed properly and consistently –
- Working with Various Different Database Integrations and Applications such as with OMS – IBM Sterling, Relate, Postman, and XCode

### **Infodynamics – Indianapolis, IN**

**January 2016 – January 2018**

#### **Quality Assurance/Senior Technical Analyst**

- Performed SQL advanced database administration activities including; installation, configuration, monitoring, space management, database backup and recovery, and may design disaster recovery procedures
- Identifying, Analyzing, and Tracking any Software Defects
- Involved with and attended various customer scope and kickoff calls to ensure proper knowledge of server and desktop operating system environments to reduce errors during software install and configuration
- Created technical documents for the Development team both in-house and third party, customers, customers' IT department, and any third-party CRM or ERP systems



## Katie Lueken

---

- Worked with various Windows Server Operating Systems (2003 to current) and Windows Desktop Operating Systems- Windows XP, Win-7 Win-8, & Win-10.
- Creating/Updating/Installing ABBYY FineReader Engine Licenses for enabling OCR when inputting documents into software-based Database
- Configured OCR capabilities to extract desired data through the software, cutting down on input and reporting errors
- Configuring SQL Server Database with installed Software Application including server operating system features, taking various operating system firewall, creating/opening TCP and/or UDP ports, & adjusting various internal virus protection applications 3 -Installing, enabling, creating and configuring software web-based application using IIS settings
- Editing customer Active Directory user and group accounts for software sync server application.
- Spinning/Creating Multiple test Virtual Machine (VM) environments to test processes with instant reporting and corrective actions, significant cost savings, and fault-free audits
- Used Confluence\Agile to (including but not limited to) track development changes, source codes, custom utilities, previous QA processes and configuration of previous versions of the software

### Patriot Engineering & Environmental Inc

Oct 2012 – Jan 2016

#### Technology Data Manager/Internal IT Managed Services

- Created and Managed all Data Reports from Field Technicians Sent to Data Manager via iPads (paperless system)
- Created Device Tracking/Inventory System for Company Devices and Phones
- Created Document Management System from Paper to Digital Saving the Company Time and Money with Techs Not Needing to Come into the Shop.
- Provided support for desktop computer operating systems, Google Apps, and hardware/peripherals;
- Worked with Individuals Across the Company (in our satellite offices)
- Improved the Project Reports and Invoices Sent to Clients from Monthly to Weekly that Enabled the Company to Receive Invoiced Payments Weekly, Depending on the Client/Project Needs
- Created and Updated Project Specific Templates that Could be Completed and Exported to Windows-Based Applications Using iOS Applications such as Numbers 123 and Adobe Forms.
- Trained Service Technicians with Various Electronic/Mobile Device Exposure on Using the iPads to Fill Out Forms, Receive Project Manager and Project Information, and Uploading Reports to Dropbox.
- Responded for Technical Assistance in Person, Via Phone, and Remotely (VPN) for the Following Technologies: Windows and Mac OS based Endpoints (Laptops and Desktop), Tablets & Smartphones (IOS & Android), and Microsoft Office. -Continuously Updated Employee Information/Knowledge of Company Computing Hardware, Operating Systems, Microsoft Office Versions and Any Other Software Applications
- Maintained Company Confidentiality and Discretion When Working with Password and/or Sensitive Material
- Responded to Departmental Technical Emergencies in Order to Minimize Data Loss, Meet Deadlines, and Support the Need of the Users
- Evaluated Software and Develop Written Technical Instructions/Documentation for Server Management Services Managed Device/Machine Inventory of all Equipment (iPads, laptops, desktops) in Current Use of Employees
- Developed Written Technical Instructions, Documentation, and How-To Videos for various Apps for IOS.



**Brad Forgey, MCPD, MBSCP**

*Director of Software Services*

765.474.5402

bforgey@roeing.com

---

## **SUMMARY**

Brad has 18 years of experience in application architecture design, development, reporting and analysis for a variety of state agencies. Over the past 11 years Brad has worked closely with Housing Finance Authorities in multiple states including Indiana, Alabama, Illinois, Ohio, and others. Brad has worked closely with the Indiana Housing and Community Development Authority to transform their operations from a paper and spreadsheet-based organization to a completely electronic and paperless organization. He has consulted closely with agency staff to design and develop a system that manages over 35 community-based housing programs that are state and federally funded such as LIHTC, HOME, CDBG, ESG, HOPWA, NAP, IDA, and Homeownership. IHCD's programs are focused on outcomes and community impact. Brad has worked closely with IHCD staff to develop processes which support both the federal regulations and the annual plans for the agency. Brad is very familiar with developing applications centered on operational efficiency, performance management, compliance reporting and data analytics. Brad has a very agile approach to all aspects of data collection and management. The analysis of processes and outcomes combined for continuous improvement with federal and state grant program changes requires a very agile approach to data management and reporting.

Over the past 20 years, Brad has worked with the Low-Income Housing Energy Assistance Program and the Weatherization Assistance Programs to develop and enhance their programs. The software that he architected is designed to ensure that clients benefit eligibility is determined and that they receive their benefits in a timely manner. He has been involved in identifying trends in the population and client needs through data analysis and with research projects that utilize this data to determine current and future needs of the targeted population.

Over the past 20 years Brad has worked with the Indiana FSSA in a consulting capacity to support and maintain case management systems for Adult Protective Services, Division of Aging, Division of Disability and Rehabilitative Services, and Division of Mental Health and Addiction. Brad has worked to migrate legacy systems to new technologies through a very fluid and iterative process. The consulting capacity included solution architecture, data mapping, process mapping, data consolidation, reporting and compliance key performance metrics.

Brad is very experienced in all aspects of Data Management, Security, Reporting and Analysis.





**Brad Forgey, MCPD, MBSCP**  
*Director of Software Services*  
765.474.5402  
bforgey@roeing.com

---

## PROFESSIONAL EXPERIENCE

21 years, Roeing Corporation  
8 years, Environmental Laboratory Services

Software Development, Consulting & Management  
Assistant Branch Manager

## EDUCATION & CERTIFICATIONS

Purdue University, BS Physics  
Microsoft Business Solutions Certified Professional  
Microsoft Azure Infrastructure Solutions  
Microsoft Dynamics CRM Deployment & Implementation  
Microsoft Certified Application Developer  
Microsoft Certified Solution Developer

## SKILLS

- Project Management
- Solution Architecture
- SQL Server
- Visual Studio
- Windows Forms Development
- ASP.Net
- Microsoft Certified Professional Developer
- Power BI
- SQL Server Reporting Services
- Dynamics CRM
- Scribe
- SharePoint
- Visual FoxPro
- Crystal Reports
- Microsoft Business Solutions Certified Professional
- Microsoft 365



## SUMMARY

Don has over 22 years in the field Business Analysis, Software Trainer and Quality Assurance. He has a wide spectrum of experience in various industries. Most recent knowledgebase is centered around software products for state government agencies that include Family and Social Services and Housing Finance Authority.

## PROFESSIONAL EXPERIENCE

### **Roeing IT Solutions** **Lafayette, IN**

**SEP 2014-Present**  
**Business Analyst**

Responsible for collection of requirements, investigation and recording of new assignments for development and debug tasks. Quality Assurance responsibilities ensuring that the enhancements are incorporated into latest release based on the technical requirements documents. Create and issue release notes for monthly (Agile Development software methodology) software enhancements. Weekly client meetings and reporting on project progress. Follow-up with client to resolve any outstanding issues post-release. Development and delivery of training and/or explanation of enhancements. Managing development tasks via Visual Studio 2019 and Microsoft Team Foundation Server.

### **LaCleda Training Consultants**

**DEC 2012 – SEP 2014**

Training Consultants at **Yellow Freight**. Responsible for design and development of end user training for Oracle AP module and General Navigation features. Performed data input for secondary testing during development of training materials and populated training database. Utilized UPK Performance Pak to record simulations and work instructions for use in online training portal and practice in the training system.

Responsible for design and development of end user training for **Maui Jim**. The system was SCM ECC 6.0 SAP WM/IM, PR, FI, CRM/Order Management and General Navigation. Developed training materials. Supported GoLive and post GoLive activities for Canada GoLive. Consulted with Site SME's to create custom training materials for training delivery by others.

Responsible for design, development and maintenance of instructor and end user training materials for SCM ECC 6.0 SAP MM, IM, WM and PP modules for **Caterpillar, Inc.** Participated in process and production team reviews of materials. Revised and supported multiple courses including IM, WM, MM, PP, Manufacturing Execution and Order Management for delivery by others. Utilized UPK to record simulations and work instructions for storage and use in training solution via Solution Manager. Maintained data for course exercises in SolMan. Used Salesforce for recording and tracking defects, solutions and scheduling solution rollouts.

---

Responsible for development and delivery of materials for end user training for world-wide Lotus to MS Outlook migration for **Capital Management Group**. Delivered training via WebEx tool.

**Various Contract firms**

**NOV 2007 – DEC 2012**

**Trainer, Instructional Designer, Business Analyst**

Responsible for delivery of end user training for SCM ECC 6.0 SAP WM/IM, Logistics, General Navigation, ESS and CATS for **Newmont Corp.** Edited and presented work instructions and simulations utilizing uPerform to support GoLive and post GoLive activities for the CAT Logistics warehouse. Consulted with Site SME's in order to create troubleshooting job aids for post GoLive and training.

Responsible for delivery of end user training for SCM ECC 6.0 SAP IM, WM and MM modules and General Navigation plus CATS courses for **Pall Corp.** Facilitated and participated in process and production team reviews of materials. Collaborated with Site SME's in order to update BPP's (utilizing uPerform) and customize materials to meet the specific needs of the site/plant. Revised and supported multiple courses including IM, WM and QM. Performed needs analysis to identify goal audience and instructional need. Created performance objectives for the course to be developed. Developed instructional strategy including content sequencing, reminding learners of objectives at key points in instruction, content presentation medium, practice and feedback, assign objectives to lessons and create lesson and course time estimates. Developed, reviewed, revised customized course for Quality Associates. Piloted completed materials and validated that the performance objectives were met and supported the lesson and course goals. Administered course evaluations, summarized results and reported metrics daily Site support for remote warehouse site at GoLive and performed on demand training and/or remediation as required by remote site.

Responsible for development of training material for SCM ECC 6.0 SAP MM, IM, WM, QM, SD, PP and ME modules for **Caterpillar, Inc.** Created performance objectives for the courses to be developed. Created Business Process Flow documents based on results of business process analysis. Created education/training roadmaps for business processes and curriculum. Participated in process and production team reviews of materials. Utilized UPK to revise and support multiple courses including IM, WM, and MM for delivery by others. Recommended methodologies, processes and tools to accelerate course development cycle and increase overall impact.

Training lead for SAP ECC 6.0 Technical Upgrade project for **Cardinal Medical Supply Company**. Surveyed and analyzed existing course materials to identify training gaps between current state and planned/upgraded software functionality and to leverage the existing training materials as much as possible. Analyzed risk and developed risk mitigation strategy/plan for identified gaps in training. Analyzed and validated audience and installed technology base to ensure gap training success. Created formal strategic and tactical training plan to address the identified training gaps. Created detailed instructional design document as a roadmap for course development by others. Created Communications and Training plans and recommendations to close identified gaps. Performed Validation duties for test scripts. Utilized ESS and SAP Timecards.

---



Training lead for SAP ECC 6.0 HR implementation for **St Jude Medical**. Facilitated and participated in Program training plan and Change Management activities. Created performance objectives for the courses to be developed. Developed instructional strategy including content chunking and sequencing, reviewing objectives at key points in instruction, content presentation medium, practice and feedback. Create lesson and course time estimates to fit organizational needs and requirements. Developed, reviewed, revised course materials with SME's. Validated performance objectives were met and supported the lesson and course goals. Piloted completed materials. Trained trainers on course content and delivery technique. Developed and supported multiple courses including Personnel, Compensation, Payroll and Benefits Administration for delivery by others. Created 6 course simulations using InfoPak and uPerform. Performed additional role of Training Coordinator for a 5 site roll-out of the SAP HCM solution including ESS, MSS and CATS/Timecards. SharePoint site administration for implementation. Recommended and created validation plan for employee educational records.

Researched technical content, authored technical articles and developed processes and procedures (SOP's) on a wide variety of topics for user reference (and resale) on various websites for **Contract Instructional Designer**.

**Various Contract Firms****JUL 05 – NOV 2007****Business Analyst, Trainer, Instructional Designer**

Discover and catalogue/document all existing systems and interconnectivity relative to current business processes for **Whirlpool**. Participate in GIS Roadmap discussions and assist in development of future state requirements for EA Group. Made recommendations regarding SAP software requirements, system and manpower requirements for redeployment of the SAP software suite. Developed triage training plan to bridge knowledge gap until a formal strategic and tactical/detailed training plan could be developed. Research and develop SOP's for newly established EA practice. Made recommendations as to the best industry standards for SAP training design, development and delivery.

Trainer for SAP R6 implementation for **Tinto Mining**. Delivered and supported multiple courses and assisted in courseware preparation and testing at a variety of sites within the business unit. Module work included Warehouse Management, Inventory Management and Purchase to Pay. Additional courses included SAP General Navigation, SAP for Leaders, SAP Portal Navigation, Managing Personal Information and Health Safety and Environment. Taught ESS, MSS and SAP Timecards. Also facilitated OCM sessions prior to training and provided general assistance to OCM team.

Trainer for SAP R4.7 implementation for **Cadbury Schweppes**. Assisted in development of training materials and with delivery of the developed materials at both a production facility and at a Distribution Center primarily utilizing RFID scanners. Modules included MM, WM and IM.



**Donald A. Kloepper**

*Business Analyst*

765.474.5402

Dkloepper@roeing.com

---

Trainer for SAP R5 implementation SD and WM modules for **Summit Electric**. Assisted in material preparation and with delivery of materials. Trainer backup and assistance during hands-on training sessions. Revised training materials to ensure accuracy, consistency in presentation and delivery. Prepared Training data for a variety of courses. Audience consisted of counter sales workers and supervisory personnel.

Taught courses in SCM Inventory Management (IM), Purchasing (PR), Plant Maintenance (PM), Quality Management System (QMS), Manufacturing Execution (ME), ESS and SAP Timecards for **Goodrich Aerospace**. Revised training materials to ensure accuracy, consistency in presentation and delivery across the variety of courses taught. Audience consisted of 280+ production workers and supervisory personnel.

#### **Volt Technical Services**

**1998-JUL 05**

#### **Instructional Designer, Technical Writer, Business Analyst**

Procedures Training Specialist and Computer Systems Validation Documents manager for Global Business Integration Project (SAP 3.1 & 4.6 supply chain software implementation) for **Eli Lilly and Company**. Reviewed and rewrote site Standard Operating Procedures (SOPs) to conform with FDA regulation 21 CFR Part 11, 210 & 211. Issued, tracked, validated and filed into the Global Library, over 500 test scripts for the implemented system. Prepared SAP training materials and records for hands-on classroom system training for over 400 site employees on a variety of modules adhering to SCORM and ADDIE standards. Facilitated daily training orientation sessions and classroom management and support for the employee system Power User/Trainers. Set up, coordinated and tracked training results and prepared weekly plant site Training Metrics for the Project Manager.

For **Delphi Automotive**, designed and develop Stand-up Leader-led presentation materials, Users Training Manual, and Job Aids to instruct Master Data Analysts in the use of custom data conversion tools to convert Master Data (BOM & Material Master) from legacy manufacturing data collection systems to the newly implemented SAP system. Worked with MM & IM modules within SAP R/3. Training materials were also designed as multi-purpose documents adhering to SCORM and ADDIE standards integrating Data and Software system flow charts as well as test scripts to maintain maximum flexibility and value to the client.

Researched, condense, rewrite and summarize FDA and CDC documents for a wide variety of uses within various start-up biotech firms with **Interactive By Design, Inc**

Redesigned and rewrote end-user training modules to reflect enhancements in the software functionality for **Eli Lilly and Company**. Performed manual testing on the software to ensure alignment of the training modules to the enhancements and to conform with FDA validation requirements. Content consisted of self-paced tutorial on how to use ADMIN/LIMS (Analytical Data Management Integrated Network/ Laboratory Information Management System) software within the Quality Assurance group.

---



Site Training Coordinator for Global Business Integration Project (SAP 3.1 & 4.6 supply chain software implementation) for **Eli Lilly and Company**. Reviewed and rewrote site Standard Operating Procedures (SOPs) to conform with FDA regulation 21 CFR Part 11, 210, 211. Trained Implementation Team members and site Power Users on Implementation methodology, accessing SAP via MySAP and various SAP Training lessons. Performed needs analysis and developed Site Training Plan to SCORM and ADDIE standards for 680+ employees over 4 shifts. Worked closely with site Communications and Organizational Change Management director to ensure continuity in delivery of the stated project goals and objectives. Facilitated Change Management sessions within the site training department. Worked with site Security Steward to align Job Transactions, Jobs, and Role groups with Curriculums. Worked with MM, IM, WM, HR & QM modules within SCM SAP R/3h & 4.6d. Recorded and tracked training results and prepared weekly plant site Training Metrics. Performed Technical Writing and Validation duties as required.

Brought in as the Lead knowledge transfer specialist in a \$324M upgrade of 27 paper manufacturing plants for **Weyerhaeuser Corporation**. Refined processes and procedures, facilitated Change Management process, and created a Training and Documentation Blueprint, including the Tactical and Strategic Implementation Plan for all remaining sites. Participated in development of Traceability Matrix and Use-case Test Scripts. Supported OCM Lead. Responsible for the front-end analysis, training design, development and classroom delivery (700+ hours) of all training materials to train the entire paper manufacturing staff and various management personnel at the Valliant, Oklahoma production plant on the usage of a newly developed custom software suite. Also responsible for development of the User's Guides approach and plan. Developed Program Documentation standards and strategic and tactical Documentation plan at the Program and project levels. Also assisted the Software Testing Manager/Lead in developing test scripts, executing tests and recording test results.

Hired as Lead Instructional Designer for Year 2000 Testing Services Department for **Eli Lilly and Company**. Assessed current state of program readiness in light of the stated Mission, Goals and Objectives. Formulated and implemented new approach for the design, development and delivery of training materials to train Test Analysts, Test Leads and Test Coordinators on 1) the Lilly Y2K testing strategy and methodology 2) how to use automated testing tools and 3) how to use and record test anomalies. Designed and developed Organizational Change Management plan to realign the Y2K test effort to the newly developed goals of the program. Designed and developed classroom training presentation and user manual for PTS2 (custom program/tool for Project Management) including all related job aids. Participated in the initial planning sessions and made recommendations specific to the training approach and curriculum for a newly formed internal software services group (formerly known as the Solution Center).

---

#### SKILLS

- Training
- Performance Improvement
- Change & Innovation
- Process Design
- Regulatory Compliance
- Training Design
- Development and Delivery
- Business Analyst
- Technical Writing
- Software Testing and Validation

#### EDUCATION & CERTIFICATIONS

Purdue University, Bachelor of Science Industrial Technology

University of California San Diego Commercial Construction Management Certificate

University of Chicago, Information Mapping Certificate



## JONATHAN BLOOM

### SUMMARY

Over the three past years, Jonathan has been focused on data analysis and reporting for our state and commercial clients. He has extensive experience in data modeling, cleansing, data consolidation and trending. Jonathan works very closely with stakeholders and business owners to understand their business drivers and translate that into key performance measures that will be used for reports and dashboards. Jonathan has experience with SQL queries, Microsoft Access and other data analysis tools that he uses to model the data.

Jonathan has over 4 years of experience in data quality review and analysis. While at IBM and Ciena Corporation he was responsible for analyzing and reporting on data quality. He developed a series of management and operational KPI reports that were used to evaluate their quality metrics. While at IBM, Jonathan was responsible for developing a web-based SLA reporting platform for tracking and reporting SLA performance. Jonathan was responsible for identifying data anomalies that required research and validation, so he could work with the end user to correct the data or report a quality defect that needed attention. His data quality responsibilities required a deep understanding of the data and the supporting systems on a current basis as well as a historical basis. This intimate knowledge allowed him to very easily pinpoint data or system problems and propose effective solutions requiring process and procedure changes or system changes.

### PROFESSIONAL EXPERIENCE

3 years, Roeing Corporation	Data Analyst
8 years, Union Hospital	Technology Support
4 years, Legal Age Security Software	Manager of Support Services
1 year, IBM / Computer Generated Solutions	Quality Analyst
3 years, Ciena Corporation	Data Technician

### CORE COMPETENCIES

- SQL Server and MySQL
- Active Directory
- Microsoft System Center
- Microsoft Access
- Microsoft PowerBI
- Office 365 Integration Services
- Microsoft Dynamics CRM
- Project Management
- SQL Server Reporting Services
- Visual Basic
- Electronic Medical Records
- Query Analyzer
- Crystal Reports
- Microsoft SharePoint

---

#### **EDUCATION & CERTIFICATIONS**

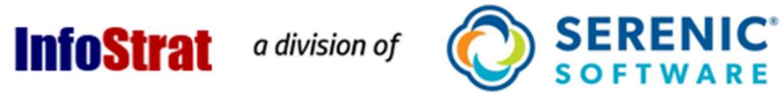
Cecil Community College, Electronics Technician

Georgia Department of Technical and Adult Education and Quick Start: Service Skills Certificate

IBM Process Training Certificate

Six Sigma Training – completed through level three

Exhibit 5 for Section 2.4.7.2: Sample Testing and Quality Assurance Plan



## *Testing and Quality Assurance Plan (Sample)*

### *SAVIN360 Implementation*

August 7, 2020

Version 1.0

## Document Control

This document will be tracked for all changes. This will allow the softcopy version to be completely current for future printed copies. Please note that all changes to requirements must be reapproved.

Date	Version	Description	Author

## TABLE OF CONTENTS

1.	INTRODUCTION.....	113
2.	OBJECTIVES.....	113
3.	SCOPE .....	113
1.	Security .....	113
2.	Call Center/Telephony .....	113
3.	Dashboards/Reporting.....	113
4.	Configuration .....	114
5.	Portal .....	114
6.	Notifications .....	114
7.	Victim Registration.....	115
8.	Elevated Access Portal User .....	115
9.	Offender Events/Functionality.....	115
10.	File Processing (sFTP and webservice).....	115
11.	Other .....	116
4.	DELIVERABLES and SCHEDULE .....	116
1.	Testing Deliverables .....	116
2.	Deliverable Approval.....	118
3.	Testing Schedule.....	119
5.	TESTING STAGES and STRATEGY .....	119
1.	Unit Testing .....	119
	Definition .....	119
	Participants.....	119
	Methodology .....	119
2.	Data Mapping Testing.....	119
	Definition .....	119
	Participants.....	120
	Methodology .....	120
3.	System Testing.....	120
	Definition .....	120
	Participants.....	120
	Methodology .....	120
4.	Integration Testing .....	120
	Definition .....	121
	Participants.....	121
	Methodology .....	121
5.	Regression Testing.....	121
	Regression Testing Objective .....	121



Participants.....	121
Methodology .....	121
6.    Performance Testing .....	122
Definition .....	122
Participants.....	122
Methodology .....	122
7.    User Acceptance Testing.....	122
Definition .....	122
Participants.....	122
Methodology .....	122
8.    Migration Testing .....	123
Definition .....	123
Participants.....	123
Methodology .....	124
9.    Parallel Monitoring.....	124
Definition .....	124
Participants.....	124
Methodology .....	124
6.    CONTROL PROCEDURES.....	125
1.    Test Stage Approval .....	125
2.    Results, Bug Management/Problem Reporting, and Remediation.....	125
3.    Change Requests.....	126
7.    TESTING TEAM (TBD) .....	127

## INTRODUCTION

The Master Testing Plan has been created to communicate the comprehensive testing approach to the SAVIN360 Indiana Department of Corrections (IDOC) implementation. The Test Plan, herein, includes the following types of testing: unit, data mapping, system functionality, interface, integration, regression, user acceptance, data migration, performance testing, along with parallel monitoring.

This Master Test Plan includes objectives; scope of testing; deliverables (and approval procedures); test schedule; test stages (including methodology, participants, and approval); control procedures, including dependencies, defect tracking, and change management; test team members, and approval of this plan.

## OBJECTIVES

The objectives supported by the SAVIN360 Master Test Plan are as follows

	Objectives
1	Successfully test and validate all independent requirements documented in the SOW.
2	Verify that all related systems function appropriately together while maintaining data integrity.
3	Verify expected output and list of attributes available for data fields.
4	Verify SAVIN360 interacts with webservice and FTP file transfers, bi-directionally if appropriate, with IDOC and processes offender movement appropriately.
5	Verify that available legacy, historic offender, and victim data have been imported kept current until Go Live.
6	Verify functionality with actual end-users to ensure the application meets system requirements and real-world tasks.
7	Verify that SAVIN360 is sending initial notifications at parity with, or with greater specificity than, the legacy notification system, if appropriate.
8	Identify and document all bugs/defects found during the testing process.
9	Identify approval procedures to maintain scope and schedule of testing.

## SCOPE

This section describes, at a high level, the overall functionality and activities that will be tested, in no particular order.

### Security

- Security roles
- Role-based forms
- Deletion restrictions

### Call Center/Telephony

- Inbound call routing
- Language selection
- Call Center: offender search
- Call Center: register victim
- Call Center: handle inquiries
- Call Center: monitor system

### Dashboards/Reporting

- SAVIN360 dashboard
- System Health dashboard
- Incoming data feed dashboard
- Portal usage statistics
- Registration reports (via portal)
- Notification report (via portal)
- Registration reports (via D365)
- Notification report (via D365)
- General reports
- Ad hoc reports
- Global search across: Offender, Contact, Registrant, Contact Method, Notification, Facility, Account

## Configuration

- Master data (Counties, zip codes, facilities, custody statuses, event types, messages, etc.)
- Notification categories
- Robocall cycles
- Do not process status
- Wait periods
- Afterhours calls
- Notification governors
- Notification lists

## Portal

- Terms and Conditions
- Register for offender
- Prevent registration for "do not register"
- User dashboard
- My registrations
- Recent notifications
- Stop notification
- Profile management
- Contact method management
- Password reset
- Forgot username/password
- Portal feedback handling

## Notifications

- Appropriate Notifications created for reportable events
- Notification governor wait
- Prevent notification for backdated event
- Manual restart of notification stopped as backdated
- Notification tracker
- Capture notification details
- Mark failed attempt
- Mark success
- Call tracking
- Allow/prevent afterhours calls
- Set next call time
- Call results: confirmed
- Call results: answered
- Call results: wrong number

- Call results: voice message
- Call results: invalid number
- Call results: no answer
- Stop notifications in D365
- SMS reply
- Email reply
- TTY reply
- Manual notification

#### Victim Registration

- Allow multiple registrations for offender
- Registration via D365
- Create portal account from D365 registration
- Allow registration in D365 for offender set to Do Not Register
- Confirm registration
- Duplicate detection: contact
- Duplicate detection: registrant

#### Elevated Access Portal User

- Request for elevated access (Victim Service Provider, Law Enforcement, 24/7, etc.)
- Approval or denial of elevated access request
- Restrict elevated access per jurisdiction, as required
- Perform search, registration, profile update, and other actions as a proxy
- OMS outage usage for offender movement

#### Offender Events/Functionality

- Create event for reportable changes
- Create review task for unexpected changes
- Create notification for each registrant when event created
- Create alert on event governor threshold crossed
- Locate offender in D365 based on multiple identifiers
- Duplicate detection: offender
- Duplicate detection: event type
- Maps for data import of offenders (current and historic)

#### File Processing (sFTP and webservice)

- Transfer and process files in sequence and to appropriate fields within D365
- Alert on File write error
- Process data files by type
- Alert on format issues
- Process all valid records in a data file with format errors
- Create or match offender
- Alert for data file with update to non-current identifier
- Events created based on Before & After business logic of custody status
- Create log of each offender changes
- Create log of each file processed
- Archive data file
- Alert on failed archive
- Clear archive
- Alert on failed clearing attempt
- Duplicate detection: offender

- Duplicate detection: contact
- Duplicate detection: registrant
- Duplicate detection: master data
- Duplicate detection: event type

#### Other

- Internal issue submission and tracking system
- Creation and maintenance of knowledge base

#### DELIVERABLES and SCHEDULE

##### Testing Deliverables

The following table indicates the expected test-related deliverables for the SAVIN360 implementation. Each is briefly described; indicating the stage or stages at which the deliverable is aligned to solution development and delivery; the team or system responsible for generating the deliverable; and the approver(s).

Deliverable	Originator	Approver(s)	Required for	Status (as of [insert date])	Description
Master Test Plan	InfoStrat	IDOC & InfoStrat Technical Lead	Stage 4	Submitted for Review [insert date] (latest version)  *Status Options: [include date] Not yet available Submitted Approved/Rejected	Documentation of how testing will occur for the SAVIN360 implementation, which includes the following types of testing: <confirm from TOC within Test Plan>
Offender Data Maps	InfoStrat	IDOC	Stage 2		Data maps indicate mapping from offender and victim data feed/file elements to SAVIN360 system attributes
Offender Historical Data	IDOC	InfoStrat Technical Lead	Stages 3, 4, 5, 6, 7		.csv file of full offender population, in format defined by InfoStrat uploaded to sFTP.
Offender Current Population (Refresh)	IDOC	InfoStrat Technical Lead	Stages 3, 6, 7		.csv file of offender population in format defined by InfoStrat uploaded to sFTP. Delta of population since last sync is preferable.
Additional Offender Historical Data	IDOC	InfoStrat Technical Lead	Stages 3, 4, 5, 6, 7		.csv file of full offender population, in format defined by InfoStrat, uploaded to sFTP.



Deliverable	Originator	Approver(s)	Required for	Status (as of [insert date])	Description
Additional Offender Current Population (Refresh)	IDOC	InfoStrat Technical Lead	Stages 3, 6, 7		.csv file of offender population in format defined by InfoStrat, uploaded to sFTP. Delta of population since last sync is preferable.
County Offender Historical Data	All Counties/Data Transformation Solution	InfoStrat Technical Lead	Stages 3, 4, 5, 6, 7		.csv file of each county's offender population in format defined by InfoStrat, uploaded to sFTP. Delta of population since last sync is preferable.
County Offender Current Population	All Counties/Data Transformation Solution	InfoStrat Technical Lead	Stages 3, 4, 5, 6, 7		.csv file of each county's offender population in format defined by InfoStrat, uploaded to sFTP.
Test Cases and Seed Data	IDOC	InfoStrat QA	Stage 4		SAVIN360Test scenarios_11-1-19.xlsx and associated data created by IT and sent to SAVIN360 QA as "seed data" to run its cases
Notification Tracker	InfoStrat	IDOC	Stage 4		.csv file created reflecting test victim notification data from SAVIN360 to sFTP
Test Result Tracker	InfoStrat	IDOC	Stages 4, 5, 6, 7		Test case results from UAT, integration, or other testing created and tracked within agreed-upon software.
Functional Test Cases	InfoStrat	IDOC	Stage 5		Test cases include a description of the functionality being tested, pre-condition criteria, test steps, test data, and expected results that

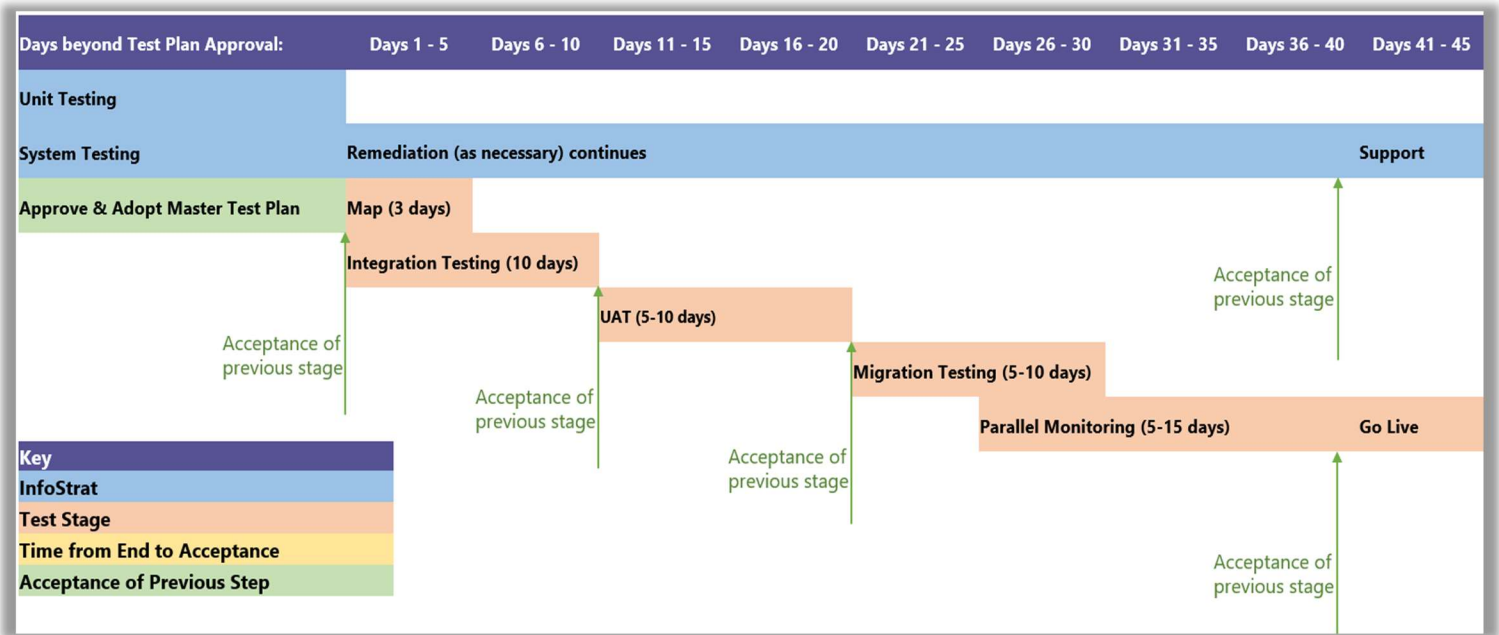
Deliverable	Originator	Approver(s)	Required for	Status (as of [insert date])	Description
					are written from end-user perspectives, according to initial requirements.
Offender Movement (Daily Feed)	IDOC	InfoStrat Technical Lead	Stages 6 & 7 and, ideally, stage 3		IEPD compliant web service feeds of IDOC, CCC, and PBPP offender movement
Daily Monitoring Reports	InfoStrat	IDOC	Stage 7	Report templates available for run on demand	Reports of notification events, offender creation, offender updates, data feed processing, victim registration, and task generation.

#### Deliverable Approval

Deliverable approval indicates acceptance of the relevant deliverable, as described in the Master Test Plan. Collaboration is critical. Deliverables must be submitted, reviewed, iterated (if necessary), and approved in a timely manner to meet the projected schedule. Email approval of deliverables is acceptable.

## Testing Schedule

The schedule below indicates the Test Stages, order, and approximate length, including time to perform and accept the stage. **Note:** *The following schedule is representative of a typical implementation – following kick-off, the Test Plan will be updated for the IDOC SAVIN360 implementation and included within the Test Plan deliverable.*



## TESTING STAGES and STRATEGY

This section describes the stages of testing SAVIN360 will undergo during its implementation. Stages may occur more than once, for example, the development team will perform unit and system testing throughout implementation as new functionality is developed. Stages may occur sequentially or simultaneously and the start of one phase is not necessarily dependent on the end of another. For an overview of stages, refer to the schedule section of this document.

### Unit Testing

#### Definition

Unit testing tests the smallest parts of the application independently.

#### Participants

- InfoStrat Development Team

#### Methodology

Tests are performed by developers as they build or configure parts of the application to specified requirements. Code reviews are conducted on custom-built code needed for application functionality per requirements and tracked within the development team's task management system. Code reviews are requested, performed, and tracked within Azure DevOps.

### Data Mapping Testing

#### Definition

Verify expected output or list of attributes available for data fields. Identification of attributes should assist in ruling out duplicate migration data as well as corrupt or inaccurate data.

## Participants

- InfoStrat QA
- IDOC Subject Matter Experts
- County Subject Matter Experts
- Victim's Advocates Subject Matter Experts

## Methodology

Data maps have been provided by InfoStrat that include mapping from offender and victim data feed elements to SAVIN360 attributes for examination and verification by the QA Team and IDOC subject matter experts.

Data mapping between feeds and fields can be assessed in either environment via read-only access (**NOTE:** table will be confirmed prior to finalization of test plan with IDOC).

Data Mapping Methodology	Offender Full Population		Parole Full Population		Offender Movement (OMS feeds)	
Data in Prod vs QA	Full	Subset	Full	Subset	Full	Full
Method of Transfer	sFTP		sFTP		Various via web service & sFTP	
Generated via	IDOC Data Transformation Solution		IDOC Data Transformation Solution		IDOC Data Transformation Solution	
Timing	Initial Load		Initial Load		Real-time	

## System Testing

### Definition

Verify that all related systems function appropriately together while maintaining data integrity.

### Participants

- InfoStrat Development Team

### Methodology

Testing will occur in the SAVIN360 Dev and QA Environments.

Positive and negative testing of the application to ensure functionality according the combined requirements for the IDOC Implementation Project. Functional testing is done using test accounts with security roles of end users. Failed test results, remediation, and retest are tracked within the development team's task management system.

Testing also will occur using feeds to SAVIN360 QA Environment from IDOC to ensure data quality, data mapping, and expected functionality occurs before feeds are redirected to the SAVIN360 Production Environment.

### Integration Testing

Integration testing comprises complex functional testing, process testing, interface, and EDI transaction testing. During integration testing, we incrementally test the solution in an orderly progression and validate results by comparing them with the expected outcome of the tests or the baseline performance of that function during integration testing.

Integration testing comprises the following testing categories:

- Complex Functional testing
- Interface and Process testing
- EDI transaction testing

## Definition

Verification that SAVIN360 interacts with webservices and FTP file transfers, bi-directionally as appropriate, with IDOC. This includes:

- verification of receipt of *offender* demographic and movement data from *agency* to SAVIN360;
- verification of receipt of *offender* demographic and movement data from *county feeds* to SAVIN360;
- verification of receipt of IDOC *victim registration* data from *agency* to SAVIN360;
- verification of transfer of *victim notification* data from SAVIN360 to sFTP, if appropriate

## Participants

- QA Team
- InfoStrat Development Team

## Methodology

Testing will occur in the SAVIN360 QA Environment

InfoStrat has provided test scenarios and test cases it typically uses in SAVIN360 implementations. These have been further refined and expanded by the IT Test Team, according to initial requirements. These will be provided within a file named: SAVIN360 Test scenarios. The QA Team will generate the “seed data” needed for their test cases from IDOC by sending that information to SAVIN360. The QA Team will then generate test feeds according to its test cases and review its findings in the SAVIN360 QA Environment.

IDOC will review the Notification Tracking files delivered to its sFTP.

The findings will be presented to stakeholders for review, prioritization, categorization, and remediation by InfoStrat, if necessary. See Section 0.2 of this document for further details.

Integration Testing Methodology	Offender Movement	Offender (IDOC & Parole) Population Refresh
Method of Transfer	Webservice	sFTP
System of Generation	Agency system / data transformation solution	Agency system / data transformation solution
Target of Data	SAVIN360	SAVIN360

## Regression Testing

### *Regression Testing Objective*

Regression testing is a process of verifying that changes have not adversely affected previously working or approved features.

## Participants

- InfoStrat Development Team
- QA Team

## Methodology

Selected manual test cases that were developed for System / Integration Testing will be leveraged for Regression testing. Typically, those test cases that test core or business critical functionality, that have had some modifications made to them, will be selected as regression test cases.

In conjunction with system testing, regression testing will ensure comprehensive coverage of the RFP requirements.

If a test case fails during regression testing, analysis of the failure will be performed to determine the cause. Defects found in regression testing will be recorded and escalated using the defect resolution process.



Regression testing is an iterative process and will continue to be exercised throughout the life of the project. A list of successfully executed regression test cases will be included with the review of each functional area.

In addition to testing critical components of the system, regression testing also occurs when an individual module has been changed because of a change request or defect. In this situation, test cases will be selected that test the specific change as well as test cases that test functions or components that may be affected by the change.

Business Regression Testing focuses on the critical, high-volume business processes for all business functionality introduced up to and including the previous release of software. The approach is to build on the previous regression pack by adding new test cases with tests based on the previous release's functionality. Specific focus is also given to known high-risk areas. During business regression testing, QA will ensure that the requirements met by the base system have not been adversely impacted.

## Performance Testing

### Definition

Performance testing will be performed to verify SAVIN360's response time and throughput under various conditions.

### Participants

- InfoStrat Development Team
- QA Team

### Methodology

The Dev and QA teams will ensure SAVIN360 is tested to meet critical load and volume thresholds replicating use of the solution across the intended user base with specific scenarios designed to reflect potential real-life scenarios for scalability:

- Load testing – Measure how SAVIN360 performs when facilitating important business critical transactions.
- Stress testing – replicate a scenario in which the anticipated load goes well above its expected norm to test upper limit capacity. Spike testing will also be introduced by scaling the volume of simultaneous users and monitoring performance to ensure ability to sustain an increased workload.
- Endurance testing – Test SAVIN360 performance under continuous expected load, with monitoring to ensure memory leaks or other performance issues are proactively identified and remediated.

## User Acceptance Testing

### Definition

Verification of functionality by actual end-users to ensure the application meets initial system requirements and is ready for real-world, operational use.

### Participants

- IDOC Project Manager
- InfoStrat Development Team
- IT Test Team
- Victim Service Providers (will test in Victim and Victim Advocate Test Roles)
- 24/7 SAVIN360 Users (DOC)
- County Prison SAVIN360 Users
- SAVIN360 System Administrators
- IDOC/County / Victim Service Providers Subject Matter Experts
- Other Subject Matter Experts, as needed

### Methodology

Testing will occur in the SAVIN360 QA Environment.

User Acceptance Testing (UAT) will occur for the roles of Victim, Victim Advocate, DOC User, County Prison User, and SAVIN360 Administrator for the IDOC implementation. For UAT, InfoStrat creates test scenarios and test cases based on initial requirements. Test scenarios are grouped according to system functionality as shown below. InfoStrat collects feedback and categorizes each instance as a defect, enhancement, or user experience comment. See more about this in Section 6.0 of the current document.

InfoStrat will provide approximately 100 foundational test cases. Test cases will be adjusted or updated by IDOC stakeholders, according to initial requirements. Test cases include a description of the functionality being tested, pre-condition criteria, test steps, test data, and expected results. Both positive and negative tests are performed. The functionality tested may include:

Tester Role	Victim	Victim Advocate	Prison User	24/7 User	SAVIN360 Admin	
Application Access Point	Portal	Portal	Portal	Portal	Portal	D365
Victim Registration	Y	Y	Y		Y	Y
Elevated Access		Y	Y	Y	Y	Y
Notifications	Y	Y	Y		Y	Y
Reporting		Y			Y	Y
Security	Y	Y	Y		Y	Y
Knowledge Base		Y	Y	Y	Y	Y
Duplicate Detection	Y	Y	Y	Y	Y	Y
Anonymous Use	Y					
Profile Management	Y	Y	Y	Y		Y
System Configuration						Y
Offender Event Processing			Y	Y		Y
Data Feed Processing Alerts						Y

If testing beyond what has occurred in Integration Testing is desired, the QA Team will prepare and execute test scenarios in IDOC systems to trigger Agency System messages, offender, and/or victim data feeds, and view the results in the SAVIN360 QA environment.

Testing may occur in-person and/or remotely via teleconference with screen-sharing. Testers provide test results via a web-based tool, in which they can record test results and upload screen shots. Beyond strict pass/fail test criteria, testers are encouraged to provide additional feedback about user experience, suggestions, and questions.

**NOTE:** Testers, especially elevated-use testers, will benefit from review of previously recorded training videos. For additional reference and preparation, more information may be found in the SAVIN360 User Guide.

## Migration Testing

### Definition

Verify that available legacy and historic offender and victim data have been imported into the Production environment and existing feeds into the Production environment have kept the data current until Go Live.

### Participants

- QA Team

- IDOC / County / Victim Services Providers Subject Matter Experts
- Other Subject Matter Experts, as needed or requested

### Methodology

Full datasets will be brought into the SAVIN360 Production environment and undergo intricate duplicate detection, offender-victim data consolidation, and historical data generation. This migration will be verified by IT, IDOC and/or County stakeholders reviewing offender and registrant records in SAVIN360 and comparing them to the analogous system of origin.

**NOTE:** The Production environment will contain all data as of the date it was provided, unless live feeds of the dataset are ongoing (to be affirmed during design and development and updated per IDOC implementation).

Migration Testing	Method of Transfer	Generated via	Timing
IDOC Offender Full Population	sFTP	IDOC data transformation solution	Initial Load
IDOC Parole Full Population	sFTP	IDOC data transformation solution	Initial Load
IDOC] Offender Movement	webservice	IDOC data transformation solution	Daily
Full Offender IDOC Population Refresh	sFTP	IDOC data transformation solution	1-time Population Refresh
Offender IDOC Population Refresh	sFTP	IDOC data transformation solution	monthly
Offender IDOC Population Refresh	sFTP	IDOC data transformation solution	monthly
Offender Movement (OMS feeds)	Various via web service & csv	IDOC data transformation solution	Real-time
Victim Registration (x year history)	sFTP	IDOC data transformation solution	Initial Load

### Parallel Monitoring

#### Definition

Monitoring of inbound feeds and verification that SAVIN360 is generating initial notifications at parity with, or with greater specificity than, the legacy notification system, if legacy victim/registrant data is available. **NOTE:** Since SAVIN360 will not have yet gone live, and therefore will not be sending real notifications or receiving actual notification confirmation, full notification parity cannot be expected.

#### Participants

- InfoStrat Development Team
- IDOC / County / Victims Services Providers Subject Matter Experts
- QA Team

### Methodology

Monitoring will occur using the SAVIN360 Production Environment and is expected to last 5-15 days.

Daily reports of notification events, offender creation, offender updates, data feed processing, victim registration, and task generation will be created. These will be compared to daily reports of activity within the legacy systems. Review of findings will occur between test teams daily during the monitoring period.

Mismatches will be tracked within the agreed-upon software, investigated, and reported upon at the next meeting. Mitigation, as needed, may occur between sessions.

## CONTROL PROCEDURES

### Test Stage Approval

Testing will occur in the same timeline as the outline of this document, with some stages occurring simultaneously to increase efficiency of testing. Test stage length is dependent on results and scope desired. Test progression is also dependent on the timely approval of prerequisite deliverables and test stages.

As indicated in the Testing Schedule, certain stages of testing require approval for a preceding stage to proceed. IDOC will provide the names of stakeholders who will approve each stage. Previously submitted approvers are indicated below:

Stage	IDOC Approver(s)	IDOC Approver(s)
Master Test Plan		
Data Mapping		
Integration Testing		
User Acceptance Testing		
Migration Testing		
Parallel Monitoring		
Priority 1,2, and 3 Defect Remediation		
Go/No-Go Live Decision		

Test stage approval indicates acceptance of the relevant test stage, as described in the Master Test Plan. That is, the methodology has occurred by the appropriate participants, and all Priority 1 Bugs originating from the test stage have been resolved; Bug tracking will occur in SmartSheet; closure of bug by a/an IDOC tester (otherwise fulfilled by IDOC Product Owner or SME as designated) indicates the remediation action is acceptable.

### Results, Bug Management/Problem Reporting, and Remediation

Identification of defects (bugs) can happen at any phase of testing. Testers provide test results via a web-based tool in which they can record test results and upload screen shots. Beyond strict pass/fail test criteria, testers are encouraged to provide additional feedback about user experience, suggestions, questions. Appropriate IDOC stakeholders will be added to SmartSheet-based results tracker for full visibility and interaction.

The stakeholders will discuss any findings that arise with the Business Analysts and/or the Development Team in order to determine whether a finding is deemed a true defect or an enhancement. Certain priority levels of bugs must be remediated and retested before further work can occur, while others can be deployed into Production (see priority details below).

- Priority 1 = Critical
  - Show stopper; Cannot proceed to the next iteration or testing stage until this is resolved
- Priority 2 = High
  - Must be resolved prior to moving to Production/Go Live

- Functionality is impacted
- Testing can proceed
- Priority 3 = Medium
  - Must be resolved prior to moving to Production
  - Functionality is not impacted
  - Testing can proceed
- Priority 4 = Low
  - Cosmetic issue or feature enhancement
  - Can move to Production/Go Live

All Priority 1, 2, and 3 Bugs must be resolved prior to moving to Production/Go Live.

When the issue in the bug is fixed, the Development Team will mark the bug as "resolved" and reassign it to the tester who created the bug or another stakeholder for retesting. Upon deployment of the fix, a tester will verify the problem is no longer an issue by re-running the test case and "closing" the bug.

### Change Requests

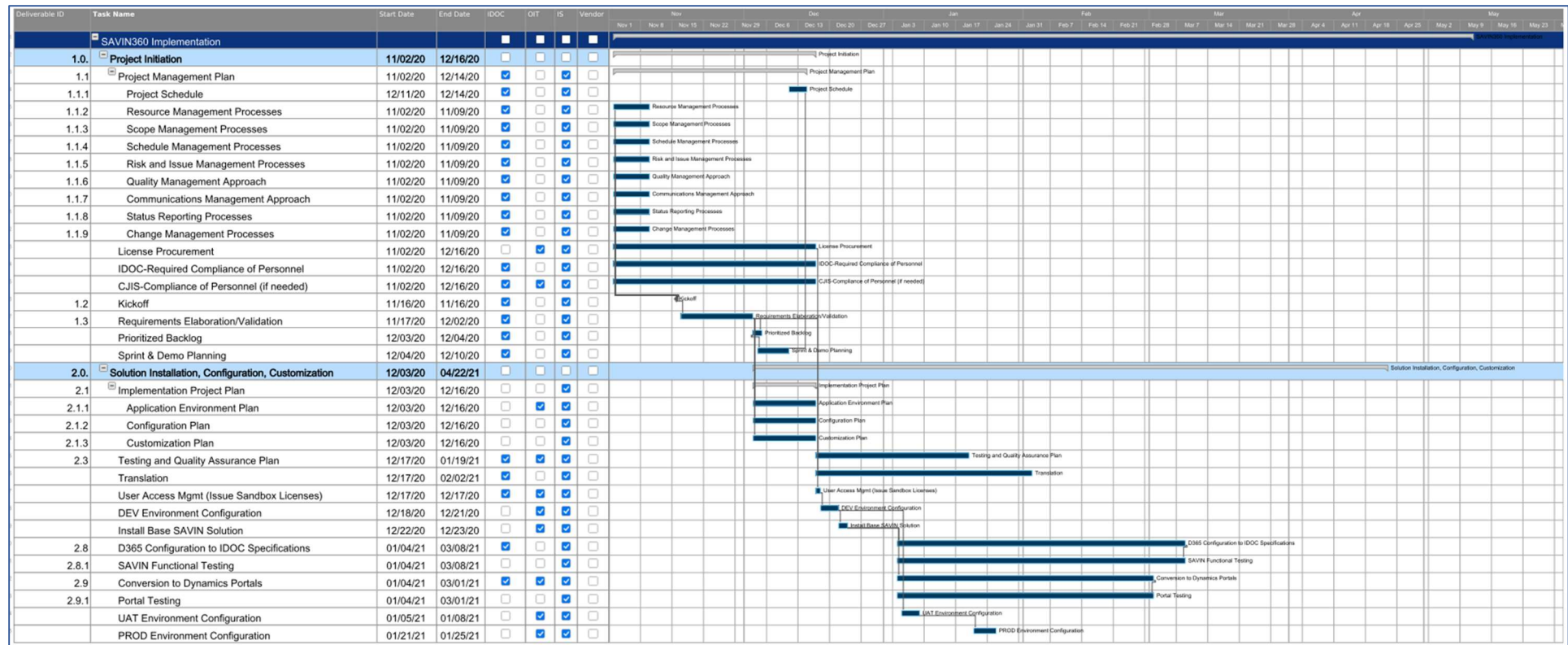
Enhancements are test findings that are submitted as comments, questions, etc. that involves a change to functionality or other requests that fall outside the original requirements of the system. IDOC/InfoStrat will work within the established Change Management processes.



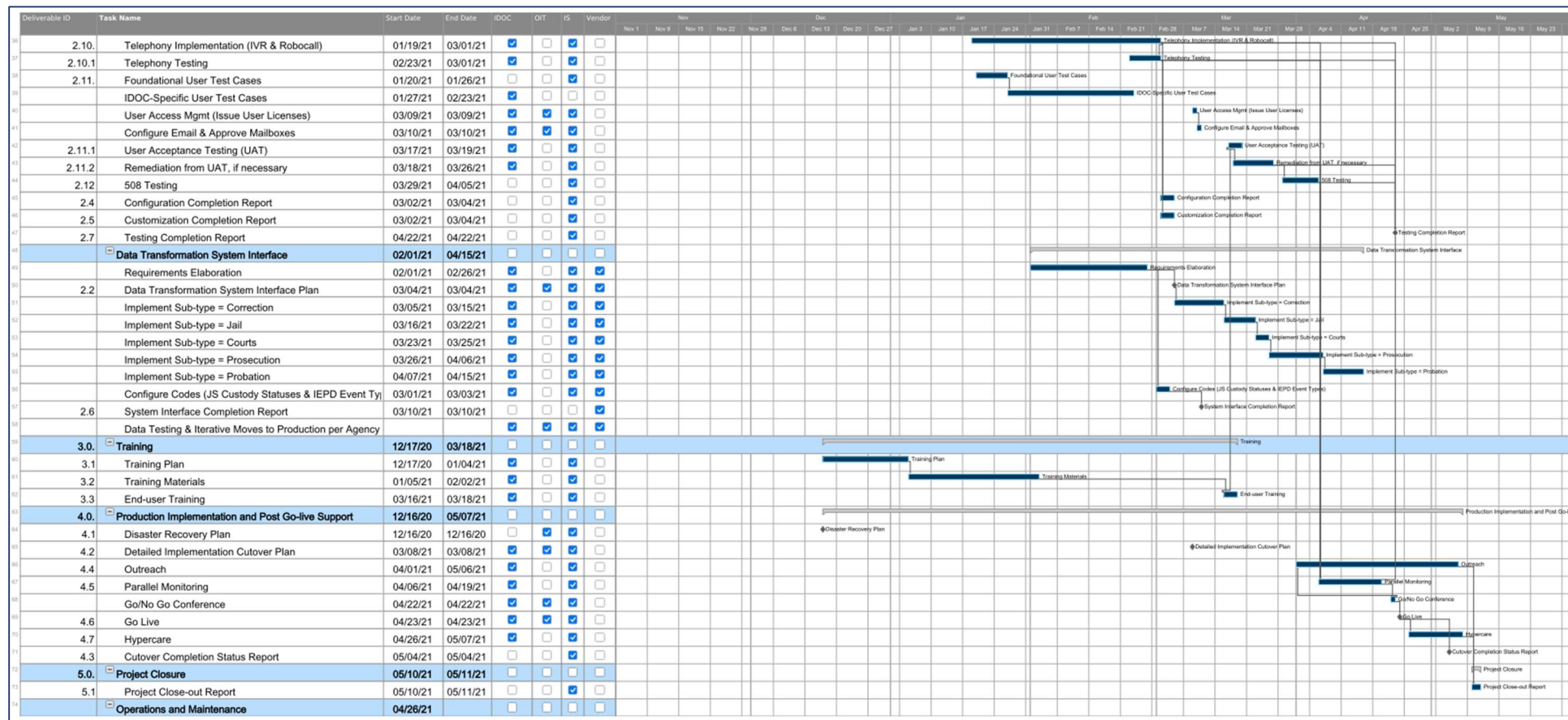
## TESTING TEAM (TBD)

Name	Title/Role (Titles and Roles are determined by the agency and InfoStrat)	Role	Org
	Project Manager	Mgmt.	IDOC
	Bus Analyst	SME	IDOC
	Web Service Manager	Approver, Tester	IDOC
	Bus Relationship Manager	Approver	IDOC
	Tech Lead	Approver, Tester	IDOC
	Coordination of Victim registration data, SAVIN360notifications, Functional	Approver, Tester	IDOC
	IDOC messaging	Approver, Tester	IDOC
	Director, Public Policy & Legislation	Tester	IDOC
	Director, Outreach & Programming	Tester	IDOC
	Institutional Victim Asst. Coordinator	Tester	IDOC
	Project Manager	Approver, Mgmt.	IDOC Data Transformation Solution
	Tech Lead	Tester	IDOC Data Transformation Solution
	Web Services POC	Tester	IDOC Data Transformation Solution
	Project Manager	Dev Team	InfoStrat
	SAVIN360 Subject Matter Expert	Dev Team	InfoStrat
	D365 Technical Lead	Dev Team	InfoStrat
	D365 Functional Analyst	Dev Team	InfoStrat
	D365 Developer	Dev Team	InfoStrat

## Exhibit 6 for Section 2.4.5.1: Project Schedule



Gantt Chart Continued on Next Page



## Exhibit 7 for Section 2.4.5.2: Project Deliverables, Milestones, and Payment Schedule

Deliverable ID	SAVIN360 Implementation	Payment Milestone	Target Date
<b>Phase 1.0</b>	<b>Project Initiation</b>		<b>12/14/20</b>
<b>1.1</b>	<b>Project Management Plan</b>	<b>Yes</b>	<b>12/14/20</b>
1.1.1	Project Schedule		12/14/20
1.1.2	Resource Management Processes		11/09/20
1.1.3	Scope Management Processes		11/09/20
1.1.4	Schedule Management Processes		11/09/20
1.1.5	Risk and Issue Management Processes		11/09/20
1.1.6	Quality Management Approach		11/09/20
1.1.7	Communications Management Approach		11/09/20
1.1.8	Status Reporting Processes		11/09/20
1.2	Kickoff	<b>Yes</b>	11/16/20
1.3	Requirements Elaboration/Validation	<b>Yes</b>	12/02/20
<b>Phase 2.0</b>	<b>Solution Installation, Configuration, Customization</b>		<b>04/22/21</b>
<b>2.1</b>	<b>Implementation Project Plan</b>	<b>Yes</b>	<b>12/16/20</b>
2.1.1	Application Environment Plan		12/16/20
2.1.2	Configuration Plan		12/16/20
2.1.3	Customization Plan		12/16/20
<b>2.2</b>	<b>Data Transformation System Interface Plan</b>	<b>Yes</b>	<b>03/04/21</b>
<b>2.3</b>	<b>Testing and Quality Assurance Plan</b>	<b>Yes</b>	<b>01/19/21</b>
<b>2.4</b>	<b>Configuration Completion Report</b>	<b>Yes</b>	<b>03/04/21</b>
<b>2.5</b>	<b>Customization Completion Report</b>	<b>Yes</b>	<b>03/04/21</b>
<b>2.6</b>	<b>System Interface Completion Report</b>	<b>Yes</b>	<b>03/10/21</b>
<b>2.7</b>	<b>Testing Completion Report</b>	<b>Yes</b>	<b>04/22/21</b>
2.8	D365 Configuration to IDOC Specifications		03/08/21
2.8.1	SAVIN Functional Testing		03/08/21
2.9	Conversion to Dynamics Portals		03/01/21
2.9.1	Portal Testing		03/01/21
2.10	Telephony Implementation (IVR & Robocall)		03/01/21
2.10.1	Telephony Testing		03/01/21
2.11	Foundational User Test Cases		01/26/21
<b>2.11.1</b>	<b>User Acceptance Testing (UAT)</b>	<b>Yes</b>	<b>03/19/21</b>
2.11.2	Remediation from UAT, if necessary		03/26/21
2.12	508 Testing		04/05/21
<b>Phase 3.0</b>	<b>Training</b>		<b>03/18/21</b>
<b>3.1</b>	<b>Training Plan</b>	<b>Yes</b>	<b>01/04/21</b>
<b>3.2</b>	<b>Training Materials</b>	<b>Yes</b>	<b>02/02/21</b>
<b>3.3</b>	<b>End-user Training</b>	<b>Yes</b>	<b>03/18/21</b>
<b>Phase 4.0</b>	<b>Production Implementation and Post Go-live Support</b>		<b>05/07/21</b>
<b>4.1</b>	<b>Disaster Recovery Plan</b>	<b>Yes</b>	<b>12/16/20</b>
<b>4.2</b>	<b>Detailed Implementation Cutover Plan</b>	<b>Yes</b>	<b>03/08/21</b>
<b>4.3</b>	<b>Cutover Completion Status Report</b>	<b>Yes</b>	<b>05/04/21</b>
4.4	Outreach		05/06/21
4.5	Parallel Monitoring		04/19/21
<b>4.6</b>	<b>Go Live</b>	<b>Yes</b>	<b>04/23/21</b>
4.7	Hypercare		05/07/21
<b>Phase 5.0</b>	<b>Project Closure</b>		<b>05/11/21</b>
<b>5.1</b>	<b>Project Close-out Report</b>	<b>Yes</b>	<b>05/11/21</b>
	<b>Operations and Maintenance</b>	<b>Monthly Support Fee Begins</b>	
	List of Contractor Access	annually	
	Independent data center audit	annually	
	Disclosure of Non-Proprietary System Security Plans	annually	
	Report of Disaster Recovery Plan	annually	
	Resource Utilization Assessment	annually	

## Exhibit: Sample Implementation Plan

Deliverable ID	SAVIN360 Implementation	Start Date	End Date	Lead	IDOC	OIT	IS	Data Trans. Vendor
<b>1.0</b>	<b>Project Initiation</b>	<b>11/02/20</b>	<b>12/16/20</b>					
1.1	Project Management Plan	11/02/20	12/14/20	InfoStrat	Y		Y	
1.1.1	Project Schedule	12/11/20	12/14/20	InfoStrat	Y		Y	
1.1.2	Resource Management Processes	11/02/20	11/09/20	InfoStrat	Y		Y	
1.1.3	Scope Management Processes	11/02/20	11/09/20	InfoStrat	Y		Y	
1.1.4	Schedule Management Processes	11/02/20	11/09/20	InfoStrat	Y		Y	
1.1.5	Risk and Issue Management Processes	11/02/20	11/09/20	InfoStrat	Y		Y	
1.1.6	Quality Management Approach	11/02/20	11/09/20	InfoStrat	Y		Y	
1.1.7	Communications Management Approach	11/02/20	11/09/20	InfoStrat	Y		Y	
1.1.8	Status Reporting Processes	11/02/20	11/09/20	InfoStrat	Y		Y	
	License Procurement	11/02/20	12/16/20	OIT		Y	Y	
	IDOC-Required Compliance of Personnel	11/02/20	12/16/20	IDOC	Y		Y	
	CJIS-Compliance of Personnel (if needed)	11/02/20	12/16/20	IDOC	Y	Y	Y	
1.2	Kickoff	11/16/20	11/16/20	InfoStrat	Y		Y	
1.3	Requirements Elaboration/Validation	11/17/20	12/02/20	InfoStrat	Y		Y	
	Prioritized Backlog	12/03/20	12/04/20	InfoStrat	Y		Y	
	Sprint & Demo Planning	12/04/20	12/10/20	InfoStrat	Y		Y	
<b>2.0</b>	<b>Solution Installation, Configuration, Customization</b>	<b>12/03/20</b>	<b>04/22/21</b>					
2.1	Implementation Project Plan	12/03/20	12/16/20	InfoStrat			Y	
2.1.1	Application Environment Plan	12/03/20	12/16/20	InfoStrat		Y	Y	
2.1.2	Configuration Plan	12/03/20	12/16/20	InfoStrat			Y	
2.1.3	Customization Plan	12/03/20	12/16/20	InfoStrat			Y	
2.3	Testing and Quality Assurance Plan	12/17/20	01/19/21	InfoStrat	Y	Y	Y	
	Translation	12/17/20	02/02/21	InfoStrat	Y		Y	
	User Access Mgmt (Issue Sandbox Licenses)	12/17/20	12/17/20	OIT	Y	Y	Y	
	DEV Environment Configuration	12/18/20	12/21/20	InfoStrat		Y	Y	
	Install Base SAVIN Solution	12/22/20	12/23/20	InfoStrat		Y	Y	
2.8	D365 Configuration to IDOC Specifications	01/04/21	03/08/21	InfoStrat	Y		Y	
2.8.1	SAVIN Functional Testing	01/04/21	03/08/21	InfoStrat			Y	
2.9	Conversion to Dynamics Portals	01/04/21	03/01/21	InfoStrat	Y	Y	Y	
2.9.1	Portal Testing	01/04/21	03/01/21	InfoStrat			Y	
	UAT Environment Configuration	01/05/21	01/08/21	InfoStrat		Y	Y	
	PROD Environment Configuration	01/21/21	01/25/21	InfoStrat		Y	Y	
2.10	Telephony Implementation (IVR & Robocall)	01/19/21	03/01/21	InfoStrat	Y		Y	
2.10.1	Telephony Testing	02/23/21	03/01/21	InfoStrat	Y		Y	
2.11	Foundational User Test Cases	01/20/21	01/26/21	InfoStrat			Y	
	IDOC-Specific User Test Cases	01/27/21	02/23/21	IDOC	Y			
	User Access Mgmt (Issue User Licenses)	03/09/21	03/09/21	OIT	Y	Y	Y	
	Configure Email & Approve Mailboxes	03/10/21	03/10/21	OIT	Y	Y	Y	
2.11.1	User Acceptance Testing (UAT)	03/17/21	03/19/21	IDOC	Y		Y	
2.11.2	Remediation from UAT, if necessary	03/18/21	03/26/21	InfoStrat	Y		Y	
2.12	508 Testing	03/29/21	04/05/21	InfoStrat			Y	
2.4	Configuration Completion Report	03/02/21	03/04/21	InfoStrat			Y	
2.5	Customization Completion Report	03/02/21	03/04/21	InfoStrat			Y	
2.7	Testing Completion Report	04/22/21	04/22/21	InfoStrat			Y	
	<b>Data Transformation System Interface</b>	<b>02/01/21</b>	<b>04/15/21</b>					

Sample Implementation Plan Continued on Next Page

Deliverable ID	SAVIN360 Implementation	Start Date	End Date	Lead	IDOC	OIT	IS	Data Trans. Vendor
<b>Data Transformation System Interface</b>		<b>02/01/21</b>	<b>04/15/21</b>					
	Requirements Elaboration	02/01/21	02/26/21	InfoStrat	Y		Y	Y
2.2	Data Transformation System Interface Plan	03/04/21	03/04/21	InfoStrat	Y	Y	Y	Y
	Implement Sub-type = Correction	03/05/21	03/15/21	InfoStrat	Y		Y	Y
	Implement Sub-type = Jail	03/16/21	03/22/21	InfoStrat	Y		Y	Y
	Implement Sub-type = Courts	03/23/21	03/25/21	InfoStrat	Y		Y	Y
	Implement Sub-type = Prosecution	03/26/21	04/06/21	InfoStrat	Y		Y	Y
	Implement Sub-type = Probation	04/07/21	04/15/21	InfoStrat	Y		Y	Y
	Configure Codes (JS Custody Statuses & IEPD Event Types)	03/01/21	03/03/21	InfoStrat	Y		Y	Y
2.6	System Interface Completion Report	03/10/21	03/10/21	InfoStrat				Y
	Data Testing & Iterative Moves to Production per Agency (as available)			InfoStrat	Y	Y	Y	Y
<b>3.0 Training</b>		<b>12/17/20</b>	<b>03/18/21</b>					
3.1	Training Plan	12/17/20	01/04/21	InfoStrat	Y		Y	
3.2	Training Materials	01/05/21	02/02/21	InfoStrat	Y		Y	
3.3	End-user Training	03/16/21	03/18/21	InfoStrat	Y		Y	
<b>4.0 Production Implementation and Post Go-live Support</b>		<b>12/16/20</b>	<b>05/07/21</b>					
4.1	Disaster Recovery Plan	12/16/20	12/16/20	InfoStrat		Y	Y	
4.2	Detailed Implementation Cutover Plan	03/08/21	03/08/21	InfoStrat	Y	Y	Y	
4.4	Outreach	04/01/21	05/06/21	InfoStrat	Y		Y	
4.5	Parallel Monitoring	04/06/21	04/19/21	IDOC	Y		Y	
	Go/No Go Conference	04/22/21	04/22/21	InfoStrat	Y	Y	Y	
4.6	Go Live	04/23/21	04/23/21	InfoStrat	Y	Y	Y	
4.7	Hypercare	04/26/21	05/07/21	InfoStrat	Y		Y	
4.3	Cutover Completion Status Report	05/04/21	05/04/21	InfoStrat			Y	
<b>5.0 Project Closure</b>		<b>05/10/21</b>	<b>05/11/21</b>					
5.1	Project Close-out Report	05/10/21	05/11/21	InfoStrat			Y	
<b>Operations and Maintenance</b>		<b>04/26/21</b>						
	Data Task Management	daily system management		IDOC	Y		Y	
	Notification/Registration Task Management	daily system management		IDOC	Y		Y	
	Financial/Subsription Oversight	monthly/ongoing		IDOC	Y			
	JMS/OMS Upgrade	as needed		InfoStrat	Y		Y	Y
	User Access Mgmt (Issue Licenses)	as needed		OIT	Y	Y		
	User Access Mgmt (Add Users to Active Directory)	as needed		OIT	Y	Y		
	User Role Management	as needed		IDOC	Y		Y	
	O365 Mgmt (Approve/Troubleshoot Mailboxes)	as needed		OIT		Y	Y	
	Data Feed Management (one site, specific issue)	as needed		DT Vendor	Y		Y	Y
	VM Security Maintenance/Server Admin	as needed		InfoStrat		Y	Y	
	Telephony Server Maintenance	as needed		InfoStrat			Y	
	Azure and/or Power Platform/D365 Updates	as needed		InfoStrat			Y	
	Data Feed Management (entire system)	if needed		InfoStrat		Y	Y	
	Backup Restore	if needed		OIT		Y	Y	
	Application Performance Assessment	if needed		OIT		Y	Y	
	IOT-Required System Reviews	if needed		OIT		Y	Y	
	List of Contractor Access	annually		InfoStrat			Y	
	Independent data center audit	annually		InfoStrat			Y	
	Disclosure of Non-Proprietary System Security Plans	annually		InfoStrat			Y	
	Report of Disaster Recovery Plan	annually		InfoStrat			Y	
	Resource Utilization Assessment	annually		InfoStrat			Y	



## Exhibit 8: Service Level Agreement (for Section 2.4.3.2)

### SAVIN360 SERVICE LEVEL AGREEMENT

#### 1. Introduction

The Service Level Agreement becomes effective two weeks after the System has Gone Live. During that first two-week period after Go Live, InfoStrat provides increased assistance and support (or “Hypercare”) to fully meet the needs of the new System and its Users. Thereafter, during the term of the Agreement (as such term may be extended or renewed), InfoStrat will provide continuous on-going maintenance and support, including troubleshooting and correction of issues and Deficiencies. For the first year of the Agreement, InfoStrat will conduct twice weekly check-in meetings of up to an hour each for Routine Support (by way of example only and not limitation, to help with System activities, answer questions, review reported issues, provide system tweaks and help understand System activities). Every other week, InfoStrat will also discuss any performance or support request trends or issues and offer approaches to reducing the number of Support Requests as well as improving InfoStrat’s responses to such Support Requests. In following contract years, if requested by the Department, InfoStrat will be available for monthly check-in meetings of up to an hour each to continue such assistance.

IDOC/IOT may have direct SLA terms and conditions with Microsoft separate of any held with InfoStrat and InfoStrat is not responsible for those Microsoft terms.

InfoStrat is responsible for working diligently and in good faith with the Sites and their designated vendors and resolving any issues that arise at the Site level. While InfoStrat will collaborate with Sites and their vendors, InfoStrat is not responsible for the maintenance of information technology systems of Sites acquired from, or managed by, the Site’s vendors.

Notwithstanding anything in this Service Level Agreement or any Statement of Work to the contrary, InfoStrat will provide ongoing maintenance and support of the System, including working diligently with Sites as discussed below, as part of the monthly cost of operations, and InfoStrat will be the first point of contact in any support issues that arise with the System.

**1.1. Definitions.** The following terms, when used in this SLA, shall have the following meanings:

“**Agreement**” refers to the Professional Services Contract (PSC) in its entirety, as described in PSC 35.

“**Available**” means the System shall: (a) be available for access and use over the Internet by the Department, the Sites, and Users; and (b) provide the functionality required or described under the Agreement (including applicable addenda and any exhibits within the Agreement), and any documentation related to the System; and (c) be provided, performed and delivered in accordance with the terms of the Agreement.

“**Critical Hours**” means 7:00 a.m. to 9:00 p.m. EST, Monday through Sunday.

“**Department**”: means Indiana Department of Corrections

“**Non-Critical Hours**” means 9:01 p.m. to 6:59 a.m. EST, Monday through Sunday.

“**Business Hours**” means 7:00 a.m. to 5:00 p.m. EST, Monday through Friday, excluding federal and Indiana holidays.

“**Recurring Operational Fees**” means the monthly maintenance fees charged by InfoStrat.

“**Server**” means the server(s) used to run, operate or maintain the System.

“**System**” means Indiana SAVIN360 and all related software, hardware, equipment, components and services.

**“System Components and Processes”** means all SAVIN360 System components and processes provided by or on behalf of InfoStrat, including:

- The InfoStrat SAVIN360 System based on Dynamics 365
- The SAVIN360 APIs
- The SAVIN360 Public Portal

All other System components or solutions provided by or on behalf of InfoStrat or its contractors and subcontractors, including all components, features, functionality and other aspects of the System as described in InfoStrat’s technical Proposal submitted in response to the Department’s RFP:21-1950. All services provided by InfoStrat and InfoStrat’s sub-vendors and contractors and subcontractors:

- SMS communications
- RoboCalling
- IVR

**2. System Monitoring & Management.** InfoStrat will perform continuous monitoring and management of the System to optimize availability and functionality of the System. Included within the scope of this section is the proactive monitoring of the Server and all other System Components and Processes, including the firewall, on a 7 day by 24-hour basis, and the expedient restoration, correction and repair of the System and its components when failures or Deficiencies occur.

**2.1.** The contract(s) and SLA(s) for Microsoft Office 365, Dynamics 365 and Azure services are held directly between IOT/IDOC and Microsoft. While Microsoft certainly meets the stated monitoring and management criteria specified, the contractual commitments and liabilities are held directly between IOT/IDOC and Microsoft and do not pass through InfoStrat.

**2.2.** InfoStrat will monitor all System Components and Processes and correct all Deficiencies with respect thereto, including the following:

- SAVIN360 APIs: While the infrastructure (Azure PaaS) is owned and managed by Microsoft, InfoStrat monitors, maintains, supports and otherwise fully ensures that the actual APIs that sit on top of the Microsoft infrastructure are operational and not experiencing any Deficiencies.
- SAVIN360 Portal: While the infrastructure (Azure PaaS) is owned and managed by Microsoft, InfoStrat monitors, maintains, supports and otherwise ensures that the actual Portal that sits on top of the Microsoft infrastructure is operational and is not experiencing and Deficiencies.
- SAVIN360 SFTP: While the infrastructure (Azure IaaS) is owned and managed by Microsoft, InfoStrat monitors, maintains, supports and otherwise ensures that the actual SFTP server that sits on top of the Microsoft infrastructure is operational and is not experiencing any Deficiencies.
- All other SAVIN 360 components and solutions provided by or on behalf of InfoStrat
- For sub-vendor infrastructure or services, InfoStrat is responsible for the compliance of our sub-vendors, contractors and subcontractors and their services.

**2.3.** InfoStrat will conduct data monitoring 24-hours a day, 365 days a year. InfoStrat will ensure that the System proactively monitors the frequency at which the System receives data from participating Sites and facilities and send out notifications when the System does not receive any data from a site or facility within a predetermined limit or specified threshold. InfoStrat will work diligently and in good faith with the participating Sites and facilities or their designated vendors to promptly address any problems or Deficiencies that arise (by way of example and not limitation, when Sites go offline, when data is not being sent, files are corrupt, or offender data is incorrect or offender activity is different from prior files), and when any alarms are triggered. Should a Site failure or Deficiency occur, InfoStrat will work diligently and in good faith with the Site, and the Site’s IT or vendor staff, if necessary, to re-establish connectivity and resolve Deficiencies.

InfoStrat will ensure during an outage, Users will be able to enter data in real-time into the System via its portal. InfoStrat will ensure that the System will make portal access available through any internet-connected device and the portal allows uninterrupted victim notifications to occur. During an outage, Users will be able to do any of the following, within their determined security roles:

- search for an offender by name, part of a name, or ID number
- add a new offender if a new inmate arrives
- update offender movement at the facility
- edit some parts of existing offender records or register a victim for notifications

**3. Service Levels.** InfoStrat understands that the provision of the System and related Deliverables in accordance with requirements stated herein and in the Agreement are considered critical to the safety and protection of Users, including crime victims. InfoStrat shall Respond to and Resolve Support as set forth below:

**3.1. Support Requests.** The Department or Sites shall classify any requests for support using the support request classifications below, with such classification to be made initially at the discretion of the Department and Sites. Final classification for which compliance will be measured will be agreed to mutually by both the Department and InfoStrat during regularly established ticket triage meetings. Each such request shall be referred to herein as a “**Support Request.**” Support Requests may be sent to InfoStrat by Department or by the Sites. Support Requests will be submitted via an InfoStrat-URL or other InfoStrat-provided mechanisms which trigger a support cascade.

Support Request Classification	Description (Descriptions are intended to be illustrative example and not be exhaustive)
Critical	<ul style="list-style-type: none"> <li>• Deficiency or issue that could (or did) cause severe or catastrophic consequences for the System, e.g., System is (or was) unusable.</li> <li>• Deficiency or issue affecting the System, such as significant loss of System availability or widespread access interruptions;</li> <li>• Deficiency or issue affecting one or more critical functions, such as, for example, inability of Users to register for notification by all methods; notifications are not being sent to registered Users as requested by the Users; are being sent in an untimely manner; inaccurate or incorrect notifications are being sent to registered Users; or the System or notifications are missing or reporting inaccurate offender custody status data.</li> <li>• System or components are operating in a materially degraded state;</li> <li>• Potential services to Users or the Department are affected which could place victims or Users in danger or jeopardize their personal safety</li> <li>• The security or integrity of data and/or Confidential Information is at risk; a security breach or data breach has occurred or other critical loss of security; data is lost</li> </ul>
Major	<ul style="list-style-type: none"> <li>• Deficiency or issue that could (or did) cause a significant or serious consequence for the System but a workaround satisfactory to the Department is available until the Deficiency or issue is ultimately addressed so the System is functions correctly and in accordance with Specifications</li> <li>• For example, a significant function of the System (such as registering for notifications, or sending out accurate, timely and complete data in notifications, or accurately updating offender status data) is impaired or adversely affected, but a workaround satisfactory to the Department is available until the issue is ultimately resolved so that the System functions correctly and in accordance with Specifications</li> </ul>

Minor	<ul style="list-style-type: none"> <li>Deficiency or issue that could (or did) cause small or negligible consequences for the System but an easy workaround or recovery solution exists until the Deficiency can be resolved so the System functions correctly and in accordance with Specification</li> <li>For example, data entry is impaired on a limited basis, but a workaround exists until the issue can be resolved;</li> <li>The System is providing misleading error messages, displaying output in a font or format other than what the customer or user desired; or there are simple typos on screen</li> </ul>
Routine Support	<ul style="list-style-type: none"> <li>System is operating per requirements/system rules. Support request is made for assistance, information or services that are routine in nature, such as to clarify operations, receipt of insufficient data, creating an ad hoc report, etc.</li> </ul>

**3.2. Support Response Time Service Level.** “Response Time” shall be measured from the time when the Department, the Site, or any person or entity initiates the Support Request (or, if earlier, the time a System alarm indicates a problem or Deficiency has occurred) until the time InfoStrat has Responded to the person or entity who initiated the Support Request. “Respond” means that InfoStrat is working to diagnose the corresponding Deficiencies, issues, problems and/or errors underlying the support request and has notified the person or entity initiating the Support Request that such support has begun using the same method of communication used by the user originating the support request. If the Support request originates from a Site, InfoStrat shall also notify the Department of the request within the response time.

**NOTE:** InfoStrat’s responsibility under this SLA for Response Time shall not apply to:

- Defect or outage with any Indiana desktop system
- Defect or outage with the Internet, itself
- Defect or outage on public user’s computing device or their internet connectivity

**3.3. Resolution Time Service Level.** Resolution time shall be measured from the time when the Department, the Site, or any person or entity initiates the Support Request (or, if earlier, the time a System alarm indicates a problem) until the time InfoStrat has Resolved the Support Request. “Resolve” or “Resolved” means InfoStrat has provided the Department with a solution to the underlying Deficiency, issue, problem and/or error and the Department has confirmed that the underlying Deficiency, issue, problem and/or error has been sufficiently corrected and made available to Users. The Department shall promptly evaluate the InfoStrat’s solution and respond whether the Deficiency, issue, problem and/or error has been sufficiently corrected.

**NOTE:** InfoStrat’s responsibility under this SLA for Resolution Time shall not apply to:

- Defect or outage with Office 365, Dynamics 365, or Azure infrastructure
- Defects or outages caused by failures of or Deficiencies with any IT systems located at a Sites or operated or managed by a Site’s vendor
- Defect or outage with any Indiana third party services such as Indiana’s ISP (Internet Service Provider)
- Defect or outage with any Indiana desktop system
- Defect or outage with the Internet itself
- Defect or outage on public user’s computing device or their internet connectivity

Support Request Classification	Service Level Metrics for Response and Resolution (Target Times)
--------------------------------	--

Critical	100%; <b>Respond</b> within two (2) hours during <i>Critical Hours</i> and four (4) hours during <i>Non-Critical Hours</i> of the time the support request was made.
	100%; <b>Resolve</b> within four (4) hours of the time the support request was made.
Major	100%; <b>Respond</b> within four (4) hours during <i>Business Hours</i> and ten (10) hours during <i>Non-Business Hours</i> of the time the support request was made.
	100%; <b>Resolve</b> within 24-hours of the time the support request was made.
Minor	100%; <b>Respond</b> within 48-hours during <i>Business Hours</i> of the time the support request was made.
	100%; <b>Resolve</b> within five (5) business days of the time the support request was made.
Routine Support	100%; <b>Respond</b> at next scheduled support meeting or within one week, whichever is shorter.
	<b>Resolve</b> as mutually agreed.
Enhancement	100%; <b>Respond</b> at next scheduled support meeting or within one week, whichever is shorter.
	<b>Resolve</b> as agreed and within the mutually agreed Change Management processes.

**4. Availability Service Levels.** The System shall be Available for the percentage of the time each month of the Term of the Agreement as set forth below.

**Availability during Critical Hours.**

At a minimum, 99.9% Availability for the System in each calendar month of the term of the Agreement during Critical Hours.

**“Availability”** means the number of hours the System are Available For Use during Critical Hours in a given calendar month expressed as a percentage of Critical Hours during a calendar month (i.e.,  $\text{Availability \%} = ((\text{Number of Critical Hours} - \text{Downtime during Critical Hours}) / (\text{Number of Critical Hours})) \times 100\%$ ).

**“Available For Use”** shall mean the ability of the System to be utilized or accessed as contemplated under the Agreement(s), including conformance to the Specifications, and without material degradation of performance, but excluding Scheduled Downtime.

**“Downtime”** means the aggregate duration of Outages for the System during the applicable Scheduled Uptime during a calendar month.

**“Outage”** means any time during which the System (or any portion thereof) is not Available For Use during a calendar month, measured from the earliest point in time that such Outage is detected by InfoStrat and, in any event, no later than the time the Outage actually occurred. A System-wide Outage constitutes a Critical Support Request.

**“Scheduled Downtime”** means scheduled maintenance Outages communicated to the Department at least twenty-four (24) hours in advance, which Outages shall last no longer than is reasonably necessary to address the applicable maintenance need. Maintenance is normally scheduled from 9:00 p.m. and 11:00 pm, EST on Tuesday or weekend nights.

**“Unscheduled Downtime”** shall mean an Outage that is not a Scheduled Downtime.

**“Scheduled Uptime”** shall mean any time during a Calendar month that is not Scheduled Downtime.

**Availability during non-Critical Hours.**

At a minimum, 97% Availability for the System in each calendar month of the term of the Agreement.

**“Downtime,” “Outage,” “Unscheduled Downtime,” “Scheduled Downtime,” “Scheduled Uptime” and “Available For Use”** shall each of the meaning defined above.

**“Availability,”** for purposes of this paragraph, means the actual number of hours the System are Available For Use during Scheduled Uptime in a given calendar month expressed as a percentage of Scheduled Uptime during a calendar month (i.e.,  $\text{Availability \%} = ((\text{Number of hours the System are actually Available For Use during Scheduled Uptime} - \text{Downtime during Scheduled Uptime}) / (\text{Number of hours the System are actually Available For Use during Scheduled Uptime})) \times 100\%$ ).



**NOTE:** InfoStrat's responsibility under this SLA for System Availability shall not apply to:

- Defect or outage with Office 365, Dynamics 365, or Azure infrastructure.
- Defect or outage with any Indiana third party services such as Indiana's ISP (Internet Service Provider)
- Defects or outages caused by failures of or Deficiencies with any IT systems located at a Sites or operated or managed by a Site's vendor
- Defect or outage with any Indiana desktop system
- Defect or outage with the Internet itself
- Defect or outage on public user's computing device or their internet connectivity

- 4.1. **Unscheduled Downtime Reporting.** InfoStrat shall track and report monthly to the Department each Unscheduled Downtime for System Components and Processes.
- 4.2. **Service Level Audits.** The Department or its designee will have the right to audit InfoStrat's measurement, monitoring, and reporting on all service levels described above, including providing the Department with access to the data used by InfoStrat to calculate its performance against the service levels and the measurement and monitoring tools and procedures utilized by InfoStrat to generate such data for purposes of audit and verification.
- 4.3. **Meetings.** InfoStrat and the Department shall meet at least twice a month to review the status of open Support Requests, and discuss trends and issues relating to Support Requests and approaches to reducing the number of Support Requests as well as improving both the Department and InfoStrat responses to such Support Requests.
- 4.4. **Service Levels Added.** Service Levels shall be adjusted in accordance with the following:
  - 4.4.1. Where data exists for at least six (6) months from which measurements can be derived, the Department and InfoStrat shall review the measurement trends and the levels of quality that were attained during the measurement period and shall work together in good faith to mutually agree, and to establish the service level standard that InfoStrat will be required to meet; or
  - 4.4.2. Where no such data exists, the Parties shall attempt in good faith to mutually agree during a thirty (30) day period on a service level standard using industry standard measures or third-party vendor advisory services.

## **5. Service Outages.**

- 5.1. **Scheduled.** InfoStrat will notify the Department of scheduled outages at least twenty-four (24) hours in advance, and such outages will last no longer than one (1) hour, whenever possible. Such outages shall be scheduled between the hours of 9:00 p.m. and 11:00 pm, EST on Tuesday or weekend nights ("Scheduled Downtime"). InfoStrat may request extensions of scheduled down time above one (1) hour and such approval by the Department, which may not be unreasonably withheld or delayed.
- 5.2. **Unscheduled outages.** Unscheduled outages are not excluded from the Availability service levels set forth above (i.e., an Unscheduled outage, except due solely to the actions of the Department and its agents, shall not relieve InfoStrat of its obligation to achieve the service levels set forth herein). Unscheduled outages of any individual Site or the System not solely caused by a Site (or its IT vendors) or a Microsoft-controlled system shall be considered Critical errors and are subject to the Critical service level metric listed above for response and resolution time.