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**OECOSL Central and Regional Eligibility Offices RFP**

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# 1.0 Introduction

The Family and Social Services Administration (FSSA) Office of Early Childhood and Out of School Learning (OECOSL) seeks a Contractor to provide Child Care and Development Fund (CCDF) and On My Way Pre-K (OMWPK) Regional Eligibility Offices (REOs) and a Central Eligibility Office (CEO) responsible for the successful administration of intake services for the CCDF and OMWPK program applications across the State of Indiana. The Contractor shall work closely with community partners and other social services agencies within the State of Indiana under the scope of the Contract.

# 2.0 Background and Purpose

The mission of OECOSL is to provide families with informed child care choices that will aid their children’s health, safety, and future success in school. To accomplish this, OECOSL manages programs that oversee the early education, development, and care of children. The services OECOSL provides include child care assistance for low-income working families and/or families in education or training programs, as well as efforts to improve the availability of child care for toddlers, infants, school-aged children, and children with special needs. OECOSL provides these services statewide through local service providers. OECOSL is also responsible for licensing child care homes and centers, registering unlicensed child care ministries and the OMWPK program sites.

The State of Indiana recognizes the following types of child care providers:

* Licensed Child Care Centers: Nonresidential buildings in which at least one (1) child receives care for regular compensation for more than four hours but less than twenty-four (24) hours in each of ten (10) consecutive business days.
* Licensed Child Care Homes: Residential structures in which at least six (6) children, excluding the program’s children, receive care for regular compensation for more than four (4) hours but less than twenty-four (24) hours in each of ten (10) consecutive business days.
* Unlicensed Child Care Ministries: Structures operated by a church or other religious organization that is exempt from federal taxes. Certain unlicensed ministries must pass an additional on-site inspection to be eligible for Child Care and Development Fund (CCDF) vouchers.
* Legally Licensed Exempt Programs (LLEP): Programs including public schools and non-public schools which achieve the CCDF Provider Eligibility Standards (PES) certification. These providers, as well as Unlicensed Registered Child Care Ministries, must meet criteria defined in IC 12-17.2-2-8.

Each of these provider types is eligible to participate in the CCDF voucher program after they have passed an on-site inspection. Providers interested in becoming an approved OMWPK program must become CCDF eligible and complete an OECOSL application.

## 2.1. CCDF Services Background

The CCDF voucher program provides child care assistance for low-income families who are employed or enrolled in an educational or training program. The program offers coverage across the State of Indiana. The Contractor shall administer the CCDF voucher program statewide in accordance with eligibility requirements and applicable federal and State procedures.

## 2.2. On My Way Pre-K (OMWPK) Services Background

The On My Way Pre-K (OMWPK) program awards vouchers to children aged four (4) from low-income families so that they may have access to a high-quality pre-K program the year before they begin kindergarten. Families who receive a voucher may use the voucher at any approved OMWPK program statewide. Eligible families must have a 4-year-old child that is a resident of Indiana, have an applicant/co-applicant with a service need, and earn less than 140 percent of federal poverty level. The Contractor shall administer the OMWPK applications statewide in accordance with applicable federal and State procedures and eligibility requirements.

## 2.3 Overview of Current Services and Program Goals

### 2.3.1 Overview of Current Services

Currently, the services covered by this Contract are provided via five separate, regional Intake Agent / Eligibility Office contracts, covering distinct regions of the State.

The current CCDF and OMWPK Local Eligibility Offices play a critical role in the successful administration of the CCDF voucher program and OMWPK applications in the State of Indiana. These duties, to be provided by the Contractor beginning 9/1/26, include but are not limited to:

1. Gathering and maintaining accurate and up-to-date data for all applications, changes, reauthorizations, enrollment forms, supporting documentation, benefit recovery claims, and pre-hearing and hearing tasks.
2. Processing applications and determining eligibility of CCDF and OMWPK applicants.
3. Maintaining the CCDF wait list.
4. Enrolling eligible children with appropriate child care providers.
5. Supplying applicants with consumer education materials provided by the State.
6. Understanding, interfacing, and entering data into State systems that support the eligibility process, including but not limited to Automated Intake Systems (AIS).
7. Utilizing State-supported internet-based software and State forms.
8. Ensuring quality assurance of applicant determinations, enrollments, recertifications, and applicant file updates.
9. Reporting data and compliance with program regulations and policy.
10. Following all requirements in the CCDF and OMWPK Policy and Procedures Manual, and any other requirements provided by the State.
11. Providing adequate staffing resources required to operate the program.
12. Providing any and all information requested by FSSA, i.e., costs, timing of on­boarding, communication and coordination of New Hire Training, documentation of remedial training, and any other areas for which FSSA requires supporting documentation.
13. Notifying OECOSL and obtaining approval from OECOSL of any operational changes that the Contractor desires to implement.

### 2.3.2 Program Goals

OECOSL seeks to move to the model outlined in this Contract, wherein one vendor provides Central and Regional Eligibility Offices to process OMW and CCDF applications throughout the State. While OECOSL seeks a single Contractor, the Office also expects the Contractor to maintain a strong regional presence in all areas of the State, including developing and maintaining partnerships within the community. As a part of this Contract, OECOSL also expects the Contractor to support OECOSL in maintaining a regional presence throughout the State, specifically through the REOs, which will provide room for OECOSL staff (as described in Section 8.3). To help achieve these goals, the Contractor may utilize subcontractors to provide sufficient statewide coverage but shall maintain comprehensive oversight over all Contract activities in the State.

# 3.0 Central Eligibility Office (CEO) and Regional Eligibility Offices (REOs) Model Overview

In alignment with the Program Goals outlined above, the Contractor shall provide one Central Eligibility Office (CEO) and 12 Regional Eligibility Offices (REOs) dispersed throughout the State to ensure there are two (2) REO’s in each region and ensure State of Indiana residents have reasonable accessible to OECOSL offices and services. The CEO shall be responsible for the intake, review, authorization, tracking, and maintenance of all CCDF and OMWPK applications. REOs shall support the CEO by fielding questions and intaking information from applicants, routing applicants and information to the CEO, processing changes to applications, and providing general in-person support.

## 3.1 Overall (Central and Regional Eligibility Offices) Services

At a high level, the Contractor will be responsible for providing comprehensive front-end case management and administrative support for the eligibility determination process. The Contractor’s services encompass a range of activities, including the intake of new applicant applications, processing applications, maintaining existing applicant cases, and managing the initial stages of appeals and complaints. The Contractor shall maintain an active phone presence and provide telephone support to applicants as well as maintain a website to provide support, guidance, and the ability to schedule appointments. The Contractor shall also offer flexibility in appointment locations, times, and days to meet the needs of applicant families and in support of appropriate customer service (see Section 4.9). See Section 5.0 for additional details on overall service requirements.

## 3.2 Central Eligibility Office (CEO) Services Overview

The CEO is the single dedicated center, located anywhere within the State, that performs administrative and processing functions for applicants in the entire state (not one specific region or county). The CEO will be “OECOSL-branded” and reflect a State-approved presentation and operation. All CEO functions shall be performed by the Contractor in accordance with State policies and the State operational directives provided at the time of Contract Award and signature. Resources assigned to working on CEO functions must be located in the CEO. See Section 6.0 for additional details on required Central Eligibility Office Services.

## 3.3 Regional Eligibility Office (REO) Services Overview

The twelve (12) REOs are the applicant-facing centers where the Contractor manages changes in applicant case statuses. Each of the REOs will be “OECOSL-branded” and reflect a unified, consistent, and State-approved presentation and operation. Failure to maintain twelve (12) open and operational REOs across the state at all times will result in a $10,000 withhold per day for each REO less than the 12 total. The Contractor’s REO staff shall support the CEO through fielding questions and requests from applicants in-person and over the phone and routing to the CEO as appropriate. The REOs shall also support the facilitation of community partnerships. All functions performed in the REOs are the responsibility of the Contractor and/or approved subcontractors in accordance with State-wide policies and State operational directives. The Contractor shall ensure that REOs are accessible and evenly distributed throughout the State, as directed by OECOSL (see Section 8.2). See Section 7.0 for additional details on required REO Services.

# 4.0 Overview of Application Process

The CEO and REOs will operate seamlessly with each other to complete the CCDF and OMWPK application process. Please note that the intended allocation of responsibilities between the CEO and REOs are delineated in the subsection titles below.

## 4.1 Preliminary Eligibility Check - Central Eligibility Office

When applicants apply online via Early Ed Connect (EEC), the system shall preliminarily determine whether a CCDF or OMWPK applicant meets the necessary income guidelines, service needs, residency requirements, and applicant/child eligibility requirements for the CCDF voucher program and OMWPK program. If they meet all the necessary requirements, the system will place them on the wait list. Once pulled from the wait list, the Contractor shall verify that applicants meet the service need, financial need, residency and age requirements and that applicants have chosen an approved provider to access CCDF or OMWPK funding.

While applicants typically apply online, the Contractor shall collect a paper pre-application from all applicants for whom the online application is inaccessible.

The pre-application shall be used to determine preliminary eligibility status, including declaration of a valid service need, verification of each household member’s income, and verification of priority. The Contractor shall assist applicants in completing the pre-application, as needed.

The Contractor shall verify the applicant has provided all information needed to complete an application before moving forward with the authorization of an application. CCDF applicants may be placed on the CCDF wait list depending on the availability of CCDF funding.

The Contractor shall also complete any and all general administrative work associated with the CCDF or OMWPK eligibility process.

Functional Requirements Serving New Applicants

1. Process applications submitted through mail, fax, email or online using OECOSL’s online portal Early Ed Connect (EEC) for CCDF and OMW
2. Update applicant and/or co-applicant information such as address, email, and phone number in State system
3. Maintain qualified personnel that assist applicants with inquiries, basic screening information, or completing an application
4. Respond to all inquiries with accurate and consistent information regarding OECOSL programs, status of applications, or other case actions
5. Provide call monitoring and data accuracy.

## 4.2 CCDF Wait List Maintenance - Central Eligibility Office

The Contractor shall manage a list of applicants that preliminarily meet the eligibility requirements for the CCDF voucher program through the pre-application including financial eligibility and declaring a service need, but for whom there are no available CCDF funds.

As directed by OECOSL, the Contractor shall ensure the wait list is accurate by contacting any applicant in writing who has been on the wait list for more than ninety (90) days to inquire if the applicant still has a valid service need. If the applicant fails to appropriately respond to the written request within the timeframe set by the State, the Contractor shall purge the applicant from the CCDF wait list.

The Contractor shall ensure that enrollment off of the wait list is completed per the guidelines set by the State. The Contractor shall provide written notification to a wait list applicant when funds become available for enrollment. The Contractor shall notify applicants in the priority order set by OECOSL.

The Contractor shall be prepared to manage enrollment responsibilities when open enrollment results in spikes in the number of applicants (see Section 10.2 for additional detail on Minimum Staffing Requirements). These responsibilities include informing applicants on the wait list about how to complete enrollment. During times of increased applications, the Contractor may add additional staff to the CEO or REOs or pull staff from REOs with smaller workloads to supplement REOs with larger workloads. In addition, the State reserves the right to adjust the number and composition of FTEs assigned under this Contract. The State shall provide the Contractor with at least ninety (90) calendar days’ written notice prior to any adjustment.

## 4.3 Applicant Authorization - Central Eligibility Office

### 4.3.1. Initial Intake of Applicants

Following the determination of preliminary eligibility or when an eligible applicant moves off the wait list, the Contractor shall begin the authorization process for an applicant and complete the initial intake processing of the CCDF and OMWPK applications per State guidelines. As part of the initial intake processing, the Contractor shall authorize applications, provide information regarding child care subsidies and other consumer education materials provided by the State, conduct authorization interviews with applicants, assure that the information contained on the application is complete and correct, and obtain any outstanding required information or necessary documentation needed to complete enrollment all within the timeframes required by the State.

During the application authorization, the Contractor shall compile an applicant file to include all applicable documentation as required by the State. The Contractor shall verify service need, income, residency, identification, and other required information to confirm the applicant is eligible. The Contractor shall copy and scan documentation that verifies the information required for application authorization. The Contractor shall maintain this documentation until directed by the State to shred. If an applicant is missing information, the Contractor shall stop the authorization of the application and provide the applicant with written documentation that additional information is required. The Contractor shall also proactively assist applicants with completing and submitting all required documentation.

The Contractor shall also follow all established procedures for assuring accuracy of information contained in applications and supporting documentation. The Contractor shall not process information and/or supporting documentation when the Contractor knows that it contains false or misleading information. The Contractor shall follow-up on any incomplete applications received, as required. The Contractor shall correct any errors experienced or identified during the intake process within the timeframes required by the State.

### 4.3.2. Applicant Authorization Interview

The Contractor shall conduct an application authorization interview for new applicants. The applicant authorization interview shall allow for new applicants to submit and the Contractor to verify the necessary eligibility and enrollment materials. A new applicant is defined as an individual who has not been actively participating in the program for the previous ninety (90) days. Only staff that are trained by the State can determine eligibility.

The Contractor shall schedule an interview with the applicant, within the required timeframe as directed by the State, in order to enroll the applicant in the CCDF or OMWPK program. The authorization shall include voice contact with the applicant (e.g. in-person, phone, video call, etc.). A virtual interview option may be offered to all applicants, but each applicant shall be permitted to request an in-person interview. Initial interviews are not required to be conducted face-to-face, but if a face-to-face interview is requested by the applicant, the Contractor shall provide an interview opportunity at any county in the State, in a location convenient for the applicant, in coordination with the relevant REO(s), as applicable. During the interview, the applicant shall sign and date the Applicant Worksheet. Subsequent reauthorizations do not need to be completed through the same medium as the initial interview, and can be completed remotely or through other OECOSL-approved procedures, provided that all required documentation is collected, verified, and retained in accordance with OECOSL policy. The Contractor shall follow all OECOSL-set policies when conducting all interviews.

### 4.3.3. Voucher Authorizations

The Contractor shall determine whether the applicant requests a part-time voucher (2 days per week) or a full-time voucher (3 or more days per week) before creating vouchers. When creating vouchers, the Contractor must verify the applicant’s information, provider’s information, and enrollment period are correct.

### 4.3.4. Enrollment of Children with Child Care Provider

Using a completed and signed Provider Information page, to be provided to the Contractor by the State, the Contractor shall assign a child to the applicant’s selected child care provider based on who is eligible to receive reimbursement through CCDF or OMWPK. The Contractor shall also ensure that the Family Agreement is signed by the family of each child receiving an OMWPK voucher.

## 4.4 Applicant Reauthorization - Central Eligibility Office

The Contractor shall conduct an eligibility re-determination no less than every 53 weeks to determine if an individual or family still meets criteria for receiving CCDF or OMWPK services. This process may be done no earlier than thirty (30) calendar days before the applicant’s subsidy end date. The Contractor may complete this through face-to-face interview (offered at any county in the State, in a location convenient for the applicant, in coordination with the relevant REO, as applicable), mail, fax, email, or other State-approved means.

Functional Requirements Serving Existing Applicants

1. Process reauthorizations in accordance with applicable Federal and State policies and procedures
2. Complete eligibility reauthorizations for applicants by reviewing and processing the information provided by the applicant according to State policies and procedures
3. Review forms for completeness; enter updated information from the form into the State system and request verifications, if applicable
4. Generate Pending Verification for applicants to collect missing information during eligibility determination
5. Route work electronically to eligibility determination staff for the processing of an accurate and timely eligibility determination in accordance with OECOSL instructions
6. At the time of any review or case action, Contractor staff shall be responsible for entering clear and concise case notes into the State system for any review or case action performed by the Contractor

## 4.5 Applicant Entry and Tracking within AIS - Central Eligibility Office

The Contractor shall enter all required information into AIS within the timeframe defined by the State, as applicable, and track all applications within the AIS system. The items the Contractor enters and tracks shall include, at a minimum, the following: the name of the applicant and household members, application contact information (e.g. address, phone number, and email address), applicant priority, date of the application, and verification of income.

## 4.6 Changes in Applicant/Case Status - Regional Eligibility Offices

Families are required to report changes in information to the Regional Eligibility Office within ten (10) calendar days, through mail, fax, email or other State-approved means and may include verification of wage and/or education program enrollment. Families are required to report the following to the Contractor:

* Change in address;
* Change in name;
* Change in household size;
* Change in TANF status;
* Loss of service need;
* Change in physical custody;
* Change in income which exceeds 85% of State Median Income; and
* Change in total assets to one (1) million dollars.

For Applicants calling to report a change, the Contractor must authenticate the caller, locate the case in the State system, process the change, obtain appropriate verifications if needed, and enter the appropriate information depending on the type of change being reported. The Contractor shall make all necessary status updates by close of business the Saturday of the week the appropriate verifications are received. The Contractor shall remind applicants to report any relevant changes. The Contractor shall process changes in each applicant’s eligibility status in accordance with applicable Federal and State policies and procedures.

## 4.7. Appeals - Central Eligibility Office

The Contractor shall complete all appeals in compliance with the State approved appeal policy including tracking of all correspondence.

Functional Requirements for Appeals

1. In the case of applicants filing appeals, the Contractor must determine if the appeal was filed timely (as determined by program policy applicable to the program category under appeal) and review the following to determine timeliness for continued benefits:
   1. Reason for the appeal;
   2. Notice of action date; and
   3. Effective date of closure and/or change
2. Monitor and support Appeal functions performed to ensure adequate staffing and compliance with State policies and metrics.

Policies and procedures change frequently within FSSA, typically as a result of State or Federal requirements, and all above functions must be updated as those changes are implemented.

## 4.8. Complaint Tracking and Reporting - Central Eligibility Office

The Contractor shall implement a comprehensive, accurate, efficient, and timely system and process for logging, tracking, and reporting to the State all verbal and written complaints received by, or referred to, the Contractor from any source. The system shall be submitted to the State for approval at the start of the Contract. This system shall also be used to facilitate and document timely follow-up by the Contractor in the resolution of complaints and to generate statistical reports on complaints, complaint patterns, and their resolutions. Please reference Attachment M – Infrastructure Overview for additional information.

The Contractor shall respond to all complaints received within one (1) business day. The Contractor shall draft thorough and accurate written responses to all inquiries, regardless of source, pertaining to Contractor operations or performance, as directed by the State. The Contractor shall document all correspondence with applicants as required by the State, including phone logs and complaint logs.

## 4.9. Customer Service - Central Eligibility Office and Regional Eligibility Offices

The Contractor shall have a customer service plan that includes operating a toll-free number, answering phone calls in real time, and responding to emails. Email responses should be provided in one (1) business day. If it is necessary for applicants to leave a voicemail, all voicemails should also be answered within one (1) business day. Additionally, this plan shall describe how the Contractor shall meet the needs of families with communication barriers such as lack of proficiency in English or hearing impairment (including use of State-identified language interpretation services when necessary). The Contractor shall also offer flexibility in appointment locations, times, and days to meet the needs of applicant families.

The Contractor shall answer any general CCDF or OMWPK questions from families and providers or forward such questions to the appropriate party.

# 5.0 Overall (Both Central and Regional Eligibility Offices) Service Requirements

The following responsibilities shall be performed by the Contractor in both the Central Eligibility Office and Regional Eligibility Offices located throughout the State of Indiana, in support of OECOSL’s responsibility for CCDF and OMWPK eligibility determination.

## 5.1 Outreach and Community Engagement

### 5.1.1 Family Engagement Support

The Contractor shall engage in efforts to encourage engagement and follow-through from applicant families. The Contractor shall follow all OECOSL-set policy when conducting family engagement.

### 5.1.2 Consumer Education

The Contractor shall provide applicants with consumer education materials on the CCDF voucher program and the OMWPK program developed by the State. The Contractor shall follow all requirements in the CCDF and OMWPK Policy and Procedures Manual, and any other requirements provided by the State.

As part of its consumer education responsibilities, the Contractor shall provide information supplied by the State to families served by the Contractor regarding relevant programs including Hoosier Healthwise, TANF, SNAP, and other relevant programs. Further, if families served by the Contractor specify health care for their children as a particularly important need, the Contractor shall refer the family to the appropriate resources.

### 5.1.3 Child Care Referrals and Information Provision

The Contractor shall refer applicants to childcarefinder.in.gov or Brighter Futures (<https://brighterfuturesindiana.org/>) when appropriate. The Contractor shall provide applicants with State-provided information on Paths to QUALITY (PTQ) and other initiatives.

### 5.1.4 TANF/IMPACT and SNAP Families

If applicable, based on guidance from OECOSL, the Contractor shall ensure CCDF applicants are able to access services in their county of residence within five (5) business days of their TANF/IMPACT or SNAP referral. The Contractor shall follow all requirements in the CCDF and OMWPK Policy and Procedures Manual, and any other requirements provided by the State. Link: https://www.in.gov/fssa/carefinder/child-care-assistance/

### 5.1.5 Other Referral Categories

If applicable, based on guidance from OECOSL, the Contractor shall ensure other prioritized referral categories are able to access services in their county of residence within five (5) business days of their referral. The Contractor shall follow all requirements in the CCDF and OMWPK Policy and Procedures Manual, and any other requirements provided by the State.

## 5.2 County and Community Partnership

### 5.2.1 County and Community Collaboration

The Contractor shall collaborate with community partners, including but not limited to the local DFR office or IMPACT office for TANF referrals. The Contractor shall develop a plan that documents their approach to all community partnerships in each county, including the identification of local community partners and each party’s roles and responsibilities in the delivery of services to CCDF families. The Contractor shall submit this plan to OECOSL for review and approval.

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## 5.3 Support via Telephone

The Contractor shall maintain an active phone presence and provide telephone support

for both Regional Eligibility and Central Eligibility Offices, in adherence with the following requirements:

1. The Contractor's agents are responsible for achieving "One Call Resolution," defined as completing all tasks and resolving all issues resulting from a given telephone call. All agents shall be responsible for achieving One Call Resolution and may not assign tasks resulting from a given telephone call to another agent for completion. One Call Resolution may require connecting callers to the Central Eligibility Office for further assistance and triage. Exceptions to "One Call Resolution" shall be made for the following instances:
   1. Call disconnect or call failure on the applicant side (such as a phone battery failure, signal drop, etc.)
   2. Caller chooses to call back to complete the necessary action (such as needing to call back at a later time with additional information, or to finish a phone application, etc.)
   3. Caller requesting status of a case or documents that have not yet been processed or completed (such as a caller looking to verify that documents faxed in that morning have been received yet, or the status of a case that has not yet been approved.)
2. The Contractor shall answer all incoming phone calls from applicants. The purpose of these calls may include, but is not limited to:
   1. Reporting changes and addressing questions about reported changes.
   2. Addressing questions about applications and reauthorizations.
   3. Appointment scheduling or rescheduling.
3. The Contractor shall be capable of making outbound calls and taking callbacks as may be required for the accurate and timely completion of service requirements, including making outbound data gathering calls at the State’s request.
4. When requesting a return phone call, Contractor staff shall leave on the voicemail their first name and that they are from OECOSL, phone number, and extension, if applicable.
5. If an applicant requests to speak to a supervisor or manager, Contractor staff shall transfer the call to an appropriate, available supervisor or manager for resolution. The supervisor will document in the Case Notes the reason for the escalated call and the outcome of the phone call.
6. The Contractor shall track and report on support provided via telephone, including but not limited to, information required to verify performance against the applicable measures included in Section 16.1.

## 5.4 Support via Website

The Contractor shall provide and maintain a single website for applicant support, guidance, as well as appointment scheduling. This website shall be OECOSL-branded and shall be reviewed and approved by OECOSL to ensure it meets the State’s expectations. The Contractor shall:

1. Provide a single, unified online destination for:
   1. Help resources and application process guidance
   2. Appointment scheduling
   3. Contact information, including information on telephone support and listing of physical locations
2. Maintain a clean, intuitive, and accessible website experience aligned with State-approved branding and usability guidelines.
3. Ensure that all content is reviewed and approved by OECOSL prior to publication, including updates and new features.
4. Support integration and/or cross-linking with the OECOSL public website and other State-managed digital platforms, as directed by the State.
5. Ensure the website remains available to users at least 99% of the time, excluding State-approved maintenance windows.
6. Test and support browser compatibility for current versions of major browsers (e.g., Chrome, Edge, Safari).
7. Maintain mobile-responsiveness and ADA-compliant accessibility standards.
8. Ensure all website components comply with State and FSSA Privacy and Security requirements.
9. Protect user privacy and prevent unauthorized access to any restricted content or user data.
10. Maintain secure authentication. The proposed solution is expected to integrate with Access Indiana. The [IN.gov Program](https://www.in.gov/inwp/) is tasked with implementing a single sign-on authentication mechanism and Identity Provider for online applications for the State of Indiana, referred to as Access Indiana. The benefits of a standard authentication solution, integration strategy, integration process, and more can be found at [Access Indiana Authentication](https://www.in.gov/inwp/applications/authentication/) (<https://www.in.gov/inwp/applications/authentication/>).
11. Continuously monitor the website for broken links, outdated content, and performance issues.
12. Maintain a documented change control process for functionalities and content updates.
13. Include website availability, usage analytics, and content update activity in the monthly performance report submitted to the State.

## 5.5 Fraud Management

1. The Contractor shall take fraud reports or referrals and send them to OECOSL for processing.
2. The Contractor will cooperate with all FSSA Investigations.

## 5.6 Administrative and Other Miscellaneous Services

1. The Contractor shall ensure continued communications between the State, the CEO, and the REOs and discuss and implement agreed upon action plans as required.
2. The Contractor shall manage the CEO and REO workloads and day-to-day operations in coordination with OECOSL (e.g., mandatory overtime, special projects, special queue tasks, and specialized trainings).
3. The Contractor shall manage any equipment and supplies provided by the State or Contractor located at the CEO or REOs.
4. The Contractor shall utilize State-identified language interpretation services when necessary.
5. The Contractor shall report potential system issues within one (1) business day or seek program, system, or policy guidance as needed. The systems include AIS, EEC, QASE and document scanners.
6. The contractor shall partner with IndentoGO to serve as a mobile fingerprinting location or become a fingerprinting location if the Contractor and the State determine the need for fingerprinting services warrants an additional location.
7. The Contractor shall maintain office hours required by the State (8:00AM - 4:30PM in the local time zone) excluding State holidays. The Contractor’s staff shall provide extended hours, at least one night per week and one Saturday per month, at the CEO and at each REO.
8. The Contractor shall participate jointly with the State in Business Continuity and Disaster Recovery Procedures, as applicable, including those that require the Contractor to mobilize staff to alternate sites in the event of a disaster or other event that impacts an area of the State and OECOSL operations that pertain to the scope of this Contract.
9. The Contractor shall be responsible for explaining forms and program guidelines during the course of related customer service interactions.
10. The Contractor shall respond to inquiries within guidelines set by the State. Any inquiry from an attorney shall be referred to the State Central Office for approval, unless they are acting as an authorized representative or possess power of attorney.
11. The Contractor shall process returned mail including the implementation of any necessary address changes or status changes and re-mail applicant correspondence, as needed.
12. The Contractor shall report to OECOSL any applicant complaints about the program or program services received by Contractor or its agents that result in disciplinary action or remedial training. The supervisor will document the basis of the complaint and what was done to address the issue in the complaint tracker. The supervisor will immediately, and no later than one (1) business day, notify OECOSL of the complaint, and will email a full report to OECOSL within two (2) business days. The Contractor shall review and assist with resolving complaints upon State request.
13. The Contractor shall, in coordination with the State and Regional staff, respond to management evaluations, QC reports, Federal requests for information, and Corrective Action Plans ("CAP(s)").
14. The Contractor shall respond to Public Records Requests after seeking appropriate authorization from the State to release any requested records and documents to the State.
15. The Contractor shall perform independent procurements as required to support Contractor responsibilities.
16. The Contractor shall provide all information required by OECOSL.
17. The Contractor staff shall be available to cooperate with OECOSL regarding State system problem resolution as required.
18. The Contractor shall cooperate with and participate in Federally required management evaluations.
19. The Contractor shall provide a subject matter expert (SME) to testify in court upon State request.
20. The State has robust and comprehensive data transmission standards that operate enterprise wide. The IOT established and maintains these standards, which support IOT’s data exchange and API-led strategies for the State. The Contractor’s solution must support the State’s standard API and file transfer methods to facilitate secure data transmission. The State’s standardized data transmission technologies are the MuleSoft API Management and GoAnywhere Managed File Transfer (MFT) services. See <https://www.in.gov/iot/policies-procedures-and-standards/applications-standards/>.

# 6.0 Central Eligibility Office Service Requirements

The CEO is the single dedicated center within the State that performs the functions below for applicants in the entire state (not one specific region or county). All CEO functions shall be performed by the Contractor in accordance with State policies and the State operational directives provided at the time of Contract Award and signature. Resources assigned to working on CEO functions must be located in the CEO.

## 6.1 Application Process Support

As detailed in Section 4.0, the Central Eligibility Office shall support the CCDF and OMWPK application process, including the following functions:

* Preliminary Eligibility Check (see Section 4.1).
* CCDF Wait List Maintenance (see Section 4.2).
* Applicant Authorization (see Section 4.3).
* Applicant Reauthorization (see Section 4.4).
* Applicant Entry and Tracking within AIS (see Section 4.5).
* Appeals (see Section 4.7).
* Complaint Tracking and Reporting (see Section 4.8).
* Customer Service (see Section 4.9).

## 6.2 Initial Application Review

The Contractor shall perform the Initial Review of applications pulled from the wait list and verify the applicant meets requirements, including income guidelines and service need, in alignment with the responsibilities outlined in Section 4.1. The Contractor is not required to make calls to applicants on the waitlist.

## 6.3 Processing Applications

1. The Contractor shall be responsible for the end-to-end processing of all applications.
2. The Contractor shall enter available information, including indicators of incomplete data, into the State system with notes indicating whether additional verifications are needed.
3. The Contractor shall send appropriate instructions for verifications, as needed for those applications.
4. The Contractor shall enter verifications received into the State system, based on the Policy and Procedures manual and/or as instructed by OECOSL.

## 6.4 Processing Reauthorizations

1. The Contractor shall process all reauthorizations and issue final approval.
2. The Contractor shall enter available information, including the flagging of incomplete data, into the State system with notes that indicate what verifications are needed.
3. The Contractor shall send appropriate instructions for verifications needed for those reauthorizations.
4. The Contractor shall enter received verifications into the State system, based on the current Policy and Procedures manual and/or as instructed by OECOSL.
5. The Contractor's QA Team shall conduct ongoing reviews of case processing, as described in Section 12.0.
6. The Contractor shall be responsible for end-to-end processing when completing all reauthorizations.

## 6.5 Appeal Services

1. The Contractor shall review each case for accuracy and make corrections (adjusting action) as appropriate.
2. The Contractor shall review each appeal received in a timely manner by the Contractor within ten (10) business days and reinstate the case if approved.
3. The Contractor shall provide a written response to all applicants regarding first-level appeal decisions.
4. The Contractor shall be responsible for forwarding all second and third-level appeals received via fax, email or mail, to OECOSL, as appropriate.

## 6.6 Voucher Support and Recovery Services Provided by the Central Eligibility Office

The Contractor shall identify and determine incorrect vouchers dispersals in the manner described in the State operational directives. In the event an applicant incorrectly receives a voucher due to providing inaccurate or misleading information, the Contractor shall adhere to the following:

1. The Contractor shall be responsible for entering notes into the State system regarding any review or action on the case performed by the Contractor following identification of an applicant’s incorrect receipt of a voucher.
2. The Contractor shall determine whether a repayment is needed. If the Contractor determines a repayment is necessary, the Contractor shall refer and connect the applicant to a policy consultant within OECOSL.
3. The Contractor will refer applicants to the State Financial Management Unit for repayment to the State.

## 6.7 Fraud Management in the Central Eligibility Office

1. The Contractor shall report fraud and potential fraud to OECOSL in accordance with FSSA policy and procedures.
2. The Contractor will comply with the requirements of FSSA investigations.
3. The Contractor shall enter notes about fraud referrals in the state eligibility system.

# 7.0 Regional Eligibility Office Service Requirements

The REO is the applicant-facing center of the Eligibility Operation, in which the Contractor performs the below functions for applicants. All functions performed in the REO are the responsibility of the Contractor and/or approved subcontractors in accordance with State-wide policies and State operational directives.

## 7.1 Application Process Support

As detailed in Section 4.0, the REOs shall support the CCDF and OMWPK application process, including the following functions:

* Changes in Applicant/Case Status (see Section 4.6).
* Customer Service (see Section 4.9).

## 7.2 REO Staffing and Management Model

The Contractor shall dedicate fully trained and qualified, full-time staff to collect applicant information, process case changes, and perform general customer service for applicants.

The State has set a minimum staffing requirement and maximum staffing requirement for the number of FTEs dedicated to the REOs. The Contractor shall staff the REOs in accordance with the thresholds. For more information, please see Section 10.2.

The Contractor must provide an adequate staffing plan to meet the requirements of this Scope of Work and State and Federal requirements. The plan must also address the following elements of staffing and management:

* 1. Describe the overall management and supervisory structure including lines of reporting, and clearly identify individuals responsible for management of staff (including any subcontractors) at regional and statewide levels
  2. Describe how vacancies will be addressed as well as steps the Contractor will take to ensure a low staff turnover rate
  3. Describe the hiring policy and confirm that staff will be brought on as employees of the Contractor (or applicable subcontractors) or as "contract-to-hire"; in the latter case the individual must be converted from contractor to employee within 180 calendar days of their start date, to remain on staff. This information must be reported to the State on a monthly basis.
  4. The Contractor must work with subcontractors to mitigate turnover rates, fill vacancies in a timely manner as determined by the State, and staff the project in such a way that operations are not disrupted in any way.
  5. The Contractor shall be responsible for filling vacancies and facilitating their staff's movement between REO task work and REO Phone queues as directed by the State.
  6. The Contractor's staff shall work 40 hours per standard work week (i.e., excluding State holidays), from 8:00 AM - 4:30 PM.
  7. The Contractor shall track staff at different rates, depending on whether they are trained, trainees, or working Contractor-mandated overtime hours. Please note that only fully trained staff are eligible for overtime. The Contractor must also ensure that any sub­contractor staff receives identical pay and equivalent benefits relative to the Contractor's own employees, within six (6) months of their hire date.
     1. Trained staff is defined as staff who have successfully completed new hire training and orientation. Successful completion of training may be determined at the discretion of the State and may require utilizing State developed materials. Trainees are defined as staff who are currently enrolled in new hire training and orientation. Contractor-mandated overtime is defined as any time in which the State assigns over forty (40) working hours per week due to demand as specified in the above paragraph.
  8. In the event that the Contractor must assign overtime to fulfill contractual requirements, the Contractor shall be responsible for overtime pay and shall only invoice the State according to Section 15. If the Contractor falls below the minimum staffing requirement, the Contractor may assign overtime to meet the requirements in this contract. Please note that it will be the Contractor's responsibility to assign overtime. It will not be State-mandated. If staff are moved to assist with operations, at the State's direction, those staff shall not be counted towards the minimum staffing requirement.
  9. The Contractor shall ensure that all Customer Service Representatives (CSRs) are fully trained to complete all work as defined in the Scope of Work within this Contract prior to accessing any eligibility system, aside from production work during training. The Contractor shall actively monitor, review, and analyze the performance of their staff and their subcontractor's staff through a rigorous Quality Assurance program (for more information, see Section 12.0 - Quality Assurance and Compliance).
  10. Designated OECOSL managers and designated contractor staff must be granted access to the Contractor's time-keeping system. Specifically, they shall be given access to the following data:
      1. The names of staff members who work in each REO
      2. The number of hours each staff member has worked

## 7.3 Processing Changes

1. The Contractor shall process changes reported by phone, mail, email, fax, in-person, or online.
2. The Contractor shall enter available data regarding changes into the State system with notes that indicate whether additional verifications are needed.
3. When required, the Contractor shall send correspondence with appropriate instructions for verifications needed for those transactions processed.
4. The Contractor shall enter verifications received into the State system based on the guidelines set in the Program Policies and Procedures Operations Manuals and/or as instructed by OECOSL as outlined in Section 11.
5. The Contractor's Quality Assurance ("QA") Team shall conduct ongoing reviews of case processing, as described in Section 12.0.
6. The Contractor shall be responsible for end-to-end processing when making changes.

## 7.4 Document Collection

1. The Contractor shall be responsible for collecting eligibility information and documentation from applicants.
2. The Contractor shall be responsible for notifying applicants if any additional information or documentation is required to complete their application.
3. The Contractor shall enter available information, including indicators of incomplete data, into the State eligibility system with notes indicating whether additional verifications are needed.
4. Once all of the required information and documentation is collected, the REO shall share that information and documentation with the CEO for processing.

# 8.0 Physical Site Requirements

## 8.1 General Requirements

In order to satisfy the requirements set forth in this Contract, the Contractor shall provide CCDF and OMWPK eligibility determination services statewide. The Contractor shall have one (1) physical Central Eligibility Office (located anywhere within the State) and at least ten (10) physical Regional Eligibility Offices from which the Contractor provides services, each equipped with a toll-free number, fax line, and internet access. The Contractor shall ensure it has an adequate number of REOs to provide services in consideration of population and geographic needs.

The Contractor shall also have a presence and a plan for conducting face-to-face interviews for applicant authorization when requested by the applicant within every county statewide.

## 8.2 Required Regional Eligibility Office County Locations

The Contractor shall provide a REO in each of the following counties: Allen, Bartholomew, Clark, Lake, Madison, St. Joseph, Tippecanoe, Vanderburgh, and Vigo. The Contractor shall provide three (3) REO locations in Marion county. These REOs shall serve counties in alignment with the following regional breakout:

* **Region 1 (Lake, St. Joseph, and Tippecanoe REOs)**: Benton, Carroll, Cass, Clinton, Fulton, Howard, Jasper, Lake, La Porte, Marshall, Montgomery, Newton, Porter, Pulaski, St. Joseph, Starke, Tippecanoe, Warren, White
* **Region 2 (Allen and Madison REOs)**: Adams, Allen, Blackford, DeKalb, Delaware, Elkhart, Grant, Huntington, Jay, Kosciusko, LaGrange, Madison, Miami, Noble, Randolph, Steuben, Tipton, Wabash, Wells, Whitley
* **Region 3 (Marion REO)**: Boone, Hamilton, Hancock, Hendricks, Johnson, Marion, Morgan, Shelby
* **Region 4 (Vanderburgh and Vigo REOs)**: Brown, Clay, Crawford, Daviess, Dubois, Gibson, Greene, Knox, Lawrence, Martin, Monroe, Orange, Owen, Parke, Perry, Pike, Posey, Putnam, Spencer, Sullivan, Vanderburgh, Vermillion, Vigo, Warrick
* **Region 5 (Bartholomew and Clark REOs)**: Bartholomew, Clark, Decatur, Dearborn, Fayette, Floyd, Franklin, Harrison, Henry, Jackson, Jefferson, Jennings, Ohio, Ripley, Rush, Scott, Switzerland, Union, Washington, Wayne

The assignment of counties covered by each REO shall be approved by OECOSL. Each of these REOs will be “OECOSL-branded” and present a unified, consistent, and State-approved presentation and operations.

The Contractor shall meet all minimum OECOSL-set, county-specific CCDF and OMWPK REO requirements. The State reserves the right to modify the required county locations, including adding new REO(s) locations and/or counties, at any time.

## 8.3 State Office Space

In support of OECOSL’s interest in maintaining a regional presence throughout the State, as well as to support State-monitored Contract compliance efforts, the Contractor shall provide the following at the Central Eligibility Office and each of its REOs at no additional cost:

* Usable office space for at least ten (10) State staff members at the CEO and five (5-8) State staff in REOs in larger population areas, including at least one (1) closed door office, unless otherwise approved by OECOSL. The Contractor shall allocate office space for State staff members at the REOs as follows:
  + - 5-8 State staff in Allen County
    - 5-8 State staff in Lake County
    - 5-8 State staff in each Marion County location
    - 5-8 State staff in Vanderburgh County
    - 3-5 State staff in the remaining counties (Bartholomew, Clark, Madison, St. Joseph, Tippecanoe, and Vigo)
* A dedicated training space within the CEO, which shall be made accessible for OECOSL-led trainings
* Access to meeting/conference rooms, as applicable.
* Sufficient parking availability for at least” ten (10) State staff members, unless otherwise approved by OECOSL.
* Allow State personnel access to all files pertaining to CCDF and OMWPK Central and REO services.
* Allow State personnel access to the internet, phone, printer/copier, and other services as applicable.

## 8.4 Office Maintenance

The Contractor will be responsible for the operation, maintenance, repair (including capital improvements), and management of the Central Eligibility Office and Regional Eligibility Offices.

## 8.5 Property Tax

If the Contractor holds any leases used in support of this project, the Contractor, in addition to all rent, will be responsible for paying any real estate taxes associated with the lease directly to the landlord. The State will not reimburse the Contractor for any property taxes associated with any lease. At the time this Contract commences, all leases will have a lease rate that does not include taxes, and taxes will be paid separately by Contractor to Landlord.

## 8.6 Facilities Acquisition, Management, and Operations

The Contractor must provide Facility Acquisition, Management, and Operation services. The Contractor must utilize processes and procedures to manage facility acquisition and operation if the State decides to expand its eligibility operations and/or relocate existing facilities. The Facility and Business Structure Transition Plan must include processes and procedures to shift responsibility and control of facilities identified under the Contract that are operated by previous contractor(s), as applicable. The Facility and Business Structure Transition Plan must detail the structure under which those facilities will be managed and operated.

The Contractor shall:

1. Provide directly as a part of a core business operation, through the landlord, or through a subcontractor, all facility maintenance, managerial and administrative functions, including but not limited to:
   * Facilities day-to-day management;
   * Operation and maintenance of electrical, mechanical, and technical equipment;
   * Architectural, structural, and mechanical maintenance of building including doors, windows, and gate systems;
   * Floor repair;
   * Physical security including security guards;
   * Lock and locksmith services, including security locks and electronic locks;
   * Intrusion alarm systems;
   * Office supplies and furniture;
   * Postage meters;
   * Document pick up & destruction;
   * USPS, UPS, FedEx, OHL;
   * Break room supplies;
   * Appliance repair, including repair of kitchen and break room equipment;
   * Janitorial services;
   * Elevators and vertical transportation systems;
   * Landscape maintenance;
   * Radio system;
   * Repairs to vandalism;
   * Pest remediation;
   * Fire extinguishers;
   * Fire alarm and fire suppression system, including fire sprinklers; and
   * Exterior lighting including lighting of the parking lot.
2. The Contractor will work with OECOSL to ensure that the training facilities within the Central Eligibility Office are appropriately maintained and always available for training activities.
3. Notify OECOSL immediately by phone and follow-up via email of discovery of any facility issues that impact staff working in, or operations of, the facility.
4. Notify OECOSL by email with a full report within one (1) calendar day of discovery of any facility issues that impact staff working in, or operations of, the facility. The report must detail the issue, when and how it was discovered, operational impacts, corrective measures to remedy the issue, and future plans to detect and prevent future occurrences.
5. Utilize the designated leasing broker for OECOSL to discuss and/or negotiate any new leases, existing leases, expansions, downsizes, etc. with existing landlords and/or potential new landlords. This leasing broker will represent both OECOSL and Contractor in any leasing efforts. The Contractor's Facilities Manager or a designated representative shall be responsible for all project management work related to Furniture, Fixtures, & Equipment (FF&E) throughout the facilities including but not limited to construction management, finishes selections, furniture, equipment, wiring/cabling infrastructure, IT needs, moving services, space planning, etc.
6. Utilize the State of Indiana's preferred vendors such as those contractors holding State Quantity Purchase Agreements (QPAs) for moving services or other applicable one-time costs.

# 9.0 Technology Requirements

## 9.1 Required Computer Hardware and Software

Administration of the CCDF and OMWPK voucher program is dependent on the ability of Regional Eligibility Offices to access, modify, and exchange data for applicants and child care providers, including scanning of applicant documentation. The Contractor shall ensure all staff have access to a high-speed internet-connected computer (with dual monitors) to access and operate the State’s AIS and a printer/scanner. Computers shall be Windows-based and shall require Microsoft Office, Adobe Reader, web browser, and e-mail access. All computers shall be able to access and utilize AIS. The proposed solution is expected to integrate with Access Indiana. The [IN.gov Program](https://www.in.gov/inwp/) is tasked with implementing a single sign-on authentication mechanism and Identity Provider for online applications for the State of Indiana, referred to as Access Indiana. The benefits of a standard authentication solution, integration strategy, integration process, and more can be found at [Access Indiana Authentication](https://www.in.gov/inwp/applications/authentication/) (<https://www.in.gov/inwp/applications/authentication/>). The Contractor shall also provide a warranty and be responsible for replacing any damaged hardware

The State of Indiana has adopted an enterprise-level policy governing the use of Artificial Intelligence (AI) within state government. The State of Indiana AI Policy is issued and monitored by the Office of the Chief Data Officer (OCDO), in cooperation with the Chief Privacy Officer (CPO) and the Management Performance Hub (MPH). In complement the AI Policy, the State Agency Artificial Intelligence Systems Standard outlines the rationale behind the AI Readiness Assessment process required for the implementation or any use of AI by a state agency. The standard outlines the requirement for the submission of a Readiness Assessment Questionnaire prior to implementation or use of an AI tool or system. Any proposed solution meeting these requirements must support the State’s AI Policy and follow the AI Readiness Assessment Process. See <https://www.in.gov/mph/AI/> for more detailed information.

## 9.2 Internet Capacity, Phone Line Requirements, and Website Requirements

The Contractor shall have internet capability for the transfer of CCDF and OMWPK reporting data.

The Contractor shall establish and maintain a sufficient number of toll-free telephone lines to ensure ready access to the community and applicants. In the event this Contract is transitioned to the State and/or a successor contractor, these telephone line(s) shall be transferred to the State or their designee at no cost. The Contractor shall also stay apprised of new technology and techniques that may enhance the Contractor’s operations and periodically inform the State of opportunities to apply the new technologies and techniques.

The Contractor shall provide and maintain a single website for applicant support, guidance, as well as appointment scheduling as outlined in Section 5.4.

## 9.3 Required Security

All hardware and software utilized by the Contractor shall abide by the following requirements:

* The Contractor shall ensure all computers have adequate anti-virus and encryption.
* The Contractor shall develop and implement a plan to maintain Moderate Level compliance with the National Institute of Standards and Technology (NIST), Special Publication 800-53, Revision 5: Security and Privacy Controls for Federal Information Systems and Organizations, and subsequent revisions as directed by FSSA, for system and processes associated with the Contract. See the NIST website for more information: <https://csrc.nist.gov/pubs/sp/800/53/r5/upd1/final>.
* The State has robust and comprehensive security standards that permeate all levels of the organization. The Indiana Office of Technology (IOT) has been tasked with establishing and maintaining these security standards. The security standards include assessing security risks, developing, and implementing effective security procedures, and monitoring the effectiveness of those procedures. If the proposed solution involves information technology-related products or services, all such products or services are to be compatible with any of the technology standards found in the [Information Security Framework](https://www.in.gov/iot/iot-vendor-engagement/) (<https://www.in.gov/iot/iot-vendor-engagement/>) that are applicable, including the assistive technology standard. Respondents will be required to sign a Non-Disclosure Agreement (NDA) to access the IOT Information Security Framework; Respondent’s should review the IOT Information Security Framework, and ensure their proposed solution meets all standards therein.

# 10.0 Staffing

The Contractor shall provide adequate CCDF and OMWPK Central Eligibility Office and Regional Eligibility Office personnel who are accessible to meet the needs of CCDF and OMWPK applicants and conduct initial CCDF and OMWPK interviews, process CCDF and OMWPK applications, and perform all other relevant Central Eligibility Office and Regional Eligibility Office duties. The Contractor shall adhere to the total number and composition of staff and FTEs required for performance under this Contract, as determined by the State, per Section 10.2.

## 10.1 Key Personnel

At minimum, the following personnel types must be included:

1. **Program Director**: The Program Director is responsible for leading and managing the entire Contractor team. They are tasked with directing progress toward the CCDF and OMWPK Central and Regional Eligibility Office performance objectives. This role serves as the State’s primary point of contact for performance concerns and involves creating and executing communication plans for the OECOSL. The Program Director actively interfaces with OECOSL and other contractors as necessary and participates in software, policy, budget, and other meetings. This role is also responsible for communicating modifications to CCDF and OMWPK forms to applicants, providers, and community representatives. The Program Director oversees the preparation of reports and work plans to ensure completion in a comprehensive, accurate, and timely fashion. The Program Director also evaluates contract compliance through an effective internal quality control system and a continuous quality improvement approach.
2. **Regional Eligibility Office (REO) Program Managers:** Each REO Program Manager is responsible for leading and managing their entire REO team(s). A single REO Program Manager may oversee the operations of multiple REOs, as proposed by the Contractor and approved by the State. The REO Program Managers will work within the REOs and are responsible for ensuring that their teams of Contractor employees are 1) meeting the agreed upon Performance Metrics and 2) receiving any training or remedial training. The REO Program Managers will also handle any other staff-related issues at the REO level. The Contractor must suggest a management structure that facilitates the mentoring and training of new employees by more experienced employees and team members. Supervisors/managers that manage Customer Service Representatives (CSRs) must be fully trained as a CSR. If the supervisor/manager is fully trained and performing case work in production, they may be counted towards the minimum staffing requirement for the Regional Eligibility Office.
3. **Eligibility Specialists (ES):** Located at the Central Eligibility Office, the Eligibility Specialists (ESs) are responsible for reviewing and processing information related to applications for child care voucher assistance. An ES is responsible for reviewing submitted applications, identifying required applicant data and verifications to support the eligibility determination decision, communicating with applicants and/or other Contractor staff throughout the data collection process, and preparing the case information for a case review by the Quality Assurance team and the State. Based on operational needs, an ES may be assigned to a variety of functions.
4. **Customer Service Representatives (CSRs):** Each of the REOs shall be staffed with a team of Customer Services Representatives (CSRs). The primary responsibility of CSRs will be fielding questions and requests from new and existing applicants and routing necessary information to ESs at the CEO. The CSRs are also responsible for processing changes to cases in the State eligibility system ensuring that applicant service issues are resolved in a timely manner and in accordance with OECOSL policies and procedures.
5. **Quality Assurance Team:** The QA Team conducts audits and reviews to ensure that data is accurate and reliable and that applicants are receiving quality service. The QA Team is responsible for conducting reviews of Central and Regional Eligibility Offices, identifying issues and performing root cause analysis, recommending options and developing corrective action plans as required, and ensuring all Quality Assurance activities are complete. The QA Team uses tools approved by FSSA and its public assistance programs to enhance customer satisfaction and improve end-to-end case processing throughout the eligibility operation. Please see Section 12.0 for more information about the State's Quality Assurance expectations.
6. **Facilities Manager:** The Facilities Manager is responsible for oversight of facilities, including all facility maintenance, managerial, and administrative functions. The Facilities Manager shall be responsible for the maintenance and repair of buildings and equipment, and the provision of physical security and safety measures, supplies and furniture, and general upkeep for all facilities. The Facility Manager will be responsible for communicating with staff at the Regional Eligibility Offices to identify the facility's issues and/or needs. Please see Section 8.0 for more information about the State's facility management expectations. The Contractor may elect to combine the Facilities Manager and other position(s) as needed.
7. **Human Resources (HR) Lead:** The HR Lead will act as the day-to-day central point of contact for contractor staff and OECOSL Management. The HR Lead will:
   1. Act as the single point of contact to address any questions related to recruitment, employment, performance, pay, benefits, expenses, etc.
   2. Manage and facilitate all Human Resource related activities for Contractor staff, including but not limited to performance management, pay and benefit inquiries, PTO, workers' compensation, FLMA.
   3. Enforce all standardized policies including, but not limited to, attendance, PTO, and progressive discipline in collaboration with OECOSL Management
   4. Monitor and track performance of all Contractor staff
   5. Serve as the primary point of escalation for both OECOSL Management and Contractor staff
8. **Local Office Liaison:** The Contractor shall appoint a liaison that shall maintain communication with the local offices responsible for the administration of other family resources, including TANF/IMPACT and SNAP, to facilitate the processing of applications. The Local Office Liaison shall leverage existing community partnerships to support and increase enrollment in the OMWPK program. The role of the Local Office Liaison may be fulfilled by the Contractor’s designated REO Program Manager.

## 10.2 Minimum Staffing Requirements

In the table below, the State has set minimum staffing requirements for the number of FTEs dedicated to each of the Offices. The Contractor shall staff the Central and Regional Eligibility Offices in accordance with the "Minimum Staffing Requirements" table below. The Contractor shall not receive additional compensation should FTEs exceed the requirements outlined below. For purposes of the headcount calculation in the ''Minimum Staffing Requirements" table below, an FTE means an employee that is scheduled to work 40 hours each week for all business days in the month. The exact staffing levels per Office may fluctuate due to the operational needs of the State but shall remain above the minimum staffing requirements. In the event of staff turnover, the Contractor shall adhere to the requirements outlined in Section 10.10. Please note that trainees and part-time employees cannot be fully counted towards meeting the requirements below. For more information, please see Section 15.

**Table 1: Minimum Staffing Requirements**

|  |  |
| --- | --- |
| **Center Name** | **Minimum Staffing Requirement** |
| Central Eligibility Office | 40 |
| Lake | 6 |
| St. Joe | 3 |
| Allen | 6 |
| Madison | 3 |
| Marion | 6 |
| Vigo | 3 |
| Vanderburgh | 6 |
| Clark | 3 |
| Tippecanoe | 3 |
| Bartholomew | 3 |
| **Total** | 82 |

## 10.3 Staffing Plan

The Contractor shall provide a staffing plan, for State approval, that identifies the personnel who shall be used to fulfill the services described in this Contract. The staffing plan shall adhere to the total number and composition of staff and FTEs required for performance under this Contract, as determined by the State, per Sections 10.1 and 10.2. The staffing plan shall address the following:

* Job title, qualifications, and descriptions for each CCDF and OMWPK staff position;
* CCDF and OMWPK relevant training plans for both Contractor and State personnel;
* Subcontractor staff and responsibilities, if necessary;
* Estimations of average caseload per CCDF and OMWPK staff position;
* Estimations of the number of hours each CCDF and OMWPK staff position will be dedicated to performing Central and Regional Eligibility Office responsibilities;
* Contractor performance evaluation and progressive disciplinary policies for all staff; and
* Plans for the replacement of departing temporary and permanent staff.

Upon request, the Contractor shall provide the State with an updated organizational chart that shows the reporting structure and responsibilities of the Contractor’s staff and any Subcontractor staff.

## 10.4 Certification and Training of Central and Regional Eligibility Office Staff

The Contractor shall ensure that all CCDF Central and Regional Eligibility Office personnel are trained in all aspects of CCDF and OMWPK job functions.

All Contractor staff shall complete all certification procedures as outlined by the State and attend all required training(s) sponsored by OECOSL regarding policies and procedures on CCDF, OMWPK, and AIS. The Contractor shall plan and implement training for CCDF and/or OMWPK staff and participate in CCDF and/or OMWPK policy and procedure trainings, as required. The Contractor shall assure only staff appropriately trained to perform processing and case file management complete said responsibilities. Staff absence and staff turnover require cross training to be in place for the Contractor’s staff to ensure program efficiency in meeting the needs of families.

Additionally, the Contractor shall train all relevant staff on motivational interviewing practices to ensure that the questions being asked of families assist the Contractor in connecting families with needed services. The Contractor shall report to the State on the occurrence of this ongoing training.

The Contractor shall ensure background checks are obtained for all staff. Results of background checks shall be made available to the State upon request. Full criminal background checks shall be conducted every three (3) years. The Contractor shall also submit to the State a Consent to Release Information form on all staff annually on a schedule to be determined by the State, as well as for all potential new hires.

## 10.5 Eligibility Staff Remedial Training

At the request of the OECOSL, any Contractor staff displaying poor performance or who fail to be in compliance with performance requirements or standards shall receive remedial training. The Contractor must deliver remedial training to the worker and document the details of the training, including type of errors, trainer, date of the training, length of time of the training, and any attachments. Prior to implementation of the remedial training, the Contractor must obtain approval of the materials and the training administrator from the State. These verification documents must be maintained in the employee's personnel file. If poor performance recurs, the State will discuss potential remedial actions with the Contractor and appropriate action, in accordance with the issue resolution plan, including up to removal from the project, may occur.

## 10.6 Training Coordination and Expenses

A New Hire is defined as a person who has not successfully completed New Hire Training and Orientation, and/or not previously worked on this project.

The Contractor will be responsible for New Hire training, refresher training, as well as training on any changes to programs or policies. The Contractor will provide training to Contractor's Managers, Human Resources staff, and Quality Assurance staff relating to Contractor's Policies and Procedures, employee specific remedial training, training on internal policies and procedures, Human Resource matters, and any other additional training requested by the State.

The Contractor and OECOSL will develop a process for the Contractor to communicate to OECOSL the number of New Hires, locations, anticipated start dates, and type and frequency of reporting to coordinate the training of New Hires. The Contractor shall be responsible for maintaining an adequate number of staff in training in order to meet the staffing requirements, as defined by OECOSL.

## 10.7 Staff Dress Code and Staff Service Standards

The Contractor staff should follow the standard communicated guidance given to State of Indiana staff regarding acceptable work attire. As a general practice, professional or business casual attire is required of all contingent staff regardless of location. It will be the responsibility of the Contractor to communicate professional attire requirements to staff and to determine appropriateness of dress when clarification is required. Contractor staff may be removed at the request of OECOSL and replaced if not compliant with OECOSL business casual office standards as communicated.

The Contractor shall also develop a process to measure and correct any deficiencies in staff performance. This process shall ensure that staff adhere and perform in accordance with the following minimum standards. All staff shall:

1. Provide courteous, prompt attention to an applicant’s needs;
2. Respect the caller's privacy during all communications and calls and maintain the applicant's confidentiality;
3. Maintain sensitivity to applicant’s specific and individualized needs;
4. Display and communicate a completely professional demeanor at all times;
5. Ensure the dissemination of accurate information to all applicants.

## 10.8 OECOSL Background Check Standards

OECOSL reserves the right to consider the arrest and conviction record of any Contractor applicant for a position within the State. Arrests and convictions discovered during the background check process that have not been sealed or expunged by judicial action may be cause for the State to exercise any available remedies or corrective actions under the terms of the Contract.

Convictions are reviewed and evaluated against a standard of relationship nexus to the position applied for.

Any applicant that has applied for a position that has been found to have either been coded in the State personnel system as ineligible for employment due to a previous code of "Not Eligible for Rehire" (NEFR) as a former employee of the State of Indiana or any code that denotes removal from a previous contract assignment due to performance/disciplinary concerns, falsification of a State of Indiana application, or has been found to have had convictions that are deemed to be related to the position applied for, will be removed from the assignment at the request and discretion of OECOSL as well as from consideration from the position applied for.

OECOSL reserves the right to consider any conviction, including but not limited to the falsification of documents, forgery, fraud, check deception, or theft related to the work completed within OECOSL. This list is not all inclusive and the OECOSL reserves the right to consider other factors, including but not limited to recidivism of the applicant.

## 10.9 Functional Requirements for Staff

All staff located in the Central and Regional Eligibility Offices must be fully trained in all eligibility determination processes and procedures regardless of their specific assignments prior to accessing any State system, aside from work during training. Contractor staff located at the Central and Regional Eligibility Offices shall possess the knowledge, skills, and ability to provide the following:

1. An overview of OECOSL’s program eligibility rules;
2. Current information including the actual status related to an applicant’s application and enrollment status;
3. Assistance on all aspects of programs that may influence an applicant’s enrollment and use of benefits;
4. Assistance with the grievance or complaint process as it relates to OECOSL’s programs;
5. Assistance with the initial stages of appeals processing, and ongoing support for the State as requested
6. Assistance and direction for an applicants' application, forms, consumer educational materials, reauthorization forms, or other documentation;
7. A prompt response in generating and mailing all application packets, forms, consumer educational materials, reauthorization forms, or other documentation;
8. The current status of an applicant's application processing, eligibility, enrollment in the child care voucher program, and effective date of enrollment;
9. Assistance and information related to the reauthorization process, factors that influence any change in status concerning reauthorizations, such as income, and where an individual may go to obtain reauthorization assistance;
10. Assistance on issues or status related to missing information;
11. Change or update case files, address, email, phone number, and the State's status change process;
12. Accurate end-to-end processing;
13. One-call resolutions.

The Contractor's staff, including all management, must use the State email system and FSSA email addresses to communicate all information pertinent to OECOSL-owned data (e.g., PII, PHI, and other secure/protected data).

## 10.10 Staff Turnover and Vacancies

The Contractor shall notify the State in writing, in a format approved by the State, when personnel depart the organization, are replaced, or moved to other positions within its organization. The notification shall occur within five (5) business days of the Contractor’s decision to move the individual. In cases where the individual resigns, the Contractor shall inform the State on the day the Contractor is notified of the employee’s intent to resign. The Program Director and Regional Eligibility Office Program Managers shall be exclusively assigned to this project and is not permitted to manage, oversee, or participate in other projects, contracts, etc. Any redirection of the Program Director or Regional Eligibility Office Program Managers either temporarily or permanently, requires written OECOSL approval.

A vacant position shall be filled with a staff person of equal or greater ability and shall be subject to approval of the State. Vacant positions shall be filled within thirty (30) calendar days of the vacancy, except the Program Director and REO Program Manager positions which shall be filled within sixty (60) calendar days of the vacancy. If one or more positions/FTEs remain unfilled for more than thirty (30) calendar days, the State reserves the right to reduce and/or withhold some or all of the Contractor’s invoices until the position(s) is filled, or to take additional corrective action.

During the course of the Contract, the State reserves the right to require replacement of the Program Director, REO Program Managers, or any other Contractor employee or Subcontractor employee whose work is unacceptable to the State. Reasons for unacceptable work performance include, but are not limited to, the inability of the person to carry out work assignments or unsatisfactory job performance as determined by the State. The individual shall be removed within two (2) weeks of the request for removal and be replaced within thirty (30) calendar days after the position is vacant or sixty (60) calendar days after Program Director or REO Program Manager positions are vacant, unless a longer period is approved by the State.

# 11.0 Policies and Procedures Operations Manual

Subject to the OECOSL Contract Manager's approval, Contractor shall develop and implement a Policies and Procedures Operations Manual (Manual) that governs all operations in effect under the Contract. Once approved, the Contractor and its employees shall abide by all policies and procedures in the Manual. Please see the following expectations for the Manual:

* The Manual shall define and document roles and responsibilities for Contractor's employees;
* The Manual shall be and remain the property of the State of Indiana;
* The Manual shall be accessible to State employees at all times, and;
* The final, State-approved Manual, containing all State-determined revisions, additions, and changes shall be due at least thirty (30) calendar days prior to the Contract operation date.

# 12.0 Quality Assurance and Compliance

## 12.1 File Retention

The Contractor shall be responsible for the storage, accuracy, and maintenance of applicant files until transferred to the State. Therefore, the Contractor shall maintain an electronic file on all CCDF and OMWPK cases by using state supplied document scanners and using theState supported scanning software (QASE). In addition, the Contractor must retain all original documentation in CCDF and OMWPK paper case files as required by the state. The Contractor shall also ensure that all required documentation is obtained and maintained in the paper file and retain all paperwork following the policies and procedures required by the State.

## 12.2 Quality Assurance (QA) Standards and Expectations

The Contractor shall ensure State approved internal QA controls and supervision are in place to review and monitor eligibility determination functions and ensure Contract compliance. The Contractor shall have on-going State approved QA procedures to review new applications, determine eligibility and process authorizations and reauthorizations, and process updates that affect eligibility. The Contractor shall leverage the Quality Assurance System of Eligibility (QASE), as directed by OECOSL, and correct all errors found by State monitors and referred to the Contractor. The QA procedure shall ensure eligibility documentation is complete and accurate.

To ensure that the State of Indiana is continuing to provide the highest quality of service, the Contractor shall provide a dedicated, independent QA Team to provide the services described below and related duties as directed by OECOSL. The actual number of staff will be reported in the Monthly Performance Report (MPR).

A detailed summary report shall be provided to OECOSL by the tenth (10th) of the following month and contain a rolling twelve (12) month task-based cumulative analysis of the Central Eligibility Office's and each of the Regional Eligibility Office’s performance and procedural compliance.

The Contractor's QA Team shall be responsible for the following:

* Ongoing QA reviews for the Central and Regional Eligibility Offices and tasks completed
* Execution and delivery of QA reviews with the focus of accuracy, and policy application and end-to-end processing.
* Conducting case reviews of completed tasks in accordance with OECOSL policies and established checklists.
* Complete above QA reviews and required reporting in accordance with metrics determined by the State.

The Contractor must provide an organization chart that includes their Quality Assurance structure, including how the Contractor will separate their operational team from their Quality Assurance team. The organizational chart must clearly map reporting lines and the management structure for both the operational team and the Quality Assurance team.

## 12.3 Notification of Problems

Upon discovery of any problems that may affect the daily operations of the Contract or any area impacting the Contractor's operations, the Contractor shall immediately notify OECOSL by telephone and email. The Contractor will also email a full report to OECOSL within one (1) business day. This includes but is not limited to, any problems related to customer­ facing responsibilities, including processing applications and answering phone calls.

All reports, notifications, operational status summaries, or other documentation of information requested by OECOSL shall be recorded and supplied, at no additional cost, within one (1) business day. The Contractor will record all problems and develop and submit to OECOSL a CAP within ten (10) calendar days to prevent the problem from recurring. OECOSL will review and make reasonable efforts to approve the CAP within ten (10) calendar days of receipt.

## 12.4 AIS Error Reports

The Contractor shall use AIS generated reports to identify potential inaccurate files. Corrections within State approved timelines are required.

## 12.5. Referral of Fraud

The Contractor shall report all suspected fraudulent activities to the State and cooperate in all investigations.

## 12.6. Confidentiality

The Contractor shall comply with all Federal, State, and OECOSL policies and procedures regarding confidentiality. Any information concerning applicants of the CCDF or OMWPK voucher program shall not be disclosed to any person, agency or organization except the State without the express written consent of the applicant. Any information and/or documentation received by the Contractor as the Regional Eligibility Office for the CCDF or OMWPK voucher program shall be used only for eligibility and case file management purposes provided pursuant to this Contract.

## 12.7. Conflict of Interest Provisions for Employees as Applicants

The Contractor shall make provisions, subject to State approval, to accept and process applications for the CCDF and OMWPK voucher programs for employees of the Contractor / Subcontractor(s) to ensure accuracy, confidentiality, and impartiality for the employee, their spouse and their children.

The Contractor shall report potential conflicts of interest to the State and establish State approved guidelines for potential conflicts of interests.

## 12.8. Fund Designation Assurance

The Contractor shall assure funds provided through this Contract shall only be used to implement and support the administration of the CCDF and the OMWPK voucher programs and not towards other programs.

# 13.0 Reporting and Communication Requirements

**IV&V Engagement**

If the State decides to add Independent Verification & Validation services as part of this engagement, the contractor will copy the Indiana Department of Administration (IDOA) – Independent Verification & Validation (IV&V) team member(s) on all project related communications (emails, meeting invites, collaboration tools, etc.) and will grant access to all documents and deliverables throughout the term of the contract.

## 13.1 Quality Assurance Reporting

The Contractor shall design and submit a quarterly summary report on QA activities. The QA report shall address, but not be limited to, the following QA initiatives and monitoring activities:

1. Areas of concern identified by Contractor's QA initiatives and monitoring activities, pertaining only to the Contractor's performance and procedural compliance;
2. Corrective actions implemented, with outcomes summarized;
3. Corrective actions to be implemented with time frames;
4. Trends in Office performance and compliance;
5. Progress on correcting specific problems (CAPs, missed Performance Metrics, or other areas identified by the State); and
6. Resolution of all problems.

The Contractor shall include all relative aggregate and trended data collected during the QA and monitoring process in the QA quarterly report.

## 13.2 Reporting Requirements

The Contractor shall complete all reporting, including but not limited to general accounting, payroll, supplies, and performance standards compliance, as required by the State. In particular, the Contractor must submit a Monthly Performance Report (MPR) to OECOSL with a thorough performance analysis by the tenth (10th) of the following month.

MPR Required Structure:

* The MPR shall contain a detailed and comprehensive analysis of the Central Eligibility Office and all Regional Eligibility Office operations conducted in the preceding month.
* The MPR shall include the Contractor's strategy for the following month, including how the Contractor will continue or improve upon their current performance and procedural compliance.
* The Contractor must ensure the MPR contains detailed written analyses, narratives, and corresponding graphics (e.g., charts, graphs, and/or tables) of the required elements (see MPR Required Elements below). In instances where the Contractor provides data, the Contractor must also provide all related historical data from the previous twelve (12) months where applicable, to allow OECOSL to examine trends over time.

In addition to the above, the report must include the following:

MPR Required Elements:

* Call volume handled, noting comparison to previous month’s volumes
* Appeals conducted, the number of appeals approved or denied, and the reason for approvals
* Summary Report of Applicant Complaints including type of complaints, total number, and number per facility (see Section 4.8.)
* Number of errors identified by AIS generated error reports, including the total number of errors and number of errors per Office (see Section 12.4.)
* Number of calls escalated to a supervisor - total number and number per facility (see Section 5.3.)
* Vacancy information, including:
  + - Number of vacancies statewide and broken out by Regional Eligibility Office
    - Number of staff in training to fill vacancies
    - Number of vacancies that have not been filled within thirty (30) days (statewide and broken out by Office)
    - Time to fill vacancies (statewide and broken out by Office)
* Summary of QA Reviews (as defined by OECOSL) (see Section 13.1.)
* Monthly security breach/disclosure incident report
* Turnover rate (minus positive attrition to the State or another vendor on this project) for the month and previous twelve (12) months statewide and for each Office
* Monthly Staffing Report (in accordance with the State-approved template) as an attachment, including the total number of staff working on the Contract for the month in each office by their positions as of the last business day of the month, and should also include the total number of overtime hours worked. This analysis must be broken out by each Office.

The Contractor shall also assist and cooperate with the State monitoring process and correct any errors identified in the State monitoring process as required. In addition, the Contractor shall develop ad hoc reports as requested by the State within a timeframe to be agreed upon by the State and the Contractor.

## 13.3 Data and Records Retention

The State shall supply the Contractor with a list of files that should be purged and destroyed on an annual basis. All paper files shall be maintained until otherwise directed by the State. The Contractor shall develop procedures, including schedules, to ensure data to support operations is properly and routinely, scanned, purged, archived, and protected from loss, unauthorized access, or destruction as directed by the State. These procedures shall be submitted to the State for review and approval at Contract commencement. Purged data shall be retained on a State-approved electronic storage medium and be available to State staff. The Contractor shall retain files and records for a period of five (5) years. Following this time, the Contractor shall fill out the appropriate State forms and submit them to the FSSA Forms and Records Manager for approval prior to record transfer.

The Contractor shall also maintain all records and/or documentation as directed by the State. The Contractor shall afford the State access to any records, documentation and/or any sites maintained by the Contractor for the purpose of providing services pursuant to this Contract. The Contractor shall also develop, maintain, and provide access to records needed by the State to monitor the performance requirements and standards detailed in this Contract.

Any and all data requested by the State shall be transferred by the Contractor to the State in the manner specified by the State as to content, format, and timeliness.

All material relating to AIS remains the property of the State. The Contractor shall not copy or reproduce AIS data or use it for any other purpose except those expressed in this Contract.

## 13.4 State Meetings

The Contractor shall attend all required State meetings, trainings, and conference calls. These may occur weekly or monthly at the discretion of the State. The Contractor shall attend monthly progress check-ins with the State to ensure all services and operations are fulfilling the Contract requirements.

# 14.0 Transition, Implementation, and Turnover Requirements

## 14.1 Beginning of Contract Implementation Requirements

### 14.1.1. Implementation Schedule

CCDF and OMWPK Regional Eligibility Office implementation shall begin following the Contract award announcement. The implementation phase shall be completed no later than September 1, 2026, with the Contract operational start date scheduled for October 1, 2026. If, for any reason, the Contractor does not fully meet the operational start date and a Contract amendment delaying this date or start-up of a portion of the requirements listed has not been approved, then the Contractor shall be liable for costs incurred by the State to continue current operations and to complete the transition efforts. The Contractor shall forfeit any claims to reimbursement of monthly expenses or operational payments for that month and each month thereafter until the State approves operational readiness. Note, the anticipated start date may be set earlier than October 1, 2026, with reasonable notice from the State.

The State shall actively monitor transition activities during this phase of the Contract. Monitoring activities shall focus on progress made against the Contractor’s work plan, quality of deliverables submitted, and assessment of the Contractor’s readiness to begin operations.

### 14.1.2. System Information and Equipment

The Contractor shall be responsible for obtaining and setting up applicable computer hardware, software, and internet connections as described in Section 9. The Contractor shall work with OECOSL to ensure connections to OECOSL’s systems as described in Section 9. The Contractor shall also be responsible for working with the State to obtain training on OECOSL systems prior to the Contract operational start date.

### 14.1.3. Implementation Phase Scope

The Contractor is responsible for the timely and successful completion of each of the implementation phase tasks. In addition, the Contractor shall clearly specify and request information needed from the State in a manner that does not delay the schedule or work to be performed. Prior to taking over the scope noted in this Contract, the Contractor shall work with the State to develop and manage plans for transferring services from the incumbent vendors over an Initial Transition Period. As a part of the Initial Transition Period, the incumbent vendors will commence implementation of a State-approved Turnover Plan.

The Contractor shall complete the following deliverables during the Initial Transition Period subject to the change management process if deliverables change in content or timing within the Initial Transition Period. Note that while the State expects all of the activities below to be executed, at a minimum, OECOSL would consider the Contractor's recommended movement of these activities if the Contractor can justify why that adjustment would be optimal. While the activities below are cited as deliverables, it is anticipated that the Contractor will undertake a number of sub-activities to accomplish the milestones implied by the deliverables listed.

**Table 2: Implementation Timeline and Deliverables**

|  |  |
| --- | --- |
| Month | Deliverables |
| 1 | * Initial Transition Plan drafted and provided to OECOSL, including resources (quantity, type, and role) who will be available for the Initial Transition. Indicate what State and incumbents must make available to Contractor for successful Transition. Further, indicate the activities to be executed in each of the Initial Transition months.   + Transition Phase Workplan (with schedule and resource allocations that support the deliverables cited by month in this Contract)   + Project Management Plan     - Communication Management Plan     - Risk and Issue Management Plan     - Security Management Plan     - Facilities Transition Plan for transitioning facilities from incumbent agreement to new Contract     - Recruitment and Retention Plan - Staffing for full Operational readiness by October 1, 2026       * Determination of who from incumbent vendor will support the new Contract and how to transition       * Recruitment of new staff to support the new Contract       * Onboarding Management Plan for hires including timing, communication and coordination of Account Control credential and system access with OECOSL, communication and coordination of new-hire training with OECOSL Training team and OECOSL's designated Training Contractor with clarity on the number of vacancies and expected new-hire dates per region     - Knowledge Transfer and Operational Readiness Plan   + Development of internal operational documentation to support workers and management, including a customer service plan that includes responding to phone calls and emails within one (1) business day.   + An initial draft of the Initial Transition Plan that includes content for the bullets above should be provided by Contractor in their initial response to this Contract, to demonstrate their understanding of State requirements for successful transition * Finalized listing of names and contact information for Contractor's Executive and high-level Management staff   + **All** State credential requests submitted for these individuals to OECOSL * Summary of all Knowledge Transfer, shadowing, and Transition meeting activities Begin shadowing the incumbent vendor on all aspects of Project Management and Operations. * Creation of ongoing Transition meetings with the incumbent vendor and OECOSL |
| 2 | * Finalize Initial Transition Plan, subject to OECOSL approval * Summary of all Knowledge Transfer, shadowing, and Transition meeting activities. |
| 3 | * Initial Transition Plan activities scheduled for this month completed as documented * Summary of all Knowledge Transfer, shadowing, and Transition meeting activities |
| 4 | * Initial Transition Plan activities scheduled for this month completed as documented * Summary of all Knowledge Transfer, shadowing, and Transition meeting activities |
| 5 | * Initial Transition Plan activities scheduled for this month completed as documented * Summary of all Knowledge Transfer, shadowing, and Transition meeting activities |
| 6 | * Initial Transition Plan activities scheduled for this month completed as documented * Summary of all Knowledge Transfer, shadowing, and Transition meeting activities |
| 7 | * Initial Transition Plan activities scheduled for this month completed as documented * Summary of all Knowledge Transfer, shadowing, and Transition meeting activities |
| 8 | * Initial Transition Plan activities scheduled for this month completed as documented * Summary of all Knowledge Transfer, shadowing, and Transition meeting activities |
| 9 | * Initial Transition Plan activities scheduled for this month completed as documented * Staff Recruitment completed by October 1, 2026 * Summary of all Knowledge Transfer, shadowing, and Transition meeting activities * Facilities transition completed for all facilities to transfer to facilitation under this Contract by October 1, 2026 * Transition Plan execution complete for full Operational readiness on October 1, 2026 |

The first three (3) months of this Contract after the transition period (October, November, and December 2026) will not be subject to withholds or the minimum staffing requirement although the Contractor will still be assessed in accordance with the Performance Metrics listed in Section 16.

**General Implementation Contractor Responsibilities**

1. Report progress against the Contractor’s approved work plan for each task through weekly written status reports and at weekly status meetings with the State.
2. Update the project work plan on a weekly basis.
3. Deliver written status reports and updated work plans and schedules, including any changes in dates, by 9:00am, Eastern Time, one (1) work day before the status meeting.
4. Submit for review and approval the proposed format, content, and distribution plan for each deliverable a minimum of ten (10) business days prior to deliverable due date.
5. Submit deliverables on the schedule agreed to in the approved work plan.
6. Obtain written approval from the State on each deliverable submitted for review.
7. Revise deliverables, if requested, using State review findings to meet content and format requirements.
8. Collaborate with local community partners for each county on matters including, but not limited to, connecting applicants with CCDF eligible providers and OMWPK providers. The Contractor shall develop a plan that documents their approach to community partnerships in each county, including the identification of local community partners and definitions of each party’s roles and responsibilities. The Contractor shall submit the plan to OECOSL for review and approval.
9. Develop procedures and schedules to ensure that data to support operations is properly and routinely purged, archived, and protected from loss, unauthorized access, or destruction in accordance with the State’s guidance. See Section 13.3 for more information.
10. The Contractor shall maintain the necessary flexibility to accommodate the need for an occasional weekend and evening visit.

Project deliverables shall be reviewed by, and require written approval from, the State. The Contractor shall include a minimum of ten (10) business days, per deliverable, in the work plan for the State to review each deliverable and document its findings. Based on the review findings, the State may approve the document or specify conditional approval with a request that revisions be made.

### 14.1.4 System Connectivity and Testing

The Contractor shall be responsible for setup and testing connectivity from their locations to AIS. The system is in Java format, with a SQL server database.

### 14.1.5 Operations Preparedness

The Contractor shall be responsible for all costs associated with ensuring that it is able to take over the requirements of the Contract without disruption to the State, providers, or stakeholders.

There shall be a readiness review thirty (30) days before CCDF and OMWPK Regional Eligibility Office services begin under this Contract. The State shall work with the Contractor to define the structure and schedule of the operational readiness assessment. The Contractor shall demonstrate that all system processes and staffed functions are ready to assume responsibilities for operations. The Contractor is responsible for demonstrating physical facility security, data security, and fire/disaster prevention and recovery procedures, among other items.

### 14.1.6 Changeover

The Contractor shall take all steps necessary to ensure a seamless transfer of operations to its staff no later than October 1, 2026, and work with the State to quickly resolve any issues that might arise during the transition.

### 14.1.7 Post-Implementation Support

The Contractor shall continue to work with the State to ensure operational integrity throughout the Contract term.

## 14.2. End of Contract Turnover Requirements

### 14.2.1. Turnover Plan

The State wants to ensure that, to the greatest extent possible, program stakeholders experience no adverse impact from the transfer of the CCDF and OMWPK Regional Eligibility Office functions from the Contractor to either the State or to a successor Contractor. Ten (10) months prior to the end of the base Contract period, or any extension thereof, the Contractor shall develop and implement a State-approved Transition Plan covering the possible turnover of CCDF and OMWPK Regional Eligibility Office activities to either the State or a successor Contractor. In addition to the requirements detailed in Clause 13 Continuity of Services in the Contract, the following end of Contract Turnover requirements apply:

* Ten (10) months prior to the end of the base Contract period, the Contractor must develop and implement a State-approved Turnover Plan covering the possible Turnover of the agreement's scope to either the State and/or a successor contractor. The Turnover Plan must be a comprehensive document detailing the proposed schedule and activities associated with the Turnover tasks. The plan shall describe the Contractor's approach and schedule for transfer of all scope activities. The information must be supplied on media specified by the State and according to the schedule approved by the State. The following information should be made available by the Contractor in the Turnover Plan:
  + Contact information for Executive and other management staff supporting their agreement
  + All current Workgroups with descriptions of what they support. By Workgroup, they will provide ongoing updates on the following items as they occur during Turnover:
    - Staffing count
    - Names and State-issued contact information for all staff under the Contract
    - Training status (i.e., fully trained versus those pending new worker training)
  + Information on the tools being used to support the Contract and any pertinent data that supports the agreement's scope
  + Any work instruction and/or content issued to workers for the execution of their daily activities
  + Meeting cadence and agendas for ongoing Knowledge Transfer meetings for training, clarifying, and other related knowledge transfer discussions to ensure successful scope Turnover
  + Resource availability for new vendor to conduct shadowing throughout Turnover
  + Transfer of all paper files to the State or new Contractor
  + How “in process” applicant files will be transitioned to the State or new Contractor
  + Completing inventory transfer forms and obtaining relevant signatures
  + Completing scanning process of completed files
  + How equipment transfer will take place to the State or new Contractor.

The Transition Plan shall describe the Contractor’s approach and schedule for transfer of inventories, correspondence, documentation of outstanding issues, applicant files, and operational support information. The information shall be supplied on media specified by the State and according to the schedule approved by the State.

The Regional Eligibility Office Program Manager shall manage and coordinate all transition activities. The Contractor shall not reduce operational staffing levels during the transition period without prior approval by the State. The Contractor shall not in any way restrict or prevent Contractor staff from accepting employment with any successor contractor. The State shall work with the incumbent and successor contractors to determine the timing of any transition of incumbent staff.

Additional Turnover staff (e.g., Turnover Manager) costs shall not be considered additional cost.

### 14.2.2. Post-Turnover Responsibilities

Following transition of CCDF and OMWPK Regional Eligibility Office operations, the Contractor shall provide the State with a Regional Eligibility Office Transition Results report documenting the completion and results of each step of the Regional Eligibility Office Transition Plan. The outline and format of the Regional Eligibility Office Transition Results report shall be approved by the State in advance. The transition shall not be considered complete until this document is received by the State.

# 15.0 Billing and Invoicing

# IV&V Payment Approval

# If IDOA elects to deploy Independent Verification and Validation (IV&V) services in connection with this engagement, the IV&V Team shall review and assess all Deliverables to determine compliance with the State’s requirements as set forth in the Contract and/or applicable Statement(s) of Work. For contracts entered into, renewed, or amended after June 30, 2026, IV&V shall serve as an approving authority, and no payment shall be issued to the Vendor unless and until IV&V has provided such approval.

## 15.1 Compensation Structure

The Contractor shall be compensated through a combination of fixed-fee payments and approved pass-through reimbursements. Compensation will consist of:

* Staffing Fixed Fee: A monthly fixed payment covering all personnel costs and general administrative expenses.
* Facilities Lease and Operations Pass-Through: Reimbursement for actual, reasonable, and approved facility lease and operational costs.
* Technology and Start-Up Costs: One-time reimbursements for approved technology purchases and implementation/start-up expenses necessary to establish and maintain operations. Each component is further detailed in the subsections below.

## 15.2 Staffing Fixed Fee

The Contractor shall invoice the State monthly at a fixed fee rate for all staffing costs necessary to complete the responsibilities outlined in this Contract. The fixed monthly fee shall be inclusive of all direct and indirect costs necessary to perform the required services, exclusive of facility lease and operations costs, technology acquisitions, and approved start-up expenses as outlined in this section.

The monthly fixed fee will be based on:

* The number of Full-Time Equivalent (FTE) positions assigned and approved under the Contract; and
* The annualized salaries associated with those FTEs.

The number and composition of FTEs required shall be determined by the State. As of the anticipated operational start date of this Contract (October 1, 2026), the State anticipates a total of 82 FTEs, in accordance with the Minimum Staffing Requirements listed in Section 10.2.

Training Status and FTE Calculations

Staff not fully trained shall count as fractional FTEs based on training completion (e.g., 0.25, 0.5, or 0.75 FTE). For example, until an ES is fully trained (i.e., sixty (60) calendar days after the completion of the new hire training and orientation), they shall count as a fractional FTE based on the amount of training completed to date. The Contractor shall round down to the nearest quarter FTE based on training completion.

Overtime and Leave

The fixed monthly fee shall include all Contractor Staff costs for overtime, vacation, sick days, holidays, and personal leave. Any Contractor mandated overtime must be pre-approved in writing by OECOSL. The State shall not be invoiced at a different rate for overtime incurred at the Contractor’s discretion.

Vacancies

If the Program Director or REO Program Manager positions remain unfilled for more than sixty (60) days, or if one or more other required FTE positions remain unfilled for more than thirty (30) calendar days, the State reserves the right to reduce or withhold a portion of the monthly staffing fee until the vacancy is filled, or to take other corrective action as needed.

Adjustments to FTE Staffing Levels and Fixed Monthly Fee

The State reserves the right to adjust the number and composition of FTEs assigned under this Contract. The State shall provide the Contractor with at least ninety (90) calendar days’ written notice prior to any adjustment. Corresponding changes to the fixed monthly fee shall be made on a pro rata basis, reflecting the revised number of FTEs and their associated annual salaries, effective on the first day of the month following the adjustment period.

Annual Salary Table

The table below includes the annual salaries of potentially applicable staff to this Contract, for the purposes of calculating the fixed monthly fee.

**Table 3: Annual Salaries**

|  |  |
| --- | --- |
| **Position** | **Annual Salary** |
| Program Director | *$TBD* |
| Regional Eligibility Office (REO) Program Manager | *$TBD* |
| Eligibility Specialist | *$TBD* |
| Customer Service Representative | *$TBD* |
| Quality Assurance Specialist | *$TBD* |
| Facilities Manager | *$TBD* |
| Human Resources (HR) Lead | *$TBD* |
| Local Office Liaison\* | *$TBD* |

*\*Please note that the role of the Local Office Liaison may be fulfilled by the Contractor’s designated REO Program Manager.*

## 15.3 Facilities Lease and Operations Pass-Through

The Contractor shall identify and secure office space sufficient to perform all required functions under this Contract.

* Allowable Costs: Lease payments, utilities, janitorial services, security, maintenance, and other reasonable facility operating expenses directly related to the performance of this Contract as approved by OECOSL.
* Billing: The Contractor shall bill the State monthly for actual facility lease and operations costs as pass-through reimbursements.
* Documentation: All pass-through invoices must include supporting documentation such as leases, rent statements, and receipts for utilities and other operating expenses.
* Exemption from Withhold: Facilities lease and operations costs shall not be subject to the ten percent (10%) performance withhold outlined in Section 16.

## 15.4 Technology Compensation

The State shall fund computers and other technology required to perform the responsibilities in this Scope of Work once during the Contract term, during the first nine (9) months of operations, upon Contractor request and State approval. All technology purchases must comply with OECOSL’s equipment policy, which may be amended at any time.

## 15.5 Implementation and Start-Up Costs

The State may reimburse the Contractor for approved implementation or start-up costs necessary to initiate operations under this Contract. Such costs shall be approved in advance and paid once during the Contract term, during the first nine (9) months of operations, upon submission and acceptance of required documentation by OECOSL.

## 15.6 Invoicing and Payment

Each month, the Contractor shall invoice the State for ninety percent (90%) of the approved staffing fixed monthly fee and one hundred percent (100%) of approved facility lease and operations pass-through expenses.

The remaining ten percent (10%) of the staffing fixed fee shall be withheld pending performance review, as detailed in Section 16.

The State shall review the Contractor’s reports and documentation monthly to determine if the established performance standards have been met. For each standard achieved, the corresponding portion of withheld funds will be released in the following month’s invoice. Failure to meet a performance standard will result in forfeiture of the associated withheld amount for that month.

All invoices shall be submitted in a State-approved format, itemize costs by category (staffing, facilities, technology, start-up), reflect any withhold adjustments, and include required supporting documentation for federal reporting. Final payment is contingent upon the State’s acceptance of services rendered and receipt of a complete and accurate invoice.

# 16.0 Performance Standards and Payment Withholds

Each month, the State shall withhold ten percent (10%) of the Contractor's monthly invoice for the staffing fixed fee pending verification of the Contractor's performance against the Performance Metrics described below.

The State shall evaluate the Contractor's success or failure to achieve quality Performance Metrics by conducting Quality Assurance reviews of a statistically valid sample. The Contractor shall have the opportunity to review and rebut the results in accordance with the process described below.

* On or before the 15th of each month, the Contractor shall invoice the State for 90% of the Contractor's monthly invoice amount for the previous month. The remaining 10% shall be withheld pending resolution of Contractor's overall performance against all Performance Metrics as described below
* The monthly amount billed for facilities (including lease costs and operating expenses) will not be subject to the above stated withhold.
* During the first three (3) months of the operational period that begins October 1, 2026, no withholds will occur for the time period of October 2026 to Dec 2026 to allow new vendor an opportunity to become familiar with Timeliness, Quality, and Staffing Performance Metrics.
* During the second three (3) months (i.e., months 4-6) of the operational period that begins on January 1, 2027, no withholds will occur for failure to meet Staffing Performance Metrics for the time period of Jan 2027 to March 2027 to allow new vendors an opportunity to ramp up to meet Staffing Performance Metrics. Withholds may occur related to Timeliness, Quality Performance and QA Metrics.
* Effective April 1, 2027, all Performance Metrics will be subject to potential withholds.
* Following verification of the Contractor's overall performance against Performance Metrics, the invoice amount may be subject to permanent withhold:
  + If the Contractor meets all Performance Metrics in a single month, 0% of the invoice amount will be permanently withheld.
  + If the Contractor fails to meet one (1) Metric in a single month, 5% of the invoice amount will be permanently withheld.
  + If the Contractor fails to meet two (2) Metrics in a single month, 10% of the invoice amount will be permanently withheld.
* Assessment of Contractor's success or failure to achieve Quality Metrics shall be performed by the State or a designated State contractor. The State will conduct an initial review of a statistically valid sample. Such statistically valid sample will exclude all types of work completed by 1) individuals while in training, and 2) individuals who have graduated from training for a period of ninety (90) days after graduation. The Contractor may rebut the State’s findings within ten (10) business days after receipt of the State’s report. This rebuttal must be sent to OECOSL and include all relevant documentation; no additional rebuttal documentation will be accepted after ten (10) business days following the receipt of the State’s report. If the Contractor and the State are unable to reach agreement during the rebuttal process, OECOSL will make the final determination. OECOSL will have ten (10) business days to review the Contractor's rebuttal and relevant documentation before making a determination. OECOSL's determination regarding the rebuttal will be final.
* The Contractor shall submit the Monthly Performance Report no later than the tenth (10th) calendar day of the following month to OECOSL and include Performance Metrics results in the Monthly Performance Report (see Section 13.2 for more details on the contents of the Monthly Performance Report).
* If Contractor fails to meet the requirements for one or more Performance Metrics ("missed Performance Metric(s)") or for any other reason, the State may request that the Contractor submit a Corrective Action Plan (CAP) to the State within ten (10) calendar days following a written request from the State. The State shall review and make reasonable efforts to approve the CAP within ten (10) calendar days of the CAP being received.
* If any events occur that Contractor believes adversely and materially affected its ability to meet any of its performance metrics, due to causes outside of Contractor's control, the Contractor may submit a request for a waiver from meeting the affected Performance Metric(s) with the Monthly Performance Report (MPR) applicable to the month for which the Timeliness, Staffing and QA Review Performance Metric(s) were missed or within ten (10) calendar days after receipt of written notice that a Quality Performance Metric(s) were missed.
* If the Contractor submits a waiver request, it has the burden to establish materiality and provide specific and detailed facts that the event(s) described above were the proximate cause of the Contractor's inability to meet any of its Performance Metrics.
* The OECOSL Director or their designee will make a reasonable effort to respond in writing within ten (10) calendar days.

## 16.1 Performance Metrics

1. **Definitions**
   1. Business days are defined as State working days.
   2. Non-business days are defined as weekends and State holidays.
   3. A due date is the calendar or business day when a particular activity or task is due. In the event that the Performance Metric is measured against a calendar day due date, and the due date would have fallen on a non-business day, then the due date is considered to be the previous business day. A due date is implied when requirements below note a particular activity or task is to be completed within a particular number of calendar or business days.
   4. All metrics are subject to annual review and may be changed to reflect changes in performance expectations. These changes will be made in coordination with vendor.
2. **Timeliness Metrics**
   1. **Applications Processing**
      1. 50% of all new enrollments and 65% of all case reauthorizations will result in a completed enrollment process within the timeframes set by the State each month.
   2. **Payment Recovery and Fraud Referrals in the CEO**
      1. Not less than 95% of all repayment plans shall be evaluated and begin processing within thirty (30) calendar days from date of referral.
      2. Not less than 95% of all suspected fraud referrals shall be forwarded to the State, with notes about the fraud referral entered in the State eligibility system as appropriate, within ten (10) business days of the date of case creation or discovery.
3. **Quality Metrics** 
   1. **Application Processing**
      1. The average accuracy rate for child care voucher applications processed by the Contractor in a given month will exceed 97% (i.e., 3% or less of cases appear on the payment reduction report).
   2. **Redeterminations and Change Processing** 
      1. The average accuracy rate for case changes in a given month will exceed 97%. Changes would include the following:
         1. Provider changes initiated through portals
         2. Roster clean up queue in AIS
      2. The average accuracy rate for all reauthorizations processed by the Contractor in any given month will exceed 97%.
   3. **Call Center** 
      1. The average accuracy rate for call handling and staff resolution of all issues raised during a telephone call ("One Call Resolution") will exceed 97%.
   4. **Staffing Metrics** 
      1. The Contractor shall maintain no less than the minimum staffing requirement of FTEs dedicated to the Regional Eligibility Office. The minimum staffing requirement shall be calculated, as of the last business day of the month, by the number of full-time FTEs available and working.
      2. The Contractor shall fill vacant positions within thirty (30) calendar days of the vacancy, except the Program Director and REO Program Manager positions which shall be filled within sixty (60) calendar days of the vacancy, unless otherwise agreed to by OECOSL. A position is considered vacant when a Contractor Staff is no longer working in the Central or Regional Eligibility Office and ends when a replacement is identified and starts work or is attending training.
         1. The time to Fill metric will not include time in excess of five (5) calendar days it may take Indiana State Police to return the Indiana State Police fingerprinting results to Contractor, and
         2. The time to Fill metric will not include time for when a position is placed "on-hold" by the State.
   5. **Quality Assurance Review Metrics** 
      1. Contractor's Quality Assurance (QA) Team shall complete at least two (2) task-based QA Reviews per month for the Central Eligibility Office and each of the Regional Eligibility Offices. Reviews shall utilize an evaluation tool and review methodology provided by OECOSL.
      2. A detailed summary report shall be provided to OECOSL by the tenth (10th) of the following month and contain a rolling twelve task-based (12) month cumulative analysis of the Central Eligibility Office’s and each of the Regional Eligibility Office’s performance. Additionally, a summary report of QA Reviews, as defined by OECOSL, for the Central Eligibility Office, each Regional Eligibility Offices, and the State as a whole shall be provided with Contractor's Monthly Performance Report.

# 17.0 Corrective Actions

It is the State’s primary goal to ensure the Contractor is accountable for delivering

services as defined and agreed to in the Contract. This includes, but is not limited to,

performing all items described in the Scope of Work, meeting all required time frames

and deadlines, and generally performing to the satisfaction of the State. Failure to

perform in a satisfactory manner may result in corrective actions and withholds described

below or Contract termination.

In the event that the Contractor fails to meet requirements set forth in the Contract, the State shall provide the Contractor with a written notice of non-compliance and may require any of the corrective actions or remedies discussed below. The State shall provide written notice of non-compliance to the Contractor within thirty (30) calendar days of the State’s discovery of such non-compliance.

## 17.1 Corrective Action Plans

If the State determines that the Contractor is not performing to the satisfaction of the

State, has not completed any deliverable in a satisfactory or timely manner, or upon

written request by the State for any reason, the Contractor shall submit, within ten (10)

business days of the occurrence or State request, a Corrective Action Plan (CAP). The

nature of the corrective action(s) shall depend upon the nature, severity and duration of

the deficiency, and repeated nature of the non-compliance. Severity shall be determined

by the State, in its sole discretion.

At a minimum, the CAP shall address the causes of the deficiency, the impacts, and the

measures being taken and/or recommended to remedy the deficiency, and indicate

whether the solution is permanent or temporary. It shall also include a schedule showing

when the deficiency will be remedied, and for when the permanent solution will be

implemented, if appropriate. For all corrective actions, measured and reported

improvements shall be documented and submitted to the State within thirty (30) days of

CAP implementation. Failure to show improvement within the first thirty (30) days may

lead to Contract termination. Additionally, if the CAP is not resolved by the time indicated

in the schedule approved by the State, the State may terminate the Contractor’s

Contract.

## 17.2 Payment Withholds

Beginning the month in which a CAP is required per the Corrective Action paragraph above, the State may withhold an additional 10% of the following month’s invoice and all subsequent billing until the CAP is implemented. Note that this 10% is separate from and in addition to the 10% performance measure withhold. When the CAP is completed, and the proposed remedy is implemented, the monies withheld due to the CAP (separate from the monies withheld for performance measures) will be processed and paid to the Contractor. Should the CAP not be submitted as required, or should the remedy not be implemented within the timeframe specified by the CAP, the withheld monies may be forfeited.

The Contractor and the State shall schedule regular meetings to discuss Contractor’s performance. The Contractor is required to show satisfactory progress towards milestones and otherwise provide information that can be used to show that performance is satisfactory. Scheduling of review meetings shall be agreed upon mutually between Contractor and the State.